The TREES Concept requests preliminary information about a proposed Participant that demonstrates that the Participant meets the TREES eligibility criteria and provides preliminary information regarding the other requirements under TREES. Participants should complete this form using information and estimates available at the time of submission. The ART Secretariat will review for completeness and conduct a general eligibility screening based on the information provided. The information will not be validated or verified as it is anticipated that the information will likely change during development of the TREES Registration Document (TRD) as more detailed analyses and calculations are conducted.

Please complete the form and submit it to the ART Secretariat through your ART Registry account. Any accompanying documents may be uploaded to the ART Registry account as well.

#### Participant Information

|  |  |
| --- | --- |
| **Entity** | |
| Country | Jurisdiction (if registering as a sub-national Participant) |

|  |  |
| --- | --- |
| **representative Organization and contact information** | |
| Organization name | Mailing address |
| First name    Email address | Last name    Telephone |
| Brief Description of legal authority to represent country or jusrisdiction | |

#### Program Partners

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| Provide a list of any other organizations and individuals who have or will assist in preparing the TREES documentation, including additional government agencies, non-governmental organizations (NGOs), and/or additional technical consultants. |

#### Reference Period and Initial crediting PerioD

|  |  |  |  |
| --- | --- | --- | --- |
| Identify the anticipated dates for the 5-year historical reference period and the initial crediting period. | | | |
| Reference Period | | Crediting Period | |
| mm/dd/yyyy  Start | mm/dd/yyyy  End | mm/dd/yyyy  Start | mm/dd/yyyy  End |

#### Accounting area

|  |  |
| --- | --- |
| Identify whether the proposed accounting area is national or subnational. If a subnational accounting area will be used, list which jurisdiction or jurisdictions are expected to be included. A georeferenced geographic information system (GIS) shape file of the accounting area (subnational or national) boundaries must be submitted along with this document. | |
| Total Hectares (Ha) of forest in accounting area | Percentage (%) of National forest covered by Accounting Area |

#### Eligibility criteria

|  |  |  |
| --- | --- | --- |
| Check the appropriate box below for each criterion to indicate whether the criterion is met or is not applicable. Supporting evidence is expected to be provided in other sections of the TREES Concept and is not required to be duplicated here. However, additional information can be included in the box below if desired. | | |
| criteria met | Not Applicable |  |
|  |  | The TREES Participant is a national government or subnational government no more than one level down from national level. |
|  |  | If a subnational accounting area is proposed by a national government or by a subnational government:   * The boundary of the subnational accounting area corresponds with the entire area of one or several administrative jurisdictions no more than one level down from national level; AND * The accounting area is comprised of a total forest area of at least 2.5 million hectares |
|  |  | If the Participant is a subnational government, the Participant has or will have a letter from the national government authorizing the Participant’s application to and participation in ART. |
|  |  | The Participant or the Participant’s country has included forests in their NDCs. |
|  |  | The Participant or Participant’s country has a system for providing information on safeguards. |
| Provide any additional information regarding the above criteria as needed. | | |

#### Ownership rights to emissions reductions to be issued by ART

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| Provide a brief summary of the Participant’s rights to the ER’s generated from the accounting area or a description of how rights will be obtained in accordance with domestic law including where agreements have been made providing such rights. This may include regulatory frameworks, laws or administrative orders, and agreements for the transfer of ER rights or other arrangements that exist with landowners or project owners. |

#### Safeguards overview

For each indicator below, indicate whether the Participant plans to demonstrate conformance with the indicator during the first verification or if the Participant plans to provide a plan for achieving conformance over the first crediting period.

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| --- | --- | --- |
| **CANCUN SAFEGUARD A** | | |
| **THEME A.1** Consistency with the objectives of national forest programs | | |
| Conformance | Plan for conformance |  |
|  |  | **Structural Indicator:** Domestic legal framework for REDD+ actions is clearly defined and designed in consistency with national and if applicable, subnational, forest policies/programs. |
|  |  | **Process Indicator:** Public institutions have made use of, mandates, procedures and resources to ensure REDD+ actions are integrated into the broader policy framework of the forest sector, and inconsistencies identified and resolved. |
|  |  | **Outcome Indicator:** Implementation of REDD+ actions has been consistent with or complemented the objectives of the national and if applicable, subnational, forest policies/programs. |
| **THEME A.2** Consistency with the objectives of relevant international conventions and agreements | | |
| Conformance | Plan for conformance |  |
|  |  | **Structural Indicator:** Domestic and if applicable, subnational, legal framework for REDD+ actions recognize and promote the application of ratified relevant international conventions and agreements in the context of implementation of REDD+ actions. |
|  |  | **Process Indicator:** Public institutions have made use of mandates, procedures, and resources to ensure REDD+ actions integrate specific measures that recognize and promote the application of ratified relevant international conventions and agreements. |
|  |  | **Outcome Indicator:** Implementation of REDD+ actions has been consistent or has complemented the objectives of identified, ratified and relevant international conventions and agreements. |

