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FIRST DRAFT

Preliminary review of safeguards for REDD+ in Cambodia

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Authors. This report was written by **Moeko Saito-Jensen** from UNDP Cambodia, and **Nguon Pheakkdey** from the REDD+ Taskforce Secretariat. [Toc377556392](#)Chapter 5 (gap analyses between global safeguards and existing policies, laws, regulations in Cambodia) had a major contribution from a team that was formed to carry out works for this report. Members of the team included **Moeko Saito-Jensen** and **Ouch Kemly** from UNDP Cambodia, **Chhun Delux** and **Nguon Pheakkdey** from the REDD+ Taskforce Secretariat, and **Naomi Matsue** and **Ches Sopheap** from CAM-REDD+. Chapter 6 (lessons from Cambodia) had a major contribution from **Chhun Delux** and **Nguon Pheakkdey** from the REDD+ Taskforce Secretariat, who conducted field work in two REDD+ pilot sites in Cambodia to compile information on safeguards applications and their lessons.

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Abbreviations and acronyms

AFOLU	Agriculture, Forestry and Other Land Use
APD	Avoided Planned Deforestation
APD+CIW	Avoided Planned Deforestation and Wetland Conservation
APD+RWE	Avoided Planned Deforestation Plus Wetland Restoration
ARR	Afforestation, Reforestation and Revegetation
ARR+RWE	Afforestation, Reforestation and Revegetation Plus Wetland Restoration
AUD	Avoided Unplanned Deforestation
AUD+RWE	Avoided Unplanned Deforestation Plus Wetland Restoration
AUDD	Avoided Unplanned Degradation
AUDD+CIW	Avoided Unplanned Degradation and Wetland conservation
AUDD+RWE	Avoided Unplanned Degradation Plus Wetland restoration
BeRT	Benefit and Risks Tool
CBD	Convention on Biological Diversity
CCBA	Climate, Community and Biodiversity Alliance
CCBS	Climate, Community and Biodiversity Standards
CCCSP	Cambodia Climate Change Strategic Plan
CDA	Children's Development Association
CLEC	Community Legal Education Centre
CO ₂	Carbon Dioxide
COP	Conference of the Parties
CPA	Community Protected Area
CRDT	Cambodia Rural Development Team
CSOs	Civil Society Organizations
Danida	Danish International Development Agency
DKN	National Forestry Council
EIA	Environmental Impact Assessment
ELC	Economic Land Concession
ERA	Extended rotation age
ESMF	Environmental and Social Management Framework
FA	Forestry Administration
FCMC	Forest Carbon Markets and Communities
FCPF	Forest Carbon Partnership Facility
FIA	Fishery Administration
FPIC	Free, Prior and Informed Consent
FSC	Forest Stewardship Council
GHG	Greenhouse Gas
IFM	Improved Forest Management
IFM+CIW	Improved Forest Management and Wetland Conservation
IFM+RWE	Improved Forest Management Plus Wetland
LtHP	Low Productive to High-Productive Forest
LtPF	Logged to Protected Forest
M&E	Monitoring & Evaluation
MARD	Ministry of Agriculture and Rural Development
MCF	Monks Community Forestry
MDG	Millennium Development Goal
MLMUPC	Ministry of Land Management, Urban Planning, and Construction

MoE	Ministry of Environment
NAPA	National Adaptation Program of Action to Climate Change
Nat. Bio.	National Biodiversity
NBSAP	National Biodiversity Strategy and Action Plan
NEP	National Environmental Policy
NFP	National Forest Programme
NGO	Non-Government Organization
NPRS	National Poverty Reduction Strategy
NSDP	National Strategic Development Plan
NTFP	Non Timber forest Products
PA	Protect Area
PDD	Project Design Document
PES	Payments for Environmental Services
PF	Protection Forest
PLRs	Policies, Laws and Regulations
RBS	Rights-Safeguard Principles in Law
REDD	Reduced Emissions from Deforestation and Forest Degradation
REDD+	Reduced Emissions from Deforestation and Forest Degradation and includes the role of conservation, sustainable management of forests and enhancement of forest carbon stocks
REDD+SES	REDD+ Social& Environmental Standards
RGC	Royal Government of Cambodia
RIL	Reduced Impact Logging
SEPC	Social and Environmental Principles and Criteria
SES	Social and Environmental Standards
SESA	Strategic Environmental and Social Assessment
ToR	Term of Reference
UNDP	The United National Development Programme
UNFCCC	The United Nations Framework Convention on Climate Change
UN-REDD	The United Nations Collaborative Programme on Reducing Emissions from Deforestation and Forest Degradation
VCS	Verified Carbon Standard
WCS	Wildlife Conservation Society

Executive summary

Background

REDD+ (reducing emissions from deforestation and forest degradation in developing countries; and the role of conservation, sustainable management of forests and enhancement of forest carbon stocks in developing countries) is a recent global initiative to tackle climate change. According to seven decisions that were adopted under the Warsaw Framework on REDD+ at COP19 in 2013, developing countries including Cambodia should establish national safeguards for REDD+ activities to be able to participate in the United Nations Framework Convention on Climate Change (UNFCCC) REDD+ mechanism.

Commented [U2]: Could you let me know which decisions this is referring to.

Purpose

This technical report aims to provide the Royal Government of Cambodia (RGC) and relevant stakeholders with information that is required for making decisions for developing a national approach to REDD+ safeguards. Its specific objective is to provide information on:

- Social and environmental risks of REDD+ and key rationales for safeguards (chapter 2)
- UNFCCC guidelines for safeguards (chapter 3)
- Key safeguard systems at the global level (chapter 4)
- Gaps between global safeguards and existing policies, laws and regulations in Cambodia (chapter 5)
- Lessons learned from the development and application of key existing safeguard systems in Cambodia (chapter 6)

Key findings

Social and environmental risks of REDD+ and key rationales for safeguards

- There are social and environmental risks associated with REDD+. **Social risks** mainly refer to adverse impacts on the Indigenous Peoples and local communities who reside within and near forests. **Environmental risks** refer to negative effects from conversion of natural forests on existing biodiversity and ecosystem and risks of reversals and displacement.
- The main goals of REDD+ safeguards are to ensure that REDD+ would deliver “do no harm” risks and “do good” outcomes. “Do good outcomes” refer to activities that will provide co-benefits such as improved forest governance, secure tenure and job creation and improved ecosystem services and biodiversity. To “do no harm”, safeguards, at minimum, are expected to avoid, eliminate or minimize the negative social and environmental impacts of REDD+.

Commented [U3]: I prefer to refer to “potential” risks.

UNFCCC guidelines for safeguards

- According to the UNFCCC decisions, such as Cancun Agreements (2010) and Durban Guidance (2011), all participating countries should meet seven REDD+ safeguard principles (in order to address and mitigate social and environmental risks) and should develop a safeguard information system (SIS) to provide information on how safeguards are addressed and respected in their countries.

Commented [U4]: As much as possible I suggest to use COP text, which is that “safeguards should be promoted and supported”.

Commented [U5]: I believe the Cancun Agreement only refers to a “system”. The Warsaw text is as follows:

should provide a summary of information on how all of the safeguards referred to in decision 1/CP.16, appendix I, are being addressed and respected throughout the implementation of the activities;

Key safeguard systems at the global level

To apply safeguard principles proposed under the UNFCCC, different safeguard systems have emerged at the global level. These include:

1. UN-REDD: Social and Environmental Principles and Criteria (SEPC)
2. World Bank FCPF: Strategic Environmental and Social Assessment (SESA)
3. The Climate, Community and Biodiversity Alliance (CCBA) and CARE International: REDD+ Social and Environmental Standards (SES)
4. Verified Carbon Standard (VCS)

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4.5. Climate, Community and Biodiversity Standards (CCBS)

4.6. Plan Vivo

While the first three safeguards systems were developed for a national-level REDD+, the latter three were established for project-level REDD+. This report provides detail analyses of the first three safeguards systems.

- This section presented key social, environmental and procedural elements/principles included within SEPC (UN-REDD), SESA (World Bank), and SES (CCBA & Care International) as compared with UNFCCC safeguards. By and large, the three proposed systems for national safeguards address seven key UNFCCC safeguard principles. But none of these safeguards systems cover a complete set of the UNFCCC principles. There are also differences in the kinds and degrees of concrete measures that each safeguard system requires for a national safeguard system.

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Gaps between global safeguards and existing policies, laws and regulations in Cambodia

- This section included an analysis to identify gaps between *globally proposed safeguard measures* (UNFCCC, SEPC, SESA, and SES) and existing safeguard measures in Cambodia. The section includes a review of existing policies, laws and regulations (PLRs) developed under the Forestry Administration (FA), the Ministry of Environment (MoE), the Fishery Administration (FiA), and the Ministry of Land Management, Urban Planning, and Construction.
- There are already numerous safeguard measures that exist under the four sectors, which cover minimum level of safeguards for social and environmental risks. However, there are also numerous gaps between existing PLRs in Cambodia and many of the safeguard measures proposed globally. Particular gaps are observed for kinds of safeguards that are specific to REDD+ environmental risks such as those against the risk of conversion of natural forests, reversals and displacement as well as to REDD+ social risks in particular the issues of carbon rights, benefit sharing and grievance mechanism.

Lessons learned from the development and application of key existing safeguard systems in Cambodia

- This section drew lessons from two REDD+ pilot projects in Cambodia, namely, Oddar Meanchey project and the Seima Protection Forest project for the application of social and environmental safeguards.
- Both projects conducted social and environmental impact assessments and adopted concrete measures to identify and mitigate any negative social and environmental risks. For example, both sought to apply a Free, Prior and Informed Consent (FPIC) approach to ensure that relevant stakeholders are well informed about the project and its activities. Stakeholders, in particular local and indigenous communities, were asked if they would support the development of a REDD+ project in their areas. Several key lessons are drawn: 1) clarifying land tenure is an important strategy for REDD+ but requires time and financial resources; 2) raising expectation about REDD+ payment is risky as it may discourage/demotivate communities to engage in REDD+ unless substantial financial incentives are provided in a timely manner; and, 3) there is a need for further works on FPIC in order to raise awareness amongst all community members about REDD+ and the agreements that were made among different actors. Also, further works is are required for monitoring the impacts of REDD+ on existing ecosystems and biodiversity.

Recommendations for developing a national safeguard system

- A national safeguards strategy should be kept simple and clear to be implementable. At the same time, it is important to go beyond a minimalistic approach that only meets the minimal level of

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safeguards. However, the strategy should aim to address a full range of social and environmental risks at a maximally possible level.

- The RGC in consultation with stakeholders need to consider and select kinds of principles, measures and levels proposed by these systems that are applicable and suitable for the context of Cambodia with considerations of lessons learned from pilot projects.
- If additional new safeguard measures need to be developed, there is a need for the RGC in consultation with stakeholders to consider and identify options for how to fill in the present gaps between existing PLRs.–

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1. Background

1.1. REDD+ and safeguards

In December 2010, the 16th Conference of the Parties (COP16) of the United Nations Framework Convention on Climate Change (UNFCCC) was held in Mexico. COP 16 negotiations resulted in the adoption of the Cancun Agreements that explicitly stated that “climate change represents an urgent and potentially irreversible threat to human societies and the planet, thus requires to be urgently addressed by all Parties” (UNFCCC 2010). As one of key climate change mitigation strategies, the need for developing country parties to implement REDD+ was emphasized in the agreements (*ibid.*).

REDD+ stands for “reducing emissions from deforestation and forest degradation in developing countries; and the role of conservation, sustainable management of forests and enhancement of forest carbon stocks in developing countries”. The main goal of REDD+ is to ~~reduce~~ prevent forest degradation and deforestation, and to promote forest conservation through offering results-based payments as financial incentives to developing countries and their actors (Angel-Hesen et al. 2012; Nguon and Kulakowski 2013). Thus, developing countries shall receive financial incentives according to the volume of reduced emissions and/or enhanced carbon stocks from the efforts to improve their forest management.

Such offer of financial incentives has attracted the attention of many developing countries. Today, according to the Center for International Forestry Research (CIFOR, 2012), more than 40 developing countries have received supports from either – or both – the UN-REDD Programme and the World Bank’s Forest Carbon Partnership Facility (FCPF).

~~However, serious concerns~~ have been raised that REDD+ may exclude the rural forest-dependent poor people from policy making and benefit sharing and even drive them away from forests. It is estimated that in developing countries, millions of the rural poor including indigenous peoples depend on forests for their subsistence and income (World Bank 2012). Since most of them lack forest tenure, they are likely to face challenges in claiming their rights for customary territories. REDD+ may also trigger an interest in states, commercial actors, and landowners to appropriate their customary forests and monopolize REDD+ benefits without consulting and including indigenous and local communities. Furthermore, REDD+ may induce heavy restrictions or bans over local access to and use of forests for the very aim of carbon sequestration. This in turn may negatively impact those who rely on regular collection of forest resources such as fuel wood and Non Timber Forest Products (NTFP) for their livelihoods.

Aside from these social risks, REDD+ ~~may posit the environmental risk of causing~~ adverse impacts on forests that provide vital ecosystem services such as supply of clean water, prevention of soil erosion, and ~~con~~ preservation of biodiversity. For instance, REDD+ may promote the conversion of natural forests into mono-culture plantation forests, which may damage the function and quality of ecosystem services as well as the loss of ~~existing~~ biodiversity. The effort of arresting deforestation and forest degradation in one area may also result in shifting pressure of deforestation and forest degradation ~~to~~ other areas (*risk of displacement*). Moreover, the areas improved and protected under REDD+ for instance, through

Commented [U9]: This outdated and many countries have also received support through other means. I suggest to remove the paragraph. It is not important for this document.

Commented [U10]: You list quite a few concerns, but provide no sources.

Commented [U11]: In addition, and especially in Cambodia, there are many migrants who do not hold customary rights.

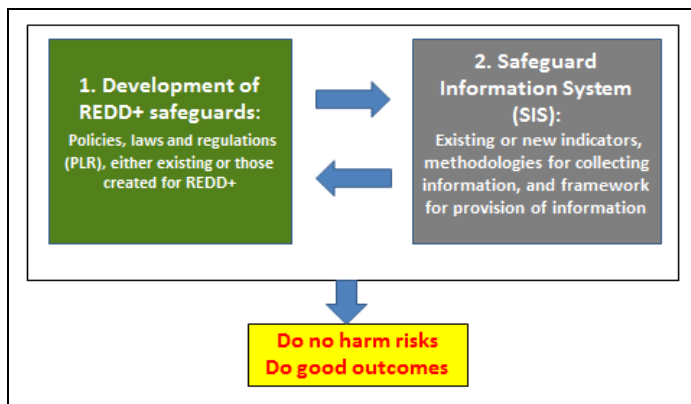
afforestation activities, may be deforested and degraded in the future after carbon accounting and accreditation is completed (*risk of reversals*).

To address these potential risks and to ensure that important social and environmental co-benefits associated with the implementation of REDD+ are realized, the UNFCCC adopted two major decisions related to safeguards, namely Cancun Agreements at COP 16 in 2010 and Durban Guidance adopted at COP 17, in 2011. Thus, participating countries including Cambodia should develop a set of safeguard measures that correspond with seven safeguard principles adopted under the Cancun Agreements. They should also establish a safeguard information system (SIS) to inform the UNFCCC on how safeguards have been addressed and respected in accordance with the Durban Guidance. Hence, the UNFCCC defines REDD+ safeguards and information system as two crucial components for a national safeguard system and as a pre-requisite for REDD+ implementation and result-based payment.

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Commented [U13]: In figure 1, you call it approach. May I suggest avoiding switching between system, approach and strategy. I believe that it will confuse the reader and further work.

Figure 1. Two elements of a national approach to safeguards



Besides the UNFCCC safeguards, other multilateral and bilateral organizations and project-based REDD+ activities have also developed their own set of safeguards requirements for REDD+ activities they financially support. For example, the UN-REDD Programme and the World Bank's FCPF introduced Social and Environmental Principles and Criteria (SEPC) and Strategic Environmental and Social Assessment (SESA), respectively as their own guiding safeguard frameworks. The Climate, Community and Biodiversity Alliance and CARE International (comprised of NGOs and the private sector) proposed REDD+ Social and Environmental Standards (SES) to be applied for REDD+ initiatives. A number of project based and voluntary safeguard measures have been developed, applied and tested for pilot projects that are being implemented in many parts of the world, including Cambodia. These measures include those of the Verified Carbon Standard (VCS), the Climate, Community and Biodiversity Alliance (CCBA), and Plan Vivo.

Commented [U14]: Most actually do not financially support them.

1.2. REDD+ in Cambodia

Cambodia has been classified as a country with “high forest cover”, and “high deforestation rate”. According to FAO's Forest Resource Assessment (2010), Cambodia has approximately 10.1 million ha of forest, constituting 57% of the total land area. During recent decades Cambodia has experienced high rates of deforestation, for instance, 1.2 % per year between 2005 and 2010 (FAO 2010).

The RGC recognizes REDD+ as a crucial strategy to tackle the alarming rates of deforestation and forest degradation in the country. The RGC has made a decision to follow the three-phased approach for REDD+ proposed under the UNFCCC. These phases include 1) readiness, 2) implementation and 3) results-based payment. Presently, the RGC is in the first phase, i.e. the readiness phase, which entails four major activities: 1) establishment of institutional structure for REDD+ implementation; 2) development of a national REDD+ policy that includes policy decisions on mechanisms and measures to be used for benefit sharing and safeguards; 3) testing REDD+ initiatives through pilot projects and sub-national activities; and 4) establishment of a Measuring, Reporting and Verification (MRV) and monitoring system.

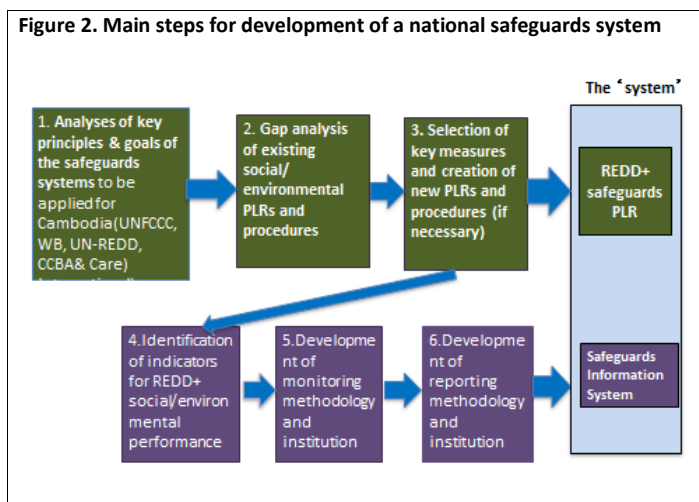
In accordance with the UNFCCC decisions, Cambodia should also define its own national REDD+ safeguards and develop an information system to be eligible for global payments. Proposed safeguards and information system should take into consideration their national circumstances and existing policies, laws, and regulations (PLRs) and international agreements and commitments. In doing so, it is therefore crucial to: 1) analyse and identify key principles and goals of the global safeguards systems that can be applicable in the context of Cambodia; 2) analyse gaps between these measures and existing PLRs in Cambodia; and 3) select key measures and/or create new PLRs if necessary for REDD+ safeguards for Cambodia (see Figure 2).

Commented [U15]: This is different from the text in Cancun Agreements. Please provide a source for this text. I am not aware of the development of a national REDD+ policy.

Commented [U16]: I would be very careful with using such terminology. I do not know all the texts, but the Cancun Agreements make no reference to "payments". Also, the text refers to "promoting and supporting safeguards".

Commented [U17]: What are "global safeguard systems"? You mean the ones currently promoted or in use.

Commented [U18]: What do you mean by "key measures".



