

Worksheet 2.1: Safeguard (a) - [REDD+] actions complement or are consistent with the objectives of national forest programmes and relevant international conventions and agreements

Key Issues		
<ul style="list-style-type: none"> • Consistency and complementarities with the objectives of the national forest programme. • Consistency with international commitments on climate; contribution to national climate policy objectives, including those of mitigation and adaptation strategies. • Coordination among agencies and implementing bodies for REDD+, national forest programmes and national policy(ies) that enact the relevant international conventions and agreements. • Consistency with the achievement of the Sustainable Development Goals; contribution to national poverty reduction strategies. • Consistency with international commitments on the environment; contribution to national biodiversity conservation policies (including National Biodiversity Strategies and Action Plans), other environmental and natural resource management policy objectives. • Consistency with the State’s human rights obligations under international law, including the core international human rights treaties and ILO 169, where applicable. • Consistency with other relevant international conventions and agreements. 		
Risk/Benefit Analysis	Yes / No / I don’t know	If yes, which PAM?
<p>Could any of the candidate PAMs:</p> <ul style="list-style-type: none"> • Make a specific contribution to achieving the objectives of the national forest programme? • Make a specific contribution to achieving policy objectives on climate change adaptation or objectives for additional climate change mitigation? • Make a specific contribution to achieving the Sustainable Development Goals or other commitments on poverty reduction? • Make a specific contribution to achieving the objectives of the Convention on Biological Diversity)? <p>Is there a risk of conflict between the candidate PAMS and:</p> <ul style="list-style-type: none"> • 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)? • National poverty reduction or development strategies (e.g. plans for infrastructure development, resource extraction or agricultural expansion)? • Other environmental policy objectives and strategies (e.g. plans for community forests under the national forest programme)? • The State’s human rights obligations under international law, including the nine core international human rights treaties and ILO 169? <p>Could any of the candidate PAMs:</p> <ul style="list-style-type: none"> • Have inequitable or discriminatory adverse impacts on affected populations, particularly people living in poverty or marginalized or excluded individuals or groups? 		

Worksheet 2.1: Safeguard (b) - *Transparent and effective national forest governance structures, taking into account national legislation and sovereignty*

Key Issues		
<ul style="list-style-type: none"> • Access to information • Accountability • Land tenure • Enforcement of the rule of law • 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)) • Gender equality • Coherency of national/subnational legal, policy and regulatory framework for transparent and effective forest governance • Corruption risks • Resource allocation/capacity to meet institutional mandate • Institutional capacity to conduct appropriate data collection and planning for forest management • Participation in decision-making processes (overlaps with Safeguards (c) and (d)) 		
Risk/Benefit Analysis	Yes / No / I don't know	If yes, which PAM?
<p>To be considered for each PAM:</p> <ul style="list-style-type: none"> • Will this PAM lead to improvements in national forest governance structures (e.g. by strengthening institutional capacities, promoting transparency or contributing to enhanced coherency of PLR and institutional frameworks)? • Is it clear how all relevant stakeholders can access information relevant to this PAM? • Will the information relevant to this PAM be presented in a format that all relevant stakeholders will understand? • Are those who will be making decisions about this PAM informed by and representing those that will be impacted (i.e. the stakeholders)? • Will stakeholders participating in this PAM have access to recourse mechanisms? • Will this PAM's implementation affect the clarity or security of land tenure? • Does this PAM have sufficient capacities (financial, human and institutional) to be effectively implemented? • Is there a system in place to monitor the implementation of this PAM against clear, measurable and time-bound targets? • Is there a risk of corruption related to this PAM? <p>Could any of the candidate PAMs:</p> <ul style="list-style-type: none"> • Have potentially inequitable adverse impacts on gender equality and/or the situation of women and girls? • Potentially discriminate against women or other groups based on gender, especially regarding participation in design and implementation or access to opportunities and benefits? • Potentially adversely affect women's and men's ability to use, develop and protect natural resources, taking into account different roles and positions of women and men in accessing environmental goods and services? 		