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| **CANCUN SAFEGUARD b** | | |
| **THEME B.1** Respect, protect, and fulfill the right of access to information | | |
| Conformance | Plan for conformance |  |
|  |  | **Structural Indicator:** Participants have in place procedures for accessing information in accordance with international human rights standards, and these are anchored in relevant ratified international conventions/agreements and/or domestic and if applicable, subnational, legal framework. |
|  |  | **Process Indicator:** Public institutions have made use of mandates, procedures, and resources to implement relevant ratified international conventions and agreements and/or domestic and if applicable, subnational, legal framework, policies, and programs for accessing information. |
|  |  | **Outcome Indicator:** Public has been aware of and exercised the right to seek and receive official information on the implementation of REDD+ actions, as well as the addressing and respecting of safeguards throughout that implementation. |
| **THEME B.2** Promote transparency and prevention of corruption, including the promotion of anti-corruption measures | | |
| Conformance | Plan for conformance |  |
|  |  | **Structural Indicator:** Participants have in place anti-corruption measures reflecting the principles of rule of law, proper management of public affairs and public property, integrity, transparency, and accountability, and these are anchored in relevant ratified international conventions/agreements and/or domestic and if applicable, subnational, legal framework. |
|  |  | **Process Indicator:** Public institutions have made use of mandates, procedures, and resources to implement relevant ratified international conventions, agreements, and/or domestic and if applicable, subnational, legal frameworks that includes anti-corruption measures reflecting principles of the rule of law, proper management of public affairs and public property, integrity, transparency, and accountability. |
|  |  | **Outcome Indicator:** The distribution of REDD+ benefits related to the implementation of the REDD+ results-based actions have been carried out in a fair, transparent, and accountable manner, as per relevant ratified international conventions, agreements, and/or domestic and if applicable, subnational, legal framework. |
| **THEME B.3** Respect, protect, and fulfill land tenure rights | | |
| Conformance | Plan for conformance |  |
|  |  | **Structural Indicator:** Participants have in place procedures for the recognition, inventorying, mapping, and security of customary and statutory land and resource tenure rights where REDD+ actions are implemented, and these are anchored in relevant ratified international conventions/agreements and/or domestic and if applicable, subnational, legal framework. |
|  |  | **Process Indicator:** Public institutions have made use of mandates, procedures, and resources to implement relevant ratified international conventions, agreements, and/or domestic and if applicable, subnational, legal framework that includes an effective process to recognize, inventory, map, and secure (statutory and customary) rights to lands and resources relevant to the implementation of REDD+ actions. |
|  |  | **Outcome Indicator:** In conformity with relevant ratified international conventions, agreements, and/or domestic and if applicable, subnational, legal framework stakeholders had access to, use of, and control over land and resources; and no involuntary relocation took place without the free, prior, and informed consent (FPIC) of any indigenous peoples and local communities (or equivalent) concerned. |
| **THEME B.4** Respect, protect, and fulfill access to justice | | |
| Conformance | Plan for conformance |  |
|  |  | **Structural Indicator:** Participants have in place procedures for guaranteeing non-discriminatory and non-cost prohibitive access to dispute resolution mechanisms at all relevant levels, and these are anchored in relevant ratified international conventions/agreements and/or domestic and if applicable, subnational, legal framework. |
|  |  | **Process Indicator:** Public institutions have made use of mandates, procedures, and resources to implement relevant ratified international conventions, agreements, and/or domestic legal framework that includes judicial and/or administrative procedures for legal redress, which, inter alia, provide access for indigenous peoples, local communities, or equivalent stakeholders with a recognized legal interest. |
|  |  | **Outcome Indicator:** Resolved disputes, competing claims, and effective recourse and remedies have been provided when there was a violation of rights. |

