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

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

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| **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

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| Identify the anticipated dates for the 5-year historical reference period and the initial crediting period.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

#### Accounting area

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| Identify whether the proposed accounting area is national or subnational. If a subnational accounting area will be used, list which jurisdiction(s) and/or recognized Indigenous Peoples territory(ies) are expected to be included.       |
| Total Hectares (Ha) of forest in accounting area      | Percentage (%) of National forest covered by Accounting Area      |

#### Eligibility criteria

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| 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 and Removals to be issued By ART

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| Provide a brief summary of the Participant’s rights to the ERR’s generated from the accounting area (regulatory frameworks, laws or administrative orders) or a description of how rights will be obtained in accordance with domestic law. It may not necessary for the Participant to establish or enact new legislation or a legal framework to address carbon rights. However, the Participant must explain how, under existing constitutional or legal frameworks, carbon rights and/or related intangible property interests, are established and addressed. This explanation should include how such carbon rights and/or intangible property interests would be established, the legal basis for creating such rights and interests, and how claims to such rights from private parties, Indigenous Peoples or subnational entities will be resolved (consistent with applicable UNFCCC Cancun Safeguards and Section 12.0 herein). To address the latter, the Participant must describe any agreements in place or that will be in place, for the transfer of TREES rights or benefit allocation arrangements with landowners / resource rights holders that exist between the Participant and project owners, landowners and/or other collective rights holders (including indigenous peoples and other traditional communities). TREES will only be issued that have demonstrated clear ownership or rights. Participants may provide this demonstration at a later date, within the same crediting period or during a subsequent crediting period (provided the crediting periods are adjacent).       |

#### 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 five years after joining ART.

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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 or policy (or national REDD+ strategy or action plan) 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 designed and implemented in consistency with the broader legal or policy framework of the forest sector, and inconsistencies are identified and resolved. |
| [ ]  | [ ]  | **Outcome Indicator:** Design and implementation of REDD+ actions have 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 or policy (or national REDD+ strategy or action plan) for REDD+ actions recognize and promote the application of ratified relevant international conventions and agreements in the context of design and implementation of REDD+ actions. |
| [ ]  | [ ]  | **Process Indicator:** Public institutions have made use of mandates, procedures, and resources to design and implement REDD+ actions that recognize and promote the application of ratified relevant international conventions and agreements. |
| [ ]  | [ ]  | **Outcome Indicator:** Design and implementation of REDD+ actions have been consistent with 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 a legal framework, policies and/or programs for accessing information related to REDD+ actions 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 for accessing information related to REDD+ actions in line with relevant ratified international conventions and agreements and/or domestic and if applicable, subnational, legal framework, policies, and programs for accessing information. |
| [ ]  | [ ]  | Outcome Indicator: The public has been aware of and exercised the right to seek and receive official information on REDD+ actions, as well as on how safeguards have been addressed and respected. |
| **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 and measures to promote transparency 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 apply anti-corruption measures and measures to promote transparency in the implementation of REDD+ actions and the distribution of REDD+ benefits, according to relevant ratified international conventions, agreements, and/or domestic and if applicable, subnational, legal frameworks; the measures should reflect 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 a legal framework, policies or programs 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 recognize, inventory, map, and secure statutory and customary rights to lands and resources relevant to the implementation of REDD+ actions in line with relevant ratified international conventions, agreements, and/or domestic and if applicable, subnational, legal framework. |
| [ ]  | [ ]  | Outcome Indicator: Stakeholders had access to, use of, and control over land and resources in line with relevant ratified international conventions, agreements, and/or domestic and if applicable, subnational, legal framework, 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 facilitate access to dispute resolution mechanisms for stakeholders involved in the implementation of REDD+ actions including 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, grievance, dispute or claim related to the implementation of REDD+ actions. |