1.3. Objective of this report

This report paper therefore aims to provide the RGC and other stakeholders with technical information that is required for making decisions on a national approach to REDD+ safeguards. Although it is the next logical step, recommendation for development of information system is beyond the scope of the report. The specific objectives of this technical report are to review:

- Social and environmental risks of REDD+ and key rationales for safeguards (chapter 2)
- UNFCCC guidelines for safeguards and guidance (chapter 3)
- Key safeguard systems at the global level (chapter 4)
- Gaps between global safeguards and existing policies, laws and regulations in Cambodia (chapter 5)
- Lessons learned from the development and application of key existing safeguard systems in Cambodia (chapter 6)

Based on the results of the analyses, this report will make key recommendations for the RGC and stakeholders to consider in developing a national approach to REDD+ safeguards.

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1 Introducing safeguards

In the UNFCCC context, the term “safeguards” has been used to refer to measures to avoid or mitigate negative impacts of REDD+ and to enhance social and environmental co-benefits.

1.1 Why are safeguards needed for REDD+?

REDD+ safeguards are mainly to address the following social and environmental concerns.

Social concerns: In developing countries, millions of rural indigenous peoples depend on forest resources for subsistence and income (World Bank 2012). Yet, their rights to access, own, manage, and use forest resources have received limited legal recognition ~~from states~~ in many of these countries. Thus, there are social risks that REDD+ may adversely affect their forest-based livelihoods as follow:

- **Social risk 1: Adverse impacts on the livelihoods of indigenous peoples and local communities;**
 - Restriction and ban on their current use of forests: REDD+ may induce stringent measures and controls over forests in order to sequester forest carbon and thus may (further) restrict and prohibit the current use of forests by indigenous peoples and forest dependent communities.
 - Involuntary resettlement of IPs and local communities from their forests: In the worst case, they may lose customary access to forests and may even be forced to move out from the forests they presently settle in.
- **Social risk 2: Exclusion and further marginalization of indigenous peoples and local communities (especially those who are most vulnerable) in decision making and benefit sharing;**
 - REDD+ may exclude indigenous peoples and local communities in decision making and benefit sharing. Even if they are included in decision making and benefit distribution, elite capture may occur where wealthy and powerful members among them monopolize decision-making power and REDD+ benefits. In consequence, the socially vulnerable people such as the poorest of the poor, people of lower classes, and women may be excluded and further marginalized under REDD+.

Environmental concerns: forests provide important ecosystem services such as supply of clean water, prevention of soil erosion, and preservation of biodiversity (Millennium Ecosystem Assessment 2003). Main environmental risks that could happen through the implementation of REDD+ include:

- **Environmental risk 1: conversion of natural forests**
 - REDD+ may promote the conservation of natural forests into mono-culture planted forests, ~~with which may have~~ adverse impacts on existing ecosystem services and biodiversity.
- **Environmental risk 2: displacement (of pressure to outside REDD+ areas)**
 - The effort of arresting deforestation and forest degradation in one area may shift such pressure to forests located outside the REDD+ areas. For example, if REDD+ introduces restrictions over the use of a particular forest, those who used to use the forest for their livelihoods may exploit the forests in other areas.
- **Environmental risk 3: reversals**
 - A risk of reversals refers to a possibility that the areas protected and treated under REDD+ will be deforested and degraded in the future after carbon accounting and accreditation is completed. This risk relates to the issue of permanence, i.e., ensuring the volume of forest carbon stock to be maintained (without being lost) permanently after the carbon payment is made.

Commented [U22]: Why switch fonts. See previous section.

Commented [U23]: By whom? Would be good to provide some sources.

Commented [U24]: Very few of these people have forest-based livelihoods. Most are in the first instance farmers.

Commented [U25]: This would be the correct terminology. In the text above you refer to “indigenous and local communities”.

Commented [U26]: Why switch to another terminology?

Commented [U27]: The Cancun safeguards make no reference to benefit sharing. Instead it refers only to the “full and effective participation of relevant stakeholders, in particular, indigenous peoples and local communities”.

1.2 What do safeguards for REDD+ aim to achieve?

To address these social and environmental risks under REDD+, safeguards have been developed to achieve the following two main goals:

“DO NO HARM” risks (Forest Carbon Markets and Communities 2012): safeguards are expected at **minimum** to avoid, eliminate or minimize the potential negative social and environmental impacts of REDD+.

“DO GOOD” outcomes (Forest Carbon Markets and Communities 2012): in addition to the “do no harm” approach, safeguards are envisaged to provide **co-benefits**. Co-benefits generally refer to additional benefits, beyond carbon, including improved forest governance, securing and clarification of customary tenure rights for local forest dependent peoples, creation of new job opportunities and improved ecosystem services and biodiversity.

Also, without appropriate safeguards in place, a participating country like Cambodia will not be able to access to international funding under the UNFCCC REDD+. In other words, having appropriate sets of safeguards in place is likely to leverage the chance of a country to be able to access to a significant-pool of funding under REDD+.

Commented [U28]: It is currently questionable whether the pool will have any significant size.

2 UNFCCC guidelines for safeguards

At present, two UNFCCC guidelines, namely Cancun Agreements and Durban Guidance, provide important criteria and procedures for all countries to follow in implementing REDD+ initiatives.

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Cancun Agreements adopted at COP 16 in 2010 in Mexico lay out key decisions about what measures the system of safeguards should entail (see Table 1 for original texts).

Table 1. Cancun Agreements Decision 1/CP.16 (Annex I)

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When undertaking the activities referred to in paragraph 70¹ of this decision, the following safeguards should be promoted and supported:

- a. ~~That~~ actions complement or are consistent with the objectives of **national forest programmes** and relevant **international conventions and agreements**;
- a-b. Transparent and effective **national forest governance structures**, taking into account national legislation and sovereignty;
- a-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;
- a-d. **The full and effective participation of relevant stakeholders**, in particular indigenous peoples and local communities, in the actions referred to in paragraphs 70 and 72 of this decision;
- a-e. That actions are consistent with the **conservation of natural forests and biological diversity**, ensuring that the actions referred to in paragraph 70 of this decision 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;
- a-f. Actions to address the **risks of reversals**
- a-g. Actions to reduce **displacement of emissions**.

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Durban Guidance adopted at COP 17, in 2011 provides guidance for how to provide information on how safeguards are addressed and respected ~~by each country~~ (see Table 2 for original texts).

Table 2. Durban Guidance Decision 12/CP.17

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*Decision 12/CP.17 agrees that systems for providing information on how the safeguards referred to in appendix I to decision 1/CP.16 are addressed and respected should, taking into account **national circumstances and respective capabilities**, and recognizing **national sovereignty and legislation**, and relevant **international obligations and agreements**, and respecting **gender considerations**:*

- a. Be consistent with the guidance identified in decision 1/CP.16, appendix I

¹ Paragraph 70. *Encourages* developing country Parties to contribute to mitigation actions in the forest sector by undertaking the following activities, as deemed appropriate by each Party and in accordance with their respective capabilities and national circumstances: (a) Reducing emissions from deforestation; (b) Reducing emissions from forest degradation; (c) Conservation of forest carbon stocks; (d) Sustainable management of forests; and (e) Enhancement of forest carbon stocks;

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- a-b. Provide transparent and consistent information that is accessible by all relevant stakeholders and updated on a regular basis;
- a-c. Be transparent and flexible to allow for improvements over time
- a-d. Provide information on how all of the safeguards are being addressed and respected;
- a-e. Be country-driven and implemented at the national level;
- a-f. Build upon existing systems, as appropriate;

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According to the Cancun Agreements and Durban Guidance, there are two elements to be developed for a national approach to safeguards: 1. REDD+ safeguards and 2. safeguard information system (SIS).

Commented [U33]: I know that many people use this terminology, but it is actually call a "system for providing information". I believe it is critical to maintain the term "providing", because many people use the term "reporting", which is not consistent with the decisions.

In the following sections, the report analyses and introduces key safeguard measures proposed by different global initiatives. To make visible how these measures addressed different sets of social, and environmental, and procedural risks, the report adopted a categorization method and criteria used by Roe *et al.* (2013). According to Roe *et al.* (2013), measures proposed under Cancun Agreements and Durban Guidance are classified into three categories: social, environmental and procedural criteria (see Table 3).

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Social criteria refer to the importance of respecting the knowledge and rights of indigenous peoples and members of local communities and of enhancing social benefits to mitigate/avoid possible social risks associated to REDD+.

Environmental criteria include the prohibition of conversion of natural forests and the need to 1) reduce the risk of reversals and displacement, 2) conserve natural forests and biodiversity and 3) enhance environmental benefits.

Procedural criteria mainly refer to the aspects of governance, stakeholder engagement and information systems.

Table 3. Key social, environmental and procedural criteria addressed under Cancun Agreements and Durban Guidance

Social criteria	<ul style="list-style-type: none"> • Respect for the knowledge and rights of indigenous peoples and members of local communities • Enhancement of social benefits
Environmental criteria	<ul style="list-style-type: none"> • No conversion of natural forests • Reduce the risk of reversals and displacement • Conservation of natural forests and biodiversity • Enhancement of environmental benefits (e.g. biodiversity and ecosystem services)
Procedural criteria	<p>Governance:</p> <ul style="list-style-type: none"> • REDD+ activities and safeguards should take into account and be consistent with the objectives of national forest programmers and relevant international conventions and agreements • Reflect the national circumstances and existing information structures • Transparent and effective national forest governance structures

Commented [U34]: There is also reference to UNDRIP, which implies the application of FPIC procedures.

<ul style="list-style-type: none"> • Allow for improvement in response to lessons learned and changes <p>Stakeholder engagement</p> <ul style="list-style-type: none"> • Full and effective participation of relevant stakeholders in REDD+ , in particular indigenous peoples and local communities <p>Information systems:</p> <ul style="list-style-type: none"> • Information needs to be collected using broad multi-stakeholder process • Information needs to be publicly available and accessible by all relevant stakeholders including information on how all of the safeguards are being addressed and respected • Respecting gender considerations

Commented [U35]: Not sure where some of this text comes from. Is this from Boyle and Murphy (2012). Please mention the source or we might get into trouble. I can see that you have listed in the list of references.

3 Key safeguard systems at the global level

To empirically apply safeguard criteria proposed under the UNFCCC, the Cancun Agreement and the Durban Guidance, different safeguard systems have emerged at the global level. These include:

1. UN-REDD: Social and Environmental Principles and Criteria (SEPC)
- 1-2. World Bank FCPF: Strategic Environmental and Social Assessment (SESA)
- 1-3. The Climate, Community and Biodiversity Alliance (CCBA) and CARE International: REDD+ Social and Environmental Standards (SES)
- 1-4. Verified Carbon Standard (VCS)
- 1-5. Climate, Community and Biodiversity Standards (CCBS)
- 1-6. Plan Vivo

Commented [U36]: I prefer the classification by Streck et al. (page 12). They clearly distinguish between "multilateral" and "private", which I believe is more useful for this report.

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This section will first of all provide an overview of these six safeguard systems in regards to the development and implementation of REDD+ at various levels. It will then present an in-depth gap analysis of the first three systems in comparison with the UNFCCC's safeguards requirements. The first two safeguard systems – UN-REDD's SEPC and the World Bank FCPF's SESA – were included in this gap analysis because the UN-REDD and FCPF are two of the major global level institutions that assist developing countries to be ready for REDD+. In principle, countries that received support from either and/ or both programmes are expected to adopt the safeguards of a respective programme taking their national circumstance into consideration (although some exceptions may apply as described below). The CCBA and Care International' SES was also included in this gap analysis because this system has a high relevance and importance as the principles and measures reflect concerns raised by the civil society. The authors decided not to include the latter three safeguard systems listed above in the detail gap analysis because these three safeguards systems – VCS, CCBA and Plan Vivo – are developed for REDD+ at project level. The goal of this report focuses on analyses of standards for REDD+ at the national level.

3.1 UN-REDD: Social and Environmental Principles and Criteria (SEPC)

The UN-REDD Programme developed Social and Environmental Principles and Criteria (SEPC) to provide a guiding framework for addressing social and environmental issues for UN-REDD Programme funded activities. SEPC consists of 7 Principles and 24 Criteria (see Table 4 for the 7 principles and annex X for more information about the SEPC).

Table 4: 7 principles of UN-REDD SEPC

<ol style="list-style-type: none"> 1. Apply norms of democratic governance, as reflected in national commitments and Multilateral Agreements 1-2. Respect and protect stakeholder rights in accordance with international obligations 1-3. Promote sustainable livelihoods and poverty reduction

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- 1-4. Contribute to low-carbon, climate-resilient sustainable development policy, consistent with national development strategies, national forest programmes, and commitments under international conventions and agreements
- 1-5. Protect natural forest from degradation and/or conversion
- 1-6. Maintain and enhance multiple functions of forest including conservation of biodiversity and provision of ecosystem services
- 1-7. Avoid or minimise adverse impacts on non-forest ecosystem services and biodiversity

The main objectives of the Principles and Criteria are:

1. To address social and environmental issues in UN-REDD National Programmes and other UN-REDD Programme funded activities.
- 1-2. To support countries in developing their national approaches to REDD+ safeguards in line with the United Nations Framework Convention on Climate Change (UNFCCC).

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In addition, the draft Benefit and Risks Tool (BeRT) has been developed to help countries to apply the SEPC in the formulation of national REDD+ programmes and initiatives seeking UN-REDD support. The tool provides a set of guiding questions under each of the 7 Principles and 24 Criteria of the SEPC to assist UN-REDD Programme staff, national counterparts and other stakeholders to identify the issues to be addressed in UN-REDD supported programmes.

Commented [U37]: Lera should be able to provide an update here.

Brief analysis of the safeguards:

The 7 principles and 24 criteria under the UN-REDD SEPC are very closely and well aligned with the safeguard principles defined under the Cancun Agreements and Durban guidance (see Annex 1 and Annex 2 for more information about SEPC).

Social criteria: SEPC places a considerably strong focus on human rights, especially on the rights of indigenous peoples and local communities. Hence, they include, possibly, the most-rigorous measures (e.g. free, prior and informed consent, no involuntary resettlement) to ensure the effective participation of indigenous peoples and local communities in REDD+ projects and programmes and their rights to forest tenure and REDD+ benefits.

Environmental criteria: SEPC addresses all the environmental criteria identified under UNFCCC and entails highly rigorous measures to avoid negative environmental effects caused by REDD+.

Procedural criteria: SEPC is also well aligned with procedural criteria under UNFCCC by mandating REDD+ safeguards to comply with other international and national agreements, as well as relevant national policies, strategies and plans. Furthermore, SEPC promotes: 1) good governance, transparency, and accountability; and 2) effective coordination between agencies/organization.

3.2 World Bank's Forest Carbon Partnership Facility (FCPF): Strategic Environmental and Social Assessment (SESA)

In principle, all countries that receive FCPF funding should comply with the World Bank's Operational Policies and Procedures. Relevant Operational Policies for REDD+ include (refer to Annex 3 for more information):

- Environmental Assessment (OP/BP 4.01)
- Natural Habitats (OP/BP 4.04)

Commented [U38]: I believe they "must".

- Forests (OP/BP 4.36)
- Physical Cultural Resources (OP/BP 4.11).
- Indigenous Peoples (OP/BP 4.10)
- Involuntary Resettlement (OP/BP 4.12)

In order to comply with these operational policies and other relevant procedures, as a first step, countries need to conduct a Strategic Environmental and Social Assessment (SESA). SESA helps countries to identify potential environmental and social risks associated with REDD+ projects, i.e. whether or not REDD+ projects may violate any of the Bank's operational policies. As the second ~~and follow-up step~~, countries need to develop an Environmental and Social Management Framework (ESMF) based on the results of SESA to present concrete strategies and means for addressing potential adverse social and environmental impacts for REDD+ activities.

In the case where an organization other than the World Bank is selected as an implementing agency — otherwise known as “Delivery Partner” — for the FCPF, the common approach can apply. The common approach will allow delivery partners to use their own safeguards and mechanisms as long as they are equivalent to, or more stringent than the World Bank's standards. In the case of Cambodia, ~~the~~ UNDP has been selected as a delivery partner for the FCPF REDD+ readiness project (~~to start in~~ 2014). Under the common approach, ~~the~~ UNDP is able to use ~~its~~ ~~their~~ own safeguard systems which could be different from those of the World Bank (e.g. UN-REDD) as long as these safeguard systems are equal to or more stringent than those of the World Bank's.

Brief analysis of the FCPF SESA

SESA as well as the World Bank's Operational Policies were developed for all the World Bank projects (See Annex 1 and Annex 3 for more information about SESA). In other words, they were *not* specifically developed for REDD+ projects and programmes. For this reason, SESA does not have some of the safeguard criteria identified under UNFCCC as presented below.

Social criteria: SESA mandates rigorous social assessments to be undertaken before any project is implemented in order to identify any possible adverse impacts on indigenous peoples and other communities. SESA also requires project proponents to demonstrate concrete means to mitigate/avoid possible negative impacts. One notable aspect of SESA is that these operational policies require free, prior ~~and~~ informed consultation that is different from free, prior ~~and~~ informed consent mandated by SEPC and SES. Hence, SESA has been viewed to be weaker than SEPC and SES in ensuring an appropriate consultation process with and in protecting the rights of forest dependent communities.

Environmental criteria: SESA mandates rigorous environmental assessments to be undertaken prior to a project initiation in order to identify any possible adverse impacts on natural habitats and forests. In case there are potential negative impacts, SESA requires project proponents to demonstrate concrete means to mitigate/avoid such impacts. Yet, SESA does not have any mandates to mitigate REDD+ specific environmental risks such as the conservation of natural forest, displacement and reversals.

Procedural criteria: SESA does not entail measures specifically related to procedural criteria. Yet, various guidelines issued by the FCPF provide some measures to ensure full and effective participation of stakeholders in REDD+ and to provide guidance for how information about REDD+ should be provided to relevant stakeholders.

Commented [U39]: You need to explain the difference between “consultation” and “consent”.

3.3 The Climate, Community and Biodiversity Alliance and CARE International: REDD+ Social and Environmental Standards (SES)

The REDD+ SES were developed as a result of a series of consultations with governments, NGOs, civil society organizations, indigenous people's organizations, international policy and research institutions and the private sector. CCBA and CARE International serve as the secretariat. The main goal of SES is to provide a voluntary but comprehensive framework for safeguard measures that conform to the UNFCCC standards and serve as guidance for governments, NGOs, other agencies that implement subnational and national REDD+ programs.

The SES comprised of 7 principles and 28 criteria to be applied for all countries that choose the SES as a safeguard tool. Indicators can be developed to fit with the context of a particular country, through a country-level multi-stakeholder consultation process.

Table 5: 7 principles of REDD+ SES

1. The REDD+ program recognizes and respects rights to lands, territories and resources.
- ~~2.~~ The benefits of the REDD+ program are shared equitably among all relevant rights holders and stakeholders.
- ~~3.~~ The REDD+ program improves long-term livelihood security and well-being of Indigenous Peoples and local communities with special attention to women and the most marginalized and/or vulnerable people.
- ~~4.~~ The REDD+ program contributes to good governance, to broader sustainable development and to social justice.
- ~~5.~~ The REDD+ program maintains and enhances biodiversity and ecosystem services.
- ~~6.~~ All relevant rights holders and stakeholders participate fully and effectively in the REDD+ program.
- ~~7.~~ The REDD+ program complies with applicable local and national laws and international treaties, conventions and other instruments.

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Brief analysis of SES:

Social criteria: Similar to SEPC (UN-REDD), SES places a considerably strong focus on both statutory and customary rights and knowledge of indigenous peoples and members of local communities, and on effective participation of all stakeholders in REDD+ processes. SES further requires special attention to be paid for protecting the rights of and prompting participation of women and the marginalized/vulnerable groups under REDD+. In order to detect/mitigate any negative social impacts, SES mandates the effective resolution of grievances and disputes to be in place under REDD+. In particular, they emphasize the importance of ensuring and protecting the rights of women and the marginalized/vulnerable groups (see Annex 1 and Annex 4 for more information about SES).

