

**UN-REDD**  
PROGRAMME



Empowered lives.  
Resilient nations.



# Benefits and Risks Tool (BeRT) v2

Supporting countries to  
address and respect the  
Cancun safeguards

## User Guide

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UN-REDD PROGRAMME

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May 2015

# UN-REDD PROGRAMME



The UN-REDD Programme is the United Nations Collaborative Initiative on Reducing Emissions from Deforestation and forest Degradation (REDD) in developing countries. The Programme was launched in 2008 and builds on the convening role and technical expertise of the Food and Agriculture Organization of the United Nations (FAO), the United Nations Development Programme (UNDP) and the United Nations Environment Programme (UNEP). The UN-REDD Programme supports nationally-led REDD+ processes and promotes the informed and meaningful involvement of all stakeholders, including Indigenous Peoples and other forest-dependent communities, in national and international REDD+ implementation.

## **Acknowledgements**

Version 2 of the Benefits and Risks Tool (BeRT) and the associated User Guide was prepared by Jennifer Laughlin (UNDP), Lera Miles (UNEP-WCMC), Claudia von Segesser (UNDP) and Elina Väänänen (UNEP-WCMC), with support from Stephen Woroniecki (UNEP-WCMC), Agnès Hallosserie (UNEP-WCMC) and Tania Salvaterra (UNEP-WCMC), and in consultation with colleagues, including: Emelyne Cheney (UNEP), Julie Greenwalt (formerly UNEP), Maria José Sanz Sanchez (FAO), Kimberly Todd (UNDP), Kristin De Value and Caroline de Vit (FAO). Sincere appreciation is extended to all who have made significant contributions to this version of BeRT and the previous one, including: Blaise Bodin (UNEP-WCMC), Timothy Boyle (UNDP), Barney Dickson (UNEP), Joanna Durbin (CCBA), Elizabeth Eggerts (UNDP), Thomas Enters (UNEP), Cordula Epple (UNEP-WCMC), Mirtha Escobar (FCPF), Estelle Fach (UNDP), Josep Gari (UNDP), Lucy Goodman (then with UNEP-WCMC), Pierre-Yves Guedez (UNDP), Elspeth Halverson (UNDP), Silje Haugland (formerly UNDP), Valerie Kapos (UNEP-WCMC), Akihito Kono (UNDP), Rob Munroe (UNEP-WCMC), Clea Paz (UNDP), Leo Peskett (formerly UNDP), Kennan Rapp (FCPF), and Tina Solvberg (UNDP).

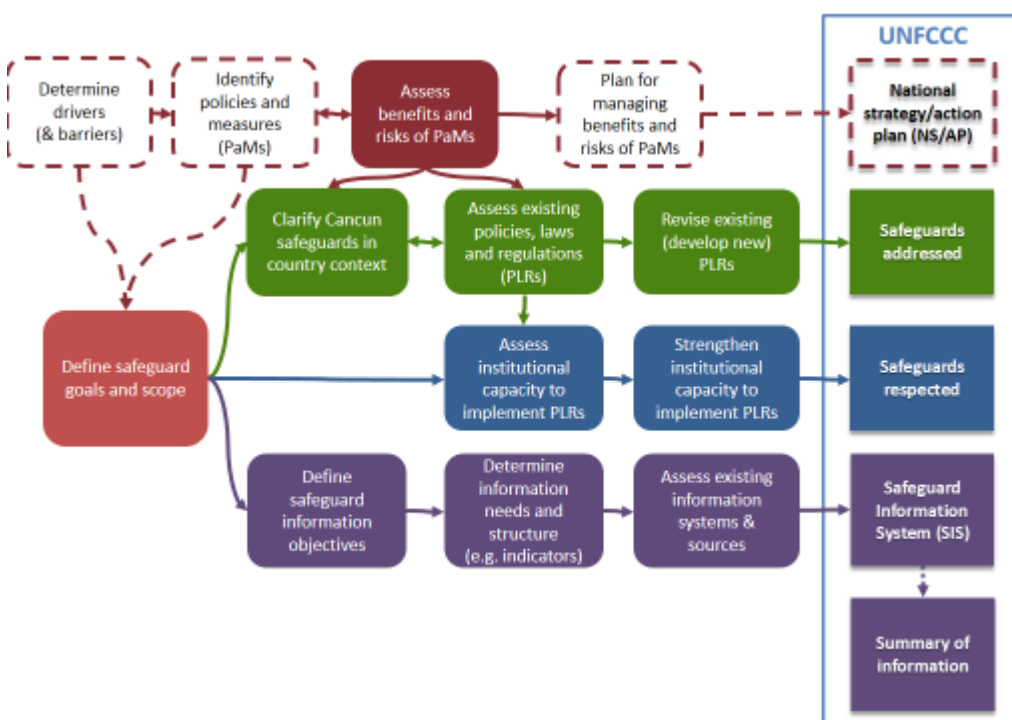
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# 1. BACKGROUND

## Country Approach to Safeguards

It was agreed at the UNFCCC Conference of the Parties in Cancun in 2010 (COP16) that a set of seven safeguards (later referred to as the Cancun safeguards) should be promoted and supported when undertaking REDD+ activities. The Cancun Agreements, and the subsequent Durban Agreement (COP 17, 2011)<sup>1</sup>, also requested Parties implementing REDD+ to provide information on how safeguards are being addressed and respected throughout the implementation of their REDD+ activities. The guidance and tools developed by the UN-REDD Programme are designed to enable countries to take a flexible “country approach” in responding to the Cancun safeguards and other related UNFCCC decisions<sup>2</sup>. This country approach to safeguards is intended to minimize, mitigate and manage social and environmental risks and impacts and enhance benefits of REDD+. It has two key components: (1) policies, laws and regulations (PLRs) and their implementation in practice, through which safeguards are addressed and respected and (2) a safeguards information system (SIS), for collection and provision of information on how the Cancun safeguards are being addressed and respected throughout the implementation of REDD+ activities (Figure 1). Though not specifically defined in the UNFCCC decisions, the UN-REDD Programme understands “addressed” to mean that those arrangements, including institutions, policies, regulations, strategies, agreements, etc. that are relevant to a given safeguard, are in place. The Programme understands “respected” to mean the safeguard is being implemented effectively through the arrangements put into place to “address” each of the safeguards. This understanding is consistent with general convergence around the practical meaning of these terms.



**Figure 1: Country approach to safeguards**

<sup>1</sup> Decision 1/CP.16 ‘Cancun Agreements’. Decision 12/CP.17 ‘Durban Guidance’.

<sup>2</sup> For further information on the Cancun safeguards and the relevant UNFCCC decisions, refer to: Peskett, L. & Todd, K. (2012) Putting REDD+ Safeguards and Safeguard Information Systems Into Practice. UN-REDD Policy Brief Issue #03. Available at: [http://www.unredd.net/index.php?option=com\\_docman&task=doc\\_download&gid=9167&Itemid=53](http://www.unredd.net/index.php?option=com_docman&task=doc_download&gid=9167&Itemid=53), REDD+ Cambodia (2014) The Road from Bali to Warsaw: Collection of COP Decisions on REDD+. Available at: <http://www.cambodia-redd.org/wp-content/uploads/2014/05/F8-COP-Decisions-for-Web.pdf>

## BeRT Objectives

BeRT<sup>3</sup> is designed to support countries to do the following:

- Identify benefits and risks associated with REDD+ actions, in the context of the Cancun safeguards.
- Determine how the country's existing policies, laws and regulations (PLRs) already address the risks or promote the benefits identified.
- Identify the gaps in the PLR framework that may need to be addressed in order to address and respect the Cancun safeguards in REDD+ implementation.
- Utilize information on the potential benefits and risks of specific REDD+ actions/options to inform a decision on which actions to include in the national REDD+ strategy or action plan.
- Provide content for use in the summary of information on how countries are addressing and respecting the safeguards through existing PLRs<sup>4</sup>.

## Benefits and risks

In the context of BeRT, the “benefits of REDD+” generally refer to the additional social and environmental benefits of REDD+ beyond carbon. The “risks of REDD+” generally refer to possible social and environmental risks of REDD+ actions. In the case of safeguards (f) (risks of reversals) and (g) (displacement of emissions), these however are risks to the long-term success of REDD+ itself.

## Policies, laws and regulations

For the purposes of the tool, policies, laws and regulations (PLRs) are understood as follows.

- Policy is a strategic, guiding or planning document prepared by a governmental institution and that describes a vision to address a specific issue or theme.
- Law is a legally binding act that is enacted by a legislative body (e.g. Parliament).
- Regulation is issued by an executive body (e.g. a Ministry) as a legally binding instrument to apply the laws and to provide operational directives.

In some regions there will also be customary laws which informally govern rights and resource use. It is envisaged that the PLR analysis may consider whether PLRs are consistent with these customary laws. This is especially likely to be relevant for safeguard (c) on the respect for knowledge and rights of indigenous peoples and members of local communities.

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<sup>3</sup> BERT v2 draws on the content of the original Benefit and Risks Tool (BeRT) v1, which was developed to support the application of the UN-REDD Social and Environmental Principles and Criteria (SEPC) in National Programme development.