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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 a legal framework, policies or procedures for the identification or self-identification of indigenous peoples, and local communities, or equivalent, and for the respect of their 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 respect the rights of the indigenous peoples and local communities, or equivalent in the design and implementation of REDD+ actions, according to relevant ratified international conventions, agreements, and/or domestic and if applicable, subnational, legal framework.  |
| [ ]  | [ ]  | **Outcome Indicator:** Indigenous peoples and local communities, or equivalent, have been identified and their respective rights have been respected in the design and implementation 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, and provide guidance for respecting and protecting indigenous people’s knowledge and/or local communities’ knowledge. |
| [ ]  | [ ]  | **Process Indicator:** Public institutions have made use of mandates, procedures, and resources to respect and protect indigenous peoples and/or local communities traditional knowledge in the implementation of REDD+ actions, in line with relevant ratified international conventions, agreements, and/or domestic and if applicable, subnational, legal framework. |
| [ ]  | [ ]  | **Outcome Indicator:** Traditional knowledge of indigenous peoples and/or local communities, or equivalent, has been respected and protected in the design and implementation of REDD+ actions where permission for its use has been granted. |
| **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 legal framework, policies or programs to respect, protect and fulfill human rights of indigenous peoples and 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 respect, protect and fulfil rights of indigenous peoples local communities, or equivalent throughout the implementation of the REDD+ actions, according to relevant ratified international conventions, agreements, and/or domestic and if applicable, subnational, legal framework. |
| [ ]  | [ ]  | Outcome Indicator: Rights of indigenous peoples and local communities, or equivalent, have been identified and respected, protected and fulfilled in the design and implementation of REDD+ 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 legal frameworks, policies or programs to respect, protect and fulfill 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 respect, protect and fulfill the right to full, effective and timely participation in the design and implementation of REDD+ actions, as indicated in relevant ratified international conventions, agreements, and/or domestic and if applicable, subnational, legal framework. |
| [ ]  | [ ]  | **Outcome Indicator:** Relevant stakeholders have participated fully, effectively and timely 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,13F[[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 promote the meaningful participation of indigenous peoples and local communities, or equivalent in the design, implementation and periodic assessments of REDD+ actions, according to their respective rights and decision-making structures and processes and to the relevant ratified international conventions, agreements, and/or domestic and if applicable, subnational, legal framework. |
| [ ]  | [ ]  | **Outcome Indicator:** Design, implementation, and periodic assessments 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 with their respective rights and decision-making structures and processes. |

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| **CANCUN SAFEGUARD e** |
| **THEME E.1** Non-conversion of natural forests and other natural ecosystems. |
| Conformance | Plan for conformance |  |
| [ ]  | [ ]  | **Structural Indicator:** Relevant domestic legal framework, policies and programs consistently define the term natural forests and other natural ecosystems, distinguishing them from plantations, describe the process for mapping the spatial distribution of natural forests and other natural ecosystems, and policies or procedures are in place prohibiting the conversion of natural forests and other natural ecosystems as part of REDD+ actions. |
| [ ]  | [ ]  | **Process Indicator:** Public institutions have made use of mandates, procedures, and resources to ensure the design and implementation of REDD+ actions considers information of spatial distribution of natural forests and other natural ecosystems and avoids the conversion of these forests and other natural ecosystems, in line with relevant ratified international conventions, agreements, and/or domestic and if applicable, subnational, legal framework, policies and programs. |
| [ ]  | [ ]  | **Outcome Indicator:** REDD+ actions were designed and implemented avoiding the conversion of natural forests and other natural ecosystems 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 or policies identify priorities for the protection and conservation of natural forest areas and natural ecosystems, biodiversity, and ecosystem services, to which REDD+ actions could contribute. |
| [ ]  | [ ]  | **Process Indicator:** Public institutions have made use of mandates, procedures, and resources to protect and avoid adverse impacts on natural forest areas and natural ecosystems, biodiversity, and ecosystem services in the design and implementation of REDD+ actions, according to relevant ratified international conventions, agreements, and/or domestic legal frameworks, policies and programs. |
| [ ]  | [ ]  | **Outcome Indicator:** REDD+ actions have promoted the protection of natural forest and other natural ecosystem 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, policies and programs regulate the assessment of potential social and environmental benefits of REDD+ actions. |
| [ ]  | [ ]  | **Process Indicator:** Public institutions have made use of mandates, procedures, and resources to assess social and environmental benefits of REDD+ actions and to promote the enhancement of these benefits in the implementation of these actions, according to relevant ratified international conventions, agreements, and/or domestic and if applicable, subnational, legal frameworks, policies and programs. |
| [ ]  | [ ]  | Outcome Indicator: REDD+ actions have contributed to enhancing 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)