Commented [U40]: Repetitive. See two sentences above.

Environmental criteria: SES emphasizes the need to avoid conversion or degradation of natural forests or other areas that are important for maintaining and enhancing biodiversity and ecosystem services and the need to maintain and enhance biodiversity and ecosystem services. However, they have no measures related to the risk of displacement and/or reversals.

Procedural criteria: SES aims to ensure good governance, characterized by effective and full participation of relevant stakeholders, high transparency and accountability mechanisms.

3.4 Verified Carbon Standard (VCS)

The Verified Carbon Standard (VCS) is the world's most widely used voluntary greenhouse gas (GHG) reduction program. The latest development from VCS in regards to REDD+ is the Jurisdictional and Nested REDD+ framework which aims to provide a pathway for national, state and provincial REDD+ programs as well as individual REDD+ projects to gain access to carbon finance.

Jurisdictional REDD+ programs and nested projects may include the following VCS categories: 1) Reduced Emissions from Deforestation and Degradation (REDD); 2) Improved Forest Management (IFM); and 3) Afforestation, Reforestation and Revegetation (ARR). In terms of safeguards, jurisdictional REDD+ programs, baselines and crediting options shall be developed and documented in a transparent manner, and in consultation with relevant stakeholders. Relevant stakeholders include project proponents of existing projects, private land owners, local communities and/or indigenous peoples as well as relevant government agencies. Principle 6 of the REDD+ Social & Environmental Safeguards (SES); the Guidelines on Stakeholder Engagement in REDD+ Readiness of the Forest Carbon Partnership Facility; or the UN-REDD Programme may be used to guide the stakeholder consultation process.

Brief analysis of VCS

Social criteria: Participating jurisdictional proponents shall provide information in the monitoring reports with respect to how they have avoided (and where necessary mitigated) negative and enhanced positive social impacts in accordance with all of the safeguards contained in the UNFCCC Cancun Agreements and relevant jurisdictional (national and subnational) REDD+ safeguards requirements. Jurisdictions shall develop a mechanism for handling and resolving grievances and disputes relating to the design, implementation and evaluation of the jurisdictional REDD+ program. Principle 6.6 of the REDD+ Social & Environmental Safeguards (SES) may be used to guide development of grievance mechanisms.

Environmental criteria: Similar to social criteria, participating jurisdictional proponents shall provide information in the monitoring reports with respect to how they have avoided (and where necessary mitigated) negative and enhanced positive environmental impacts in accordance with all of the safeguards contained in the UNFCCC Cancun Agreements and relevant jurisdictional (national and subnational) REDD+ safeguards requirements.

Procedural criteria: Jurisdictional proponents shall ensure information related to the UNFCCC Cancun Agreements on safeguards is made readily accessible to all relevant stakeholders throughout implementation of the jurisdictional REDD+ program. The nature of stakeholder consultations related to the design and implementation of the jurisdictional program, including who was consulted, the manner in which the consultations occurred (including input received and how this was considered) and the outcomes of the consultations, shall be included in the jurisdictional program description. Additional standards such as the REDD+ Social & Environmental Standards (REDD+SES), Climate, Community & Biodiversity Standards (CCBS), and/or Forest Stewardship Council (FSC) certification may be used, where appropriate, to provide such information.

Commented [U41]: I think throughout the text you have to provide your sources. It would probably be most helpful to also provide hyperlinks.

3.5 Climate, Community and Biodiversity Standards (CCBS)

There has been significant uptake of the CCB Standards with a total of 78 projects having completed the validation process and 15 projects having achieved verification by November 2013. More than 130 projects are using or planning to use the CCBS, representing over 11 million hectares of conservation and over 480,000 ha of restoration of native forests with total estimated annual GHG emissions reductions of over 30 million tons annually. The Standards can be applied to any land management project, including projects that reduce GHG emissions from deforestation and forest degradation or from avoided degradation of other ecosystems, and projects that remove carbon dioxide by sequestering carbon (e.g., reforestation, afforestation, revegetation, forest restoration, agroforestry and sustainable agriculture) or other land management projects. The CCB Standards are aligned with and help projects to demonstrate that they meet the requirements of the UNFCCC Cancun Agreements on REDD+ safeguards in all respects except the safeguard (b) relating to national forest governance structures, which is not applicable to CCB Standards given that the standards were designed for project-level REDD+.

REDD+ SES differs from the CCB Standards in that SES is designed to be used by national or sub-national jurisdictional (e.g. State, Provincial, County) programs of policies and measures for REDD+ rather than site-based projects as for the case of the CCB standards. For example, REDD+ SES includes indicators about the contribution of the REDD+ program to good governance, broader sustainable development and social justice at the national or jurisdictional level and also to biodiversity and ecosystem priorities defined at the national jurisdictional level. Whereas the CCB Standards focus more on respect for rights and generation of benefits for specific communities affected by the project, and for the impacts on biodiversity affected by the project. The CCB Standards are used to provide project-level quality assurance, including for projects implemented through a program of activities or using a programmatic approach. The CCB Standards may be used for internal quality control within a jurisdiction using REDD+ SES, and the information provided through CCB Standards validation and verification can feed into the assessment done for the whole jurisdiction using REDD+ SES.

Brief analysis of CCBA

Social criteria: CCBA project developers are required to: 1. "describe and map statutory and customary tenure/-use/-access/ management rights to lands, territories and resources in the Project Zone including individual and collective rights and including overlapping or conflicting rights"; 2. describe measures needed and taken by the project to help to secure statutory rights; 3. demonstrate that all Property Rights are recognized, respected, and supported; and 4. demonstrate ensure that FPIC has been obtained from those whose property rights are affected by the project through a transparent, agreed process. Finally, project developers must demonstrate that project activities do not lead to involuntary removal or relocation of Property Rights Holders from their lands or territories, and does not force them to relocate activities important to their culture or livelihood. If any relocation of habitation or activities is undertaken within the terms of an agreement, the project proponents must demonstrate that the agreement was made with the FPIC of those concerned and includes provisions for just and fair compensation.

Commented [U42]: This text is copied directly out of a CCBA document. We will get criticized for plagiarizing, if we do not indicate sources.

Commented [U43]: Again this and probably more text is directly copied into this report. You need to provide the source and put the txt into quotation marks.

Environmental criteria: CCBA project developers are required to: 1. use appropriate methodologies to estimate changes in biodiversity, including assessment of predicted and actual, positive and negative, direct and indirect impacts, resulting from project activities under the with-project scenario in the Project Zone and over the project lifetime. This estimate must be based on clearly defined and defensible assumptions; 2. describe measures needed and taken to mitigate negative impacts on biodiversity and any measures needed and taken for maintenance or enhancement of the High Conservation Value attributes consistent with the precautionary principle; and 3. describe the possible adverse effects of, and justify the use of, fertilizers, chemical pesticides, biological control agents and other inputs used for the project.

Procedural criteria: In terms of access to information, CCBA project developers must describe how full project documentation has been made accessible to communities and other stakeholders, how summary of project documentation (including how to access full documentation) has been actively disseminated to communities in relevant local or regional languages, and how widely publicized information meetings have been held with communities and other stakeholders. Project developers must also demonstrate how relevant and adequate information on the potential costs, risks and benefits has been provided to communities and other stakeholders in a form they understand and in a timely manner prior to any decision they may be asked to make with respect to participation in the project.

3.6 Plan Vivo

Plan Vivo is a framework for supporting communities to manage their natural resources more sustainably, with a view to generate climate, livelihood and ecosystem benefits. Participants are rural smallholders and communities dependent on natural resources for livelihoods. Activities are implemented on smallholder or community land (owned or long-term user rights). Communities decide which land-use activities (e.g. agroforestry, forest conservation) will best address threats to local ecosystems and are of interest and value to them. Eligible Plan Vivo activities are afforestation and agroforestry, forest conservation, restoration and avoided deforestation. Producers/-groups enter into written agreements with the project coordinator, who agrees to make performance-based payments and provides continued technical support. All Plan Vivo projects are developed as **Payment for Ecosystem Services** (PES) projects. Since the methodology for Plan Vivo REDD+ project is currently under development and PES projects are not necessarily similar to REDD+ projects, it is not possible for the authors to evaluate Plan Vivo standard in the same light as VCS or CCBS.

Commented [U44]: CCBA also makes project documents available on its website.

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3.7 Key elements/principles included within SEPC (UN-REDD), SESA (World Bank), and SES (CCBA & Care International)

This section presents key social, environmental and procedural elements/ principles included within the SEPC (UN-REDD), SESA (World Bank), and SES (CCBA & Care International) as compared with UNFCCC safeguards.

For the analysis, we sorted and categorized all key safeguard elements and principles included under SEPC, SESA and SES according to the types of UNFCCC safeguards and grouped together those that address similar issues such as tenure rights, participation and benefit sharing. Then, we analysed and summarized any similarities and differences of measures that each standard proposes with references to particular measures.

It is important to note that the Cambodian government is not required to adopt all the elements and principles that are listed below. The list is envisaged to assist the government to consider and select which kind/level of safeguard elements/principles the government can adopt. This review did not include project-level safeguard measures for such comparison since the main purpose of the review is to assist the government to adopt national-level safeguards that comply with globally agreed standards and measures. Annex 1 provides for the detailed comparisons of SEPC, SESA, and SES against UNFCCC safeguards.

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3.7.1 Social criteria

Table 6 illustrates how SEPC, SESA and SES address social criteria under the UNFCCC safeguards.

Table 6: Key social elements/principles included under SEPC, SESA and SES

UNFCCC safeguards	SEPC (UN-REDD) SESA (World Bank) SES (CCBA & Care International)
<ul style="list-style-type: none"> Respect for the knowledge and rights of indigenous peoples and members of local communities 	<p><u>Identification of possible adverse impacts, costs and risks</u></p> <ul style="list-style-type: none"> Identify, avoid, and mitigate potential adverse impacts, costs and risks on the rights and welfare of indigenous peoples and members of local communities (SESA and SES) Special attention to women and the most marginalized and or vulnerable groups (SES) <p><u>Tenure/rights</u></p> <ul style="list-style-type: none"> Attention to tenure rights (SESA) <ul style="list-style-type: none"> With special focus to legally recognize the lands belonging to indigenous peoples (SESA) Identify, clarify, recognize, respect and protect both statutory and customary rights of stakeholders to land, territories and resources (SEPC and SES) and to their carbon rights (SEPC) with special attention to women and most vulnerable groups (SEPC) <p><u>Consent/consultation</u></p> <ul style="list-style-type: none"> Seek (SEPC)/require (SES) Free Prior Informed Consent (FPIC) Undertake free prior informed consultation (SESA) <p><u>Involuntary resettlement</u></p> <ul style="list-style-type: none"> No involuntary resettlement (SEPC) Avoid or minimize involuntary resettlement and <u>compensate those who are replaced</u> (SESA)

Commented [U47]: I find that the information is much better presented in the table below than in the text following the table. In any case, whatever way you use, information in the table and text is identical and therefore repetitive. I do not think that this enhances clarity.

	<p><u>Knowledge, skills and management systems</u></p> <ul style="list-style-type: none"> Respect, support and protect stakeholders (traditional and other knowledge, skills, institutions and management systems (SEPC and SES)
<ul style="list-style-type: none"> Enhancement of social benefits 	<p><u>Enhancement of social and economic benefits</u></p> <ul style="list-style-type: none"> Provide positive impacts on the long-term livelihood security and well-being of indigenous peoples and local communities (SES) Realize sustainable livelihoods, poverty reduction, and economic development (SEPC, SESA)
N.A. (Additional measures)	<p><u>Benefit distribution</u></p> <ul style="list-style-type: none"> Investigate possible multiple benefits (SES) Equitable, non-discriminatory and transparent benefit sharing (SEPC, SES) <p><u>Grievance mechanisms</u></p> <ul style="list-style-type: none"> Effective resolution of grievances and disputes relating to the design, implementation and evaluation of the REDD+ program (SESA, SES) Impartial, accessible and fair mechanisms for grievance, conflict resolution and redress

Commented [U48]: Interesting that we use this term. The definition of it is not necessarily agreed upon.

Commented [U49]: Not sure whether this refers to benefits sharing or rather co-benefits.

[Respect for the knowledge and rights of indigenous peoples and members of local communities]

Commented [U50]: A bit strange to put this in brackets.

All three safeguard systems elaborate on how REDD+ projects and programmes should respect the knowledge and rights of indigenous peoples and members of local communities as shown in Table 6.

Identification of possible adverse impacts costs and risks: Both SESA and SES mandate prior investigation and identification of possible negative effects on the rights and welfare of the people who depend on forests including indigenous peoples and local communities for the avoidance and mitigation of such effects. SES further calls for special attention to be paid to women and the most marginalized and to vulnerable groups in the processes.

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Recognition of Tenure: SESA calls for attention to tenure rights with special focus to legally recognize the lands belonging to indigenous peoples. SEPC and SES have more stringent requirements than SESA for tenure issues by mandating REDD+ projects and programmes to identify, clarify, recognize, respect and protect both statutory and customary rights of stakeholders to land, territories, resources. SEPC also includes the need to recognize their carbon rights and to pay special attention to women and most vulnerable groups.

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Form of consultation: In terms of forms of consultations, SEPC and SES require **Free, Prior, Informed Consent (FPIC)** that is a stronger measure than **Free, Prior, Informed Consultation** mandated by SESA.

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- Free, Prior and Informed Consent (FPIC)** is the collective right of indigenous peoples to participate in decision making and to give or withhold their consent to activities affecting their lands, territories and resources or rights in general. Consent must be freely given, obtained prior to implementation of activities and be founded upon an understanding of the full range of issues implicated by the activity or decision in question; hence the formulation: free, prior and informed consent.
- SESA (FCPF) does not do not mandate “consent” in FPIC but will ensure adherence to FPIC if the country has ratified ILO 169, adopted national legislation on FPIC -if a development partner applies the principle.

Involuntary settlement: SEPC prohibits any involuntary resettlement under REDD+ whereas SESA has a less stringent requirement, with the mandate to avoid or minimize involuntary resettlement and to compensate those who are replaced

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Knowledge, skills and management systems: SEPC and SES require REDD+ projects and programmes to respect, support and protect stakeholders traditional and other knowledge, skills, institutions and management systems (SEPC and SES)

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[Enhancement of social benefits]

Enhancement of social and economic benefits: SES requires REDD+ projects and programmes to provide positive impacts on the long-term livelihood security and well-being of indigenous peoples and local communities (SES). SEPC and SESA mandate them to realize sustainable livelihoods, poverty reduction, and economic development (SEPC, SESA)

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[Additional measures]

There are two additional measures SEPC, SESA and SES included for the social criteria, one related to benefit distribution mechanism and another related to grievance mechanisms.

Benefit distribution: SES mandates investigation of possible multiple benefits that forest provides. SEPC and SES require equitable, non-discriminatory and transparent benefit sharing under REDD+

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Grievance and conflict resolution mechanisms: SESA and SES mandate effective resolution of grievances and disputes relating to the design, implementation and evaluation of the REDD+ program to be in place. These mechanisms are envisaged to enable stakeholders to solicit their concerns, to serve, to detect, and to mediate any negative impacts arising from REDD+ and to provide appropriate conflict resolution measures.

3.7.2 Environmental criteria

Table 7 shows how SEPC, SESA and SES address environmental criteria under UNFCCC safeguards.

Table 7: Key environmental elements/principles included under SEPC, SESA and SES

UNFCCC safeguards	SEPC (UN-REDD) SESA (World Bank) SES (CCBA & Care International)
N.A. (Additional measures)	<u>Identification of possible negative environmental impacts</u> <ul style="list-style-type: none"> Identify, avoid and mitigate potential negative impacts (SESA, SEPC) including <ul style="list-style-type: none"> Natural forests (e.g. through forest degradation) (SEPC) Forest biodiversity and ecosystem services (SEPC, SES) Forest carbon stocks (SEPC)
<ul style="list-style-type: none"> No conversion of natural forests 	<ul style="list-style-type: none"> Avoid (SES)/avoid or minimize (SEPC) conversion or degradation of natural forests or other areas that are important for maintaining and enhancing biodiversity and ecosystem services
<ul style="list-style-type: none"> Reduce the risk of reversals and displacement 	<ul style="list-style-type: none"> Address the risk of reversal of REDD+ achievements (SEPC) Avoid or minimize indirect land use change impacts of REDD+ activities on forest carbon stocks, other ecosystem services and biodiversity (SEPC) Avoid or minimize adverse impacts on carbon stocks, other ecosystem services and biodiversity of non-forest ecosystems resulting directly or indirectly from REDD+ activities (SEPC)
<ul style="list-style-type: none"> Conservation of natural forests and biodiversity and enhancement of environmental benefits 	<ul style="list-style-type: none"> Maintain and enhance multiple functions of forest including conservation of biodiversity and provision of ecosystem services (SESA, SEPC, SES) Ensure that land-use planning for REDD+ explicitly takes account of potential synergies and trade-offs between the multiple functions of forest and the benefits they provide, respecting local and other stakeholders' values (SEPC) Ensure that planted and natural forest are managed to maintain and enhance ecosystem services and biodiversity important in both local and national contexts (SEPC)

[Additional measures]: SEPC, SESA, and SES mandate REDD+ projects and programmes to identify, avoid and mitigate their possible negative environmental effects. SESA and SEPC further require the identification of negative impacts on natural forests, forest biodiversity and ecosystem services and forest carbon stocks.

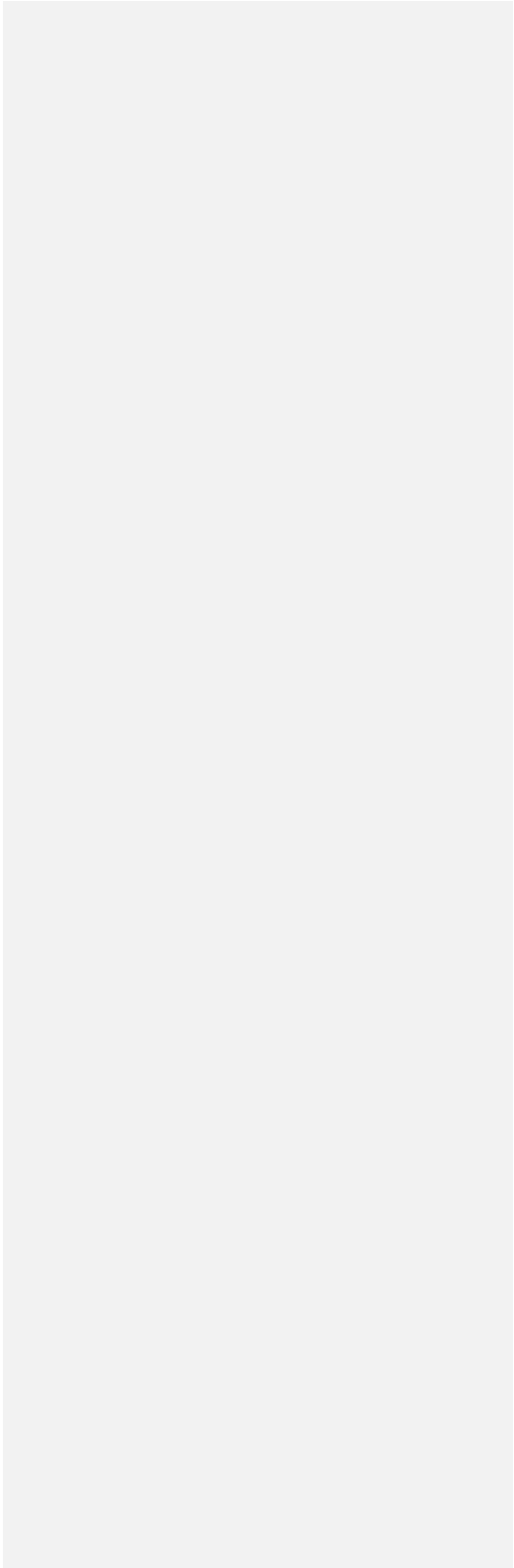
[No conversion of natural forests]: SESA does not have any reference to the risk of conversion of natural forests or degradation of natural forests under REDD+. Yet, SES proposes a stringent measure to mandate *the complete avoidance* of the conversion of natural forests or degradation of natural forests while SEPC has a less stringent measure to mandate either avoidance or *mitigation* of such effects.

