



**ART**  
Architecture for  
REDD+ Transactions

# Overview of TREES 2.0 and Safeguards for Jurisdictions

November 2022

# Webinar Logistics

- To ask questions:
  - Type questions into 'Chat' box near bottom of your webinar pane.
  - Questions can be submitted at any time during the webinar.
- Webinar will be recorded and posted to:  
[www.artredd.org](http://www.artredd.org)

# Outline

- Overview of TREES 2.0
- Safeguards requirements in TREES 2.0
- Validation and Verification

# Overview of TREES 2.0

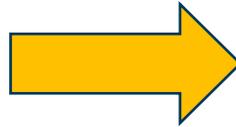
# ART's Purpose

- Promote the environmental and social integrity and ambition of carbon emission reductions from the forest and land use sector
- Recognize forest countries that deliver high quality REDD+ emission reductions

# Jurisdictional REDD+ Approaches Ensure Integrity and Scale

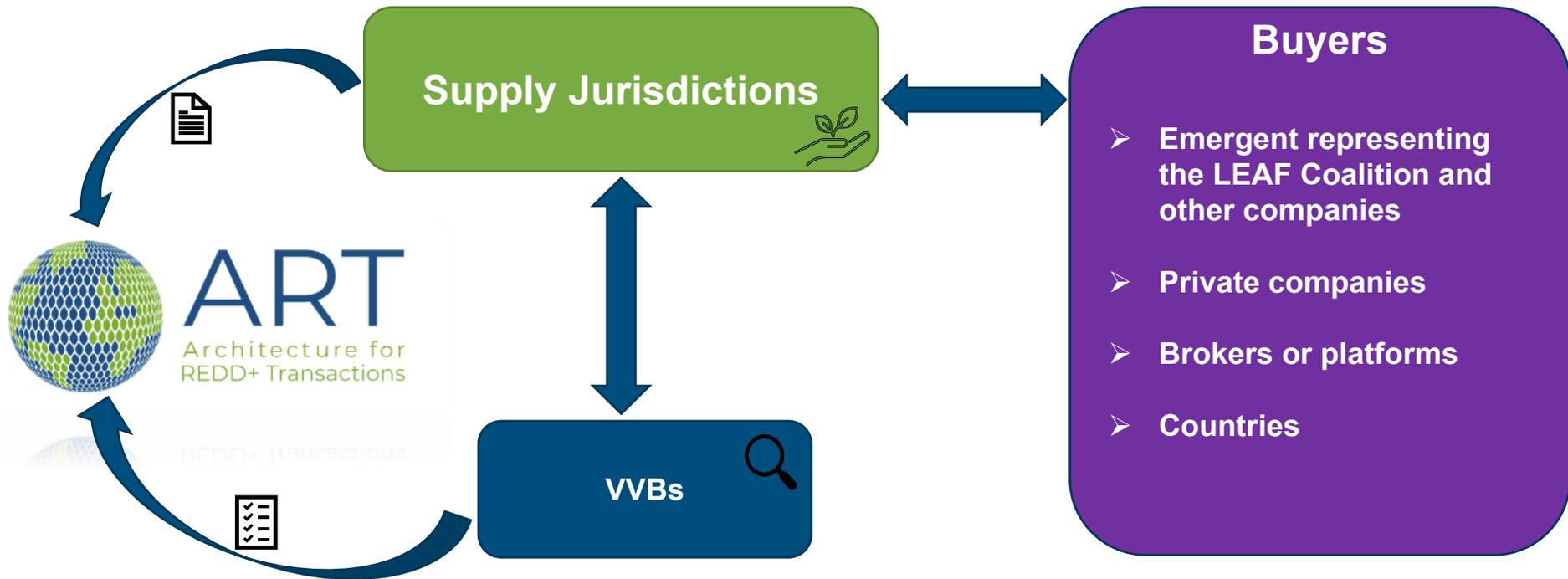


**From small forest projects ...**



**... to entire jurisdictions.**

# Roles in the Carbon Market



# ART Participants

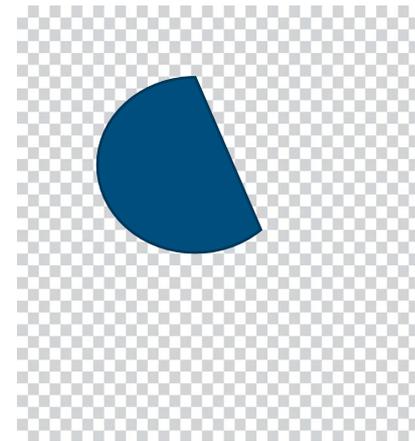
**1)** Country registers national area = any size



**2)** Country registers subnational area (includes IP territories and/or subnational jurisdictions)  $\geq 2.5$  mill has of forest



**3)** Subnational government = 100% Area  $\geq 2.5$  mill has of forest



Subnational areas only allowed until 31st December 2030.