<sup>4</sup> Summary information on how safeguards are addressed and respected is to be provided through countries' National Communications or can voluntarily be submitted directly to the UNFCCC REDD Web Platform. The summary of information on safeguards should be provided after start of implementation of REDD+ activities (i.e. the five REDD+ activities) and needs to be submitted before the country will be eligible to access results-based payments for REDD+. The outputs from BeRT module 3 are likely to be most relevant for the summary of information, as they show how safeguards are being addressed by existing PLRS. Use of the BeRT may also show intent of wanting to ensure more complete coverage of the safeguards by PLRS.

## BeRT Structure

BeRT includes three modules:

<b>Module 1</b>	<b>Objective:</b> Documenting REDD+ actions that are anticipated in the country (or if this is not clear yet, REDD+ actions that might be feasible) and how these fall under the 5 REDD+ activities listed by the UNFCCC <sup>5</sup> . <b>Output:</b> Table of REDD+ actions.
<b>Module 2</b>	<b>Objective:</b> Identifying the potential benefits and risks of the REDD+ actions documented in Module 1. <b>Output:</b> Table of potential benefits and risks under each of the Cancun safeguards, with a qualitative assessment of the impact and probability of benefits and risks identified.
<b>Module 3</b>	<b>Objective:</b> Identifying existing PLRs that address the benefits and risks documented in Module 2; identifying gaps in coverage; and whether there are any PLRs that conflict with the safeguards. <b>Output:</b> Table of existing PLRs that address the Cancun safeguards, an assessment of how well they address the benefits and risks identified and a list of gaps in PLRs.

## BeRT Application

BeRT has been designed for use in multi-stakeholder workshops, with preparatory work suggested to be completed beforehand. It is suggested that Module 1 be completed before the workshop, and reviewed during the workshop to ensure a common and agreed upon starting point. The tool has been designed to be flexible with regard to Modules 2 and 3, depending on the users' interests and objectives (as well as the expertise of participants of a specific workshop). Module 2 can first be completed in its entirety for all safeguards, followed by Module 3 for all safeguards. Alternatively, Modules 2 and 3 can be completed one after the other for each safeguard. For more detailed guidance on using BeRT in a workshop setting, please refer to Annex 2.

BeRT provides key issues and guiding questions to help countries clarify the meaning of the Cancun safeguards in the national context in order to assess the potential benefits and risks of REDD+ actions, and to analyse gaps in policies, laws and regulations. This interpretation is not exhaustive. It draws mostly from the UN-REDD Programme Social and Environmental Principles and Criteria (SEPC). It also draws from the recent publication, *REDD+ Safeguards: Practical Considerations for Developing a Summary of Information*.<sup>6</sup> When applying the Cancun safeguards in a national context, countries may choose to consider additional issues that are not covered by BeRT.

<sup>5</sup> Users may also wish to consider the benefits and risks of enabling conditions, such as establishment of forest monitoring plots.

<sup>6</sup> Braña Varela, J., Lee, D., Rey Christen, D., and Swan, S. (2014) *REDD+ Safeguards: Practical Considerations for Developing a Summary of Information*. Prepared with support from the Government of Norway's International Climate and Forest Initiative. Available at: [www.merid.org/reddsafeguards](http://www.merid.org/reddsafeguards)

## What are the strengths and limitations of BeRT?

### Strengths

- BeRT draws linkages between planned REDD+ actions, the associated benefits and risks, and the ways that existing or new PLRs can enhance those benefits or mitigate the risks.
- BeRT is flexible to use: users may choose to focus on given safeguards, to tackle only benefits or risks, and to look at PLRs for all benefits and risks identified or only those assigned high priority.
- Once they have learned to use BeRT, users can update responses to the Modules as country work on safeguards evolves.
- BeRT can be used to identify gaps in coverage of the safeguards by PLRs.
- BeRT could be used to screen potential REDD+ actions based on their benefits and risks.
- Results from BeRT could be used within a summary of information on how a country is addressing and respecting the safeguards.

### Limitations

- The benefits and risks identified may vary by user, according to the user's role, interests and experience.
- For users who are not familiar with the potential social and environmental impacts of REDD+, the language and structure of BeRT may be more difficult to work with.
- In some cases, the tool may oversimplify the inter-relatedness of benefits and risks and the coordinated strategies needed to address them. BeRT is a starting point for consideration of the linkages between REDD+ actions, the associated benefits and risks and how the revision of or implementation of existing PLRs can address them. It is not designed to help draft new PLRs.
- BeRT is designed to assist countries that have identified likely REDD+ actions to take place in the country. Countries at an earlier planning stage might find other tools more useful (e.g. UN-REDD Programme Country Approaches to Safeguards Tool (CAST)).

## Relationship to other major safeguards initiatives

A number of initiatives provide tools and guidance to countries on REDD+ safeguards: multilateral organizations funding REDD+ readiness (the UN-REDD Programme and the Forest Carbon Partnership Facility (FCPF)), and the REDD+ Social and Environmental Standards (REDD+ SES) initiative, which has a strong focus on SIS. While these initiatives all support countries to identify and manage social and environmental benefits and risks that may arise from the implementation of REDD+ activities, there is considerable variation in roles among them.

While BeRT has been designed to support countries to meet their UNFCCC obligations in the context of the Cancun safeguards, countries may wish to assess their PLRs using other safeguards or standards as benchmarks at the same time (e.g. a national standard or the applicable World Bank operational safeguards)<sup>7</sup>. Considering the text of other safeguards or standards together with the Cancun safeguards could be relatively straightforward: when working through the potential benefits and risks of a REDD+ action in Module 2, as

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<sup>7</sup> For a comparison of the UNFCCC REDD+ Safeguards and the World Bank Safeguard Policies, see: Forest Carbon Partnership Facility (2013) 'World Bank Safeguard Policies and the UNFCCC REDD+ Safeguards'. FMT Note CF-2013-3/ Available at: [https://www.forestcarbonpartnership.org/sites/fcp/files/2013/june2013/FMT%20Note%20CF-2013-3\\_FCPF%20WB%20Safeguard%20Policies%20and%20UNFCCC%20REDD%2B%20Safeguards\\_FINAL.pdf](https://www.forestcarbonpartnership.org/sites/fcp/files/2013/june2013/FMT%20Note%20CF-2013-3_FCPF%20WB%20Safeguard%20Policies%20and%20UNFCCC%20REDD%2B%20Safeguards_FINAL.pdf)



well as considering a particular Cancun safeguard, users would refer to the text of the relevant principles and criteria from the second initiative. The results for both sets of safeguards would then carry through automatically into Module 3, retaining the Cancun safeguards as the organizing framework.

In addition to helping countries to plan and review the development of their approaches to safeguards, the UN-REDD Programme's [Country Approach to Safeguards Tool \(CAST\)](#) refers to relevant elements of the FCPF SESA and REDD+SES and may be useful for exploring the complementarities between the different initiatives.

### **Purpose of the BeRT User Guide**

The purpose of this guide is to support the application of the Benefits and Risks Tool (BeRT). The User Guide provides step-by-step instructions for using the tool and a list of supporting materials.

## 2. STEP-BY-STEP INSTRUCTIONS: USING BERT

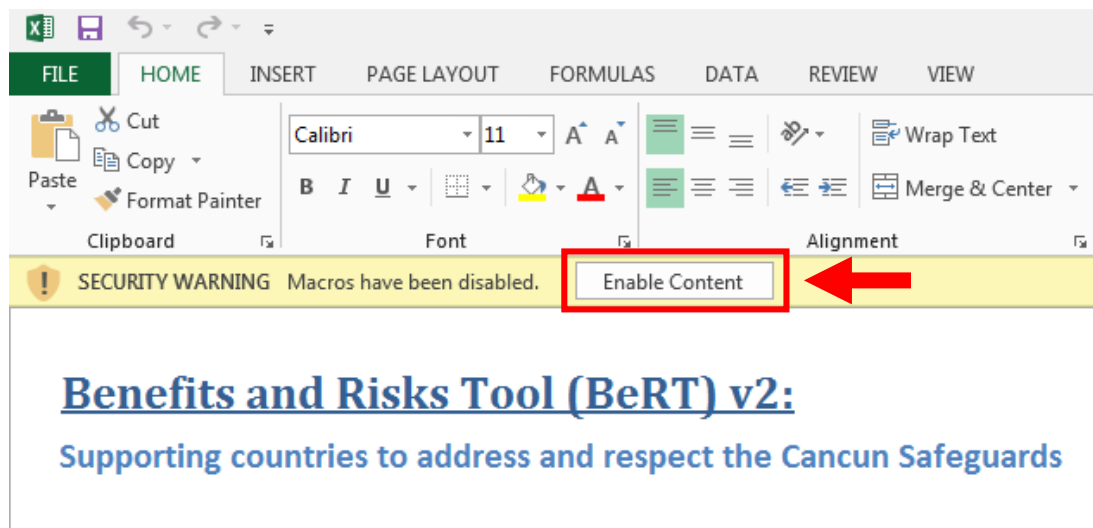
**N.B.** Please note that BeRT has been designed for Microsoft Excel 2013 for Windows and that there may be compatibility issues with earlier versions of Excel. If you encounter issues with the tool, please contact [BeRT@un-redd.org](mailto:BeRT@un-redd.org).