[Reduce the risk of reversals and displacement]: Only SEPC addresses the risk of reversals and displacement.

[Conservation of natural forests and biodiversity and enhancement of environmental benefits]: SEPC, SESA and SES all mandate REDD+ projects and programmes to maintain and enhance multiple functions of forest including conservation of biodiversity and provision of ecosystem services. SEPC further require to ensure that land-use planning for REDD+ explicitly takes account of potential synergies and trade-offs between the multiple functions of forest and the benefits they provide, respecting local and other stakeholders' values. It further mandates REDD+ projects and programmes to ensure that planted and natural forest are managed to maintain and enhance ecosystem services and biodiversity important in

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both local and national contexts (SEPC)



3.7.3 Procedural criteria

Table 8 shows how SEPC, SESA and SES address environmental criteria under the UNFCCC safeguards.

Table 8: Key procedural elements/principles included under SEPC, SESA and SES

UNFCCC safeguards	SEPC (UN-REDD) SESA (World Bank) SES (CCBA & Care International)
Governance	
<ul style="list-style-type: none"> Consistent with the objectives of national forest programmes and relevant international conventions and agreements Reflect the national circumstances and existing information structures 	<ul style="list-style-type: none"> Comply with/coherent with <ul style="list-style-type: none"> UNFCCC and all other relevant international and national agreements and laws (SEPC, SESA, R-PP) Relevant national policies, strategies and plans at all relevant levels (SEPC, SES) (e.g. national climate policy objectives, poverty reduction strategies, biodiversity conservation, international commitment on the environment) applicable local law, national law and international treaties, conventions and other instruments ratified or adopted by the country (SES), Contribute to achieving <ul style="list-style-type: none"> low-carbon, climate resilient sustainable development policy (SEPC) the objectives of sustainable development policies (SES)
<ul style="list-style-type: none"> Transparent and effective national forest governance structures Allow for improvement in response to lessons learned and changes 	<p><u>Good governance, transparency, accountability</u></p> <ul style="list-style-type: none"> Apply norms of democratic governance (SEPC) Contributes to good governance, to broader sustainable development and to social justice (SES) Clearly defined, transparent, effective and accountable governance (SES) Improved governance in the forest sector and other relevant sectors (SES) Ensure legitimacy and accountability of all bodies representing relevant stakeholders through establishing responsive feedback and grievance mechanisms (SEPC) <p><u>Coordination</u></p> <ul style="list-style-type: none"> Effective coordination between agencies/organizations responsible for the design, implementation and evaluation of the REDD+ program and other relevant agencies (SEPC, SES) <p><u>Financial management</u></p> <ul style="list-style-type: none"> Ensure transparency and accountability of fiduciary and fund management systems linked to REDD+(SEPC, SES)
Stakeholder engagement	
<ul style="list-style-type: none"> Full and effective participation of relevant stakeholders in REDD+, in particular indigenous peoples and local communities 	<ul style="list-style-type: none"> Full and effective participation of relevant stakeholders in design, planning and implementation of REDD activities including M& E with particular attention to indigenous peoples, local communities and other vulnerable and marginalized groups (SEPC, SESA, SES) <ul style="list-style-type: none"> Through culturally appropriate, gender sensitive and effective participation (SES) <p>Gender</p> <ul style="list-style-type: none"> Promote gender equality (SEPC) and ensure the inclusion of women and other marginalized groups (SESA)
Information systems	
<ul style="list-style-type: none"> Information needs to be 	<ul style="list-style-type: none"> Ensure transparency and accessibility of information (SEPC, SESA)

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<p>collected using broad multistakeholder process</p> <ul style="list-style-type: none"> Information needs to be publicly available and accessible by all relevant stakeholders including the issue of how safeguards are being addressed and respected 	<ul style="list-style-type: none"> Establish outreach, communication and consultation mechanisms with relevant stakeholders (common approach SESA) Routine and timely disclosure and provision of adequate information to public (SESA, SES) <ul style="list-style-type: none"> In a culturally appropriate, gender sensitive and timely way (SES).
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[Governance]:

SEPC, SESA and SES all mandate that the safeguard systems should comply with the UNFCCC and other international and national agreements, as well as relevant national policies, strategies and plans.

In addition, SEPC and SES require that REDD+ should contribute to achieving low-carbon, climate resilient sustainable development policy and the objective of sustainable development policies respectively.

Furthermore, SEPC and SES promote: 1) good governance, transparency, and accountability; 2) effective coordination between agencies/organization responsible for the design, implementation and evaluation of the REDD+ program and other relevant agencies; and 3) transparency and accountability of fiduciary and fund management systems linked to REDD+.

[Stakeholder engagement]

SEPC, SESA and SES promote full and effective participation of relevant stakeholders in design, planning and implementation of REDD+ activities with particular attention to indigenous peoples, local communities and other vulnerable and marginalized groups. SES adds another requirement to ensure culturally appropriate, gender sensitive and effective participation. Similarly, SEPC and SESA promote gender equality as well as the inclusion of women.

[Information systems]

SEPC and SESA ensure transparency and accessibility of information. SESA and SES promote routine and timely disclosure and provision of adequate information to the public.

4 Gap analyses between global safeguards and existing laws, policies and regulations in Cambodia

The main purpose of this section is to identify the gaps between *globally proposed safeguard measures* (UNFCCC, SEPC, SESA, and SES) and existing safeguard measures in Cambodia.

4.1 Analysis Methods

For the review, the following steps were taken by the review team.

Step 1: Compilation of policies, laws, and regulations (PLRs)

The team reviewed existing policies, laws and regulations (PLRs) developed under the Forestry Administration (FA), the Ministry of Environment (MoE), the Fishery Administration (FiA), and the Ministry of Land Management, Urban Planning, and Construction (Land).

The review included PLRs under FA, MoE and FiA considering that forest areas fall under the jurisdictions of these three agencies. The review also included those under Land because their PLRs are applicable for all land areas including forest areas. The PLRs for the review were: 1) laws, 2) policies, 3) royal decree, 4) sub-decrees 5) decisions, 6) circulars, and 7) prakas. Table 9 -provides the list of PLRs that were included for the review. There were several PLRs that were not included in the review due to inaccessibility to these documents (See Table -10).

Commented [U53]: This is too narrow. There are many more laws that need to be considered, the Constitution and Conventions and Agreements.

Table 9: List of policies, laws, and regulations (PLRs) included for the gap analysis

FA	MoE	FiA	Land
Law			
<ul style="list-style-type: none"> Forestry Law 2002 	<ul style="list-style-type: none"> Protected Area Law 2008; Environmental Protection of Nature Resource Management Law 1996 EIA law (in draft) 	<ul style="list-style-type: none"> Fisheries Law 2006 	<ul style="list-style-type: none"> Land Law 2002
Policies and Programmes			
<ul style="list-style-type: none"> National Forest Sector Policy National Forest Programme (NFP) 	<ul style="list-style-type: none"> National Biodiversity Strategy and Action Plan (NBSAP) National Adaptation Program of Action to Climate Change (NAPA) Strategic Plan of the MoE CambodiaA Climate Change Strategic PlanLAN (CCCSP) 	<ul style="list-style-type: none"> Statement of the Royal Government of Cambodia on National Fisheries Sector Policy (Khmer and English) Strategic Planning Frame for Fisheries 2009-2019 v1 and v2 	<ul style="list-style-type: none"> National Policy on Development of Indigenous Minorities (2009) Policy on Registration and Right to Use of Land of Indigenous Communities in Cambodia (2009) National Action Program to combat land degradation (in draft)
Royal Degree			
		<ul style="list-style-type: none"> Establishment of Community Fisheries 	
Sub-decrees			

<ul style="list-style-type: none"> • Community Forestry • Permanent Forest Estate • No. 26 on Planting Tree • Permanent Forest Estate • Forest Concession Management • Economic Land Concession (ELC) • Watershed Management (i.e Kbal Chay Watershed Management Area in Sihanouk Ville) 	<ul style="list-style-type: none"> • Community Protected Area (in draft) • PA and Biodiversity Program Framework (on-going) • EIA Process (in draft) • PA zoning 	<ul style="list-style-type: none"> • Identification of Flooded Forest in the 6 Province bordering Tonlesap Great Lake • Abolishing the Fishing Lots around Tonle Sap Lake • Abolishing the Fishing Lots in Kandal, Kampong Cham, Prey Veng and Takeo Province • Establishment of Fisheries Conservation Area in Kandal, Kampong Cham, Prey Veng and Takeo Province • Management of Community Fisheries 	<ul style="list-style-type: none"> • Procedures of Registration of Land of Indigenous Communities (2009) • Social Economic Land Concession
Government Decision			
<ul style="list-style-type: none"> • No.699for Oddar Meanchey REDD Project 			
Circular			
<ul style="list-style-type: none"> • Illegal Occupation of State Land • Forestry Development Cooperation-Framework 			

Table 10: List of policies, laws, and regulations (PLRs) not included for the gap analysis due to inaccessibility to the documents

FA	MoE	FiA	Land
Law			
<ul style="list-style-type: none"> • Wildlife Law 			
Policies and Programmes			
	<ul style="list-style-type: none"> • National Environmental Policy (NEP) 		
Sub-decrees			
<ul style="list-style-type: none"> • Protection Forest (i.e Seima PF, Preah Vihear PF, Central Cardamom, Mondulkiri PF..) • Forest Gene Conservation • Wildlife Corridor Management (not sure whether it is approved yet) • No.188 (Defined the right of FA to sell forest carbon credits in permanent forest estate) 	<ul style="list-style-type: none"> • Community Protected Area (in draft) • PA and Biodiversity Program Framework (on-going) • PA zoning 		

Step 2: An analysis of all PLRs under the review list

The team reviewed all the texts within a PLR -to examine if any measure is included to address specific safeguard measures proposed by the UNFCCC, SEPC, SESA, and SES. If it does, the team noted key phrases under the reviewed PLR -that correspond to safeguard measures (see Annex 8 for detail analysis).

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For section of safeguard criteria that requires measures to be consistent with global and national policies, the team did not conduct such gap analysis on existing measures because it is not an existing PLR but nationally developed safeguard measures that need to comply with the criteria. However, this review included a list of relevant global and national PLRs for future reference (see below box 1).

Box 1: List of relevant global and national PLR for national safeguard measures to comply with:

Key national policies

- Rectangular Strategy (III)
- National Strategic Development Plan (NSDP)
- National Poverty Reduction Strategy (NPRS)
- Strategic Framework for Decentralization and De-concentration Reform

Key global conventions, laws and regulations

(Ratified)

- UNFCCC
- Kyoto Protocol
- Millennium Development Goals (MDG)
- Convention of Elimination of All Forms of Discrimination Against Women
- International Labor Organization Convention 169

(Approved)

- Convention on Biological Biodiversity
- UN Convention Against Corruption
- United Nations Declaration on the Rights of Indigenous Peoples

Commented [U55]: Please check all of this so that you have this correct. Some of the terminology is not correct. E.G. for UNDRIP Cambodia is a signatory. It is also important to mention important conventions that Cambodia has not ratified.

Step 3: Evaluation of PLRs under FA, MoE, FiA, and Land

To facilitate the gap analysis activity, the team created four sector categories: FA, MoE, FiA and -Land. This is because PLRs under a particular sector may not be applicable for the entire forest areas in Cambodia. For example, safeguard measures proposed under FA will not apply to the forest area under the jurisdiction of the Ministry of Environment. In case where other sectors do not have similar or equivalent types of measures as the one under FA, gaps exist to ensure that particular safeguard measure could be applied for the entire country.

The team therefore evaluated whether and to what degree each sector addresses specific safeguard measures proposed globally. For each safeguard measure, the team evaluated four sectors according to the following four criteria.

- 0: No mention of a particular safeguard measure
- 1: A partial description of a particular safeguard measure
- 2: A full description of a particular safeguard measure
- 3: A full description of a particular safeguard measure and an additional guidance for how such safeguard measures should be implemented.

The team included a reference to one strongest measure according to the legal hierarchy system among those included for the evaluation (see Table X). For more information about which PLRs are included for the evaluation, please refer to the attachment X.

The following table (Table 11) presents the results of the gap analyses and evaluation of the PLRs under the four sectors in addressing safeguard measures (UNFCCC, SEPC, SESA, SES).

Table 11: Evaluation of four sectors in addressing safeguard measures

UNFCCC safeguards	SEPC (UN-REDD) SESA (World Bank) SES (CCBA & Care International)	FA	MoE	Fishery	Land
	<u>Identification of possible adverse impacts, costs and risks</u>				
	<ul style="list-style-type: none"> Identify, avoid, and mitigate potential adverse impacts, costs and risks on the rights and welfare of indigenous peoples and members of local communities (SESA and SES) 	1 Forestry law	1 Draft EIA	0	0
	<ul style="list-style-type: none"> Special attention to women and the most marginalized and or vulnerable groups (SES) 	0	0	0	0
<ul style="list-style-type: none"> Respect for the knowledge and rights of indigenous peoples and members of local communities 	<u>Tenure/rights</u>	2	2	2	2
	<ul style="list-style-type: none"> Attention to tenure rights (SESA) 	Forestry law	PA law	Fishery law	Land law
	<ul style="list-style-type: none"> - With special focus to legally recognize the lands belonging to indigenous peoples (SESA) 	1 Forestry law	0	0	3 Land law
	<ul style="list-style-type: none"> - Identify, clarify, recognize, respect and protect both statutory and customary rights of stakeholders to land, territories and resources (SEPC and SES) and to their carbon rights (SEPC) with special attention to women and most vulnerable groups (SEPC) 	0	0	0	0
	<u>Consent/consultation</u>	0	3	0	0
	<ul style="list-style-type: none"> Seek (SEPC)/require (SES) Free Informed Consent (FPIC) 		Draft EIA		
	<ul style="list-style-type: none"> Undertake free prior informed consultation (SESA) 	2 Forestry law	0	0	0
	<u>Involuntary resettlement</u>	2	0	0	2
<ul style="list-style-type: none"> No involuntary resettlement (SEPC) 	Sub-decree ELC			Land law	
<ul style="list-style-type: none"> Avoid or minimize involuntary resettlement and compensate those who are replaced (SESA) 	0	2 Draft EIA	0	0	
	<u>Knowledge, skills and management systems</u>	0	2	0	0
	<ul style="list-style-type: none"> Respect, support and protect stakeholders traditional and other knowledge, skills, institutions and management systems (SEPC and SES) 		National biodiversity plan		
N.A. (Additional measures)	<u>Identification of possible negative environmental impacts</u>	1	1	1	1
	<ul style="list-style-type: none"> Identify, avoid and mitigate potential negative impacts (SESA, SEPC) including on <ul style="list-style-type: none"> Natural forests (e.g. through forest degradation) (SEPC) Forest biodiversity and ecosystem services (SEPC SES) 	Forestry law	PA law	Fishery law	NP on the development IPs

UNFCCC safeguards	SEPC (UN-REDD) SESA (World Bank) SES (CCBA & Care International)	FA	MoE	Fishery	Land
	- Forest carbon stocks (SEPC)				
• No conversion of natural forests	• Avoid (SES)/avoid or minimize (SEPC) conversion or degradation of natural forests or other areas that are important for maintaining and enhancing biodiversity and ecosystem services	0	0	0	0
• Reduce the risk of reversals and displacement	• Address the risk of reversal of REDD+ achievements (SEPC)	0	0	0	0
	• Avoid or minimize indirect land use change impacts of REDD+ activities on forest carbon stocks, other ecosystem services and biodiversity (SEPC)	0	0	0	0
	• Avoid or minimise adverse impacts on carbon stocks, other ecosystem services and biodiversity of non-forest ecosystems resulting directly or indirectly from REDD+ activities (SEPC)	0	0	0	0
• Conservation of natural forests and biodiversity and enhancement of environmental benefits	• Maintain and enhance multiple functions of forest including conservation of biodiversity and provision of ecosystem services (SESA ₂ , SEPC ₂ , SES)	2 Forestry law	2 PA law	1 Fishery law	0
	• Ensure that land-use planning for REDD+ explicitly takes account of potential synergies and trade-offs between the multiple functions of forest and the benefits they provide, respecting local and other stakeholders' values (SEPC)	0	0	0	0
	• Ensure that planted and natural forest are managed to maintain and enhance ecosystem services and biodiversity important in both local and national contexts (SEPC)	2 Forest law	2 PA law	1 Fishery law	0
Governance :					
• Transparent and effective national forest governance structures • Allow for improvement in response to lessons learned and changes	<u>Good governance, transparency, accountability</u> • Apply norms of democratic governance (SEPC) • Contributes to good governance, to broader sustainable development and to social justice (SES) • Clearly defined, transparent, effective and accountable governance (SES) • Improved governance in the forest sector and other relevant sectors (SES) • Ensure legitimacy and accountability of all bodies representing relevant stakeholders including through establishing responsive feedback and grievance mechanisms (SEPC)	0	2 CCCSP	1 Fishery law	0

UNFCCC safeguards	SEPC (UN-REDD) SESA (World Bank) SES (CCBA & Care International)	FA	MoE	Fishery	Land
	<u>Coordination</u> • Effective coordination between agencies/organizations responsible for the design, implementation and evaluation of the REDD+ program and other relevant agencies (SEPC, SES)	1 Sub-decree Forest concession mag	2 Nat Bio. Strategy and action plan	1 Strategic planning framework for fisheries	0
	<u>Financial management</u> • Ensure transparency and accountability of fiduciary and fund management systems linked to REDD+(SEPC, SES)	0	1 Nat. Bio. Strategy & action plan	0	0
Stakeholder engagement					
• Full and effective participation of relevant stakeholders in REDD+, in particular indigenous peoples and local communities	• Full and effective participation of relevant stakeholders in design, planning and implementation of REDD activities including M& E	2 Forestry law	3 PA law	2 Fishery law	2 Nat.policy on the dev of IP
	• with particular attention to indigenous peoples, local communities and other vulnerable and marginalized groups (SEPC, SESA, SES)	1 Forestry law	1 PA law	0	2 National policy on the dev of IP
	<u>Attention to gender and marginalized groups</u> • Promote gender equality (SEPC) and ensure the inclusion of women and other marginalized groups (SESA)	0	2 CCSP	0	0
	<u>Enhancement of social and economic benefits</u> • Provide positive impacts on the long-term livelihood security and well-being of Indigenous Peoples and local communities (SES)	2 Forestry law	0	2 Statement of the gov on policy	0
	• Realize sustainable livelihoods, poverty reduction, and economic development (SEPC, SESA)	2 Forestry law	2 Nat. bio. strategy and action plan	0	0
	<u>Benefit distribution</u> • Investigate possible multiple benefits (SES)	0	0	0	0
	• Equitable, non-discriminatory and transparent benefit sharing (SEPC, SES)	1 Gov. decision Sor Chor Nor	1 CCCSP	0	1 Nat. policy on dev. of IPs

