



**ART**  
Architecture for  
REDD+ Transactions

# TREES ENVIRONMENTAL, SOCIAL AND GOVERNANCE SAFEGUARDS GUIDANCE DOCUMENT

*Architecture for REDD+  
Transactions (ART) Program*

AUGUST 2020

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# TREES ENVIRONMENTAL, SOCIAL, AND GOVERNANCE SAFEGUARDS DOCUMENT

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ART Secretariat  
Winrock International  
2121 Crystal Drive, Suite 500  
Arlington, Virginia 22202 USA  
ph +1 703 302 6500

[REDD@Winrock.org](mailto:REDD@Winrock.org)  
[www.ARTREDD.org](http://www.ARTREDD.org)

## ABOUT ARCHITECTURE FOR REDD+ TRANSACTIONS (ART) PROGRAM

The Architecture for REDD+ Transactions (ART) has been developed to achieve the environmental integrity needed for REDD+ emission reductions (ERs) at national and jurisdictional scale. ART provides a credible standard and rigorous process to transparently register, verify, and issue REDD+ emission reduction credits that ensure environmental and social integrity. ART aims to unlock new long-term financial flows to protect and restore forests.

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# 1 PURPOSE OF THIS DOCUMENT

The REDD+ Environmental Excellence Standard (TREES) requires Participants to demonstrate they have implemented REDD+ actions outlined in the REDD+ implementation plan in line with the requirements of TREES ([www.artredd.com/trees](http://www.artredd.com/trees)) (see Box 1).

This document aims to provide an explanation of the themes and guidance on how Participants may demonstrate conformance with, and ART Validation and Verification bodies may evaluate conformance with, TREES safeguards requirements through application of TREES indicators.

## Box 1

Summarized General Safeguard Requirements (See TREES for full requirements)

### TREES Section 3.1.2

- Address and respect the Cancun Safeguards in line with Section 12 outlined below
- Submit a Summary of Information report to the UNFCCC
- Have a system for providing information on safeguards

### TREES Section 12.1-12.4

- Demonstrate all REDD+ actions defined in the REDD+ implementation plan have been implemented in consistency with Cancun Safeguards ensuring activities do no harm
- At the start of the first crediting period, Participants must demonstrate conformance with Cancun Safeguards by reporting against all structure and process indicators. In addition, at the beginning of the first crediting period, Participants must either demonstrate conformance with the outcome indicators or present a plan for achieving conformance with the outcome indicators by the end of the crediting period.
- By the beginning of the second crediting period, Participants must demonstrate conformance with all structure, process and outcome indicators under all themes under each of the Cancun Safeguards.
- Reporting may use the TREES Monitoring report template or other reporting such as the Summary of Information reports as long as all required information on required indicators is included

## 2 OVERVIEW

Each Participant will address and respect the safeguards in the manner appropriate to their circumstances. As a result, different Participants will demonstrate conformance differently. The following guidance, therefore, is not a prescriptive list but is intended to provide additional insight.

A Participant's Summary of Information report and/or Safeguard Information System may be used to provide information on or supporting evidence for any indicator. Additional reports, either internal or external, and data sources are also permitted to be used. ART encourages Participants to engage relevant stakeholders not only in the design and implementation of safeguard actions but also in the monitoring and reporting processes.

## 3 SCOPE OF APPLICATION

The requirements of Section 12 of TREES only apply to REDD+ actions in the specific locations indicated by the Participant in their REDD+ Implementation Plan. Validation or verification of safeguard requirements will not be conducted on any other REDD+ actions or in any other areas.

Where a Participant has defined national safeguards indicators as part of their country approach to safeguards, the Participant may continue to use its own indicators. The Participant will need to map the relationship between the TREES indicators and the national indicators to ensure substantive material equivalence and demonstrate that all TREES safeguards indicators are met through existing national indicators. Where any TREES indicator is not covered by existing national indicators, the Participant will need to document conformance with the TREES indicator. If a Subnational participant has defined its own subnational indicators, the Participant will need to demonstrate how these align with both the national safeguards indicators, if applicable, and the TREES indicators.

## 4 TYPES OF TREES SAFEGUARD INDICATORS

As outlined in TREES, Participants will report on three types of indicators per Safeguard Theme, summarized below.

**Structural Indicators:** demonstrate that relevant governance arrangements (e.g., policies, laws, and institutional arrangements) are in place in the country or applicable jurisdiction(s) to ensure that design and implementation of REDD+ actions is done in line with relevant safeguards theme. These arrangements may be part of the national or subnational legal framework or may be REDD+ specific arrangements.