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| **CANCUN SAFEGUARD c** | | |
| **THEME c.1** Identify indigenous peoples and local communities, or equivalent | | |
| Conformance | Plan for conformance |  |
|  |  | **Structural Indicator:** Participants have in place procedures that require the identification of the distinct identity of indigenous peoples, and local communities, or equivalent, and their respective rights, and these are anchored in relevant ratified international conventions/agreements and/or domestic and if applicable, subnational, legal framework. |
|  |  | **Process Indicator:** Public institutions have made use of mandates, procedures, and resources to implement relevant ratified international conventions, agreements, and/or domestic and if applicable, subnational, legal framework that identify indigenous peoples and/or local communities, or equivalent, and their respective rights. |
|  |  | **Outcome Indicator:** Indigenous peoples and local communities, or equivalent, have been identified and their respective rights and interests have been recognised in the design of REDD+ actions. |
| **THEME C.2** Respect and protect traditional knowledge | | |
| Conformance | Plan for conformance |  |
|  |  | **Structural Indicator:** Relevant ratified international conventions/agreements, and/or domestic and if applicable, subnational, legal framework define, respect, and protect indigenous people’s knowledge and/or local communities’ knowledge. |
|  |  | **Process Indicator:** Public institutions have made use of mandates, procedures, and resources to implement relevant ratified international conventions, agreements, and/or domestic and if applicable, subnational, legal framework that aim to protect the rights of indigenous peoples and/or local communities over their respective traditional knowledge, innovations, and practices. |
|  |  | **Outcome Indicator:** Traditional knowledge of indigenous peoples and/or local communities, or equivalent, has been identified and incorporated in the design and implementation of REDD+ actions. |
| **THEME C.3** Respect, protect, and fulfill rights of indigenous peoples and/or local communities, or equivalent | | |
| Conformance | Plan for conformance |  |
|  |  | **Structural Indicator:** Participants have in place processes that recognize, respect, and protect human rights and fundamental freedoms for its citizens, recognizing the distinct identity and rights of indigenous peoples and/or local communities, or equivalent, in conformity with customary law, institutions, and practices as applicable and these are anchored in relevant ratified international conventions/agreements and/or domestic and if applicable, subnational, legal framework. |
|  |  | **Process Indicator:** Public institutions have made use of mandates, procedures, and resources to implement relevant ratified international conventions, agreements, and/or domestic and if applicable, subnational, legal framework to protect and fulfill the rights of indigenous peoples local communities, or equivalent and guarantee respect for their integrity throughout the implementation of the REDD+ actions. |
|  |  | **Outcome Indicator:** Human rights and fundamental freedoms of indigenous peoples and local communities, or equivalent, have been identified and incorporated in the design and implementation of REDD+ results-based actions. |

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| **CANCUN SAFEGUARD D** | | |
| THEME D.1 Respect, protect, and fulfill the right of all relevant stakeholders to participate fully and effectively in the design and implementation of REDD+ actions | | |
| Conformance | Plan for conformance |  |
|  |  | **Structural Indicator:** Participants have in place procedures that recognize, respect, and protect the right of all relevant stakeholders to participate fully and effectively, including timely access and culturally appropriate information prior to consultations, and these are anchored in relevant ratified international conventions/agreements and/or domestic and if applicable, subnational, legal framework; access is established to recourse mechanisms to ensure the participation process is respected. |
|  |  | **Process Indicator:** Public institutions have made use of mandates, procedures, and resources to implement relevant ratified international conventions, agreements, and/or domestic and if applicable, subnational, legal framework to enable and ensure full, effective and timely participation in the design and implementation of REDD+ actions. |
|  |  | **Outcome Indicator:** Relevant stakeholders have participated fully and effectively in the design and implementation of REDD+ actions. |
| **THEME D.2** Promote adequate participatory procedures for the meaningful participation of indigenous peoples and local communities, or equivalent | | |
| Conformance | Plan for conformance |  |
|  |  | **Structural Indicator:** Relevant ratified international conventions, agreements, and/or domestic legal framework recognizes, respects, and protects the respective rights to participation of indigenous peoples, local communities, or equivalent, through their respective decision-making structures and processes,**[[1]](#footnote-1)** which requires appropriate procedures take place in a climate of mutual trust. |
|  |  | **Process Indicator:** Public institutions have made use of mandates, procedures, and resources to implement relevant ratified international conventions, agreements, and/or domestic and if applicable, subnational, legal framework to ensure, where relevant, the participation of indigenous peoples and/or local communities, or equivalent according their respective rights and decision-making structures and procedures. |
|  |  | **Outcome Indicator:** Planning, coordination, implementation, and evaluation of REDD+ actions were, where relevant, undertaken with the participation of indigenous peoples and/or local communities, or equivalent, including if applicable through FPIC, in accordance with relevant international and/or domestic and if applicable, subnational, legal framework, and in accordance to according their respective rights and decision-making structures and procedures. |