UNFCCC safeguards	SEPC (UN-REDD) SESA (World Bank) SES (CCBA & Care International)	FA	MoE	Fishery	Land
	<u>Grievance mechanisms</u>				
	<ul style="list-style-type: none"> Effective resolution of grievances and disputes relating to the design, implementation and evaluation of the REDD+ program (SESA, SES) 	3 Sub-decree PFE	3 Draft EIA	0	1 Land law
	<ul style="list-style-type: none"> Impartial, accessible and fair mechanisms for grievance, conflict resolution and redress 	0	0	0	0
Information systems					
<ul style="list-style-type: none"> Information needs to be collected using broad multi-stakeholder process Information needs to be publicly available and accessible by all relevant stakeholders including the issue of how safeguards are being addressed and respected 	<ul style="list-style-type: none"> Ensure transparency and accessibility of information (SEPC, SESA) 	2 Sub-decree ELC	3 Draft EIA law	0	2 Sub-decree on process of registration of land
	<ul style="list-style-type: none"> Establish outreach, communication and consultation mechanisms with relevant stakeholders (common approach SESA) 	0	2 Strategic plan of MoE	0	0
	<ul style="list-style-type: none"> Routine and timely disclosure and provision of adequate information to public (SESA, SES) <ul style="list-style-type: none"> In a culturally appropriate, gender sensitive and timely way (SES). 	0	3 Draft EIA law	0	0

4.2 Gap analyses between globally proposed safeguard measures and existing safeguard measures in Cambodia

Table 12 presents gap analyses of globally proposed safeguard measures and existing safeguard measures in Cambodia

Table 12: Gap analyses results

UNFCCC safeguards	SEPC (UN-REDD) SESA (World Bank) SES (CCBA & Care International)	Gap analyses
	<u>Identification of possible adverse impacts, costs and risks</u> <ul style="list-style-type: none"> Identify, avoid, and mitigate potential adverse impacts, costs and risks on the rights and welfare of indigenous peoples and members of local communities (SESA and SES) Special attention to women and the most marginalized and or vulnerable groups (SES) 	<ul style="list-style-type: none"> FA and MoE have measures such as social and environmental impact assessments <p>Gaps</p> <ul style="list-style-type: none"> Both measures do not include attention to IPs, local communities, women and the most marginalized or vulnerable groups Fishery and Land have no specific measures
<ul style="list-style-type: none"> Respect for the knowledge and rights of indigenous peoples and members of local communities 	<u>Tenure/rights</u> <ul style="list-style-type: none"> Attention to tenure rights (SESA) <ul style="list-style-type: none"> With special focus to legally recognize the lands belonging to indigenous peoples (SESA) Identify, clarify, recognize, respect and protect both statutory and customary rights of stakeholders to land, territories and resources (SEPC and SES) and to their carbon rights (SEPC) with special attention to women and most vulnerable groups (SEPC) 	<ul style="list-style-type: none"> All FA, MoE, Fishery and Land recognize customary rights of local communities for their subsistence use MoE (PA Law) differentiates their access rights according to the category of protected area. Land (Land Law) provides detailed measures that enable recognitions of indigenous peoples' lands <p>Gaps</p> <ul style="list-style-type: none"> No sectors have description of carbon rights or the need for special attention to women and those that are most vulnerable Also questions remain as to how to expand CF, CPA, Community fishery to realize the rights of communities
	<u>Consent/consultation</u> <ul style="list-style-type: none"> Seek (SEPC)/require (SES) Free Informed Consent (FPIC) Undertake free prior informed consultation (SESA) 	<ul style="list-style-type: none"> MoE (through a draft EIA) has a detailed provision for Free Prior Informed Consent whereas FA (Forest Law) has a provision of consultation <p>Gaps</p> <ul style="list-style-type: none"> Fishery and Land have no specific description of the criteria
	<u>Involuntary resettlement</u> <ul style="list-style-type: none"> No involuntary resettlement (SEPC) Avoid or minimize involuntary resettlement and compensate those who are replaced (SESA) 	<ul style="list-style-type: none"> FA (through Sub-decree on ELC) and Land (Land Law) prohibits involuntary resettlement. MoE (through a draft EIA) mandates compensation for those who are replaced <p>Gaps</p> <ul style="list-style-type: none"> No measures included in Fishery and Land
	<u>Knowledge, skills and management systems</u> <ul style="list-style-type: none"> Respect, support and protect stakeholders traditional and other knowledge, skills, institutions and management systems (SEPC and SES) 	<p>Gaps</p> <ul style="list-style-type: none"> None except for MoE (National Biodiversity Plan) has a description to highlight the need to respect stakeholders knowledge, skills etc

<p>N.A. (Additional measures)</p>	<p><u>Identification of possible negative environmental impacts</u></p> <ul style="list-style-type: none"> Identify, avoid and mitigate potential negative impacts (SESA, SEPC) including <ul style="list-style-type: none"> Natural forests (e.g. through forest degradation) (SEPC) Forest biodiversity and ecosystem services (SEPC SES) Forest carbon stocks (SEPC) 	<ul style="list-style-type: none"> All sectors have measures to mitigate negative environmental impacts <p>Gaps</p> <ul style="list-style-type: none"> No specific measure on forest carbon stock
<ul style="list-style-type: none"> No conversion of natural forests 	<ul style="list-style-type: none"> Avoid (SES)/avoid or minimize (SEPC) conversion or degradation of natural forests or other areas that are important for maintaining and enhancing biodiversity and ecosystem services 	<p>Gaps</p> <ul style="list-style-type: none"> None of the sectors has any descriptions on this safeguard
<ul style="list-style-type: none"> Reduce the risk of reversals and displacement 	<ul style="list-style-type: none"> Address the risk of reversal of REDD+ achievements (SEPC) Avoid or minimize indirect land use change impacts of REDD+ activities on forest carbon stocks, other ecosystem services and biodiversity (SEPC) Avoid or minimise adverse impacts on carbon stocks, other ecosystem services and biodiversity of non-forest ecosystems resulting directly or indirectly from REDD+ activities (SEPC) 	<p>Gaps</p> <ul style="list-style-type: none"> None of the sectors has any descriptions on this safeguard
<ul style="list-style-type: none"> Conservation of natural forests and biodiversity and enhancement of environmental benefits 	<ul style="list-style-type: none"> Maintain and enhance multiple functions of forest including conservation of biodiversity and provision of ecosystem services (SESA. SEPC. SES) Ensure that land-use planning for REDD+ explicitly takes account of potential synergies and trade-offs between the multiple functions of forest and the benefits they provide, respecting local and other stakeholders' values (SEPC) Ensure that planted and natural forest are managed to maintain and enhance ecosystem services and biodiversity important in both local and national contexts (SEPC) 	<ul style="list-style-type: none"> FA and MoE have full descriptions of measures to ensure conservation and biodiversity and ecosystem services <p>Gaps</p> <ul style="list-style-type: none"> None of the sector mentions anything about the potential synergies and trade-offs between the multiple function of forest and benefits they provide Land has no mention about biodiversity
<p>Governance :</p>		
<ul style="list-style-type: none"> Transparent and effective national forest governance structures Allow for improvement in response to lessons learned and changes 	<p><u>Good governance, transparency, accountability</u></p> <ul style="list-style-type: none"> Apply norms of democratic governance (SEPC) Contributes to good governance, to broader sustainable development and to social justice (SES) Clearly defined, transparent, effective and accountable governance (SES) Improved governance in the forest sector and other relevant sectors (SES) Ensure legitimacy and accountability of all bodies representing relevant stakeholders including through establishing responsive feedback and grievance mechanisms (SEPC) 	<ul style="list-style-type: none"> MoE (CCCSP-) has a guidance for how to ensure good governance, transparency and accountability <p>Gaps</p> <ul style="list-style-type: none"> Fishery (Fishery Law) only mentions about transparency Forestry and Land have no mention on -good governance-

Commented [U56]: That may not be necessary, if there is another law related to freedom of information, the right to be informed, etc.

	<p><u>Coordination</u></p> <ul style="list-style-type: none"> Effective coordination between agencies/organizations responsible for the design, implementation and evaluation of the REDD+ program and other relevant agencies (SEPC, SES) 	<ul style="list-style-type: none"> MoE (nat. bio. Strategy and action plan) promotes coordination and cross sectoral communication <p>Gaps</p> <ul style="list-style-type: none"> FA (Sub-decree Forest concession mag) and Fishery (strategic planning framework for fisheries) only mentions about coordination
	<p><u>Financial management</u></p> <ul style="list-style-type: none"> Ensure transparency and accountability of fiduciary and fund management systems linked to REDD+(SEPC, SES) 	<p>Gaps</p> <ul style="list-style-type: none"> MoE (nat. bio. Strategy and action plan) only mentions a national financial mechanism, but not on transparency and accountability FA, Fishery, Land have no description
Stakeholder engagement		
<ul style="list-style-type: none"> Full and effective participation of relevant stakeholders in REDD+, in particular indigenous peoples and local communities 	<ul style="list-style-type: none"> Full and effective participation of relevant stakeholders in design, planning and implementation of REDD activities including M&E with particular attention to indigenous peoples, local communities and other vulnerable and marginalized groups (SEPC, SESA, SES) <p><u>Attention to gender and marginalized groups</u></p> <ul style="list-style-type: none"> Promote gender equality (SEPC) and ensure the inclusion of women and other marginalized groups (SESA) 	<ul style="list-style-type: none"> All four sectors have measures to promote full and effective participation of relevant stakeholders in related activities <p>Gaps</p> <ul style="list-style-type: none"> Except for land (Land Law), insufficient attention given to IPs, other local communities, women and marginalized groups
	<p><u>Enhancement of social and economic benefits</u></p> <ul style="list-style-type: none"> Provide positive impacts on the long-term livelihood security and well-being of Indigenous Peoples and local communities (SES) Realize sustainable livelihoods, poverty reduction, and economic development (SEPC, SESA) 	<ul style="list-style-type: none"> FA, and Fishery have a description on positive impacts on local communities and indigenous peoples Forestry and MoE have a description on poverty reduction and sustainable development
	<p><u>Benefit distribution</u></p> <ul style="list-style-type: none"> Investigate possible multiple benefits (SES) Equitable, non-discriminatory and transparent benefit sharing (SEPC, SES) 	<ul style="list-style-type: none"> FA and MoE have some descriptions on benefit sharing but <p>Gaps</p> <ul style="list-style-type: none"> None of the sectors mentions possible multiple benefits, equitable, non-discriminatory and transparent benefit sharing
	<p><u>Grievance mechanisms</u></p> <ul style="list-style-type: none"> Effective resolution of grievances and disputes relating to the design, implementation and evaluation of the REDD+ program (SESA, SES) Impartial, accessible and fair mechanisms for grievance, conflict resolution and redress 	<ul style="list-style-type: none"> FA (Sub-decree PFE) and MoE (draft EIA) have elaborate grievance mechanisms. <p>Gaps</p> <ul style="list-style-type: none"> Land has a mechanism for those who did not receive SLC to raise complaints but not for land grabbing Fishery has no grievance mechanism None of the sectors has requirement for impartial, accessible and fair mechanism for grievance, conflict resolution and redress
Information systems		

<ul style="list-style-type: none"> Information needs to be collected using broad multistakeholder process Information needs to be publicly available and accessible by all relevant stakeholders including the issue of how safeguards are being addressed and respected 	<ul style="list-style-type: none"> Ensure transparency and accessibility of information (SEPC, SESA) Establish outreach, communication and consultation mechanisms with relevant stakeholders (common approach SESA) Routine and timely disclosure and provision of adequate information to public (SESA, SES) <ul style="list-style-type: none"> In a culturally appropriate, gender sensitive and timely way (SES). 	<ul style="list-style-type: none"> MoE (draft EIA law) provides an elaborate guidance for information systems. FA (sub-decree ELC) and land (sub-decree on process of registration of land) has a description of the need for information dissemination. <p>Gaps</p> <ul style="list-style-type: none"> Fishery has no mention about information systems
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4.3 Key findings

There are already numerous safeguard measures that exist under the four sectors, which cover a least a minimum level of safeguards for social and environmental risks. For example, all the sectors have some PLRs to recognize customary rights of local communities and the need for stakeholders to participate in relevant activities. FA, MoE and Fishery Administration also have some PLRs to ensure protection and enhancement of ecosystems and biodiversity.

However, there are gaps in many of the safeguard measures proposed globally. Particular gaps are observed for safeguards that are specific to REDD+ risks such as those against the risk of conversion, reversals and displacement as well as to particular REDD+ subjects such as carbon rights, benefit sharing and grievance mechanism. Other gaps exist when it comes to ensuring the rights and participation of the vulnerable groups such as indigenous peoples, women and marginalized groups.

Commented [U57]: That's because you took a narrow approach and considered only four sectoral PLR in your analysis.

Commented [U58]: I am not aware of this safeguard.

Considering these gaps, an important decision that the government of Cambodia together with the relevant REDD+ stakeholders needs to make is the kinds and levels of safeguard measures that the country would address through a national safeguard system. If additional safeguard measures need to be developed, it is important to consider options for how to fill in the gaps. Although there may be many options to fill in such gaps, this report considers two options for initial consideration and discussion.

The first option is to revise existing PLRs especially under FA, MoE and FiA to incorporate measures that are missing from the list. The advantage of this option is that it provides strong legal backing to such measures. However, its disadvantage is a plausible lengthy and complex process for approval.

The second option is to propose a set of measures for national safeguards as a sub-component of a national REDD+ strategy. This of course results in weaker legal backing for such measure but this would be a much simpler process as compared to the first option of adding revisions to existing measures.

Commented [U59]: I would argue "none".

Commented [U60]: You should move this text to the recommendations.

5 Lessons from the development and application of key existing safeguard systems in Cambodia

Following COP13 held in Bali in 2007, the RGC decided to implement REDD+ pilot projects with approval of the first REDD+ pilot project in Oddar Meanchey in 2008, and the second REDD+ pilot project in Seima Protection Forest in 2009 (Cambodia R-PP, Forestry Administration 2011).

Both pilot projects have applied social and environmental safeguards towards meeting the CCBS' requirements, as seen in their applications of FPIC processes with local communities and project guidelines to adhere to equal employment opportunity, worker safety, and grievance procedures. As of January 2014 ~~At present~~, none of these projects have sold forest carbon credits nor did they distribute associated benefits among local communities. So it is not possible to assess how different safeguard measures have been applied in terms of benefit distribution. Nonetheless, these projects could provide valuable field lessons for opportunities and challenges associated with the actual application of social and environmental safeguards for REDD+.

Commented [U61]: Isn't that self-evident, if no credits were sold.

Commented [U62]: Please note that this is not directly addressed by the Cancun safeguards.

The main objective of this section is therefore to learn about the kinds of social and environmental safeguards adopted by these projects. Data on these two pilot projects were collected through: 1. archival review of documents from Pact and Wildlife Conservation Society for Oddar Meanchey and Seima Protected Forest respectively; 2. focus group discussions with 13 community representatives in Oddar Meanchey and with 20 community representatives in Seima; and; 3. interviews with 5 community representatives in both Oddar Meanchey and Seima.

Figure 3: Locations of the two pilot REDD+ projects



5.1 Oddar Meanchey Community Forest REDD+ Project

5.1.1. Brief introduction

The Oddar Meanchey Community Forestry REDD+ project was introduced by Community Forestry International and jointly launched with the Forestry Administration (FA) in February 2008 as the first REDD+ pilot project in Cambodia. The project is located in northwestern Cambodia and encompasses 13 community forestry sites covering a project area of 64,318 hectares. There are about 10,000 households in 58 villages. The project period is 30 years. In 2009 PACT took over the project-works from Community Forestry International and since then Pact has played an-very important role as an implementing partner working in collaboration with the 13 Community Forestry Groups, Terra Global Capital (TGC), Children's Development Association (CDA), Monks Community Forestry and local authorities. A number of donors have contributed funds to project development including Danida, US Department of State, Clinton Climate Initiative, Pact, UNDP and FAO. About USD 2 million in cash and in kind have~~s~~ been invested.

The goals of the project include: 1) mitigation of climate change impacts by sequestering 8.3 million tonnes of carbon dioxide (over 30 years); 2) improvement of local livelihoods; and 3) protection and enhancement of forests and biodiversity. Over its 30-year crediting period, the project is expected to generate approximately 8,187,767 tons CO₂e of emission reductions.

5.1.2. Safeguard measures applied under the project

Social criteria: consultation on the project comprised a series of workshops start~~ing~~inged in March 2008 with the project's inception- workshop held at the provincial level in November 2009, after the submission of the CCBS Project Document. This project thus far has secured Tenure Rights for 13 Community Forestry Sites with 15-year agreement between the Forestry Administration and Community Forestry Groups. This required intensive efforts to assemble stakeholders, provide training and coach communities through the processes and requirements for CF legalization. In regards to FPIC process, REDD+ awareness raising workshops were held in more than 50 villages in the project area to build local understanding of the project and seek advice on implementation. Three district workshops were also organized by CFI and FA and attended by 129 district officials, police and military personnel. Community consultations on benefit sharing were conducted in 2011 to inform and gather input and consent from community stakeholders on benefit sharing.

Communities requested a transparent system where everyone is invited to meetings to discuss how income will be used and consensus is built. Benefit-sharing mechanism will follow certain core principles, including those of transparency, equity, participation, and accountability. In September 2012, a community consultation was conducted on strategies to ensure that benefits from the project reach the poorest and most vulnerable (e.g. rice banks, savings groups, livestock) – and how the community can monitor this. According to the project document, the grievance mechanism provides guidance to relevant stakeholders on how to raise complaints and grievances. It also outlines information and procedures on how grievances shall be dealt with by the project (final mechanism still under consultation).

Key findings from field visit

There was concern in some communities that villagers would be prevented from using existing agricultural land which is inside the Community Forest boundaries. Because communities were informed that they would receive significant amount of payments under REDD+, their expectation rose. The lesson here is that raising expectation for monetary benefits from REDD+ may be risky as it may demotivate-discourage communities to participate in REDD+ if the main motivation for their

Commented [U63]: Some people may question the importance of these two stakeholders. You may not want to provide all these details.

participation is access to such financial benefits. At the same time, due to the slow speed of REDD+ project, some community leaders had faced challenges in getting their members to understand and to continue to participate in REDD+ related activities. There was also a case of internal conflicts amongst a community forestry site. Finally, communities highlighted the need for sustainable financial support for their forest protection activities and inquired ~~when about the timeline that~~ this support would be made available via finance coming from REDD+ project.

Environmental criteria: as part of its strategy to protect and monitor biodiversity, the project proposed to create greater awareness among local communities regarding the value of biodiversity, as well as improve patrolling and habitat restoration skills, as a way of controlling hunting and the degradation of critical habitats. Furthermore, the project aimed to protect and regenerate dry deciduous and evergreen forest ecosystems through improved protection from illegal logging, fire, and through assisted natural regeneration ~~activities~~. Special attention ~~was~~ given to High Conservation Value (HCV) areas that are important to the local communities, such as areas ~~with that are abundant with~~ resin trees, non-timber forest products, rare wildlife species, and traditional spirit forests. These areas are proposed to be monitored by collecting data during community focus group discussions, in-depth interviews, and field surveys ~~within the HCV area~~.

Key findings from field visit

Some communities are being intimidated by armed loggers. These encroachment activities from the military pose critical threats as to the risk of reversals. Communities also reported that they were not clear about who was responsible for protecting the forest in the leakage belt – the buffer zone surrounding the community forests. This case illustrates the challenge that is posed by external actors. This observation points to the importance of incorporating effective measures when external pressure arises over REDD+ areas.