For the structural indicator for all themes, Participants will need to identify the relevant arrangements and provide a summary of how each is relevant to its REDD+ actions.

**Process Indicators:** demonstrate that appropriate processes, procedures or mechanisms are in place to enact and enforce the arrangements outlined in the Structural indicator.

For the process indicator for all themes, Participants will need to identify the relevant processes, procedures or mechanisms including responsible parties and provide a summary of how each is relevant to its REDD+ actions.

**Outcome Indicators:** demonstrate implementation outcomes for each theme are being monitored.

For the outcome indicator for all themes, Participants will need to identify and describe the selected monitoring parameters including how a successful outcome is defined, monitoring methods to be used and a summary of collected data. If the data analysis does not indicate a successful outcome, a description of how the governance arrangements or supporting processes, procedures or mechanisms (structure or process indicators) will be modified should be included.

It is also anticipated that changes to the design and application of indicators will result from evaluation of outcome monitoring. This is encouraged but should be documented so the changes, and the reasons for them, are transparent.

## 5 VALIDATION AND VERIFICATION

The Validation and Verification process will be conducted in accordance with the TREES Validation and Verification Standard (TVVS, [www.artredd.org/trees/trees-validation-and-verification/](http://www.artredd.org/trees/trees-validation-and-verification/)).

Relevant portions of the TVVS are provided below. These outline the scope of validation and verification as they pertain to the TREES Safeguards requirements including the requirement for stepwise improvement in outcomes, and explain the types of findings, including examples, and how resolutions to nonconformances are achieved.

### Relevant TVVS Excerpts

#### *Section 3.3 Scope of validation*

ESG Safeguards – *The VVB evaluates the indicators as follows:*

- *Structure indicators – The VVB evaluates the description provided in the TREES Registration Document, of the relevant governance arrangements (e.g., policies, laws, and institutional arrangements) that are in place and evaluates whether these can ensure that the implementation of REDD+ actions will be in conformance with the indicator.*
- *Process indicators – The VVB evaluates the description provided in the TREES Registration Document, of relevant institutional mandates, processes, procedures, and/or mechanisms that are in place and enforced and evaluates whether these can ensure that the implementation of REDD+ actions will be in conformance with the indicator.*
- *Outcome indicators – For the first crediting period, the VVB evaluates the description provided in the TREES Registration Document to ensure the TREES Participant*
  - *defines the desired context-specific outcome(s); and*
  - *presents an initial plan for collecting monitoring information that can demonstrate outcomes starting at the end of the first crediting period or sooner**For all subsequent crediting periods, the VVB validates the description provided in the TREES Registration Document to ensure the TREES Participant:*
  - *defines the Participant-defined context-specific outcome(s), including any justified adjustments since previous crediting periods; and*
  - *presents a plan, including any justified adjustments since previous crediting periods, for ongoing collection of monitoring information that will demonstrate stepwise improvements in achieving Participant-defined context-specific outcomes*

#### *Section 3.4 Scope of verification*

ESG Safeguards – *The VVB evaluates the indicators as follows:*

- *Structure indicators – The VVB evaluates whether the evidence provided by a Participant demonstrates that the relevant governance arrangements (e.g., policies, laws, and institutional arrangements) were in place, ensuring that the implementation of REDD+ actions was in conformance with the indicator.*

- *Process indicators – The VVB evaluates whether the evidence provided by a Participant demonstrates that the relevant institutional mandates, processes, procedures, and/or mechanisms were in place and enforced, ensuring that the implementation of REDD+ actions was in conformance with the indicator.*
- *Outcome indicators –*  
*For the first crediting period, the VVB evaluates whether the evidence provided by a Participant*
  - *demonstrates that the initial plan for monitoring the Participant-defined context-specific outcome(s) outlined in the TREES Registration Document has been implemented, fully or in part; or*
  - *demonstrates that the TREES Participant has concluded development of its outcome monitoring plan by the end of the first crediting period and is ready to implement the plan upon commencing the second crediting period.**For all subsequent crediting periods, the VVB evaluates whether the evidence provided by a Participant*
  - *demonstrates that the outcome monitoring plan defined by the TREES Participant is being implemented, together with any identified and justified changes to the monitoring plan originally outlined in the TREES Registration Document; and*
  - *demonstrates that ongoing collection of monitoring information shows stepwise improvements in Participant-defined context-specific outcomes in summarized results reporting*

