Worksheet 3.1: Safeguard (a) - *[REDD+] actions complement or are consistent with the objectives of national forest programmes and relevant international conventions and agreements*

Policy, law and regulation review	Answers/Comments
Does the national REDD+ strategy or action plan refer to, and make use of, the following national laws and policies contributing to the implementation of relevant international conventions and agreements: • National forest programme? • Forest code/Forest law/Forest policy? • Climate change mitigation strategy/policy/NDC? • Climate change adaptation strategy/policy/NDC? • Development policies/national poverty reduction strategies? • Legal instruments related to biodiversity/ecosystem services? • Legal instruments related to protected areas? • Infrastructure development plans? • Agricultural development plans and policies? • Other existing land-use plans? • Registry of mining and logging concessions? • Land tenure? Even if there are no explicit references, is the national REDD+ strategy in line with the aims of these laws and policies? Are there policies, laws, regulations or other measures (e.g. institutional processes) in place (or planned) to: • Explore and enhance complementarities between REDD+ and the national forest programme and relevant international conventions and agreements? • Facilitate coordination and communication between the agencies and actors implementing these national policies and those involved with REDD+?	

Worksheet 3.1: Safeguard (b) - *Transparent and effective national forest governance structures, taking into account national legislation and sovereignty*

Policy, law and regulation review	Answers/Comments
Are there policies, laws, regulations or other measures in place (or planned) to: • Ensure PAMS are designed to support transparent and effective national forest governance structures, and where possible address any known weaknesses? • Provide access to timely, relevant and usable information about PAMs? • Establish information disclosure procedures? • Undertake active dissemination through multiple and appropriate channels? • Educate stakeholders about where to access this information? • Designate focal points within responsible agencies who are accountable for implementing respective PAMs effectively? • Establish organizational decision making structures? • Evaluate the effectiveness of PAMs, in consultation with stakeholders, and release evaluation results on a regular basis? • Include approaches to ensure the accountability of bodies representing stakeholders? • Identify, prevent, and sanction abuses of power and corruption in the implementation of PAMs? • Promote gender equality and the empowerment of women while seeking to reduce gender inequalities throughout the implementation of relevant PAMs? • Facilitate the clarification, recognition and securing of land tenure?	

Worksheet 3.1: 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*

Policy, law and regulation review	Answers/Comments
Are there policies, laws, regulations or other measures in place (or planned) to: • Recognize and foster full respect for indigenous peoples and local communities' human rights, in line with the State's obligations under international law (including their rights to self-determination, their lands, resources and territories, traditional livelihoods and cultures), in the implementation of REDD+ PAMs? • Ensure indigenous peoples and local communities' full and effective participation, with the objective of securing their FPIC where their rights, lands, resources, territories, traditional livelihoods may be affected? • Promote greater control and management by indigenous peoples and local communities over developments affecting them, including their lands, resources and territories? • Avoid adverse impacts on the rights of indigenous peoples and local communities, their lands, resources and territories, to mitigate and remedy residual impacts, and to ensure provision of just and equitable benefits? • Recognize and respect the prohibition on forced evictions of indigenous peoples and local communities? • Anticipate and avoid, or, when avoidance is not possible, minimize adverse social and economic impacts from land or resource acquisition or restrictions on land or resource use? • Enhance or at least restore the livelihoods of all displaced persons and to improve the standards of living of the displaced poor and other displaced groups? • Protect and manage Cultural Heritage? • Conserve Cultural Heritage and avoid its alteration, damage or removal? • Promote the equitable sharing of benefits when benefits are derived from the lands, resources and/or territories of indigenous peoples and/or local communities?	