Procedural criteria: this is a multi-stakeholder engagement project ~~that~~ which involves various stakeholders such as government, NGOs, private sector, and local communities. At the initial stage of ~~the~~ project development, many stakeholder consultation meetings were held to ensure that stakeholders are sufficiently informed and willing to participate in the project. Prior to the project's commencement, ~~the~~ roles and responsibilities of all stakeholders were defined, as were their capacity to implement REDD+ project requirements such as forest inventories and social and biodiversity assessments. Furthermore, ~~some~~ information on the project has been made available in Khmer and can be accessed by all stakeholders. Finally, in terms of procedural compliance with national law and policies and regulations, project developers aim to strengthen the enforcement of existing laws and policies in Cambodia such as Forestry Law (2002), Community Forestry Sub-Decree (2003), National Forest Programme (2010-2029), Government Decision No. 699, Cambodian Labor Law (1997) through efforts of awareness raising.

Key findings from field visit

The first observation is that so far community representatives are predominantly male representatives who played significant role in making decisions related to the project activities. There is only one female community representatives amongst the 13 community representatives. Communities requested a transparent benefit-sharing system where everyone is invited to meetings to discuss how income will be used and consensus could be built. ~~They~~ also suggested that the use of funds and the effectiveness of funded activities should be made available publicly to ensure transparency and accountability. Finally, communities requested that the financial revenue ~~that would come from the~~ REDD+ project should be

Commented [U64]: See your key findings below.

Commented [U65]: How?

used to support livelihood improvement activities via the provision of livestock, tractors, and credit systems.

5.2 Seima Protection Forest REDD+ Project

5.2.1. Brief introduction

The Seima Protection Forest REDD+ project was initiated in July 2008 by the Wildlife Conservation Society (WCS), working in collaboration with the Forestry Administration of the RGC, as the project proponents. Implementing partners also included local NGOs such as the Cambodia Rural Development Team (CRDT) and the Community Legal Education Centre (CLEC).-

The project's REDD+ initiative aims to support protection of old-growth forests within a core area of 180,515 hectares within the Seima Protection Forest in the eastern province of Mondulkiri. The area is renowned for an abundance of globally important species such as the endangered douc langur (a primate) and the banteng (wild cattle). The project area is also home to a population of approximately 10,000 Bunong indigenous peoples living in 20 villages across the landscape. They rely heavily on forest resources and practice traditional swidden agriculture.

Since the start date of January 1st, 2010, the Seima project has sought to secure validation and verification under the VCS and CCB standards, with validation that took place in November, 2013. While the crediting period continues for 60 years, it is estimated that the project will generate approximately 58 million tons CO₂ of emission reductions over its first ten years.

5.2.2. Safeguard measures applied under the project

Social criteria: consultations were conducted during the project design with various stakeholders at provincial, district, commune council, and village levels. To maximize positive social impacts on communities and to minimize negative ones, two main sources of guidance have been adopted for this process - the Convention on Biodiversity Guidelines and the Manual for Social Impact Assessment of Land-based Carbon Projects Version 2.0. The latter source in particular provides a structured way to assess both positive and negative impacts in a format consistent with the CCBS. However, the social impact monitoring system has yet to be finalized. One criterion for its design is that it is able to distinguish people in different social categories, and that it is sufficient to identify trends separately for the main categories. The project anticipates no involuntary relocations of legitimate occupants of the area from either residential land or farmland. However, illegal settlers or land grabbers attempting to occupy state or community land may be arrested by the relevant authorities and removed without compensation, and possibly prosecuted, in accordance with the law.

The main consultation process at village level was centered on a written Community Agreement to be signed by representatives of each community to demonstrate their Free, Prior and Informed Consent. Explicit written community consent was obtained from all 20 participating communities through a process starting in the early stages of the project, prior to any steps to validate the project or make sales of credits. The consent was freely given and based on extensive efforts to ensure signatories weare well-informed. The design of the Community Agreement aimed to follow best practice in all important aspects. -It describes in detail what is being consented to, the terms of the agreement, the rights and liabilities it confers and so on. The Agreements were signed by the most appropriate community representatives, with thumb-printed support from the great majority of families in each village. This

Commented [U66]: That's a fairly loose term. Who determined "appropriateness"?

consent is 60 years in duration but with clauses that allow either party to withdraw if necessary, without jeopardizing any credit sales that have already been made. The consent explicitly states that the state retains ownership rights of forest lands and carbon but provides a fair share of benefits accrued from carbon credit sale to the community. In these cases the community consents for the credits to continue to be pooled with, and sold with, the government-owned credits from the rest of the forest. Subsequent benefit-sharing, still under discussion, will take account in some way of this contribution from the communities concerned.

Commented [U67]: What is fair? Again who determines?

The FPIC process entailed following three phases.

- | |
|---|
| <p>Phase 1:</p> <ul style="list-style-type: none">• Raise awareness of the REDD+ project and its potential impacts• Impact assessment• Plenary discussion with all community members <p>Phase 2:</p> <ul style="list-style-type: none">• Develop an agreement between participating communities and FA with regard to REDD+ <p>Phase 3</p> <ul style="list-style-type: none">• Finalization of agreement texts• Consent |
|---|

Key findings from field visit

Unlike the Oddar Meanchey project, this project did not mention payments to be provided to communities. Yet, the project staff informed villagers that REDD+ would bring to indigenous peoples living in the project area a variety of other benefits such as secure tenure, improved forest conditions, and increased availability of non-timber forest products to meet their livelihood needs. All community representatives reported that their participation in the project thus far has been free and voluntary. There has not been any pressure or coercion for them to be part of the project. According to community representatives, the main reasons for their participation in the project and their decisions to sign the Community Agreements include: 1. to protect their remaining forests, secure their tenure rights, and ensure continued access to non-timber forest products to sustain their livelihood needs; 2. to reduce the impacts of climate change, for example heavy wind, drought, and other climate related events; 3. because of villagers' trust in the implementing partner, WCS that supported the project; 4. because of village members' trust in the decision for the community leaders to approve the project; and 5. because villagers were not aware of any negative impacts from the project.

There are several things to consider. First, it is not financial incentives that constituted communities' main motivation to participate in the project activities (which may have been the case with the Oddar Meanchey pilot project). Second, if the content of the agreements had mentioned the possible negative impacts that might come with the implementation of REDD+ project, the communities would have been hesitant or even not have signed (provided thumbprints) the Community Agreements. Thus, there is a need to ensure that the implementation of the REDD+ project has no would not negatively impact on the local communities, especially indigenous peoples and women. And if there are negative impacts, the communities hope that they are rightfully and equitably compensated. Communities are open to discussion on the terms of compensation. Third, the communities signed the Community Agreements mainly because they trusted key project actors. Finally, community representatives' general knowledge as to the actual contents of the consent is found to be poor. There is a further need to inform villagers about the nature and scope of REDD+ activities as well as the content of the agreements to ensure their

Commented [U68]: So villagers actually did not provide their FPIC. They were obviously not informed properly.

consent was based on a complete understanding of the objectives, activities, benefits, possible negative impacts that might come with the project.

Environmental criteria: The project aims to maintain the variety, integrity, and extent of all forest types and increase populations of wildlife important for conservation concern. This will be achieved by reducing the environmental threats identified by project developers which are habitat loss (forest and lowland wetlands/grasslands), hunting in all its forms, and selective logging and overharvesting of plant NTFPs. Since the project seeks to prevent leakage (displacement of pressure) partly through agricultural intensification, the leakage management area includes all anthropogenic non-forest land that was located within the project zone at the project start date. This area is defined as all non-forest or recently deforested land as of 2010 within 3 km of a settlement. These areas were delineated using GIS software and will be provided to the auditor. Several leakage management activities (e.g. ecotourism and NTFP management) will also be conducted within forested parts of the Project Area and Leakage Belt, but are not included in the Leakage Management Area map since this is required to contain only non-forest land. Activity displacement into the leakage belt is monitored ex-post by comparing projected and actual deforestation in the belt. However, ex-ante, this leakage must be estimated from an analysis of the proportion of local residents engaged in leakage management activities.

Commented [U69]: illegal?

Key findings from field visit

Community representatives emphasized the need to ensure that REDD+ is effective in helping stop deforestation by stopping illegal logging activities in the project area, especially activities that are done by powerful elites. Without stopping these illegal logging activities, the project is subject to reversal, leakage, and non-permanence risks.

Procedural criteria: regular communication and review between the FA, WCS and the 20 participating communities regarding the different aspects of the REDD+ project are detailed in the project document. The exact nature of this process will be tested and developed step by step through the early years of implementation. Key elements of this process include annual consultations with community representatives on benefits and impacts linked to the project; periodic formal consultations and assessments linked to the social benefits monitoring program; routine consultations, evaluations during implementation of project activities in each village. In terms of grievance process, complaints submitted to the project implementation team will be assessed and resolved directly. In addition, a grievance procedure managed by a third-party is required by the CCB Standard. One legally mandated role of the existing Commune Councils in the project zone is to receive complaints from their constituents on issues of any kind and either direct them to the appropriate place or seek to resolve them directly, often by mediating between the affected parties. Hence the Commune Councils in the project zone function as a third party grievance mechanism, and have done so implicitly since the beginning of conservation activities in 2002. The FA has committed to this as one element of the formal Community Agreements. The project is providing capacity-building to the Commune Councils and logistical support to increase their understanding of the REDD project and their role in performing this function.

Commented [U70]: What does this mean? The project has already run for more than 5 years. Needs to be updated.

Commented [U71]: Any experience here.

Key findings from field visit

Community representatives emphasized the need for information on the project activities to be clearly communicated to the communities. Most community members are still unclear on the project activities that will happen as part of the project. In addition, community representatives requested that project developers should increase the spread of information on REDD+ such as the goals/-objectives/-activities in general and the roles/-rights of indigenous peoples in the project. They also requested the project developers to communicate with local authorities and the general public on the existence and

importance of REDD+ in their area. Informants also emphasized the importance of increasing women's participation in ~~the process of~~ consultation workshops and meetings on the REDD+ project in ~~Seima~~. Overall, these observations indicate that there needs to be further works from the project developers to ensure transparency of and accessibility to information related to the development and implementation of REDD+ project amongst stakeholders at the village level.

6 Conclusions

According to the seven decisions that were adopted under the Warsaw Framework on REDD+ at COP19 in 2013, developing countries including Cambodia should establish national safeguards for REDD+ activities to be able to participate in the UNFCCC REDD+ mechanism. This technical report therefore aimed to provide the Royal Government of Cambodia and relevant stakeholders with information that is necessary for making decisions on developing a national approach to REDD+ safeguards.

Thus far, the UNFCCC has provided seven key principles to be adopted for national safeguards of these countries. The UN-REDD Programme, the World Bank, and CCBA and Care International have provided additional and more concrete safeguard measures for countries to follow during the REDD+ implementation. Besides these, project-based safeguards such as VCS, CCBSA, and Plan Vivo are have emerged and being applied for REDD+ related pilot projects.

In the case of Cambodia, the government in collaboration with international organizations such as Pact and WCS has piloted the Oddar Meanchey and Seima REDD+ projects. These projects have applied and tested project-level safeguard measures such as CCBS and VCS. Their project experiences have generated valuable lessons as to what kinds of safeguards may be applicable and feasible for national REDD+ safeguards. Yet, according to the Warsaw Framework on REDD+, project-level REDD+ would not qualify as a UNFCCC REDD+ due to the different technical specificities that project-level activities apply. Hence, Cambodia still needs to propose a new set of national-level safeguard measures in accordance with the that fully meet global-safeguard standards such as those of under the UNFCCC.

At the same time, the analysis results of the report demonstrates that numerous laws, policy and regulations already exist in Cambodia that seek to address and mitigate social and environmental risks. In this regard, it is not necessary for Cambodia to devise a complete new set of safeguard measures from scratch. Instead, the country should be able to build on existing measures and propose an additional new set of measures if necessary.

Neighboring countries such as Indonesia and Vietnam and Indonesia have decided to develop national safeguards roadmaps for their National REDD+ Action Programmes. In Indonesia, since two separate safeguard systems were proposed under different initiatives, a question remains as to which safeguard measure may be used for a national system safeguard. Vietnam has completed a gap analysis and is now in the discussions phase on whether the country needs to develop an additional set of safeguard measures. It should be noted that in both countries, analyses were only done to identify the gaps that exist between the seven safeguards principles under the Cancun Agreements in comparison to the PLRs in Vietnam and Indonesia.

This preliminary draft however included in its analyses other globally significant safeguards systems that are important for Cambodia, for example the UN-REDD's SEPC, the World Bank's SESA, and the CCBA and Care International's SES. Furthermore, the review team conducted analyses of how project level safeguard standards – VCS, CCBS and Plan Vivo – would compare to the Cancun Agreements (see Annex 5 and Annex 6).

Commented [U72]: I believe the the earlier "key findings" and the conclusions can be combined.

Commented [U73]: Not sure which decisions you are referring to. Regarding safeguards, as far as I know there were only 5 decisions. May I suggest that you include the decision in an annex.

Commented [U74]: As mentioned earlier, I prefer to use the wording in the decisions.

Commented [U75]: Not sure whether I would call them "principles". They are actually broad safeguards.

Commented [U76]: Correct, but where in the text does it say that.

Commented [U77]: I believe this to be more optimistic than what your results in table 11 show.

Commented [U78]: Not sure why Indonesia and Viet nam experiences appear only in the conclusions. There is nothing said above.

Commented [U79]: I don't understand this sentence.

Commented [U80]: Not true. This was not analyzed.

Similar to ~~countries like~~ Indonesia and Vietnam, the next important step for Cambodia is to propose and develop national safeguards. To do so, Cambodia will need to consider the following key questions

- What additional safeguard measures will be needed for Cambodia to develop national safeguards framework?
- What ~~policy~~ options would be available for Cambodia to fill in the gaps between existing PLRs safeguards measures and the new set of measures that would be needed for Cambodia to ~~address and respect the Cancun-develop national REDD+~~ safeguards?
- If additional safeguards measures need to be developed, to what degree can Cambodia draw on lessons from its pilot projects and international experiences from neighboring countries to ensure that development of these measures are in line with the UNFCCC's requirement and consistent with national legal context?



Lastly, it is important to note that national safeguards should be kept simple and clear to be implementable. At the same time, it is important to go beyond a minimalistic approach that only meets minimal level of safeguard measures by seeking to apply maximally possible level of safeguard measures in order to ensure “do not harm risks” and “do good outcomes”.

Commented [U81]: What do you mean by framework. Why not “approach” or “system”.

Commented [U82]: According to your analysis this will definitely have to happen.

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Glossary of terms

Adaptive Management – Is a philosophy that accepts that management must proceed even without complete information. It views management not only as a way to achieve objectives, but also as a process for probing to learn more about the resource or system being managed. Learning is an inherent objective of adaptive management. Adaptive management is a process where policies and activities can adapt to future conditions to improve management success.

Additionality –Additionality is the requirement that the project generates real benefits that would not otherwise have occurred or prevents harm that would have occurred in the absence of the project.

Biodiversity – The variability among living organisms from all sources including, inter alia, terrestrial, marine & other aquatic ecosystems and the ecological complexes of which they are part; this includes diversity within species, between species and of ecosystems. Article 2. Use of terms. Definition of biological diversity. Convention on Biological Diversity.
<http://www.cbd.int/convention/convention.shtml>.

Carbon Dioxide (CO₂) – 3.666 units of CO₂ equal one unit of carbon (C). CO₂ plays a critical role in creating and regulating the earth's climate (see Greenhouse Gas).

Carbon Dioxide Equivalent (CO_{2e}) – Is the universal unit of measurement used to indicate the global warming potential of each of the seven greenhouse gases. It is used to evaluate the impacts of releasing (or avoiding the release of) different greenhouse gases. For GWP's of relevant GHGs refer to relevant decisions of the CDM Executive Board or the Verified Carbon Standard.

Carbon Pools – A reservoir of carbon. A system that has the capacity to accumulate or release carbon. Carbon pools are measured in terms of mass (e.g., metric tons of carbon). The major carbon pools associated with forestry projects are: live biomass (including above and below ground components, i.e., roots), dead biomass, soil, and wood products.

Carbon Stocks – The quantity of carbon held within a pool at a specified time.

Carbon Sink – Any process, activity or mechanism that results in the net removal of greenhouse gases from the atmosphere.

Carbon Source – Opposite of carbon sink. A carbon pool is a net source of carbon to the atmosphere if less carbon is flowing into it than is flowing out of it.

Climate Change Mitigation – The reduction of greenhouse gas (GHG) emissions to achieve stabilization of GHG concentrations in the atmosphere and subsequently a cessation of further climate change.

Communities – Are all groups of people—including Indigenous Peoples, mobile peoples and other local communities—who derive income, livelihood or cultural values and other contributions to wellbeing from the Project Area at the start of the project and/or under the with-project scenario. In cases where numerous small Communities can be shown to have homogeneous patterns of social organization, political structure and livelihoods, these Communities may be identified and listed as a Community. In identification of Communities, it is permitted to consider significance of user populations and of their

level of use such that distant or intermittent user groups who have very limited dependence on the site need not be defined as Communities.

Customary rights – ‘Customary rights’ to lands and resources refers to patterns of long-standing community land and resource usage in accordance with Indigenous Peoples’ and local communities’ customary laws, values, customs, and traditions, including seasonal or cyclical use, rather than formal legal title to land and resources issued by the State.

Ecosystem – A dynamic complex of plant, animal and micro-organism communities and their non-living environment interacting as a functional unit. Article 2. Use of terms. Convention on Biological Diversity. <http://www.cbd.int/convention/articles.shtml?a=cbd-02>.

Effective consultation: Effective consultation requires Project Proponents to inform and engage broadly with the Communities and Other Stakeholders using socially and culturally appropriate methods to enable meaningful influence on the subject of consultation. Consultations must be gender and intergenerationally sensitive with special attention to vulnerable and/or marginalized people and must be conducted at mutually agreed locations and through representatives who are designated by the groups themselves in accordance with their own procedures. Different approaches may be appropriate for different Community Groups or Other Stakeholders.

Endemic species – Species for which the entire global range is restricted to the site, the region or the country (the level of endemism must be defined).

Feedback and Grievance Redress Procedure – A process for receiving, hearing, responding to and attempting to resolve Grievances within a reasonable time period.

Free, Prior and Informed Consent – ‘free’ means no coercion, intimidation, manipulation, threat and bribery; ‘prior’ means sufficiently in advance of any authorization or commencement of activities and respecting the time requirements of their decision-making processes; ‘informed’ means that information is provided that covers (at least) the following aspects a. the nature, size, pace, reversibility and scope of any proposed project or activity; b. the reason/s or purpose of the project and/or activity; c. the duration of the above; d. the locality of areas that will be affected; e. a preliminary assessment of the likely economic, social, cultural and environmental impact, including potential risks and fair and equitable benefit sharing in a context that respects the precautionary principle; f. personnel likely to be involved in the execution of the proposed project (including Indigenous Peoples, private sector staff, research institutions, government employees, and others); and g. procedures that the project may entail; and ‘consent’ means that there is the option of withholding consent and that the parties have reasonably understood it. Collective rights holders must be able to participate through their own freely chosen representatives and customary or other institutions following a transparent process for obtaining their free, prior and informed consent that they have defined.

Full and effective participation – Full and effective participation means meaningful influence of all relevant rights holder and stakeholder groups who want to be involved throughout the process, and includes access to information, consultation, participation in decision-making and implementation and free, prior and informed consent.

Greenhouse Gases (GHG) – Greenhouse gases are gaseous components of the atmosphere that trap infrared heat and contribute to the Earth’s greenhouse effect. In addition to carbon dioxide (CO₂), prominent GHGs related to forests include methane (CH₄) and nitrous oxides (N₂O).

Grievances – Disputes with Communities and Other Stakeholders that may arise during project planning, implementation and evaluation with respect but not limited to, Free, Prior and Informed Consent, rights to lands, territories and resources, benefit sharing, and participation.

High Conservation Values – There are six main High Conservation Values, based on the definition originally developed by the Forest Stewardship Council for certification of forest ecosystems, but now increasingly expanded to apply to assessments of other ecosystems <http://hcvnetwork.org/>.