### Opening the tool

#### 1) Open the BeRT file in Microsoft Excel. If necessary, enable Macros.<sup>8</sup>

Without doing this, the tool will not work properly.

- Click on the 'Options' button in the Security Warning tab at the top of the window (see screenshot 1A).
- If further prompted, select the 'Enable this content' option once the box appears (screenshot 1B; i). Then click 'OK' (screenshot 1B; ii).
- Save the tool as an "Excel Macro-Enabled Workbook" and remember to save your work regularly.



Screenshot 1A: Enabling macros

<sup>8</sup> The first step may vary across different versions of Excel, as some versions will not require enabling of macros.



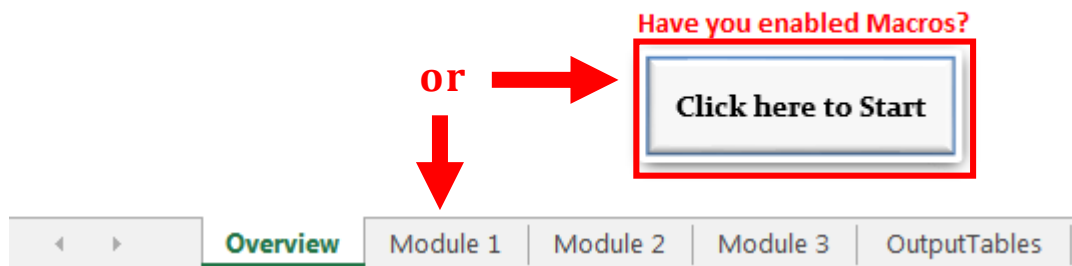
Screenshot 1B: Enabling macros

## 2) Explore the tool

If it is your first time using BeRT, take a few moments to read the overview and familiarise yourself with the structure of the tool.

## 3) Proceed to Module 1

Once ready, press the button 'Click here to Start' at the bottom of the Overview page (Screenshot 1C). You can also navigate between the different modules by using the Worksheet tabs at the bottom of the screen.



Screenshot 1C: Starting with Module 1

## MODULE 1: DOCUMENTING LIKELY REDD+ ACTIONS

**Objective:** The purpose of this Module is to identify and document the REDD+ actions<sup>9</sup> that are anticipated in the country; or if these are not known, the REDD+ actions that may be feasible.

This module needs to be completed prior to working on Modules 2 and 3. Users can draw from the country's existing REDD+ strategy, R-PP, National Programme document, REDD+ roadmap or other relevant plans for REDD+ to complete the table. The main focus is on documenting actions related to REDD+ implementation. However, the boundary between REDD+ readiness and REDD+ implementation may not always be clear-cut. Actions intended to establish enabling conditions for REDD+ may occur in either REDD+ readiness or implementation phases and therefore may be relevant for inclusion in this module.

**Output:** A table of REDD+ actions by activity.

**N.B.** It is recommended that users complete Module 1 prior to a workshop, and review it during the workshop to ensure a common and agreed upon starting point

The UNFCCC defines REDD+ to comprise of five activities: (a) reducing emissions from deforestation; (b) reducing emissions from forest degradation; (c) conservation of forest carbon stocks; (d) sustainable management of forests; and (e) enhancement of forest carbon stocks. REDD+ actions (also known as policies and measures) are understood as the specific interventions that implement these activities in practice (e.g. extending the network of protected areas).

### Steps

#### 1) Enter anticipated REDD+ actions

- Enter REDD+ actions into the first column of the table (Screenshot 2A; i)
- Rather than listing broad strategies, be as specific as possible in documenting potential REDD+ actions. This facilitates more precise consideration of potential benefits and risks.
- Table 1 provides some examples.

#### 2) Organize actions by REDD+ activities or Enabling Conditions

- Tick the boxes where the individual REDD+ actions listed address one or more of the five REDD+ activities (you can tick more than one box per action) and/or they provide the 'enabling conditions' for REDD+ activities (e.g. capacity building activities) (Screenshot 2A; ii).

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<sup>9</sup> While the BeRT uses the term 'REDD+ actions', countries may have their own terminology to refer to forest management interventions.

Table 1: Relevance of REDD+ actions to the five REDD+ activities

	Possible REDD+ actions	Relevance to REDD+ activities					Enabling conditions for REDD+ activities
		Reducing emissions from deforestation	Reducing emissions from forest degradation	Conservation of forest carbon stocks	Sustainable management of forests	Enhancement of forest carbon stocks	
1	Strengthening the sustainable management of production forests	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
2	Fire management (including study on fire ecology in affected forests; developing fire hazard assessment tools)	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
3	Strengthening the network of protected areas	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
4	Establishing forest monitoring plots	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>

Screenshot 2A: REDD+ actions

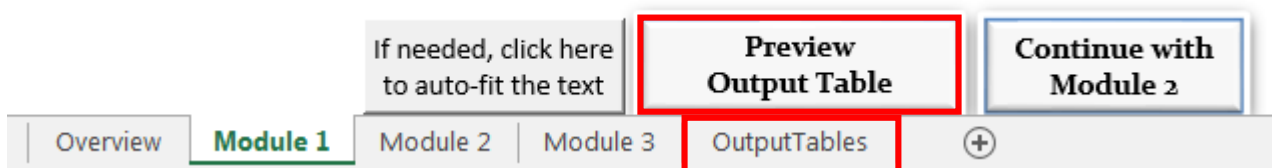
- Enabling conditions are understood as REDD+ readiness activities that are continued in the implementation phase. While the Cancun safeguards do not apply to the REDD+ readiness phase, REDD+ readiness activities (such as consultation or forest monitoring plots) may continue in the implementation phase. As they may entail significant benefits and risks, the user can choose to include such ‘enabling conditions’ in the analysis.
- Throughout the tool, you can choose to auto-fit the text you enter to fit the cells, where necessary, by selecting the relevant icon (Screenshot 2B).

If necessary, click here to auto-fit the text

Screenshot 2B: Auto-fitting text entered

### 3) View the outputs

- View the output of this exercise by selecting the ‘Preview Output Table’ icon or the ‘Output Table’ tab (screenshot 2C).
- You may choose to print the Output Table (Screenshot 2C).
- You can navigate between the output tables for different modules and safeguards, by choosing the ‘Back to Output Tables Menu’ icon when in the Output Table of any module. This will display the Output Table menu (Screenshot 2D; 2E).



Screenshot 2C: Finding the Output Tables



Screenshot 2D: Navigating the Output Table Choices

## Output Tables

Output Tables will be automatically available here in this section once the Input Tables have been completed.

Alternatively, consider clicking on the appropriate boxes below in order to display the chosen output table(s):



Screenshot 2E: Output Tables Menu

### 4) Continue to Module 2

- Click the 'Module 2' tab or select the 'Continue with Module 2' icon.

## Supporting Materials

Annex 1 offers a typology of possible REDD+ actions for the five REDD+ activities, compiled by the Collaborative Partnership on Forests' Global Forest Expert Panel. This is intended as an example only. If a country has a different view on which action fits which activity, that view should take precedence.

## MODULE 2: IDENTIFYING BENEFITS AND RISKS OF REDD+ ACTIONS

**Objective:** To rapidly assess the potential benefits and risks of the REDD+ actions documented in Module 1. This information will be used in Module 3 to determine how well existing PLRs cover the Cancun safeguards. This module is structured using the Cancun safeguards, using guiding questions drawing on the UN-REDD Programme’s Social and Environmental Principles and Criteria (SEPC) to clarify the broad principles set out in the Cancun agreements. For each safeguard, participants are asked to identify the possible benefits and risks of the different REDD+ actions. These benefits and risks will then be used in the gap analysis of existing PLRs (Module 3).