# Three crediting approaches under TREES

## Emission reductions

- **TREES** crediting approach for jurisdictions reducing deforestation and degradation
- **HFLD** crediting approach for jurisdictions with high forest cover and low deforestation rates.

## Removals

- Non forests that transition to forests (plantations or natural restoration)

# QUESTIONS

# Safeguard requirements in TREES

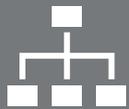
# Safeguards in TREES

- Requirements unpack the Cancun Safeguards into themes and indicators
- Framework allows jurisdictions to
  - build on their existing safeguards systems
  - design and implement programs that reflect their unique circumstances

# Safeguard themes and indicators



TREES outlines 16 themes of the Cancun Safeguards



Each theme has three indicators:

**Structure**  
**Process**  
**Outcome**



The review of the safeguards elements is equally important to the review of the carbon accounting elements.

# Structure Indicators

- Demonstrate that relevant governance arrangements are in place to ensure that design and implementation of REDD+ actions is done in line with relevant safeguards theme
- Arrangements may be part of the national or subnational legal framework or may be REDD+ specific arrangements
- In reporting: 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
- In reporting: 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

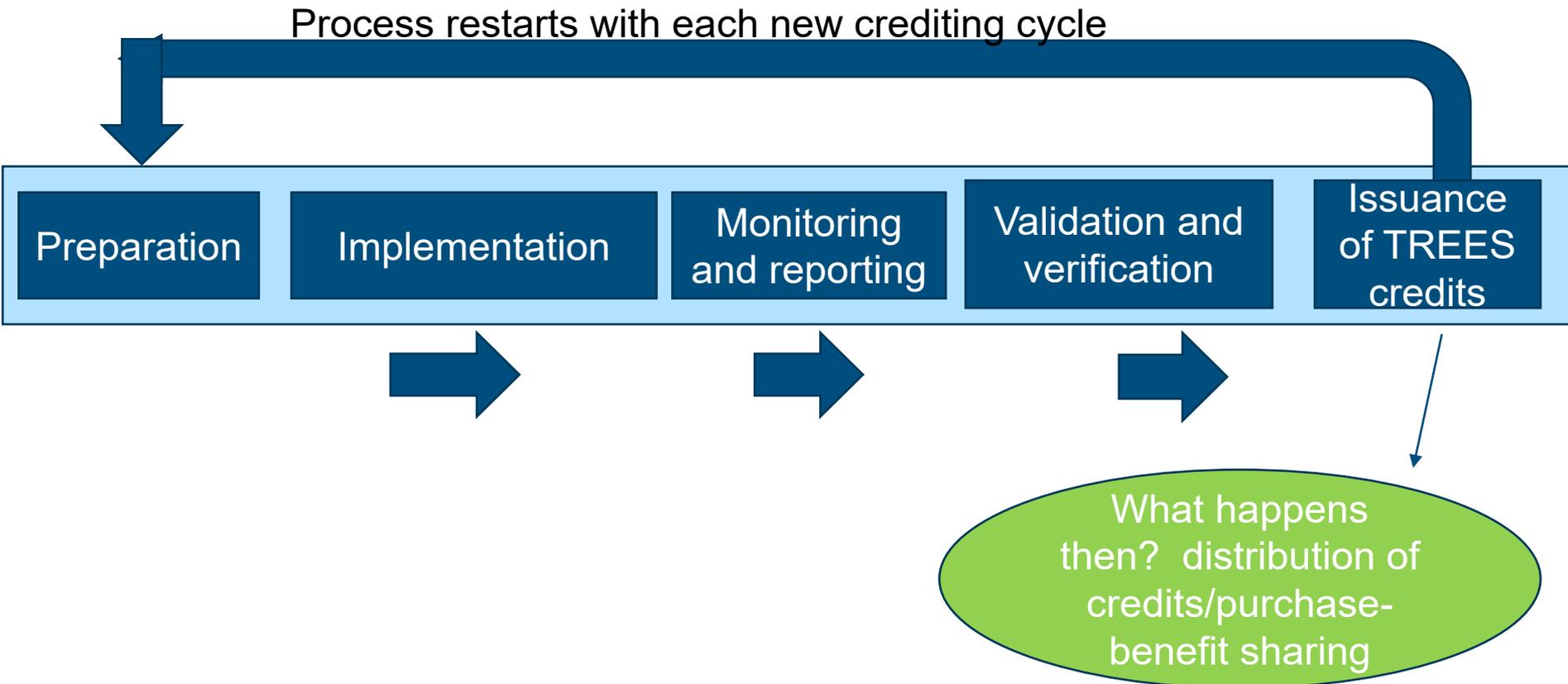
- Demonstrate implementation outcomes for each theme are being monitored
- In reporting, identify and describe:
  - selected monitoring parameters including how a successful outcome is defined
  - monitoring methods to be used
  - a summary of collected data
- Note - if the data analysis does not indicate a successful outcome, a description of how the structure or process indicators will be modified should be included