Worksheet 2.1: 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		
<ul style="list-style-type: none"> • Definition/determination of indigenous peoples and local communities • Recognition of rights to lands, territories and resources • Right to compensation and/or other remedies in the case of involuntary resettlement and/or economic displacement • Right to share in benefits when appropriate • Right to self-determination • Right to participate in decision making on issues that may affect them • Free, prior and informed consent (FPIC) • Recognition and protection of indigenous peoples' and local communities' traditional knowledge, cultural heritage, intellectual property 		
Risk/Benefit Analysis	Yes / No / I don't know	If yes, which PAM?
<p>Could any of the candidate PAMs:</p> <ul style="list-style-type: none"> • Affect the rights, lands and territories of indigenous peoples and/or local communities (regardless of whether Indigenous Peoples possess the legal titles to such areas)? • Involve the utilization and/or commercial development of natural resources on lands and territories claimed by indigenous peoples and/or local communities? • Result in forced eviction or the whole or partial physical displacement of indigenous peoples and/or local communities, including through access restrictions to lands, territories, and resources? • Result in economic displacement of indigenous peoples and/or local communities (e.g. loss of assets or access to resources due to land acquisition or access restrictions – even in the absence of physical relocation)? • Adversely affect the development priorities of indigenous peoples and/or local communities as defined by them? • Affect the traditional livelihoods, physical and cultural survival of indigenous peoples and/or local communities? • Affect the Cultural Heritage of indigenous peoples and/or local communities, including through the commercialization or use of their traditional knowledge and practices? • Result in interventions that would potentially adversely impact sites, structures, or objects with historical, cultural, artistic, traditional or religious values or intangible forms of culture (e.g. knowledge, innovations, practices)? • Affect land tenure arrangements and/or community based property rights/customary rights to land, territories and/or resources? • Discriminate against indigenous peoples and/or local communities regarding participation in design and implementation or access to opportunities and benefits? • Are any of the candidate PAMs particularly suited to promote respect for the knowledge and rights of indigenous peoples and local communities? 		

Worksheet 2.1: Safeguard (d) - *The full and effective participation of relevant stakeholders, in particular indigenous peoples and local communities [in REDD+ actions]*

Key Issues		
<ul style="list-style-type: none"> • Identification of relevant stakeholders - those who may affect, or be affected by, specific REDD+ actions • Legitimacy and accountability of bodies representing relevant stakeholders • Mechanisms or platforms to facilitate participatory processes during design, implementation and monitoring of REDD+ architecture, particularly NS/APs, and associated social and environmental safeguard measures • Functional feedback and grievance redress mechanisms • Recognition and implementation of procedural rights, such as access to information, consultation and participation (including FPIC) and provision of justice • Transparency and accessibility of information related to REDD+ (NB: overlaps with Safeguard (b)) 		
Risk/Benefit Analysis	Yes / No / I don't know	If yes, which PAM?
<ul style="list-style-type: none"> • Could any of the candidate PAMs exclude any affected stakeholder, in particular marginalized groups, from fully participating in decisions that may affect it? • Could any of the candidate PAMs exacerbate conflicts among and/or the risk of violence to project-affected communities and individuals? • Has a process/platform been established for the relevant stakeholders to engage fully and effectively in the design of REDD+ policies and measures both at the level of national or subnational policy and in the design of on-the-ground measures (e.g. in a gender-responsive, culturally sensitive, non-discriminatory and inclusive manner)? • Has a process been established to outline how the government will secure the free, prior and informed consent of relevant rights-holders for REDD+ PAMs that will impact their rights, lands, territories or resources? • Have the relevant stakeholders identified their own representation structures, including representatives? • Have the relevant stakeholders been consulted fully and effectively in the design and agreement of the PAMs? • Has a process been established for those impacted/affected by PAMs to have their complaints heard and addressed? • Has a process been established to ensure the timely dissemination of information about PAMs to relevant stakeholders in an accessible form and language? 		