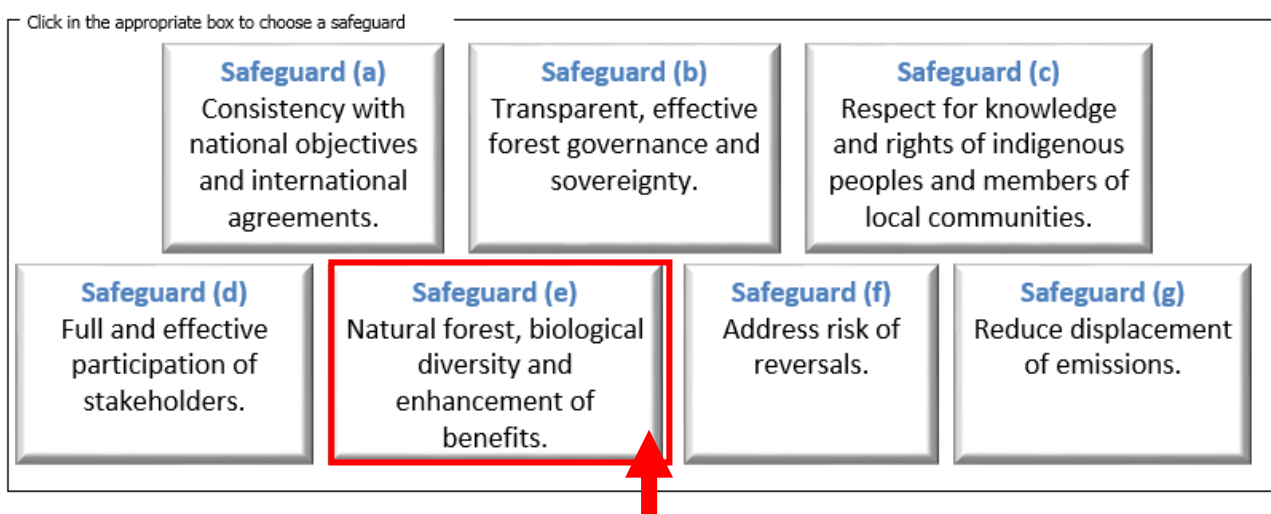
**Output:** Table of potential benefits and risks, organized by the Cancun safeguards, with a qualitative assessment of the impact and probability of benefits and risks identified.

**N.B.** Users may find it useful to print the Output Table from Module 1 to complete Module 2. This is to facilitate discussion and mediate the fact that REDD+ actions with more text may not be fully visible in the drop-down menu in Module 2.

### Steps

#### 1) Select a safeguard

- Safeguards are considered one at a time. Select the first safeguard for which you want to consider potential benefits and risks of the REDD+ actions from Module 1 (screenshot 3A).



Screenshot 3A – In this example, the user is choosing safeguard ‘e’

#### 2) Familiarize yourself with the list of key issues relevant to the safeguard.

- Please note that the key issues provided are generalized and indicative, and will need to be understood in the country context.

#### 3) Answer the guiding questions by ticking the boxes (Screenshot 3B)

- For each safeguard, a number of guiding questions are listed. These aim to assist you in identifying risks and benefits, and are intended as aids for discussion. These questions are however not exhaustive and users are encouraged to think of benefits and risks beyond those addressed by the guiding questions.

- Tick ‘yes’ or ‘no’ for each question answered. In case you lack information to answer the question, you may choose ‘Don’t know’. This will be recorded in the output table and can provide a useful record of gaps in knowledge.

**Guiding questions**

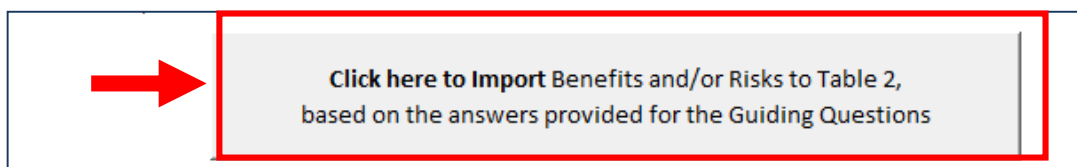
Please answer each of the questions below by clicking on the appropriate answer:

	Yes	No	Don't know
<b>1. Are any of the REDD+ actions identified in Module 1 likely to:</b>			
1.1. Make a specific contribution to achieving the objectives of the national forest programme?	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
1.2. Make a specific contribution to achieving policy objectives on climate change adaptation (e.g. on restoring degraded watersheds to reduce flood risk), or objectives for additional climate change mitigation?	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
1.3. Make a specific contribution to achieving the Millennium Development Goals or other international commitments on poverty reduction?	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
1.4. Make a specific contribution to achieving the objectives of the Convention on Biological Diversity (e.g. through forest restoration using native species)?	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
<b>2. Is there a risk of conflict between the REDD+ actions identified in Module 1 and:</b>			
2.1. Other climate change mitigation strategies (e.g. concerning land or woody biomass requirements for bioenergy production, or alternative energy development such as hydropower or wind farms)?	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
2.2. National poverty reduction strategies (e.g. plans for infrastructure development or agriculture)?	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
2.3. Other environmental policy objectives and strategies (e.g. plans for community or production forests under the national forest programme, or for increased protected area coverage under the National Biodiversity Strategy and Action Plan)?	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>

**Screenshot 3B: Guiding questions from Module 2**

**4) Add benefits and risks to Table 2**

- The answers to the guiding questions can be used to automatically enter some text on benefits and risks into Table 2 below, by clicking the “Import” button (Screenshot 3C).
- Carefully read these draft benefits and risks, and modify the text to ensure it is appropriate in the national context and reflects the benefits or risks discussed in the group. Double-click the text to edit it (screenshot 3D).
- Use a new row to add any other benefits or risks relevant to the safeguard. Do not feel limited by the automated content, but consider benefits and risks beyond the guiding questions.
- Note that as safeguards (f) and (g) focus on risks, the sections on these safeguards in Module 2 focus on risks and exclude consideration of benefits.



**Screenshot 3C: importing the benefits and risks suggested by the responses to the guiding questions**



Actions may have (ard)	Benefits
<input type="text"/>	(To see a sample benefit, first select a sample REDD+ action from the drop-down list on the left)
<input type="text"/>	<ul style="list-style-type: none"> <li>Potential for stakeholders to engage effectively in REDD+ actions and to provide monitoring and oversight, thus mitigating the risks of certain corrupt practices. <a href="#">Please give further details.</a></li> </ul>
<input type="text"/>	<ul style="list-style-type: none"> <li>Potential to mitigate overlaps in decision-making processes and to increase transparency and efficiency in decision-making processes. <a href="#">Please give further details.</a></li> </ul>

Screenshot 3D: Editing benefits text

**5) Match the benefits and risks to REDD+ actions (screenshot 3E)**

- Recall which action(s) you were considering when you added or edited the benefits and risks, and for each one, choose an option from the dropdown menu in the column 'REDD+ actions from Module 1'. If more than one action is associated with the benefit or risk, copy and paste the benefit text into one of the empty rows. For benefits and risks that are not associated with specific actions, choose the category 'overarching' from the dropdown box.
- Examples for specific actions and overarching benefits and risks can be viewed by clicking the drop-down menu in the first, lighter-blue cell below the column headings.

Benefits relevant to safeguard	REDD+ actions from Module 1 (not all actions may have benefits relevant to the safeguard)	
	CLICK FOR AN EXAMPLE: <input type="text"/>	(To see a sample from the drop-
	Click here to select an action from Module 1: <input type="text"/>	<ul style="list-style-type: none"> <li>Potential for actions and mitigating t further deta</li> <li>Potential to and to incre making pro</li> <li>Potential to not met and and goals. F</li> <li>Potential fo according to sustainabil</li> </ul>
	<input type="text"/> <ul style="list-style-type: none"> <li>1) Strengthening the sustainable management of production f</li> <li>2) Fire management (including study on fire ecology in affected</li> <li>3) Strengthening the network of protected areas</li> <li>4) Establishing forest monitoring plots</li> <li>5)</li> <li>6)</li> <li>7)</li> <li>8)</li> <li>9)</li> <li>10)</li> <li>11)</li> </ul>	

Screenshot 3E: Allocating REDD+ actions to benefits

**6) Assign probability and impact to the benefits and risks (Screenshot 3F)**

- This quick, preliminary assessment of probability and impact aims to rank the benefits and risks in terms of priority for addressing them.
- In the drop down box, select the probability that the benefit or risk will occur if the action is implemented.
  - Probability is defined as the likelihood of that benefit or risk occurring, and is assessed on a simple qualitative scale of high, medium and low.
- Then select the level of impact that the action will have.

- Impact is defined as the significance of the effect that the benefit or risk would have if it occurred, and is assessed on a simple qualitative scale of high, medium and low.

REDD+ action	Rank of benefits	
	Probability	Impact
ely in REDD+ sight, thus ices. Please give	Select: ▼	Select: ▼
aking processes in decision-	Select: ▼ • High • Medium • Low	Select: ▼
it if targets are ds set targets	Select: ▼	Select: ▼
of activities pacity promoting	Select: ▼	Select: ▼

Screenshot 3F: Assigning probability and impact to benefits

## 7) View outputs

- View the output of this exercise in the 'Output Table' tab or by selecting the 'Preview Output Table' icon.
- Note that 'Don't know' answers to guiding questions will be recorded at the end of the Output Tables for Module 2 (Screenshot 3G).

## Guiding questions with "Don't know" as chosen answer

- Are any of the REDD+ actions identified in Module 1 likely to:
  - Have inequitable adverse impacts on gender equality and/or the situation of women and girls?

Screenshot 3G: Output Table for Module 2 records questions with 'Don't know' as answer

## 8) Continue to Module 3

- Click the 'Module 3' tab.

## MODULE 3: IDENTIFYING RELEVANT POLICIES, LAWS AND REGULATIONS AND GAPS

**Objective:** To determine if there are existing Policies, Laws or Regulations (PLRs) that address the benefits and risks identified; what the gaps are; and whether there are any PLRs that conflict with those identified as supporting the safeguards. For each safeguard, participants are asked to identify the PLRs in place that cover the benefits and risks identified in Module 2. This can form the basis of a clearer understanding of how PLRs may need to be modified or introduced to better match the needs of the country’s safeguards approach.