1. Globally, regionally or nationally significant concentrations of biodiversity values:
 - a. protected areas
 - b. threatened species
 - c. endemic species
 - d. areas that support significant concentrations of a species during any time in their lifecycle (e.g. migrations, feeding grounds, breeding areas);
2. Globally, regionally or nationally significant large landscape-level areas where viable populations of most if not all naturally occurring species exist in natural patterns of distribution and abundance;
3. Threatened or rare ecosystems;
4. Areas that provide critical ecosystem services (e.g., hydrological services, erosion control, fire control);
5. Areas that are fundamental for meeting the basic needs of local communities (e.g., for essential food, fuel, fodder, medicines or building materials without readily available alternatives); and
6. Areas that are critical for the traditional cultural identity of local communities (areas of cultural, ecological, economic or religious significance identified in collaboration with the local communities).

Indigenous Peoples – The term ‘Indigenous Peoples’ is used in a generic sense to refer to a distinct, vulnerable social and cultural group possessing the following characteristics in varying degrees:

- a) self identification as members of a distinct indigenous cultural group and recognition of this identity by others;
 - b) collective attachment to geographically distinct habitats or ancestral territories in the project area and to the natural resources in these habitats and territories;
 - c) customary cultural, economic, social, or political institutions that are separate from those of the dominant society or culture; and
 - d) an indigenous language, often different from the official language of the country or the region.
- The World Bank Operational Manual, OP 4.10, July 2005, Article 4.

Intergovernmental Panel on Climate Change (IPCC) – Established in 1988 as a special body by the UN Environment Programme and the World Meteorological Organization to provide assessments to policymakers of the results of ongoing climate change research. The IPCC is responsible for providing the scientific and technical foundation for the United Nations Framework Convention on Climate Change (UNFCCC), primarily through the publication of periodic assessment reports (see First, Second, Third and Fourth Assessment Reports). <http://www.ipcc.ch/>

Invasive Species – ‘Invasive species’ are defined as non-native species that threaten ecosystems, habitats or species in the project zone as identified in the Global Invasive Species Database <http://www.issg.org/database>, from scientific literature, and from local knowledge.

Kyoto Protocol to the UNFCCC – Establishes legally binding commitments for Annex I ('developed') countries to collectively reduce GHG emissions. During the first commitment period, 37 industrialized countries and the European Community committed to reduce GHG emissions to an average of five percent against 1990 levels. During the second commitment period, Parties committed to reduce GHG emissions by at least 18 percent below 1990 levels in the eight-year period from 2013 to 2020; however, the composition of Parties in the second commitment period is different from the first. The Kyoto Protocol includes a set of mechanisms in addition to domestic mitigation —such as International Emissions Trading, Joint Implementation, and the Clean Development Mechanism—that allow countries to achieve their commitments.

Land Use, Land-Use Change and Forestry (LULUCF) – The Kyoto Protocol rubric for land-based activities that have the potential to impact carbon stocks and emissions.

Leakage – Any increase in emissions of GHGs outside the Project Area as a result of project activities.

Marginalized people or groups –Those people or groups that have little or no influence over decisionmaking processes. Marginalization may be related to a range of factors including gender, ethnicity, socio-economic status, and religion.

Native – Native species are considered those that are part of the composition of a natural representative ecosystem of the area where the project site is located.

Non-native – Species occurring outside their natural range, whether accidentally or intentionally introduced.

Other Stakeholders – All groups other than Communities who can potentially affect or be affected by the project activities and who may live within or outside the Project Zone.

Permanence – The longevity of a carbon pool and the stability of its stocks, given the management and disturbance environment in which it occurs. A feature of land-based carbon projects is the possibility of a reversal of carbon benefits from either natural disturbances (e.g., fires, disease, pests, and unusual weather events), or from the lack of reliable guarantees that the original land use activities will not return after the project concludes. Strategies have been identified that mitigate potential reversals such as the non-permanence risk analysis and buffer approach adopted by the Verified Carbon Standard or the establishment of contingency carbon credits, insurance, conservation easements and mixed portfolios of projects.

Project – A set of actions or activities applied to a defined geographical area for specific purposes.

Project Area –The land area in which project activities aim to demonstrate net climate benefits.

Project GHG accounting period –The time period over which changes in GHG emissions reductions and/or removals resulting from project activities are monitored for use as offsets.

Project lifetime –The time period over which project activities are implemented.

Project start date –The start of implementation of activities that will directly cause the project's expected climate community or biodiversity benefits.

Project Zone –The area encompassing the Project Area in which project activities that directly affect land and associated resources, including activities such as those related to provision of alternative livelihoods and community development, are implemented. If using a programmatic approach, the Project Zone also includes all potential Project Areas (i.e. all potential new land areas in which project activities that aim to generate net climate benefits may be implemented in the future after the initial validation).

Project Proponent – The individual or organization that has overall control and responsibility for the project, or an individual or organization that together with others, each of which is also a project proponent, has overall control or responsibility for the project.

Property Rights and Property Rights Holders – ‘Property Rights’ are defined as statutory and customary tenure/use/access/management rights to lands, territories and resources and ‘Property Rights Holders’ are the entities that have individual or collective Property Rights.

REDD – Reducing Emissions from Deforestation and forest Degradation in developing countries

REDD+ – An international climate mitigation strategy that aims to reduce emissions from deforestation and forest degradation in tropical forest countries, support the role of conservation, sustainable management of forests and enhancement of forest carbon stocks.

REDD+ Activities – The term REDD+ activities refers to those included in paragraph 70 of decision 1/CP.16.

Sequestration – The process of increasing the carbon content of a carbon pool other than the atmosphere. There are various opportunities to remove atmospheric CO₂, either through biological processes (e.g. the growth of plants and trees), or geological processes (e.g., storage of CO₂ in underground reservoirs).

United Nations Framework Convention on Climate Change (UNFCCC) – The UNFCCC, along with the Convention on Biological Diversity (CBD), were two agreements to emerge from the 1992 U.N. Conference on Environment and Development (UNCED) held in Rio de Janeiro, Brazil. The Kyoto Protocol emerged out of the UNFCCC and sets specific timelines and timetables for reducing industrialized nations’ GHG emissions and allows some international trading in carbon credits. <http://unfccc.int>

Verified Carbon Standard (VCS) – The Climate Group, the International Emissions Trading Association, the World Economic Forum and the World Business Council for Sustainable Development developed the Verified Carbon Standard to provide a robust, global standard and program for approval of credible GHG offsets. <http://www.v-c-s.org>

Vulnerable people or groups – Those people or groups with high exposure to external stresses and shocks (including climate change); and with high sensitivity and low adaptive capacity to adjust in response to actual or expected changes due to their lack of secure access to the assets on which secure livelihoods are built (socio-political, cultural, human, financial, natural and physical). Forest dependency may be an important factor affecting vulnerability particularly where the project itself may change access to forest resources. In many situations marginalization exacerbates vulnerability, e.g. marginalization by gender.

Annex 1: Detailed comparisons of SEPC, SESA, and SES against UNFCCC safeguards

	UNFCCC safeguards	SEPC (UN-REDD)	SESA (World Bank)	SES (CCBA and Care International)
Social	N.A. (Additional)		<ul style="list-style-type: none"> Identify, avoid and mitigate potential adverse impacts on the rights and welfare of the people who depend on forest including Indigenous Peoples (OP 4.10 and 4.36) 	<ul style="list-style-type: none"> Conduct transparent and participatory assessment of predicted and actual benefits, costs, and risks of the REDD+ program for relevant rights holder and stakeholders groups at all levels, in order to mitigate negative and enhance positive effects on them with special attention to women and marginalized groups (P2)
	Respect for the knowledge and rights of indigenous peoples and members of local communities	<ul style="list-style-type: none"> Respect and protect stakeholder rights to land, territories and resources including carbon (P2) Seek Free Prior Informed Consent (FPIC)₂ (P2) Ensure no involuntary resettlement (P2) Respect and protect traditional knowledge and cultural heritage and practices (P2) 	<ul style="list-style-type: none"> Pay special attention to the issues of land tenure, resource-use rights and property rights. Clarify and ensure their rights to land and carbon assets, including community (collective) rights (OP 4.10 & Guideline on stakeholder engagement). Undertake free, prior informed consultation₃ with affected Indigenous Peoples (OP 4.10) Avoid or minimize involuntary resettlement and compensate those who are 	<ul style="list-style-type: none"> Identify, recognize and respect both statutory and customary rights to lands, territories and resources of indigenous peoples or local communities (P1) Where the REDD+ programs enables private ownership of carbon rights, recognition the rights based on the statutory and customary rights to the lands, territories and resources (P1) Identify all rights holder and stakeholder groups and characterizes their rights and interests and their relevance to the REDD+ program (P6) Require FPIC of Indigenous Peoples and local communities affecting their rights to lands (P1) Respect, support and protect rights holders 'and stakeholders' traditional

² Free, Prior and Informed Consent (FPIC) is the collective right of indigenous peoples to participate in decision making and to give or withhold their consent to activities affecting their lands, territories and resources or rights in general. Consent must be freely given, obtained prior to implementation of activities and be founded upon an understanding of the full range of issues implicated by the activity or decision in question; hence the formulation: free, prior and informed consent

³ FCPF does not do not mandate "consent" in FPIC but will support adherence to FPIC if the country has ratified ILO 169, adopted national legislation on FPIC of if a development partner applies the principle.

			replaced (OP 4.12)	and other knowledge, skills, institutions and management systems (P1)
	Enhancement of social benefits	<ul style="list-style-type: none"> Promote sustainable livelihoods and poverty reduction (P3) Protect and enhance economic and social well-being of relevant stakeholders with special attention to the most vulnerable and marginalized groups (P3) Ensure equitable, non-discriminatory and transparent benefit sharing among relevant stakeholders with special attention to the most vulnerable and marginalized groups (P3) 	<ul style="list-style-type: none"> Realize the potential of forests to reduce poverty in a sustainable manner, and integrate forest effectively into sustainable economic development (OP 4.36) 	<ul style="list-style-type: none"> Provide positive impacts on the long-term livelihood security and well-being of Indigenous Peoples and local communities with special attention to women and the most marginalized/vulnerable groups (P3) Transparent, participatory, effective and efficient mechanisms are established for equitable sharing of benefits of the REDD+ program among and within relevant right holders and stakeholder groups (P2)
	N.A. (Additional)		<ul style="list-style-type: none"> Establish effective resolution of grievances and disputes Impartial, accessible and fair mechanisms for grievance, conflict resolution and redress must be established (Guideline on stakeholder engagement). 	<ul style="list-style-type: none"> Effective resolution of grievances and disputes relating to the design, implementation and evaluation of the REDD+ program
ENV	N.A. (Additional)		<ul style="list-style-type: none"> Identify, avoid and mitigate negative impacts on forest health and quality including forest conversion and degradation (OP 4.01, 4.04, 4.36) 	<ul style="list-style-type: none"> Identify, avoid and mitigate negative impacts on biodiversity and ecosystem services (P5)
	No conversion of natural forests	<ul style="list-style-type: none"> Avoid conversion of natural forest to planted forest, unless as a part of forest restoration, and make reducing conversion of forest to other land uses a REDD+ priority (P5) Avoid or minimise <u>degradation of natural forest</u> by REDD activities and reduce degradation due to 		<ul style="list-style-type: none"> Avoid conversion or degradation of natural forests or other areas that are important for maintaining and enhancing biodiversity and ecosystem services (P5)

		other causes (P5)		
	Reduce the risk of reversals and displacement	<ul style="list-style-type: none"> • Address the risk of reversals of REDD+ achievements (P4) • Avoid or minimise indirect land-use change impacts of REDD+ activities <u>on forest carbon stocks, biodiversity and other ecosystem services</u> (P5) • Avoid or minimise adverse impacts on carbon stocks, other ecosystem services and biodiversity of <u>non-forest ecosystems</u> resulting directly or indirectly from REDD+ activities (P7) 		
	<p>Conservation of natural forests and biodiversity</p> <p>Enhancement of environmental benefits (e.g. biodiversity and ecosystem services)</p>	<ul style="list-style-type: none"> • Maintain and enhance multiple functions of forest including conservation of biodiversity and provision of ecosystem services (P6) • Ensure that land-use planning for REDD+ explicitly takes account of potential synergies and trade-offs between the multiple functions of forest and the benefits they provide, respecting local and other stakeholders' values (P6) • Ensure that planted and natural forests are managed to maintain and enhance ecosystem services and biodiversity important in both local and national contexts 	<ul style="list-style-type: none"> • Preservation of areas with high biodiversity value and promotion of the protection of ecosystem services (OP 4.01, 4.04, 4.36) • Protect the vital local and global environmental services and values of forests (OP 4.36) • Enhance positive impacts (OP 4.01) 	<ul style="list-style-type: none"> • Maintain and enhance biodiversity and ecosystem services (P5) • Enhance positive impacts (P5)
Procedural	Forest governance			

	<p>Consistent with the objectives of national forest programmes and relevant international conventions and agreements</p> <p>Reflect the national circumstances and existing information structures</p>	<ul style="list-style-type: none"> • Contribute to low-carbon, climate-resilient sustainable development policy, consistent with national development strategies, national forest programmes, and commitments and under international conventions and agreements (P3) • Ensure consistency with and contribution to <ul style="list-style-type: none"> ○ national climate policy objectives ○ national poverty reduction strategies and other sustainable development goals ○ national biodiversity conservation policies and other environmental and natural resource management policy objectives ○ international commitment on the environment (P4) 	<ul style="list-style-type: none"> • R-PP to be structured to comply with the UNFCCC and all other relevant international and national agreements and laws 	<ul style="list-style-type: none"> • Coherent with relevant policies, strategies and plans at all relevant levels (p4) • Contributes to achieving the objectives of sustainable development policies (P4) • Comply with applicable local law, national law and international treaties, conventions and other instruments ratified or adopted by the country (P4) • Respect, protect, and fulfil human rights (P4)
	<p>Transparent and effective national forest governance structures</p> <p>Allow for improvement in response to lessons learned and changes</p>	<ul style="list-style-type: none"> • Apply norms of democratic governance (P1) • Ensure the transparency, accountability of fiduciary and fund management systems (P1) • Ensure legitimacy and accountability of all bodies representing relevant stakeholders including through establishing responsive feedback and grievance mechanisms (P1) • Promote coordination, efficiency and effectiveness among all 	<ul style="list-style-type: none"> • ESMF can be revised over time 	<ul style="list-style-type: none"> • The REDD+ program contributes to good governance, to broader sustainable development and to social justice (P4) • The governance structure of the REDD+ program are clearly defined, transparent, effective and accountable(P4) • Improved governance in the forest sector and other relevant sectors (P4) • Effective coordination between agencies/organizations responsible for the design, implementation and evaluation of the REDD+ program and

		<p>agencies and implementing bodies relevant to REDD+</p> <ul style="list-style-type: none"> • Promote and enhance gender equity and women's empowerment (P2) • Promote and support the rule of law, access to justice and effective remedies (P1) • County specific indicators can be developed 		<p>other relevant agencies (P4)</p> <ul style="list-style-type: none"> • Finances of the REDD+ program are managed with integrity, transparency and accountability (P4)
	Stakeholder engagement			
	<p>Full and effective participation of relevant stakeholders in REDD+</p>	<ul style="list-style-type: none"> • Full and effective participation of relevant stakeholders in design, planning and implementation of REDD activities with particular attention to indigenous peoples, Local communities and other vulnerable and marginalized groups (P1) 	<ul style="list-style-type: none"> • Involvement of stakeholders especially indigenous peoples in the preparation process to incorporate their views and concerns (OP 4.01) • Consultation and benefits to indigenous peoples (OP 4.10) • Inclusion of a broad range of relevant stakeholders for the consultation process at the national and local levels including indigenous peoples, forest dependent communities, women and other marginalized groups (Guideline on stakeholder engagement). 	<ul style="list-style-type: none"> • Fully involve rights holders and stakeholder groups in REDD+ program design, implementation and M & E through culturally appropriate, gender sensitive and effective participation (P6)
	Information systems			
	<p>Information needs to be collected using broad multi stakeholder process</p> <p>Provision of information on how all of the safeguards are being addressed and</p>	<ul style="list-style-type: none"> • Ensure transparency and accessibility of information related to REDD+ (P1) 	<ul style="list-style-type: none"> • Establish outreach, communication and consultative mechanisms with relevant stakeholders (Guideline on stakeholder engagement) • Transparency and timely access to information (ibid) • All the information (except 	<ul style="list-style-type: none"> • Adequate information about the REDD program is publicly available (P4) • Provision of information in a culturally appropriate, gender sensitive and timely way (P6)

	respected Information needs to be publicly available and accessible by all relevant stakeholders		for those restricted for public access) should be routinely disclosed or made publicly available upon request (ibid) <ul style="list-style-type: none">• Consultations should be premised on transparency and timely access to information. (ibid)	
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Annex 2. UN-REDD Social and Environmental Principles and Criteria (SEPC).

Principle 1 – Apply norms of democratic governance, as reflected in national commitments and Multilateral Agreements

- Criterion 1 – Ensure the transparency and accountability of fiduciary and fund management systems linked to REDD+ activities
- Criterion 2 – Ensure legitimacy and accountability of all bodies representing relevant stakeholders, including through establishing responsive feedback and grievance mechanisms
- Criterion 3 – Ensure transparency and accessibility of information related to REDD+, including active dissemination among relevant stakeholders
- Criterion 4 – Ensure the full and effective participation of relevant stakeholders in design, planning and implementation of REDD+ activities, with particular attention to indigenous peoples, local communities and other vulnerable and marginalized groups
- Criterion 5 – Promote coordination, efficiency and effectiveness among all agencies and implementing bodies relevant to REDD+⁸
- Criterion 6 – Promote and support the rule of law, access to justice and effective remedies⁹

Principle 2 – Respect and protect stakeholder rights in accordance with international obligations¹⁰

- Criterion 7 – Respect and promote the recognition and exercise of the rights of indigenous peoples, local communities and other vulnerable and marginalized groups to land, territories and resources, including carbon
- Criterion 8 – Promote and enhance gender equality, gender equity and women’s empowerment
- Criterion 9 – Seek free, prior and informed consent of indigenous peoples and respect and uphold the decision taken (whether consent is given or withheld)
- Criterion 10 – Ensure there is no involuntary resettlement as a result of REDD+
- Criterion 11 – Respect and protect traditional knowledge, and cultural heritage and practices

Principle 3 – Promote sustainable livelihoods and poverty reduction

- Criterion 12 – Ensure equitable, non-discriminatory and transparent benefit sharing among relevant stakeholders with special attention to the most vulnerable and marginalized groups¹³
- Criterion 13 – Protect and enhance economic and social well-being of relevant stakeholders, with special attention to the most vulnerable and marginalized groups¹⁴

Principle 4 – Contribute to low-carbon, climate-resilient sustainable development policy, consistent with national development strategies, national forest programmes, and commitments under international conventions and agreements

- Criterion 14 – Ensure consistency with and contribution to national climate policy objectives, including those of mitigation and adaptation strategies and international commitments on climate
- Criterion 15 – Address the risk of reversals of REDD+ achievements, including potential future risks to forest carbon stocks and other benefits to ensure the efficiency and effectiveness of REDD+

- Criterion 16 – Ensure consistency with and contribution to national poverty reduction strategies and other sustainable development goals (including those outlined under the Millennium Development Goals framework), including alignment with ministries’ and sub-national strategies and plans that may have an impact on, or be affected by the forest sector and/or land use change
- Criterion 17 – Ensure consistency with and contribution to national biodiversity conservation policies (including National Biodiversity Strategies and Action Plans), other environmental and natural resource management policy objectives, national forest programmes, and international commitments on the environment

Principle 5 – Protect natural forest from degradation and/or conversion

- Criterion 18 – Ensure that REDD+ activities do not cause the conversion of natural forest¹⁶ to planted forest, unless as part of forest restoration, and make reducing conversion of forests to other land uses (e.g. agriculture, infrastructure) a REDD+ priority
- Criterion 19 – Avoid or minimise degradation of natural forest¹⁷ by REDD+ activities and make reducing degradation due to other causes (e.g. agriculture, extractive activities, infrastructure) a REDD+ priority
- Criterion 20 – Avoid or minimise indirect land-use change impacts of REDD+ activities on forest carbon stocks, biodiversity and other ecosystem services

Principle 6 – Maintain and enhance multiple functions of forest including conservation of biodiversity and provision of ecosystem services

- Criterion 21 – Ensure that land-use planning for REDD+ explicitly takes account of potential synergies and trade-offs between the multiple functions of forest and the benefits they provide, respecting local and other stakeholders’ values
- Criterion 22 – Ensure that planted and natural forests¹⁸ are managed to maintain and enhance ecosystem services and biodiversity important in both local and national contexts

Principle 7 – Avoid or minimise adverse impacts on non-forest ecosystem services and biodiversity

- Criterion 23 – Avoid or minimise adverse impacts on carbon stocks, other ecosystem services and biodiversity of non-forest ecosystems resulting directly from REDD+ activities
- Criterion 24 – Avoid or minimise adverse impacts on carbon stocks, other ecosystem services and biodiversity of non-forest ecosystems resulting indirectly from REDD+ activities (including those of indirect land-use change impacts and intensification of land use)

Annex 3. World Bank safeguard policies

Table A1 - Environmental and Social Safeguard Policies—Policy Objectives and Operational Principles

These policies were prepared for use by World Bank staff and are not necessarily a complete treatment of the subject.