#### Section 3.6.3.4 Findings

*Findings shall be categorized according to the following structure. When appropriate, multiple related findings arising from the same system or process may be grouped for the TREES Participant to address.*

*Major Nonconformance* – *A nonconformance that:*

- 1. Has a material impact on the ERs claimed by the TREES Participant,*
- 2. Is a systems issue that could result in a material impact on the ERs in the future,*  
*or*
- 3. Is a systemic issue that affects the TREES Participant's ability to conform with the requirements of TREES, including eligibility and safeguards requirements.*

*A major nonconformance must be resolved prior to a positive verification statement being issued by the VVB. All major nonconformances and resolutions must be listed in the validation or verification report.*

*Minor Nonconformance* – *a nonconformance that:*

- 1. Does not have a material impact on the ERs claimed, or*
- 2. Does not represent a systemic failure that would lead to nonconformance with the requirements of TREES including eligibility and safeguards requirements.*

*An example of a minor safeguards nonconformance is a nonconformance with the written procedure or process cited by the TREES Participant where the TREES Participant's*

*implemented safeguards actions and process or procedure still meets the applicable TREES requirement.*

*The TREES Participant must propose a plan for resolving minor nonconformances that includes allocated resources and timeline. Minor nonconformances do not need to be fully resolved prior to the VVB issuing a positive validation or verification statement as long as the VVB approves the plan for resolution. All minor nonconformances and resolutions or planned resolutions must be listed in the validation or verification report. Planned resolutions must be reviewed during the next verification following the proposed completion date. If the TREES Participant is unable to either close the minor nonconformance in the agreed timeframe or provide a satisfactory explanation regarding the delay, the minor nonconformance will be elevated to a major nonconformance.*

*Observation – an issue identified by the audit team that does not have objective evidence to constitute a nonconformance but may lead to one in the future. TREES Participants may respond to these issues or elect not to respond. All observations must be listed in the validation or verification report.*

*Clarification requests – questions used by the audit team to identify and track open issues and requests for information from Participant. Clarification requests do not indicate non-conformance but may lead to one depending on subsequent information provided. These may be optionally used by VVBs to provide transparency in the audit trail and improve communication between the VVB and the TREES Participant. As such, they will not be included in the publicly available validation or verification report. The ART Secretariat may request to see the list of clarification responses.*

#### *Section 3.6.3.5 Resolutions*

*The VVB shall review and either approve or reject resolutions to audit findings proposed or implemented by the TREES Participant based on the type of finding. This may be an iterative process whereby the VVB reviews resolutions multiple times. The review may include requests for additional evidence, clarification requests, submission of revised documentation, and/or a site visit.*

Participants may provide a wide variety of evidence to VVBs for review, including but not limited to:

- TREES Monitoring Report completed for all safeguard indicators with all information contained in the report
- TREES Monitoring Report with links to the Summary of Information Report, SIS, or other reports and data sources where the information is already summarized
- Audit reports or external reviews covering all or some of the information provided

Where a Participant is referencing their national safeguards indicators, information provided should also demonstrate:

- 1) mapping of national safeguards indicators to the TREES indicators, including a description of how those are substantially equivalent
- 2) identification of any TREES indicators that are not covered in the national indicators together with information that demonstrates conformance with each TREES indicator not covered by a national indicator

## 6 GUIDANCE ON INDIVIDUAL INDICATORS

The following safeguard text is taken from TREES Section 12.5. Guidance is provided beneath each theme. In all cases, Participants should develop safeguards approaches that align with their domestic legal framework and any relevant, ratified international agreement or conventions. Subnational Participants should demonstrate their alignment with relevant national safeguards programs where appropriate.

### 12.5.1 Cancun Safeguard A

Actions are complementary or consistent with the objectives of national forest programs and relevant international conventions and agreements

**THEME 1.1** Consistency with the objectives of national forest programs

**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 1.1 Guidance**

**Structural Indicator Guidance:** The Participant should identify and describe the relevant requirements and objectives of the national forest program or policy applicable to the REDD+ actions.

**Process Indicator Guidance:** The Participant should describe the procedures, processes, communications, trainings or other means to ensure relevant organizations and individuals understand the requirements and objectives identified under the structural indicator.

**Outcome Indicator Guidance:** The Participant should define and monitor parameters to demonstrate that implementation of the REDD+ actions align with the requirements of and contribute to the achievement of the national forest program or policy objectives defined in the structural indicator.