**Output:** Table of existing PLRs that address the Cancun safeguards, an assessment of how well they address the benefits and risks identified and a list of gaps in PLRs.

### Steps

#### 1) Select the safeguard of interest

- Select the safeguard at the top of the page.

#### 2) Answer the guiding questions

- Record answers in the ‘Notes’ section provided. Recording points raised may provide a valuable resource for further work on PLRs (Screenshot 4A).
- Discussion may draw from a prepared list of relevant PLRs and examination of copies of PLR text provided.

### Guiding questions

	Notes (if any)
1. Are there policies, laws and regulations, or other measures in place (or planned) to:	
1.1. Improve information on the magnitude, distribution and current trends in carbon stocks?	
1.2. Identify potential drivers of land use change and forest degradation into the future?	
1.3. Use concessions to permit or discourage different forest activities?	
1.4. Limit the potential impacts of climate change and/or demographic change on forests and ecosystem services (e.g. NAPAs, NAMAs, agricultural, forest or other sectoral planning)?	
1.5. Integrate REDD+ planning with other planning procedures?	
1.6. Identify and/or respond to new information on the risks of reversal of REDD+ achievements?	
1.7. Enable monitoring of reversals of REDD+ achievements?	
2. How effective, legitimate, accessible, predictable, equitable, transparent are each of these policies?	
3. Are there plans to monitor their effective application?	

Screenshot 4A: Guiding questions from Module 3


#### 3) Select all or priority benefits and risks

- Tick either the ‘all benefits and risks’ option or the ‘potential priorities’ option (Screenshot 4B). This will import the benefits and risks you identified for that particular safeguard in Module 2 into Table 3 (Screenshot 4B).
- The potential priorities are defined as benefits with a medium probability and high impact, and risks with a high-probability and high-impact. The thinking behind this is that high probability benefits and low probability benefits do not need much policy attention, because they are already likely or unlikely to occur. High impact, but medium-probability benefits could be influenced by policy-makers to become high-impact, high-probability benefits, so this subset is regarded as the most urgent priority. The high-probability, high-impact risks are also those that are most urgent to tackle through appropriate PLRs.

From Module 2, import:

All risks and benefits
  Only with potential priorities:
 

Benefits: medium probability / high-impact  
 Risks: high-probability / high-impact




Screenshot 4B: choosing to assess all benefits and risks, or only those of highest priority

**4) Identify PLRs that promote the benefits (Screenshot 4C)**

- Enter particular PLRs that will contribute to achieving the benefits that have been identified (Screenshot 4C ii).
- You can enter more PLRs by entering them under the first one for a benefit. Add the extra PLRs below, numbering them 1,2,3 etc., and leave the description field blank. Examples are available and highlighted in a lighter blue at the top of the table.

Description		PLRs relevant to this benefit		How does this PLR cover this benefit?
EXAMPLE	Efforts at better coordination initiated through the REDD+ process lead to improved communication between Ministries and greater consistency between sectoral policies overall.	1	Poverty Reduction Strategy.	Existing inter-ministerial communication on achieving the poverty reduction strategy.
Benefits	<i>The zoning of afforestation to create forest belts around big cities contributes to the implementation of the national plan for adaptation to climate change and thereby to compliance with the UN Convention to Combat Desertification.</i>	1	Peri-urban land-use planning	Peri-urban land-use planning may conflict with or support the zoning policy.



Screenshot 4C: Filling in Table 3 in Module 3 (with example text)

**5) Assess relevance and coverage (Screenshot 4C, iii)**

- In the column ‘How does this PLR address/cover the benefit?’ enter a brief description of how the policy, law or regulation covers the benefit. Will its effective implementation ensure that the benefit be achieved? Are there some aspects of achieving the benefit that the PLR does not address?

**6) Assess effectiveness (Screenshot 4D, i)**

- In the column to the right, enter how well this particular PLR is being implemented. How effectively is the PLR being put into practice? If it is a law or regulation, how effectively is it enforced? If it is a policy, how much commitment is there to ensure its implementation? How effective are the mechanisms used in delivering the intended outcomes?

**7) Assess conflicts (Screenshot 4D, ii)**

- In the 7<sup>th</sup> Column, titled ‘Are there conflicting PLRs’, enter any other PLRs that conflict with the aims of particular PLRs you have identified. Are there PLRs that create incentives for people to act in ways that undermine the benefits?

- Assessment could include consideration of customary law and whether it supports or is in conflict with formal policies, laws and regulations.

**8) Identify PLR gaps (Screenshot 4D, iii)**

- Consider the results of this process, including the coverage of particular PLRs, their effectiveness and the impacts of any conflicting PLRs. Do these factors create gaps in the ability of current PLRs to deliver the benefits that have been identified as relevant to the REDD+ actions and strategies the country is working with? Are there any potential benefits that are not addressed in current PLRs? Add to the ‘gaps identified’ column against particular benefits, as appropriate.
- You may find that groups of PLRs and/or conflicting PLRs contribute to a single gap. If this is the case, do not try to fill in every cell (but make it clear which PLRs are relevant to which gaps and vice versa).

How effectively the PLR is being implemented?	Conflicting PLRs?	Identified Gaps
Some ministries have more influence than others.	No.	Current practice limits inter-ministerial communication, e.g. few meetings involving personnel; from multiple ministries.
While 3 cities have the zoning policy in place, most cities do not.	In one of the cities, the zoning policy and peri-urban land-use planning are in conflict.	Variable implementation of the zoning policy across the country.  Conflict between zoning policy and peri-urban land-use planning in one city, potential for conflict elsewhere.
↑ <b>(i)</b>	↑ <b>(ii)</b>	↑ <b>(iii)</b>

Screenshot 4D: Filling in Table 3 in Module 3 (with example text)

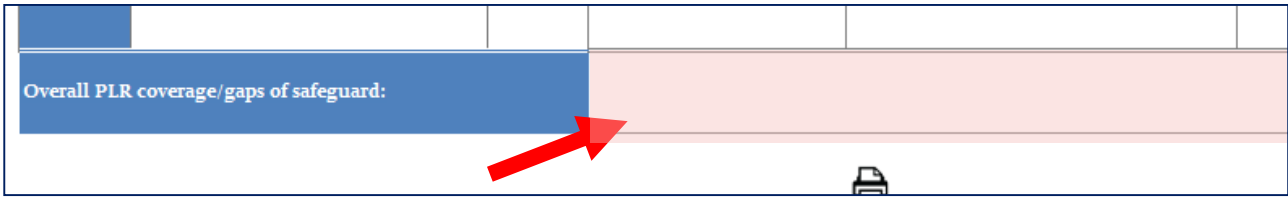
**9) Complete steps 1 to 7 for all the benefits in the table**

- Note that as safeguards (f) and (g) focus on risks, the sections on these safeguards in Module 3 focus on risks and exclude consideration of benefits.

**10) Complete steps 1 to 8 for the risks**

**11) Fill in the ‘Overall PLR coverage/gaps of safeguard (Screenshot 4E)**

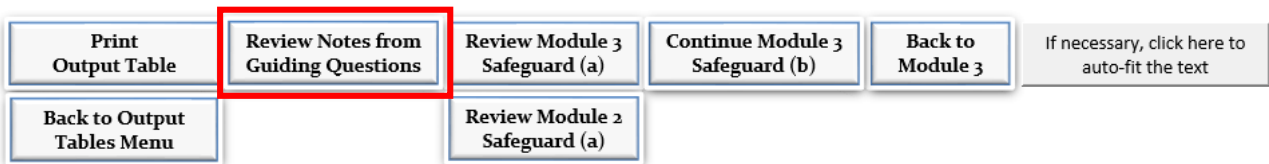
- Spend some time discussing the overall coverage and gaps in PLRs for particular safeguards. This is your opportunity to interpret the results, gather viewpoints, select the gaps that are most pressing to fill, and create an overall picture of how the safeguard is being addressed.
- Record the results of the discussion in the space provided.



Screenshot 4E: Assessing overall coverage and gaps

## 12) View outputs

- View the output of this exercise in the 'Output Table' tab or by selecting the 'Preview Output Table' icon.
- You can review Notes recorded for the Guiding questions by selecting the 'Review Notes from Guiding Questions' icon (Screenshot 4F). You can also access notes for all safeguards through the Output Tables Menu.



Screenshot 4F: Reviewing notes from guiding questions for Module 3

## 13) Return to Module 2 to select another safeguard

### Supporting materials

For each safeguard, a list of potentially relevant national and international PLRs is provided (Annex 3).

## ANNEXES: SUPPORTING MATERIALS

### ANNEX 1: RELEVANCE OF REDD+ ACTIONS TO THE FIVE REDD+ ACTIVITIES

Adapted from Parrotta, J.A., Wildburger, C. & Mansourian, S. (eds.). 2012. *Understanding Relationships between Biodiversity, Carbon, Forests and People: The Key to Achieving REDD+ Objectives. A Global Assessment Report*. Prepared by the Global Forest Expert Panel on Biodiversity, Forest Management, and REDD+. IUFRO World Series Vol. 31, Vienna.