Worksheet 3.1: Safeguard (d) - *The full and effective participation of relevant stakeholders, in particular indigenous peoples and local communities [in REDD+ actions]*

Policy, law and regulation review	Answers/Comments
Are there policies, laws, regulations or other measures in place (or planned) to: • Ensure meaningful, effective and informed participation of stakeholders in the formulation and implementation of REDD+ PAMs? • Ensure stakeholder analysis and engagement is conducted in a gender-responsive, culturally sensitive, non-discriminatory and inclusive manner, ensuring that potentially affected vulnerable and marginalized groups are identified and provided opportunities to participate? • Ensure the scale and frequency of the engagement reflect the nature of the activity, the magnitude of potential risks and adverse impacts, and concerns raised by affected communities? • Ensure FPIC for activities that may affect the rights and interests, lands, resources, territories and traditional livelihoods of indigenous peoples and local communities? • Ensure that stakeholders who may be adversely affected by REDD+ action(s) can communicate their concerns about the social and environmental performance and impacts through various entry points to do so as needed? • Ensure the selection of representatives by their own constituencies to participate in decision-making about REDD+?	

Worksheet 3.1: 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*

Policy, law and regulation review	Answers/Comments
Relating to natural forests Are there policies, laws, regulations or other measures in place (or planned) to: • Define a natural forest? • Develop and maintain information on the distribution of natural forests and their value for biodiversity and ecosystem services? • Understand drivers of deforestation and forest degradation? • Promote a focus of REDD+ on PAMs that address the drivers of conversion and degradation of natural forests? • Limit conversion and degradation of natural forests (e.g. land use plans, coverage by protected areas, forest management standards and plans, guidance on the use of fire in agriculture)? **Relating to biodiversity** Are there policies, laws, regulations or other measures in place (or planned) to: • Define specific goals or targets for biodiversity conservation (species and/or ecosystems)? • Consider and monitor effects of forest management on biodiversity and ecosystem services? • Ensure that land-use planning takes account of ecosystem services and biodiversity conservation, including outside forest (e.g. contribution of wetlands to flood regulation)? • Promote the design of REDD+ PAMs to support the conservation of biodiversity? • Avoid or minimise adverse impacts of REDD+ on non-forest ecosystems (e.g. existing land use plans, coverage by protected areas, requirements for Environmental Impact Assessment)? • Promote the management of planted and natural forests to maintain or restore biodiversity and ecosystem services? **Relating to other social and environmental benefits** Are there policies, laws, regulations, or other measures in place (or planned) to: • Identify and map the value of ecosystem services to local communities? • Incorporate these values into land-use planning?	

• Define local communities' rights to use ecosystem services? • Improve long-term economic, social and political well-being of indigenous peoples and local communities? • Promote the design of REDD+ PAMs in a way that promotes social and environmental benefits?	

Worksheet 3.1: Safeguard (f) - *Actions to address the risks of reversals*

Policy, law and regulation review	Answers/Comments
Are there policies, laws, regulations or other measures in place (or planned) to: • Improve information on the magnitude, distribution and current trends in carbon stocks? • Identify potential drivers of land use change and forest degradation into the future? • Use concessions to permit or discourage different forest activities? • 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)? • Integrate REDD+ planning with other planning procedures? • Identify and/or respond to new information on the risks of reversals of REDD+ results? • Enable monitoring of reversals of REDD+ results, such as through a National Forest Monitoring System (NFMS)? • Promote the design of REDD+ PAMs to reduce the risk of reversals?	

Worksheet 3.1: Safeguard (g) - *Actions to reduce displacement of emissions*

Policy, law and regulation review	Answers/Comments
Are there policies, laws, regulations or other measures in place (or planned) to: • Identify possible displacement of land use change and/or forest degradation within and across national borders? • Ensure the institutionalisation of human resources and technical capacities necessary, and that the NFMS is 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? • Support the design of REDD+ PAMs to reduce risks of displacement, e.g. by: • Avoiding or minimizing displacement of emissions by enhancing cropland or grazing land areas (e.g. tree planting, agricultural intensification, fertilisation, fodder production)? • Avoiding or minimizing displacement at the local level by development of alternative livelihoods (e.g. payments for ecosystem services (PES) and integrated conservation and development projects (ICDP))? • Provide for bilateral or multilateral cooperation on tackling land-use change across national borders?	