**THEME 1.2** Consistency with the objectives of relevant international conventions and agreements.

**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.

### **Theme 1.2 Guidance**

**Structural Indicator Guidance:** The Participant should identify and describe the requirements or objectives of any international conventions or agreements that the Participant or Participant's country has ratified or otherwise agreed to which are relevant to the REDD+ actions.

**Process Indicator Guidance:** The Participant should describe the procedures, processes, communications, trainings or other means to ensure relevant organizations and individuals understand the requirements and objectives identified under the structural indicator.

**Outcome Indicator Guidance:** The Participant should define and monitor parameters to demonstrate that implementation of the REDD+ actions align with the requirements of and contribute to the achievement of the objectives defined in the structural indicator.

## 12.5.2 Cancun Safeguard B

Transparent and effective national forest governance structures, taking into account national legislation and sovereignty

**THEME 2.1** Respect, protect, and fulfill the right of access to information

**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 2.1 Guidance**

**Structural Indicator Guidance:** The Participant should describe the national, subnational or REDD+ specific framework that defines procedures for providing information on the design, implementation and monitoring of REDD+ actions. The Participant should also identify and summarize any relevant requirements regarding access to information resulting from any international conventions or agreements that the Participant or Participant's country has ratified or otherwise agreed to.

**Process Indicator Guidance:** The Participant should describe the programs, processes or other means to ensure implementation of the procedures identified in the structural indicator in line with the identified requirements.

**Outcome Indicator Guidance:** The Participant should define and monitor parameters to demonstrate that relevant stakeholders have been aware of and have exercised their right to access information in line with the requirements identified in the structural indicator.

**THEME 2.2** Promote transparency and prevention of corruption, including the promotion of anti-corruption measures.

**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 2.2 Guidance

Structural Indicator Guidance: The Participant should describe the constitutional, legal, policy and/or governance arrangements related to measures such as financial management to prevent corruption and promote transparency in REDD+ action implementation and benefit distribution. These measures may be directly related to REDD+ or may be part of other applicable frameworks or policies. The Participant should also identify and summarize any relevant requirements resulting from any international conventions or agreements that the Participant or Participant's country has ratified or otherwise agreed to.

Process Indicator Guidance: The Participant should describe the procedures, processes, or other means to ensure the measures identified in the structural indicator are implemented and that the relevant requirements identified will be met.

Outcome Indicator Guidance: The Participant should define and monitor parameters to demonstrate that REDD+ benefits have been distributed in a fair, transparent, and accountable manner and in line with the requirements identified in the structural indicator.

## THEME 2.3 Respect, protect, and fulfill land tenure rights.

**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 2.3 Guidance

Structural Indicator Guidance: The Participant should describe procedures for the recognition, inventorying, mapping, and securing of customary and statutory land and resource tenure rights where REDD+ actions are implemented. These procedures may be directly related to REDD+ or may be part of other applicable frameworks or policies. The Participant should also identify and summarize any relevant requirements resulting from any international conventions or agreements that the Participant or Participant's country has ratified or otherwise agreed to.

**Process Indicator Guidance:** The Participant should describe the processes or other means to ensure the procedures identified in the structure indicator are implemented and any additional relevant requirements identified are met.

**Outcome Indicator Guidance:** The Participant should define and monitor parameters to demonstrate that no involuntary relocation occurred, and that any relocation took place with the FPIC of any indigenous peoples and local communities (or equivalent) concerned. Parameters should also be defined and monitored to demonstrate that stakeholders had access to, use of and control over land and resources in accordance with the requirements identified in the structural and process indicators.

## **THEME 2.4** Respect, protect, and fulfill access to justice.

**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.

### **Theme 2.4 Guidance**

**Structural Indicator Guidance:** The Participant should describe the judicial and/or administrative procedures that are in place for guaranteeing non-discriminatory and non-cost prohibitive access to dispute resolution mechanisms at all relevant levels. The Participant should also identify and summarize any relevant requirements resulting from any international conventions or agreements that the Participant or Participant's country has ratified or otherwise agreed to.

**Process Indicator Guidance:** The Participant should describe the processes or other means to ensure the procedures outlined in the structural indicator have been implemented throughout the design, implementation and monitoring of REDD+ actions and that any additional identified requirements have been met.

**Outcome Indicator Guidance:** The Participant should define and monitor parameters to demonstrate that disputes and competing claims have been resolved, and effective recourse and remedies have been provided for grievances arising from the implementation of REDD+ actions in line with requirements identified in the structural indicator.