Possible REDD+ actions	Relevance to REDD+ activities				
	Reducing emissions from deforestation	Reducing emissions from forest degradation	Enhancement of forest carbon stocks	Sustainable management of forests	Conservation of forest carbon stocks
<b>Improving agricultural practice</b>					
Sustainable agricultural intensification	••	•	•		•
Agroforestry		•	•		•
Sustainable shifting cultivation	•	••	•		•
Fire management	•	••	••	••	•
<b>Protection measures</b>	••	••	•	•	••
<b>Reducing impacts of extractive use</b>					
Reduced impact logging		••		••	
Efficiencies, alternative production or substitution of fuelwood and NFTP		••		••	
Hunting regulation		••		•	
<b>Restoration/Reforestation</b>					
Assisted natural regeneration	•	•	••	•	
Afforestation & reforestation primarily for wood/fibre production			••		
Reforestation primarily for biodiversity and ecosystem services		•	•		
Landscape scale planning & coordination	••	••	•	••	•

Some actions have a strong and direct role to play in a given REDD+ activity (\*\*), while others may have less immediate relevance but may still play a role (\*). For example, fire generally results in the first instance in forest degradation but can in some cases eventually lead to deforestation, therefore fire management potentially plays an immediate and important role in reducing emissions from forest degradation and plays a key role in ensuring the success of efforts to enhance carbon stocks and manage production forests sustainably. Fire management may also be relevant in reducing emissions from deforestation.

## ANNEX 2: ADDITIONAL GUIDANCE ON USING BeRT IN A WORKSHOP SETTING

### Annex 2.1: Quick Facts on BeRT in a workshop setting

**Time requirements:** The time required to apply BeRT depends on the scope of the workshop and which safeguards it aims to cover. Time estimations for each module are provided below. See also draft workshop agenda in Annex 2.3.

- **Module 1:** Discussion of the list of REDD+ actions prepared in advance of the workshop: 0.5-1 hour (depending on whether a prioritisation exercise is necessary)
- **Module 2:** 2-3 hours per safeguard
- **Module 3:** 2 hours per safeguard
- It is estimated that it would take 4 days to go through Modules 2 and 3 for all safeguards.

**Break-out groups:** It is recommended that workshop participants are divided into break-out groups to simultaneously consider different Cancun safeguards. The division of the groups should match participants' expertise relevant to the safeguard in question. The optimal break-out group size is likely to be between three to five participants.

**Facilitators:** A facilitator with an understanding of the Cancun safeguard in question and experience using BeRT is recommended to accompany each break-out group. The number of facilitators needed depends on the number of simultaneous break-out groups.

#### **Resources for facilitators**

- List of pre-workshop preparations (Annex 2.2)
- Draft workshop agenda (Annex 2.3)
- Guidance for identifying relevant Policies, Laws and Regulations (PLRs) (Annex 3)
- Introductory presentation explaining the tool, the modules and key terms (upon request from [BeRT@un-redd.org](mailto:BeRT@un-redd.org))



## Annex 2.2: Pre-workshop preparations

- 1. Identify likely REDD+ actions and complete Module 1.** Identification of REDD+ actions may draw from the country's REDD+ strategy (if completed), its REDD+ Readiness Preparation Proposal or from consultations with national partners. If information on priority actions exists, it may be helpful in narrowing down a list of actions for the workshop. If no information on priorities is available, the workshop could include a prioritisation exercise among country participants.
- 2. Identify existing policies, laws and regulations that are relevant to the safeguards.** A national partner or consultant could be tasked to undertake a review to identify relevant PLRs. This could also include initial mapping of the PLRs against the Cancun safeguards. The identification should aim to collate relevant PLRs, highlighting relevant sections where applicable. Guidance for identifying relevant PLRs (Annex 4) may provide a useful reference for this process. It is recommended that copies of the relevant PLR texts are made available for the workshop.
- 3. Map national safeguards or standards against the Cancun safeguards (where applicable).** If a country has developed a set of national safeguards or standards, it is advisable to map them against the Cancun safeguards.
- 4. Ensure participation of a broad range of stakeholders, with relevant knowledge and experience, to match the safeguards covered in the workshop.** Depending on which safeguards are being considered, multi-stakeholder participation, covering the breadth of knowledge and experience relevant to the safeguards, is encouraged. This might involve including participants with backgrounds in development, environment, forestry, civil society, law and policy. Multi-stakeholder participation can help ensure that a full range of benefits and risks are considered by alleviating the reluctance to consider risks.

Due to the technical nature of BeRT, broader stakeholder engagement could instead follow the application of the tool in a smaller workshop. For example, this engagement could involve validation of results, broader discussion of the effectiveness of the identified PLRs on the safeguards, or selected groups intended to fill gaps in knowledge in the first workshop. The [UN-REDD/FCPF Stakeholder Engagement Guidelines](#) provide further guidance on stakeholder engagement, particularly on the inclusion of indigenous peoples and other forest-dependent communities.

### Annex 2.3: Draft workshop agenda for using the Benefits and Risks Tool (BeRT v2)

The draft workshop agenda provides an example of how to cover all safeguards in 4 days. It includes an introductory day of presentations and Module 1, two days of three parallel break-out groups working on one safeguard each per day (Modules 2 and 3) and a final day covering safeguard (a) collectively and working towards recommendations for addressing identified gaps in PLRs. An optional half day is included for disseminating workshop results to a wider stakeholder audience.

	Content	Notes
Day 1	<p>Country update on REDD+ and REDD+ safeguards</p> <p>Objectives of the workshop</p> <p>Introduction to the UN-REDD Programme conceptual framework on developing country approaches to safeguards</p> <ul style="list-style-type: none"> <li>• Where does a PLR review fit in?</li> <li>• UN-REDD Programme support and tools (incl. Country Approaches to Safeguards Tool (CAST))</li> </ul> <p>Examples of other countries' experiences and approaches to safeguards</p> <p>Benefits and Risks Tool (BeRT) v2</p> <p>Introduction to relevant PLRs in the country</p> <p><b>BeRT module 1</b></p>	<p>Break-out groups review the pre-prepared list of REDD+ actions. This could include prioritization of actions.</p>
Day 2	<p><b>BeRT modules 2 and 3:</b></p> <p>Safeguard (b) (Transparent, effective forest governance and sovereignty)</p> <p>Safeguard (c) (Respect for knowledge and rights of indigenous peoples and members of local communities)</p> <p>Safeguard (e) (Natural forest, biodiversity and enhancement of benefits)</p>	<p>3 break-out groups work through modules 2 and 3 for their assigned safeguard and report back in a plenary session.</p>
Day 3	<p><b>BeRT modules 2 and 3:</b></p> <p>Safeguard (d) (Full and effective participation of stakeholders)</p> <p>Safeguard (f) (Risk of reversals)</p> <p>Safeguard (g) (Displacement of emissions)</p>	<p>3 break-out groups work through modules 2 and 3 for their assigned safeguard and report back in a plenary session.</p>
Day 4	<p><b>BeRT modules 2 and 3:</b></p> <p>Safeguard (a) (Consistency with existing national objectives and international agreements)</p> <p><b>Recommendations and next steps for addressing gaps identified in PLRs</b></p>	<p>All participants work on safeguard (a) together due to its cross-cutting nature. Safeguard (a) is often considered the most difficult and is therefore left last.</p>
Day 5 (half day)	<p>Dissemination of workshop results to a larger group of stakeholders</p>	

### ANNEX 3: GUIDANCE FOR IDENTIFYING RELEVANT POLICIES, LAWS AND REGULATIONS (PLRS)

The following tables highlight key issues related to the Cancun safeguards and types of policies, laws and regulations that are potentially relevant to each safeguard. These may be a helpful reference to guide a pre-workshop PLR review.