Worksheet 2.1: 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		
<ul style="list-style-type: none"> • Definition of natural forest (consistent across legal framework, forest reference emission level/forest reference level, NS/AP) and understanding of the spatial distribution of natural forest • Design, prioritisation and implementation of REDD+ actions in a way that avoids or minimises adverse impacts, including through indirect land-use change, on natural forests, carbon stocks, biodiversity and other ecosystem services, both within and outside forests, and that instead promotes their conservation • Design, prioritisation and implementation of REDD+ actions in a way that avoids or minimises adverse social impacts and that promotes and enhances economic and social well-being, with special attention to the most vulnerable and marginalised groups • REDD+ actions are not used for the conversion of natural forest, including conversion from natural to planted forest • Where significant deforestation and forest degradation is ongoing, prioritization of REDD+ actions that incentivize the protection and conservation of natural forests and avoid or minimize degradation of natural forest, over other types of REDD+ actions • Identification and use of opportunities to incentivise enhanced environmental and social benefits through the way REDD+ actions are designed, located and implemented • Promotion of actions that involve the management of planted and natural forests to maintain or restore biodiversity and ecosystem services 		
Risk/Benefit Analysis	Yes / No / I don't know	If yes, which PAM?
<p>Could any of the candidate PAMs:</p> <ul style="list-style-type: none"> • Result in enhanced conservation of biodiversity, natural forests and their ecosystem services by improving the status of areas of biodiversity importance (e.g. through better management of protected areas, or targeting appropriate REDD+ actions in areas of biodiversity importance)? • Result in enhanced conservation of biodiversity, natural forests and their ecosystem services by avoiding soil erosion and maintaining water quality (e.g. through targeted reduction of forest clearance or of intensive logging on steep slopes and riverine forests)? <p>Could any of the candidate PAMs:</p> <ul style="list-style-type: none"> • Pose risks to the conservation of biodiversity, natural forests and their ecosystem services, through conversion (e.g. establishment of plantations in degraded or secondary forest)? • Pose risks to the conservation of biodiversity, natural forests and their ecosystem services, through degradation of biodiversity and ecosystem services (e.g. by intensifying the use of forests leading to increased hunting pressure on vulnerable species)? • Pose risks to biodiversity and ecosystem services outside forests, through displacement of land use change (e.g. new grazing land in other ecosystems rather than in forest)? • Pose risks to biodiversity and ecosystem services outside forests, through unintended impacts on neighbouring lands (e.g. from pesticide drift from intensified agriculture, water abstraction, or fire resulting from forest management)? • Pose risks to biodiversity and ecosystem services outside forests, through afforestation in areas of 		

<p>conservation importance?</p> <ul style="list-style-type: none"> • Pose risks to biodiversity in other countries (e.g. through increased imports of timber or agricultural products to offset reductions in domestic production)? <p>Could any of the candidate PAMs:</p> <ul style="list-style-type: none"> • Improve local communities' access to forest products, such as fuel wood, forest foods and medicinal plants? • Restrict availability, quality of and access to forest products, in particular to local communities? • Enhance communities' capacity to adapt to climate change and hence reduce their vulnerability to climate change? • Provide incentives related to the conservation of natural forests and their ecosystem services (e.g. benefit-sharing, Payments for Ecosystem Services (PES))? • Provide livelihood opportunities for local communities (e.g. development of alternative income generating opportunities that reduce pressures on forests)? • Negatively impact local livelihoods (e.g. through loss of livelihoods due to closures in timber and timber-related industries)? • Conserve forests and forest products of traditional and spiritual importance for indigenous and local communities (e.g. through conservation of sacred sites, medicinal plants)? 		
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Worksheet 2.1: Safeguard (f) - Actions to address the risks of reversals