## 12.5.3 Cancun 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

**THEME 3.1** Identify indigenous peoples and local communities, or equivalent.

**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 3.1 Guidance

**Structural Indicator Guidance:** The Participant should describe the legal framework or procedures that recognize the distinct identity of indigenous peoples and local communities as legal subjects. The Participant should also identify and summarize any relevant requirements resulting from any international conventions or agreements that the Participant or Participant's country has ratified or otherwise agreed to.

**Process Indicator Guidance:** The Participant should describe the processes or other means to ensure the procedures outlined in the structural indicator have been implemented throughout the design, implementation and monitoring of REDD+ actions and that any additional identified requirements have been met.

**Outcome Indicator Guidance:** The Participant should define and monitor parameters to demonstrate that indigenous peoples and local communities have been identified and their interests were considered in the design, implementation and monitoring of REDD+ actions in line with the requirements identified in the structural indicator.

**THEME 3.2** Respect and protect traditional knowledge.

**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 3.2 Guidance**

**Structural Indicator Guidance:** The Participant should describe how the legal framework or other policies define procedures that promote the respect and protection of traditional knowledge of indigenous peoples and local communities. The Participant should also identify and summarize any relevant requirements resulting from any international conventions or agreements that the Participant or Participant's country has ratified or otherwise agreed to.

**Process Indicator Guidance:** The Participant should describe the processes or other means to ensure the procedures described in the structural indicator are implemented throughout the design, implementation and monitoring of REDD+ actions and that any additional identified requirements identified under the structural indicator have been met.

**Outcome Indicator Guidance:** The Participant should define and monitor parameters to demonstrate that traditional knowledge, innovations, and practices of indigenous peoples and/or local communities has been identified and incorporated into the design and implementation of REDD+ actions with their permission and that any additional identified requirements identified under the structural indicator have been met.

**THEME 3.3** Respect, protect, and fulfill rights of indigenous peoples and/or local communities, or equivalent.

**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.

### Theme 3.3 Guidance

**Structural Indicator Guidance:** The Participant should describe how the legal framework or other policies define procedures or processes for recognizing, respecting, and protecting the rights of indigenous peoples and local communities. The Participant should also identify and summarize any relevant requirements resulting from any international conventions or agreements that the Participant or Participant's country has ratified or otherwise agreed to.

**Process Indicator Guidance:** The Participant should describe the means to ensure the processes or procedures described under the structural indicator are implemented throughout the design and implementation of the REDD+ actions and that any additional requirements identified under the structural indicator are met.

**Outcome Indicator Guidance:** The Participant should define and monitor parameters to demonstrate that the rights of indigenous peoples and local communities have been recognized, respected and protected during the design and implementation of REDD+ actions and that any additional requirements identified under the structural indicator have been met.

## 12.5.4 Cancun Safeguard D

The full and effective participation of relevant stakeholders—in particular indigenous peoples and local communities—in actions referred to in paragraphs 70 and 72 of decision 1/CP.16

**THEME 4.1.** Respect, protect, and fulfill the right of all relevant stakeholders to participate fully and effectively in the design and implementation of REDD+ actions.

**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 4.1 Guidance**

**Structural Indicator Guidance:** The Participant should describe how the legal framework or policies define procedures that recognize, respect and protect the rights of relevant stakeholders to participate fully and effectively in the design, implementation and monitoring of REDD+ actions. These procedures should include means of identifying all relevant stakeholders which may include for example, other government agencies, private landowners, offset project developers, local communities, indigenous peoples. Procedures for ensuring access to recourse mechanisms should align with the procedures under Theme 2.4. The Participant should also identify and summarize any relevant requirements resulting from any international conventions or agreements that the Participant or Participant's country has ratified or otherwise agreed to.

**Process Indicator Guidance:** The Participant should describe the processes or other means to ensure the procedures outlined under the structural indicator are implemented throughout the design and implementation of the REDD+ actions and that any additional requirements identified under the structural indicator are met.

**Outcome Indicator Guidance:** The Participant should define and monitor parameters to demonstrate that relevant stakeholders have participated fully and effectively in the design and implementation of REDD+ actions and that any other requirements identified under the structural indicator have been met.

**THEME 4.2.** Promote adequate participatory procedures for the meaningful participation of indigenous peoples and local communities, or equivalent.