#### *Safeguard (a) - [REDD+] actions complement or are consistent with the objectives of national forest programmes and relevant international conventions and agreements*

Key issues	Potentially relevant national PLRs	Potentially relevant international conventions and agreements
<ol style="list-style-type: none"> <li>1. Consistency with international commitments on climate; contribution to national climate policy objectives, including those of mitigation and adaptation strategies</li> <li>2. Consistency with the achievement of the Millennium Development Goals and post-2015 Sustainable Development Goals; contribution to national poverty reduction strategies</li> <li>3. Consistency with international commitments on the environment; contribution to national biodiversity conservation policies (including National Biodiversity Strategies and Action Plans) and other environmental and natural resource management policy objectives</li> <li>4. Consistency with State's human rights obligations under international law, including the core international human rights treaties and ILO 169, where applicable</li> <li>5. Consistency and complementarities with the objectives of the national forest programme</li> <li>6. Coordination among agencies and implementing bodies for REDD+, national forest programmes and national policy(ies) that enact the relevant international conventions and agreements</li> <li>7. Consistency with other relevant international conventions and agreements</li> </ol>	<ul style="list-style-type: none"> <li>• National Forest Programme</li> <li>• Forest management policies and standards</li> <li>• National climate policy or legislation</li> <li>• National poverty reduction strategy</li> <li>• National Biodiversity Action Plan (NBSAP)</li> <li>• Natural resource management policy and objectives</li> <li>• Decentralisation act/ law on local government</li> </ul>	<ul style="list-style-type: none"> <li>• Rio+20 outcome document, "The future we want", section III on 'Green economy in the context of sustainable development and poverty eradication' (2012)</li> <li>• Non-Legally Binding Instruments on All Types of Forests (NLBI on Forests) (2007)</li> <li>• United Nations Convention to Combat Desertification (UNCCD) (1994)</li> <li>• United Nations Framework Convention on Climate Change (UNFCCC) (1992)</li> <li>• Convention on Biological Diversity (CBD) (1992)</li> <li>• Non-Legally Binding Authoritative Statement of Principles for a Global Consensus on the Management, Conservation and Sustainable Development of All Types of Forests (Forest Principles) (1992)</li> <li>• Convention on Wetlands of International Importance (Ramsar Convention) (1971)</li> </ul> <p><b>Core human rights treaties:</b></p> <ul style="list-style-type: none"> <li>• International Convention for the Protection of All Persons from Enforced Disappearance (2010)</li> <li>• Convention on the Rights of Persons with Disabilities (2008)</li> <li>• International Convention on the Protection of the Rights of All Migrant Workers and Members of Their Families (2003)</li> <li>• Convention concerning Indigenous and Tribal Peoples in Independent Countries (ILO No. 169) (1989)</li> <li>• Convention on the Rights of the Child (1989)</li> <li>• Convention against Torture and Other Cruel, Inhuman or Degrading Treatment or Punishment (1987)</li> <li>• Convention on the Elimination of All Forms of Discrimination against Women (1979)</li> <li>• International Covenant on Civil and Political Rights (1976)</li> <li>• International Covenant on Economic, Social and Cultural Rights (1966)</li> <li>• International Convention on the Elimination of All Forms of Racial Discrimination (1965)</li> </ul> <p>N.B. Due to the cross-cutting nature of safeguard (a), many of the international commitments detailed below are likely to be relevant.</p>

**Safeguard (b) - Transparent and effective national forest governance structures, taking into account national legislation and sovereignty**

Key issues	Potentially relevant national PLRs	Potentially relevant international conventions and agreements Source: WRI/ClientEarth (2011)
<ol style="list-style-type: none"> <li>1. Access to information</li> <li>2. Accountability</li> <li>3. Land tenure</li> <li>4. Equitable distribution of benefits (N.B. overlaps with Safeguards (b) &amp; (c))</li> <li>5. Enforcement of the rule of law</li> <li>6. Adequate access to justice, including procedures that can provide effective remedy for infringement of rights, and to resolve disputes (i.e., grievance mechanisms) (NB: overlaps with Safeguard (c)).</li> <li>7. Gender equality</li> <li>8. Coherency of national/subnational legal, policy and regulatory framework for transparent and effective forest governance</li> <li>9. Corruption risks</li> <li>10. Resource allocation/capacity to meet institutional mandate</li> <li>11. Participation in decision-making processes (NB: overlaps with Safeguards (c) &amp; (d))</li> </ol>	<ul style="list-style-type: none"> <li>• Decentralisation act/ law on local government</li> <li>• Forest Law</li> <li>• Forest management policies and standards</li> <li>• National Forest Programme</li> <li>• Establishment of community forestry/ community fisheries</li> <li>• Land use and zoning plans</li> <li>• Sectoral plans</li> <li>• Tenure Legislation</li> <li>• Land Law / Land Registration Law</li> <li>• Land Titles</li> <li>• Concessions/ licenses (e.g. to withdraw timber products for commercial purposes)</li> </ul>	<ul style="list-style-type: none"> <li>• Nagoya Protocol on Access to Genetic Resources and the Fair and Equitable Sharing of Benefits arising from their Utilization (ABS) to the Convention on Biological Diversity (2010)</li> <li>• Optional Protocol to the International Covenant on Economic, Social and Cultural Rights (2008)</li> <li>• United Nations Declaration on the Rights of Indigenous Peoples (UNDRIP) (2007)</li> <li>• Non-Legally Binding Instruments on All Types of Forests (NLBI on Forests) (2007)</li> <li>• Convention on the Protection and Promotion of the Diversity of Cultural Expressions (2005)</li> <li>• UN Convention Against Corruption (UNCAC) (2003)</li> <li>• Convention for the Safeguarding of Intangible Cultural Heritage (2003)</li> <li>• UNECE Convention on Access to Information, Public Participation in Decision-making and Access to Justice in Environmental Matters (Aarhus Convention) (1998)</li> <li>• Declaration on the Right and Responsibility of Individuals, Groups and Organs of Society to Promote and Protect Universally Recognised Human Rights and Fundamental Freedoms (1998)</li> <li>• Agenda 21 (1992)</li> <li>• Declaration on the Right to Development (1986)</li> <li>• Universal Declaration of Human Rights (UDHR) (1948)</li> </ul> <p><b>Core human rights treaties:</b></p> <ul style="list-style-type: none"> <li>• International Convention for the Protection of All Persons from Enforced Disappearance (2010)</li> <li>• Convention on the Rights of Persons with Disabilities (2008)</li> <li>• International Convention on the Protection of the Rights of All Migrant Workers and Members of Their Families (2003)</li> <li>• Convention concerning Indigenous and Tribal Peoples in Independent Countries (ILO No. 169) (1989)</li> <li>• Convention on the Rights of the Child (1989)</li> <li>• Convention against Torture and Other Cruel, Inhuman or Degrading Treatment or Punishment (1987)</li> <li>• Convention on the Elimination of All Forms of Discrimination against Women (1979)</li> <li>• International Covenant on Civil and Political Rights (1976)</li> <li>• International Covenant on Economic, Social and Cultural Rights (1966)</li> </ul>

		<ul style="list-style-type: none"> <li>International Convention on the Elimination of All Forms of Racial Discrimination (1965)</li> </ul>
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**Safeguard (c) - Respect for the knowledge and rights of indigenous peoples and members of local communities, by taking into account relevant international obligations, national circumstances and laws, and noting that the United Nations General Assembly has adopted the United Nations Declaration on the Rights of Indigenous Peoples**

Key issues	Potentially relevant national PLRs	Potentially relevant international conventions and agreements Source: WRI/ClientEarth (2011)
<ol style="list-style-type: none"> <li>1. Definition/determination of indigenous peoples and local communities</li> <li>2. Recognition and allocation of rights to lands, territories and resources</li> <li>3. Right to compensation and/or other remedies in the case of involuntary resettlement and/or economic displacement</li> <li>4. Right to share in benefits when appropriate</li> <li>5. Right to self-determination</li> <li>6. Right to participate in decision making on issues that may affect them</li> <li>7. Free, prior and informed consent (FPIC)</li> <li>8. Recognition and protection of indigenous peoples' and local communities' traditional knowledge, cultural heritage, intellectual property</li> </ol>	<ul style="list-style-type: none"> <li>• Constitutional rights and national legislation which recognize the rights of indigenous peoples and their specific forms of participation</li> <li>• Policies or legislation protecting indigenous rights and property, including the right to preserve customary and administrative systems and practices.</li> <li>• Legislation, protocols or guidelines on Free, Prior and Informed Consent (FPIC)</li> <li>• Tenure legislation</li> <li>• Land Titles</li> <li>• Legislation on land titling process</li> <li>• Concessions/ licenses</li> <li>• Written permission for indigenous people and communities to live in conservation areas and/or participate in their management</li> </ul>	<ul style="list-style-type: none"> <li>• Nagoya Protocol on Access to Genetic Resources and the Fair and Equitable Sharing of Benefits arising from their Utilization (ABS) to the Convention on Biological Diversity (2010)</li> <li>• Convention on the Protection and Promotion of the Diversity of Cultural Expressions (2005)</li> <li>• United Nations Declaration on the Rights of Indigenous Peoples (UNDRIP) (2007)</li> <li>• Convention on Biological Diversity (CBD) (1992)</li> <li>• Rio Declaration on Environment and Development (1992)</li> <li>• Agenda 21 (1992)</li> <li>• Declaration on the Rights of Persons Belonging to National or Ethnic, Religious or Linguistic Minorities (1992)</li> </ul> <p><b>Core human rights treaties:</b></p> <ul style="list-style-type: none"> <li>• International Convention for the Protection of All Persons from Enforced Disappearance (2010)</li> <li>• Convention on the Rights of Persons with Disabilities (2008)</li> <li>• International Convention on the Protection of the Rights of All Migrant Workers and Members of Their Families (2003)</li> <li>• Convention concerning Indigenous and Tribal Peoples in Independent Countries (ILO No. 169) (1989)</li> <li>• Convention on the Rights of the Child (1989)</li> <li>• Convention against Torture and Other Cruel, Inhuman or Degrading Treatment or Punishment (1987)</li> <li>• Convention on the Elimination of All Forms of Discrimination against Women (1979)</li> <li>• International Covenant on Civil and Political Rights (1976)</li> <li>• International Covenant on Economic, Social and Cultural Rights (1966)</li> <li>• International Convention on the Elimination of All Forms of Racial Discrimination (1965)</li> </ul>