# Conformance with the Safeguards

- In the first crediting period, participating jurisdictions must conform to all structure and process indicators
- They must also either conform with or provide a plan for conforming with the outcome indicators

**No Credits will be issued if the jurisdiction cannot demonstrate conformance with the safeguards**

# Safeguards through ART's Process



# Reporting on Safeguards

- Participants report to ART on safeguard conformance with:
  - TREES Registration Document
  - TREES Monitoring Report
    - delivered before each verification
- Also required to:
  - Submit a Summary of Information report to the UNFCCC
  - Have a digital or analog system for providing information on safeguards

# TREES Safeguards and UNFCCC Reporting

- Jurisdictions may use the TREES templates to report on safeguards, or
- Jurisdictions may reference their Summary of Information reports that they submit to the UNFCCC
- Alternative reports may also be acceptable
- Reporting must explain how the jurisdiction meets the requirements of each indicator however

# National vs. Subnational

- TREES and the TREES Safeguards Guidance document outline modifications to the requirements for subnational governments
  - Consistency with national safeguards if they exist
  - Submit a summary of safeguards information to the appropriate national government entity
  - Tracking system for safeguards data

# QUESTIONS

# Cancun Safeguards

- A. Consistency with the objectives of national forest programs and international agreements
- B. Transparent and effective national forest governance structures.
- C. Respect for the knowledge and rights of indigenous peoples and members of local communities
- D. Full and effective participation
- E. Consistency with the conservation of natural forests and biological diversity
- F. Actions to address the risks of reversals
- G. Actions to reduce displacement of emissions (leakage)

# A. Consistency with the objectives of national forest programs and international agreements

- TREES Themes:
  - 1.1 Consistency with objectives of national policy programs
  - 1.2 Consistency with the objectives of relevant international conventions and agreements

# B. Transparent and effective national forest governance structures

- TREES Themes:
  - 2.1 Respect, protect, and fulfill the right of access to information
  - 2.2 Promote transparency and prevent corruption, including through the promotion of anti-corruption measures
  - 2.3 Respect, protect, and fulfill land tenure rights
  - 2.4 Respect, protect, and fulfill access to justice

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

- Structure: describe the national, subnational or REDD+ specific framework that defines procedures for providing information on the design, implementation and monitoring of REDD+ activities
- Process: describe the programs, processes or other means to ensure implementation of the procedures identified
- Outcome: define and monitor parameters to demonstrate that relevant stakeholders have been aware of and have exercised their right to access information

## 2.2 Promote transparency and prevent corruption, including through the promotion of anti-corruption measures

- Structure: describe the arrangements related to measures such as financial management to prevent corruption and promote transparency in REDD+ action implementation and benefit distribution.
- Process: describe the means to ensure the measures identified are implemented and that the relevant requirements identified will be met
- Outcome: define and monitor parameters to demonstrate that REDD+ benefits have been distributed in a fair, transparent, gender equitable, and accountable manner

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

- Structure: describe procedures for the recognition, inventorying, mapping, and securing of customary and statutory land and resource tenure rights where REDD+ actions are implemented
- Process: describe the processes or other means to ensure the procedures identified in the structure indicator are implemented
- Outcome:
  - define and monitor parameters to demonstrate that no involuntary relocation occurred, and that any relocation took place only with FPIC
  - demonstrate that stakeholders had access to, use of and control over land and resources

## 2.4 Respect, protect, and fulfill access to justice

- Structure: 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
- Process: describe the processes or other means to ensure the procedures outlined in the structural indicator have been implemented
- Outcome: define and monitor parameters to demonstrate that disputes and competing claims have been resolved, and effective and culturally appropriate recourse and remedies have been provided when appropriate