**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, 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.

#### **Theme 4.2 Guidance**

Structural Indicator Guidance: The Participant should describe how the procedures described as part of Theme 4.1 promote full and effective participation of indigenous peoples and local communities in the design, implementation and monitoring of relevant REDD+ actions. The Participant should also identify and summarize any relevant requirements resulting from any international conventions or agreements that the Participant or Participant's country has ratified or otherwise agreed to.

Process Indicator Guidance: The Participant should describe the processes or other means to ensure the procedures outlined under the structural indicator are implemented throughout the design and implementation of the REDD+ actions and that any additional requirements identified under the structural indicator are met.

Outcome Indicator Guidance: The Participant should define and monitor parameters to demonstrate that the design, implementation and monitoring of relevant REDD+ actions were undertaken with the full and effective participation of indigenous peoples and local communities and that any other requirements identified under the structural indicator have been met.

## 12.5.5 Cancun Safeguard E

That actions are consistent with the conservation of natural forests and biological diversity, ensuring that the actions referred to in paragraph 70 of decision 1/CP16 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

#### **THEME 5.1** Non-conversion of natural forests.

**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 5.1 Guidance

Structural Indicator Guidance: The Participant should describe how the legal framework or policies defines the term natural forests, distinguishing them from plantations, and defines procedures for mapping of natural forests. The Participant should also describe any procedures or policies that prohibit the conversion of natural forests as part of REDD+ actions and any relevant requirements resulting from any international conventions or agreements that the Participant or Participant's country has ratified or otherwise agreed to.

Process Indicator Guidance: The Participant should describe the processes or other means to ensure the procedures outlined under the structural indicator are implemented and any additional requirements identified are met.

Outcome Indicator Guidance: The Participant should define and monitor parameters to demonstrate that REDD+ actions did not result in the conversion of natural forests.

## THEME 5.2 Protect natural forests, biological diversity, and ecosystem services.

**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 5.2 Guidance

Structural Indicator Guidance: The Participant should describe the legal framework or policies that identify priorities for the protection and conservation of natural forest areas, biodiversity, and ecosystem services which REDD+ actions could support. The Participant should also describe any relevant requirements resulting from any international conventions or agreements that the Participant or Participant's country has ratified or otherwise agreed to.

Process Indicator Guidance: The Participant should describe the procedures, processes, or other means to ensure that REDD+ actions are designed, implemented and monitored in a manner that incentivizes protection and conservation of the natural forest areas, biodiversity, and ecosystem services identified as priorities under the structural indicator.

**Outcome Indicator Guidance:** The Participant should define and monitor parameters to demonstrate that the REDD+ actions helped maintain the identified priority areas and that any additional requirements were met.

### **THEME 5.3** Enhancement of social and environmental benefits.

**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.

### **Theme 5.3 Guidance**

**Structural Indicator Guidance:** The governance arrangements and/or policies of the Participant should identify priorities for the enhancement of social and environmental benefits to which the planned REDD+ actions can contribute. For example, links could be drawn between forests and a country's Sustainable Development Goals (SDGs) in order to highlight the role of forest conservation and sustainable management practices for poverty reduction, food and water security and social and environmental climate adaptation needs and priorities as defined in national forest programmes and other sustainable development plans and priorities.

**Process Indicator Guidance:** The Participant should describe the procedures, processes, or other means to ensure the priorities outlined in the structural indicator are considered during the design, implementation and monitoring of REDD+ actions.

**Outcome Indicator Guidance:** The Participant should define and monitor parameters to demonstrate that REDD+ actions will deliver or have delivered the social and environmental benefits in alignment with the priorities identified in the structural indicator.

## 12.5.6 Cancun Safeguard F

### Actions to address the risks of reversals

**THEME 6.1** The risk of reversals is integrated in the design, prioritization, implementation, and periodic assessments of REDD+ policies and measures.

**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.

### **Theme 6.1 Guidance**

**Process Indicator Guidance:** The Participant should describe the processes in place to ensure full and effective implementation of any applicable regulations, policies, procedures or other measures requiring the risk of reversals to be addressed when designing, implementing and monitoring REDD+ actions.

## 12.5.7 Cancun Safeguard G

### Actions to reduce displacement of emissions

**THEME 7.1** The risk of displacement of emissions is integrated in the design, prioritization, implementation, and periodic assessments of REDD+ policies and measures.

**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.

### **Theme 7.1 Guidance**

**Process Indicator Guidance:** The Participant should describe the processes in place to ensure full and effective implementation of any applicable regulations, policies, procedures or other mandates requiring the risk of displacement of emissions to be addressed when designing, implementing and monitoring REDD+ actions.