**Safeguard (d) - The full and effective participation of relevant stakeholders, in particular indigenous peoples and local communities [in REDD+ actions]**

Key issues	Potentially relevant national PLRs	Potentially relevant international conventions and agreements Source: WRI/ClientEarth (2011)
<ol style="list-style-type: none"> <li>1. Full and effective participation of relevant stakeholders</li> <li>2. Legitimacy and accountability of bodies representing relevant stakeholders</li> <li>3. Participatory mechanisms or platforms</li> <li>4. Access to justice, grievance mechanisms</li> <li>5. Transparency and accessibility of information related to REDD+ (NB: overlaps with Safeguard (b))</li> </ol>	<ul style="list-style-type: none"> <li>• Constitutional rights and national legislation which recognize the rights of indigenous peoples and their specific forms of participation</li> <li>• Policies or legislation protecting indigenous rights and property, including the right to preserve customary and administrative systems and practices.</li> <li>• Legislation, protocols or guidelines on Free, Prior and Informed Consent (FPIC)</li> <li>• Tenure legislation</li> <li>• Land Titles</li> <li>• Legislation on land titling process</li> <li>• Concessions/ licenses</li> <li>• Written permission for indigenous people and communities to live in conservation areas and/or participate in their management</li> </ul>	<ul style="list-style-type: none"> <li>• Nagoya Protocol on Access to Genetic Resources and the Fair and Equitable Sharing of Benefits arising from their Utilization (ABS) to the Convention on Biological Diversity (2010)</li> <li>• United Nations Declaration on the Rights of Indigenous Peoples (UNDRIP) (2007)</li> <li>• Convention for the Safeguarding of the Intangible Cultural Heritage (2003)</li> <li>• UNESCO Universal Declaration on Cultural Diversity (2001)</li> <li>• UNECE Convention on Access to Information, Public Participation in Decision-making and Access to Justice in Environmental Matters (Aarhus Convention) (1998)</li> <li>• Convention on Biological Diversity (CBD) (1992)</li> <li>• Agenda 21 (1992)</li> <li>• Convention concerning Indigenous and Tribal Peoples in Independent Countries (ILO No. 169) (1989)</li> <li>• Declaration of the United Nations Conference on the Human Environment (Stockholm Declaration) (1972)</li> <li>• UNESCO Convention Concerning the Protection of the World Cultural and Natural Heritage (1972)</li> <li>• International Convention on the Elimination of All Forms of Racial Discrimination (1965)</li> <li>• Universal Declaration of Human Rights (UDHR) (1948)</li> </ul>

*Safeguard (e) - [REDD+] actions are consistent with the conservation of natural forests and biological diversity, ensuring that REDD+ actions are not used for the conversion of natural forests, but are instead used to incentivize the protection and conservation of natural forests and their ecosystem services, and to enhance other social and environmental benefits*

Key issues	Potentially relevant national PLRs	Potentially relevant international conventions and agreements Source: WRI/ClientEarth (2011)
<ol style="list-style-type: none"> <li>1. Definition of natural forest and understanding of the distribution of natural forest</li> <li>2. Understanding the potential impacts of REDD+ policy options on biodiversity and forest ecosystem services.</li> <li>3. Conservation of natural forests; avoiding degradation, or conversion to planted forest (unless as part of forest restoration).</li> <li>4. Management of planted and natural forests to maintain or restore biodiversity and ecosystem services (e.g. soil erosion control, water purity, non-timber forest products).</li> <li>5. Identification and enhancement of social benefits (e.g. improved livelihoods, benefit sharing).</li> <li>6. Conservation of biodiversity outside forest.</li> </ol>	<ul style="list-style-type: none"> <li>• General law on the environment</li> <li>• Natural resource management policy and objectives</li> <li>• Forest Law</li> <li>• Forest management policies and standards</li> <li>• Establishment of community forestry/ community fisheries</li> <li>• Law or policy establishing protected areas</li> <li>• Wildlife law or policy</li> <li>• National Biodiversity Action Plan (NBSAP)</li> <li>• Tenure Law</li> <li>• Land use and zoning plans</li> <li>• Sectoral plans</li> <li>• Energy Strategy</li> <li>• Water statute or policy</li> <li>• Environmental Impact Assessment/ Strategic Environmental Assessment Requirements</li> <li>• Low carbon development strategy</li> <li>• National poverty reduction strategy</li> </ul>	<ul style="list-style-type: none"> <li>• Convention on Biological Diversity (CBD) (1992)</li> <li>• Convention on International Trade in Endangered Species of Wild Fauna and Flora (CITES) (1976)</li> <li>• International Tropical Timber Agreement (ITTA) (1985/2006)</li> <li>• Nagoya Protocol on Access to Genetic Resources and the Fair and Equitable Sharing of Benefits arising from their Utilization (ABS) to the Convention on Biological Diversity (2010)</li> <li>• Non-Legally Binding Authoritative Statement of Principles for a Global Consensus on the Management, Conservation and Sustainable Development of All Types of Forests (Forest Principles) (1992)</li> <li>• Non-Legally Binding Instruments on All Types of Forests (NLBI on Forests) (2007)</li> <li>• International Treaty on Plant Genetic Resources for Food and Agriculture (ITPGRFA) (2001)</li> <li>• WTO/GATT Agreements</li> </ul>

**Safeguard (f) - Actions to address the risks of reversals**

Key issues	Potentially relevant national PLRs	Potentially relevant international conventions and agreements
<ol style="list-style-type: none"> <li>1. Analysis of the risk of reversals of emissions reductions, also referred to as 'non-permanence'.</li> <li>2. National Forest Monitoring System (NFMS) may be designed to detect and provide information on reversals.</li> <li>3. Plausible reference scenarios for REDD+ that give a reasonable indication of the risk of deforestation in the absence of REDD+. If this is underestimated, then REDD+ successes may be at a greater risk of reversal.</li> </ol>	<ul style="list-style-type: none"> <li>• Land use and zoning plans</li> <li>• Forest law</li> <li>• Sectoral plans</li> <li>• National Adaptation Programme of Action (NAPA)</li> <li>• Nationally Appropriate Mitigation Action (NAMA)</li> <li>• National climate policy or legislation</li> <li>• National carbon emission reduction or sequestration goal</li> </ul>	<ul style="list-style-type: none"> <li>• Non-Legally Binding Instruments on All Types of Forests (NLBI on Forests) (2007)</li> <li>• International Tropical Timber Agreement (ITTA) (2006)</li> <li>• Mercosur Framework Agreement on Environment (2004)</li> <li>• Inter-regional Framework Cooperation Agreement between the European Community and its Member States, on the one part, and the Southern Common Market and its Party States on the Other Part (1999)</li> <li>• Regional Convention for the Management and Conservation of the Natural Forest Ecosystems and the Development of Forest Plantations (1993)</li> <li>• Convention on Biological Diversity (CBD) (1992)</li> <li>• Convention for the Protection of the Natural Resources and Environment of the South Pacific Region (1986)</li> <li>• Convention on the Conservation of Migratory Species of Wild Animals (CMS or Bonn Convention) (1979)</li> <li>• Convention on International Trade in Endangered Species of Wild Fauna and Flora (CITES) (1976)</li> <li>• African Convention on the Conservation of Nature and Natural Resources (1968)</li> <li>• International Labour Organisation Convention Concerning Indigenous and Tribal Peoples in Independent Countries (Convention No. 169) (1989)</li> </ul>



**Safeguard (g) - Actions to reduce displacement of emissions**

Key issues	Potentially relevant national PLRs	Potentially relevant international conventions and agreements Source: WRI/ClientEarth (2011)
<ol style="list-style-type: none"> <li>1. Addressing direct and indirect drivers of land-use change.</li> <li>2. Displacement of emissions at the local level (e.g. across REDD+ project boundaries) may result from some REDD+ options.</li> <li>3. Displacement of emissions at the national level (to other locations within the country) may result from some REDD+ options.</li> <li>4. Displacement of emissions at the international level (to other countries) may result from some REDD+ options.</li> <li>5. National Forest Monitoring System (NFMS) may be designed to detect and provide information on displacement at national, sub-national and local levels.</li> </ol>	<ul style="list-style-type: none"> <li>• National carbon emission reduction or sequestration goal</li> <li>• National climate policy or legislation</li> <li>• National adaptation policy</li> <li>• Nationally Appropriate Mitigation Action (NAMA)</li> <li>• Land use and zoning plans</li> <li>• Forest law</li> <li>• Sectoral plans</li> </ul>	<ul style="list-style-type: none"> <li>• International Tropical Timber Agreement (ITTA) (2006)</li> <li>• General Agreement on Tariffs and Trade (1994) / other relevant WTO agreements</li> <li>• United Nations Framework Convention on Climate Change (UNFCCC) (1992)</li> <li>• FLEGT Voluntary Partnership Agreements (VPAs)</li> </ul>

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