# C. Respect for the knowledge and rights of indigenous peoples and members of local communities

- TREES Themes:
  - 3.1 Identify indigenous peoples and local communities, or equivalent
  - 3.2 Respect and protect traditional Knowledge
  - 3.3 Respect, protect and fulfill rights of indigenous peoples and/or local communities or equivalent

# Indicators Theme 3.3

Type Of Indicator	Indicator	Example
Structure	Laws, polices, programs to respect and protect human rights of IP	Legislation on IP rights, ratified IP conventions
Process	Public institutions use mandates procedures and resources to protect and fulfill rights of IP	Budgets, personnel, and equipment of institutions dedicated to protection of IP rights
Outcome	Parameters to evaluate whether rights of IP have been identified, respected and protected in REDD+ actions	Number of grievances filed

# D. Full and effective participation

- TREES Themes:
  - 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
  - 4.2. Promote adequate participatory procedures for the meaningful participation of indigenous peoples and local communities, or equivalent

# Indicators Theme 4.1

Type Of Indicator	Indicator	Example
Structure	Laws, policies or programs to respect, protect and fulfill the right of all relevant stakeholders to participate	Legislation, policies, or procedures for stakeholder participation in REDD+ design, implementation and monitoring
Process	Mandates, procedures, and resources for full, effective, and timely participation in REDD+ actions	Specific resources (personnel, budgets, materials) dedicated to these efforts
Outcome	Relevant stakeholders have participated fully, effectively and timely in REDD+ actions	Parameters measuring participation of marginalized groups in the processes

# E. Consistency with the conservation of natural forests and biodiversity

- TREES Themes:
  - 5.1 Non-conversion of natural forests and other natural ecosystems
  - 5.2 Protect natural forests and other natural ecosystems, biological diversity, and ecosystem services
  - 5.3 Enhancement of social and environmental benefits

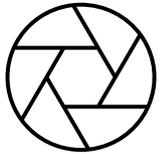
# Safeguards F and G

- 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
- G. Actions to reduce displacement of emissions (leakage)
  - Theme 7.1 The risk of displacement of emissions is integrated in the design, prioritization, implementation, and periodic assessments of REDD+ policies and measures

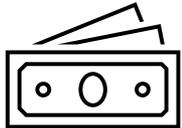
# Cross Cutting Issues

- Gender equality and empowerment of women
- Free, Prior and Informed Consent (FPIC)
- Benefit sharing mechanisms

# Benefit sharing options



Distribute TREES credits transferring them to stakeholders' ART Registry accounts so they can negotiate sales independently



Distribute money from the government following the sale of TREES credits based on carbon contribution



Distribute payments for EcoServices or other non-carbon related monetary benefits



Distribute non-monetary benefits (infrastructure, land titles, others)

# QUESTIONS

# Validation and Verification

# Public Comments

- In addition to the mandatory consultations that Participants must carry out, ART publishes all documents in ART Registry and receives comments from interested parties
- All the comments received are incorporated into the validation and verification process.

# Validation and Verification

- Validation and Verification is required following calendar year 1 of each crediting period
- Verification is required after calendar years 3 and 5 of each crediting period
  - Optional after years 2 and 4
- Validation and Verification Bodies shall be accredited for validation and verification by an accreditation body that is a member of the International Accreditation Forum (IAF) and approved by ART

# What does an Auditor Check?

- Does the information contained in the reports shows the Participant meets the requirements of TREES?
- Is the information contained in the reports accurate and complete?
  - Review evidence
  - Conduct interviews

# How do they decide what to review?

- Initial assessment of risk based on information in reports and public comments
  - Where information isn't clear
  - Areas which have significant impact on results
  - Comments from stakeholders regarding what has gone well and where they are concerned
- Constantly update to reflect new information obtained
- Interviews may be selected at random and based on which stakeholders were involved in various processes
  - Usually interview different stakeholders each verification

# What types of evidence might they look at?

- Examples of carbon evidence
  - Handwritten forest data collection sheets
  - Remote sensing images and analyses
  - Procedures for training employees and reviewing their work
- Examples of safeguards evidence
  - Consultation materials, sign-in sheets and meeting minutes
  - Records relating to land tenure and titling processes

# VVB Oversight

- Accreditation body conducts ongoing reviews and audits
- Secretariat members observe the audit process
- Secretariat reviews the validation and verification reports
- ART Board conducts final check prior to approving issuance of credits



# Thank you

[REDD@winrock.org](mailto:REDD@winrock.org)