Key Issues		
<ul style="list-style-type: none"> • Selection and design of REDD+ actions taking into account the risk of reversals; this may involve consideration of the long-term financial and ecological sustainability of planned actions, legal and regulatory frameworks including tenure, support and ownership among stakeholders, and potential changes in environmental conditions and the drivers of deforestation and forest degradation, and the barriers to sustainable management, conservation, enhancement of forest carbon stocks • Design, prioritization and implementation of REDD+ actions that address the underlying and indirect drivers of deforestation and forest degradation, and barriers to sustainable management, conservation, enhancement of forest carbon stocks and land use change rather than only addressing direct drivers at specific locations • Analysis of the risk of reversals of emissions reductions, also referred to as 'non-permanence' • National Forest Monitoring System (NFMS) - including satellite land monitoring system, national forest inventory, greenhouse gas inventory designed, maintained and implemented with the appropriate frequency to detect and provide information on reversals and to perform the functions of monitoring, measuring and reporting results of REDD+ policies and measures, with human resources and technical capacities institutionalized 		
Risk/Benefit Analysis	Yes / No / I don't know	If yes, which PAM?
<p>Could any of the candidate PAMs be vulnerable to:</p> <ul style="list-style-type: none"> • Climate change (e.g. more frequent drought, flooding)? • Wildfire? • Institutional failure? • Projected demographic trends and changing demands on land, including through international trade? • Instability in neighbouring countries (e.g. REDD+ actions in troubled border areas)? • Financial shock? <p>Are any of the candidate PAMs likely to be particularly resilient to these risks?</p>		

Worksheet 2.1: Safeguard (g) - Actions to reduce displacement of emissions

Key Issues		
<ul style="list-style-type: none"> Preparation, endorsement and continuous updating of a NS/AP covering the entire national territory Plan to move towards national scale REDD+ implementation, including all significant REDD+ activities Design, prioritization and implementation of REDD+ actions that address the underlying and indirect drivers of deforestation and forest degradation, and barriers to the conservation, enhancement, and sustainable management of forests, as well as other land-use changes, rather than only addressing direct drivers at specific locations Design, prioritization and implementation of actions to reduce displacement of emissions from specific REDD+ actions at the local, sub-national and national scales, taking into account the potential impacts of REDD+ actions on livelihoods, as well as the demand for and supply of forest and agricultural products Selection and design of REDD+ actions taking into consideration the risk of emissions displacement; displacement risk analysis for the selected REDD+ actions, including risk of emissions displacement to other ecosystems, e.g. through draining of peatlands for agricultural use or displacement of pressures on forests to another region or area NFMS designed, maintained and implemented with the appropriate frequency to detect and provide information on displacement (i.e. to detect land use changes) at national, subnational and local levels, and human resources and technical capacities institutionalized Analysis of possible reasons for displacement of emissions, such as ineffective implementation of REDD+ actions, or REDD+ actions that are not designed to address underlying (local, subnational, national) drivers of deforestation and forest degradation, and the barriers to sustainable management, conservation and enhancement of forest carbon stocks 		
Risk/Benefit Analysis	Yes / No / I don't know	If yes, which PAM?
<ul style="list-style-type: none"> Are there drivers of land-use change and forest degradation that are likely to persist despite REDD+ actions? <p>Could any of the candidate PAMs:</p> <ul style="list-style-type: none"> Result in displacement of land-use change at the local level (e.g. forest protection leading to agricultural conversion of bushland)? Give rise to the displacement of emissions to other ecosystems, e.g. through draining of peatlands for agricultural use or displacement of pressures on forests to another region or area? Give rise to displacement of land-use change within national borders? Give rise to displacement of land-use change across national borders? <p>Are any of the candidate PAMs particularly likely to avoid risks of displacement?</p> <ul style="list-style-type: none"> Is the significance of the carbon storage role of non-forest ecosystems in the country/ region understood (i.e. the extent of damage to the climate from displaced land-use change)? Is the vulnerability of non-forest ecosystems to land-use change understood (e.g. agricultural suitability, accessibility, protection status, potential importance for extractive uses, fragmentation)? 		