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| **CANCUN SAFEGUARD e** | | |
| **THEME E.1** Non-conversion of natural forests | | |
| Conformance | Plan for conformance |  |
|  |  | **Structural Indicator:** Relevant ratified international conventions, agreements, and/or domestic legal framework consistently define the term natural forests, distinguishing them from plantations and spatial distribution of natural forests is mapped. |
|  |  | **Process Indicator:** Public institutions have made use of mandates, procedures, and resources to implement relevant ratified international conventions, agreements, and/or domestic and if applicable, subnational, legal framework to ensure the design and implementation of REDD+ actions avoids the conversion of natural forests. |
|  |  | **Outcome Indicator:** REDD+ actions did not result in the conversion of natural forests to plantations or other land uses. |
| **THEME E.2** Protect natural forests, biological diversity, and ecosystem services | | |
| Conformance | Plan for conformance |  |
|  |  | **Structural Indicator:** Relevant ratified international conventions, agreements, and/or domestic legal framework identifies priorities for the protection and conservation of natural forest areas, biodiversity, and ecosystem services, to which REDD+ actions could contribute. |
|  |  | **Process Indicator:** Public institutions have made use of mandates, procedures, and resources to implement relevant ratified international conventions, agreements, and/or domestic legal framework to ensure REDD+ actions are designed and implemented with a view to avoiding adverse impacts on natural forest areas, biodiversity, and ecosystem services potentially affected. |
|  |  | **Outcome Indicator:** REDD+ actions promote the protection and maintenance of natural forest areas, biodiversity and ecosystem services. |
| THEME E.3 Enhancement of social and environmental benefits | | |
| Conformance | Plan for conformance |  |
|  |  | **Structural Indicator:** Relevant ratified international conventions, agreements, and/or domestic legal framework regulate the assessment of social and environmental benefits of interventions in those sectors implicated for REDD+ actions. |
|  |  | **Process Indicator:** Public institutions have made use of mandates, procedures, and resources to implement relevant ratified international conventions, agreements, and/or domestic and if applicable, subnational, legal framework to ensure social and environmental benefits are identified and integrated into the design and implementation of REDD+ actions. |
|  |  | **Outcome Indicator:** REDD+ actions have contributed to delivering social and environmental benefits. |

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| **CANCUN SAFEGUARD F** | | |
| **THEME F.1** The risk of reversals is integrated in the design, prioritization, implementation, and periodic assessments of REDD+ polices and measures.[[2]](#footnote-2) | | |
| Conformance | Plan for conformance |  |
|  |  | **Process Indicator:** Public institutions have identified and integrated measures to address the risk of reversals in the design, prioritization, implementation, and periodic assessments of REDD+ actions. |
| No structure or outcome indicators have been developed for Safeguard F as these issues are broadly addressed by requirements in other sections of the Standard. | | |

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| **CANCUN SAFEGUARD G** | | |
| **THEME G.1** The risk of displacement of emissions is integrated in the design, prioritization, implementation, and periodic assessments of REDD+ policies and measures. | | |
| Conformance | Plan for conformance |  |
|  |  | **Process Indicator:** Public institutions have identified and integrated measures to address the risk of displacement of emissions in the design, prioritization, implementation, and periodic assessments of REDD+ actions. |
| No structure or outcome indicators have been developed for Safeguard G as these issues are broadly addressed by requirements in other sections of the Standard. | | |

#### Participation in other programs

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| Disclose any existing REDD+ programs or projects under which some or all of the accounting area may generate credits or payment for performance. |

#### Double Counting

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| Indicate the intended use for ART emission reduction credits, if known. For example, if they will be used for compliance against NDC targets, for transfer to another entity for use, or a combination of both. |
| Provide a preliminary description of the plan and procedures to ensure double counting is avoided per Section 13, TREES Standard. |

1. If the institutions consulted are not considered representative by the people they claim to represent, the consultation may have no legitimacy. “If an appropriate consultation process is not developed with the indigenous and tribal institutions or organizations that are truly representative of the communities affected, the resulting consultations will not comply with the requirements of the Convention” (ILO Governing Body, 282nd session, 2001, GB.282/14/2). [↑](#footnote-ref-1)
2. In accordance and/or complementarity to technical measures and procedures to address reversals included in Section 7 of the Standard. [↑](#footnote-ref-2)