OP 4.00 - Table A1
July, 2005

Section E of this Table A1 was revised in July 2005 to ensure consistency with the requirements of [OP/BP 4.10, Indigenous Peoples](#), issued in July 2005. Section G was revised in July 2006 following issuance of [OP/BP 4.11, Physical Cultural Resources](#).

Note: [OP](#) and [BP](#) 4.00 are based on proposals in *Expanding the Use of Country Systems in Bank-Supported Operations: Issues and Proposals* (R2005-0018/2) that were approved by Executive Directors on March 18, 2005. OP and BP 4.00 apply to Bank-supported projects that pilot the use of borrower systems to address environmental and social safeguard issues and that are approved by the Board as part of the pilot program on or after March 21, 2005. General questions on using country systems in World Bank-supported projects should be addressed to the Adviser, Investment Lending Unit, Operations Policy and Country Services.

Questions on environmental and social safeguards aspects of pilot operations should be directed to the Senior Adviser, Quality Assurance and Compliance Unit in the Environmentally and Socially Sustainable Development Network.

<i>Objectives</i>	<i>Operational Principles</i>
A. Environmental Assessment	
To help ensure the environmental and social soundness and sustainability of investment projects.	1. Use a screening process for each proposed project, as early as possible, to determine the appropriate extent and type of environmental assessment (EA) so that appropriate studies are undertaken proportional to potential risks and to direct, and, as relevant, indirect, cumulative, and associated impacts. Use sectoral or regional environmental assessment when appropriate.
To support integration of environmental and social aspects of projects into the decision making process.	2. Assess potential impacts of the proposed project on physical, biological, socio-economic and physical cultural resources, including transboundary and global concerns, and potential impacts on human health and safety.
	3. Assess the adequacy of the applicable legal and institutional framework, including applicable international environmental agreements, and confirm that they provide that the cooperating government does not finance project activities that would contravene such international obligations.
	4. Provide for assessment of feasible investment, technical, and siting alternatives, including the "no action" alternative, potential impacts, feasibility of mitigating these impacts, their capital and recurrent costs, their suitability under local conditions, and their institutional, training and monitoring requirements associated with them.
	5. Where applicable to the type of project being supported, normally apply the Pollution Prevention and Abatement Handbook (PPAH). ¹ Justify deviations when alternatives to measures set forth in the PPAH are selected.
	6. Prevent and, where not possible to prevent, at least minimize, or compensate for adverse project impacts and enhance positive impacts through environmental management and planning that includes the proposed mitigation measures, monitoring, institutional capacity development and training measures, an implementation schedule, and cost estimates.
	7. Involve stakeholders, including project-affected groups and local nongovernmental organizations, as early as possible, in the preparation process and ensure that their views and concerns are made known to decision makers and taken into account. Continue consultations throughout

	project implementation as necessary to address EA-related issues that affect them.
	8. Use independent expertise in the preparation of EA where appropriate. Use independent advisory panels during preparation and implementation of projects that are highly risky or contentious or that involve serious and multi-dimensional environmental and/or social concerns.
	9. Provide measures to link the environmental assessment process and findings with studies of economic, financial, institutional, social and technical analyses of a proposed project.
	10. Provide for application of the principles in this Table to subprojects under investment and financial intermediary activities.
	11. Disclose draft EA in a timely manner, before appraisal formally begins, in an accessible place and in a form and language understandable to key stakeholders.
Objectives	Operational Principles
B. Natural Habitats	
To promote environmentally sustainable development by supporting the protection, conservation, maintenance, and rehabilitation of natural habitats and their functions.	1. Use a precautionary approach to natural resources management to ensure opportunities for environmentally sustainable development. Determine if project benefits substantially outweigh potential environmental costs.
	2. Avoid significant conversion or degradation of critical natural habitats, including those habitats that are (a) legally protected, (b) officially proposed for protection, (c) identified by authoritative sources for their high conservation value, or (d) recognized as protected by traditional local communities.
	3. Where projects adversely affect non-critical natural habitats, proceed only if viable alternatives are not available, and if appropriate conservation and mitigation measures, including those required to maintain ecological services they provide, are in place. Include also mitigation measures that minimize habitat loss and establish and maintain an ecologically similar protected area.
	4. Whenever feasible, give preference to siting projects on lands already converted.
	5. Consult key stakeholders, including local nongovernmental organizations and local communities, and involve such people in design, implementation, monitoring, and evaluation of projects, including mitigation planning.
	6. Provide for the use of appropriate expertise for the design and implementation of mitigation and monitoring plans.
	7. Disclose draft mitigation plan in a timely manner, before appraisal formally begins, in an accessible place and in a form and language understandable to key stakeholders.
Objectives	Operational Principles
C. Pest Management	
[This text refers to Integrated Pest Management (IPM) as defined in OP 4.09].	
To minimize and manage the environmental and health risks associated with pesticide use and promote and support safe, effective, and environmentally sound pest management.	1. Promote use of demand driven, ecologically based biological or environmental pest management practices (Integrated Pest Management [IPM] in agricultural projects and Integrated Vector Management [IVM] in public health projects) and reduce reliance on synthetic chemical pesticides. Include assessment of pest management issues, impacts and risks in the EA process.

	2. Procure pesticides contingent on an assessment of the nature and degree of associated risks, taking into account the proposed use and intended users. Do not procure formulated products that are in WHO Classes IA and IB, or formulations of products in Class II unless there are restrictions that are likely to deny use or access to lay personnel and others without training or proper equipment Reference: WHO's "Recommended Classification of Pesticides by Hazard and Guidelines to Classification" (IOMC, 2000-2002).
	3. Follow the recommendations and minimum standards as described in the United Nations Food and Agriculture Organization (FAO) International Code of Conduct on the Distribution and Use of Pesticides (Rome, 2003) and procure only pesticides that are manufactured, labeled, handled, stored, applied and disposed of according to acceptable standards as described in FAO Pesticide Guidelines on Storage, Labeling, and Disposal (Rome, 1985).
	4. Support policy reform and institutional capacity development to (a) enhance implementation of IPM- and IVM-based pest management, and (b) regulate and monitor the distribution and use of pesticides.
	5. Disclose draft mitigation plan in a timely manner, before appraisal formally begins, in an accessible place and in a form and language that are understandable to key stakeholders.
Objectives	Operational Principles
D. Involuntary Resettlement	
To avoid or minimize involuntary resettlement and, where this is not feasible, to assist displaced persons in improving or at least restoring their livelihoods and standards of living in real terms relative to pre-displacement levels or to levels prevailing prior to the beginning of project implementation, whichever is higher.	1. Assess all viable alternative project designs to avoid, where feasible, or minimize involuntary resettlement.
	2. Through census and socio-economic surveys of the affected population, identify, assess, and address the potential economic and social impacts of the project that are caused by involuntary taking of land (e.g., relocation or loss of shelter, loss of assets or access to assets, loss of income sources or means of livelihood, whether or not the affected person must move to another location) or involuntary restriction of access to legally designated parks and protected areas.
	3. Identify and address impacts also if they result from other activities that are (a) directly and significantly related to the proposed project, (b) necessary to achieve its objectives, and (c) carried out or planned to be carried out contemporaneously with the project.
	4. Consult project-affected persons, host communities and local nongovernmental organizations, as appropriate. Provide them opportunities to participate in the planning, implementation, and monitoring of the resettlement program, especially in the process of developing and implementing the procedures for determining eligibility for compensation benefits and development assistance (as documented in a resettlement plan), and for establishing appropriate and accessible grievance mechanisms. Pay particular attention to the needs of vulnerable groups among those displaced, especially those below the poverty line, the landless, the elderly, women and children, indigenous peoples, ethnic minorities, or other displaced persons who may not be protected through national land compensation legislation.
	5. Inform displaced persons of their rights, consult them on options, and provide them with technically and economically feasible resettlement alternatives and needed assistance. including (a) prompt compensation at

	full replacement cost for loss of assets attributable to the project; (b) if there is relocation, assistance during relocation, and residential housing, or housing sites, or agricultural sites of equivalent productive potential, as required; (c) transitional support and development assistance, such as land preparation, credit facilities, training or job opportunities as required, in addition to compensation measures; (d) cash compensation for land when the impact of land acquisition on livelihoods is minor; and (e) provision of civic infrastructure and community services as required.
	6. Give preference to land-based resettlement strategies for displaced persons whose livelihoods are land-based.
	7. For those without formal legal rights to lands or claims to such land that could be recognized under the laws of the country, provide resettlement assistance in lieu of compensation for land to help improve or at least restore their livelihoods.
	8. Disclose draft resettlement plans, including documentation of the consultation process, in a timely manner, before appraisal formally begins, in an accessible place and in a form and language that are understandable to key stakeholders.
	9. Apply the principles described in the involuntary resettlement section of this Table, as applicable and relevant, to subprojects requiring land acquisition.
	10. Design, document, and disclose before appraisal of projects involving involuntary restriction of access to legally designated parks and protected areas, a participatory process for: (a) preparing and implementing project components; (b) establishing eligibility criteria; (c) agreeing on mitigation measures that help improve or restore livelihoods in a manner that maintains the sustainability of the park or protected area; (d) resolving conflicts; and (e) monitoring implementation.
	11. Implement all relevant resettlement plans before project completion and provide resettlement entitlements before displacement or restriction of access. For projects involving restrictions of access, impose the restrictions in accordance with the timetable in the plan of actions.
	12. Assess whether the objectives of the resettlement instrument have been achieved, upon completion of the project, taking account of the baseline conditions and the results of resettlement monitoring.
Objectives	Operational Principles
	E. Indigenous Peoples
To design and implement projects in a way that fosters full respect for Indigenous Peoples' dignity, human rights, and cultural uniqueness and so that they: (a) receive culturally compatible social and economic benefits; and (b) do not suffer adverse effects during the development process.	1. Screen early to determine whether Indigenous Peoples are present in, or have collective attachment to, the project area. Indigenous Peoples are identified as possessing the following characteristics in varying degrees: self-identification and recognition of this identity by others; collective attachment to geographically distinct habitats or ancestral territories and to the natural resources in these habitats and territories; presence of distinct customary cultural, economic, social or political institutions; and indigenous language.
	2. Undertake free, prior and informed consultation with affected Indigenous Peoples to ascertain their broad community support for projects affecting them and to solicit their participation: (a) in designing, implementing, and monitoring measures to avoid adverse impacts, or, when avoidance is not feasible, to minimize, mitigate, or compensate for such effects; and (b) in tailoring benefits in a culturally appropriate manner.
	3. Undertake social assessment or use similar methods to assess potential

	project impacts, both positive and adverse, on Indigenous Peoples. Give full consideration to options preferred by the affected Indigenous Peoples in the provision of benefits and design of mitigation measures. Identify social and economic benefits for Indigenous Peoples that are culturally appropriate, and gender and inter-generationally inclusive and develop measures to avoid, minimize and/or mitigate adverse impacts on Indigenous Peoples.
	4. Where restriction of access of Indigenous Peoples to parks and protected areas is not avoidable, ensure that the affected Indigenous Peoples' communities participate in the design, implementation, monitoring and evaluation of management plans for such parks and protected areas and share equitably in benefits from the parks and protected areas.
	5. Put in place an action plan for the legal recognition of customary rights to lands and territories, when the project involves: (a) activities that are contingent on establishing legally recognized rights to lands and territories that Indigenous Peoples traditionally owned, or customarily used or occupied; or (b) the acquisition of such lands.
	6. Do not undertake commercial development of cultural resources or knowledge of Indigenous Peoples without obtaining their prior agreement to such development.
	7. Prepare an Indigenous Peoples Plan that is based on the social assessment and draws on indigenous knowledge, in consultation with the affected Indigenous Peoples' communities and using qualified professionals. Normally, this plan would include a framework for continued consultation with the affected communities during project implementation; specify measures to ensure that Indigenous Peoples receive culturally appropriate benefits, and identify measures to avoid, minimize, mitigate or compensate for any adverse effects; and include grievance procedures, monitoring and evaluation arrangements, and the budget for implementing the planned measures.
	8. Disclose the draft Indigenous Peoples Plan, including documentation of the consultation process, in a timely manner before appraisal formally begins, in an accessible place and in a form and language that are understandable to key stakeholders.
	9. Monitor implementation of the Indigenous Peoples Plan, using experienced social scientists.
Objectives	Operational Principles
	F. Forests
To realize the potential of forests to reduce poverty in a sustainable manner, integrate forests effectively into sustainable economic development, and protect the vital local and global environmental services and values of forests.	1. Screen as early as possible for potential impacts on forest health and quality and on the rights and welfare of the people who depend on them. As appropriate, evaluate the prospects for new markets and marketing arrangements.
	2. Do not finance projects that would involve significant conversion or degradation of critical forest areas or related critical natural habitats, or that would contravene applicable international environmental agreements.
	3. Do not finance natural forest harvesting or plantation development that would involve any conversion or degradation of critical forest areas or related critical natural habitats.
	4. Support projects that adversely impact non-critical natural forests or related natural habitats only if viable alternatives to the project are not available and only if appropriate conservation and mitigation measures are in place.

	5. Support commercial, industrial-scale forest harvesting only when the operation is certified, under an independent forest certification system, as meeting, or having a time-bound action plan to meet, internationally recognized standards of responsible forest management and use.
	6. Ensure that forest restoration projects maintain or enhance biodiversity and ecosystem functionality and that all plantation projects are environmentally appropriate, socially beneficial and economically viable.
	7. Give preference to small-scale community-level management approaches where they best reduce poverty in a sustainable manner.
	8. Support commercial harvesting by small-scale landholders, local communities or entities under joint forest management where monitoring with the meaningful participation of local communities demonstrates that these operations achieve a standard of forest management consistent with internationally recognized standards of responsible forest use or that they are adhering to an approved time-bound plan to meet these standards.
	9. Use forest certification systems that require: (a) compliance with relevant laws; (b) recognition of, and respect for, legal or customary land tenure and use rights as well as the rights of Indigenous Peoples and workers; (c) measures to enhance sound community relations; (d) conservation of biological diversity and ecological functions; (e) measures to maintain or enhance environmentally sound multiple benefits from the forest; (f) prevention or minimization of environmental impacts; (g) effective forest management planning; (h) active monitoring and assessment of relevant forest management areas; and (i) independent, cost effective, third-party assessment of forest management performance against measurable performance standards defined at the national level and compatible with internationally accepted principles and criteria of sustainable forest management through decision making procedures that are fair, transparent, independent, designed to avoid conflict of interest and involve the meaningful participation of key stakeholders, including the private sector, Indigenous Peoples, and local communities.
	10. Disclose any time-bound action plans in a timely manner, before appraisal formally begins, in an accessible place and in a form and language that are understandable to key stakeholders.

<i>Objectives</i>	<i>Operational Principles</i>
G. Physical Cultural Resources	
To assist in preserving physical cultural resources and avoiding their destruction or damage. PCR includes resources of archaeological, paleontological, historical, architectural, religious (including graveyards and burial sites), aesthetic, or other cultural significance.	1. Use an environmental assessment (EA) or equivalent process to identify PCR and prevent or minimize or compensate for adverse impacts and enhance positive impacts on PCR through site selection and design.
	2. As part of the EA, as appropriate, conduct field based surveys, using qualified specialists.
	3. Consult concerned government authorities, relevant non-governmental organizations, relevant experts and local people in documenting the presence and significance of PCR, assessing the nature and extent of potential impacts on these resources, and designing and implementing mitigation plans.
	4. For materials that may be discovered during project implementation, provide for the use of "chance find" procedures in the context of the PCR management plan or PCR component of the environmental management plan.

	5. Disclose draft mitigation plans as part of the EA or equivalent process, in a timely manner, before appraisal formally begins, in an accessible place and in a form and language that are understandable to key stakeholders.
Objectives	Operational Principles
H. Safety of Dams	
To assure quality and safety in the design and construction of new dams and the rehabilitation of existing dams, and in carrying out activities that may be affected by an existing dam.	1. Identify existing dams and dams under construction that can influence the performance of the project and implement necessary safety measures/remedial works.
	2. Use experienced and competent professionals to design and supervise the construction, operation, and maintenance of dams and associated works.
	3. Develop detailed plans, including for construction supervision, instrumentation, operation and maintenance and emergency preparedness.
	4. Use independent advice on the verification of design, construction, and operational procedures and appoint independent panels of experts for large or high hazard dams.
	5. Use contractors that are qualified and experienced to undertake planned construction activities.
	6. Carry out periodic safety inspections of new/rehabilitated dams after completion of construction/rehabilitation, review/monitor implementation of detailed plans and take appropriate action as needed.

The 1998 Pollution Prevention and Abatement Handbook is being updated. For complete reference, consult the [World Bank Group Environmental Health and Safety Guidelines](http://www1.ifc.org/wps/wcm/connect/Topics_Ext_Content/IFC_External_Corporate_Site/IFC+Sustainability/Sustainability+Framework/Environmental,+Health,+and+Safety+Guidelines/). The EHS Guidelines are intended as living documents and may be amended and supplemented from time to time. Please check the website [http://www1.ifc.org/wps/wcm/connect/Topics_Ext_Content/IFC_External_Corporate_Site/IFC+Sustainability/Sustainability+Framework/Environmental,+Health,+and+Safety+Guidelines/] for the most recent version.

Annex 4. CCBA and Care International's SES

Principle 1: Rights to lands, territories and resources⁴ are recognized and respected⁵ by the REDD+ program	
Criteria	Framework for indicators⁶
<p>1.1 The REDD+ program⁷ effectively identifies the different rights holders⁸ (statutory and customary⁹) and their rights to lands, territories and resources relevant to the program.</p>	<p>1.1.1 A participatory process is established to inventory and map existing statutory and customary lands, territories and resources tenure/use/access/management rights relevant to the program including those of marginalized and/or vulnerable groups, and including any overlapping or conflicting rights.</p> <p>1.1.2 Land-use plans including forest management plans¹⁰ in areas included in the REDD+ program identify the rights of all relevant¹¹ rights holders and their spatial boundaries including any overlapping or conflicting rights.</p>
<p>1.2 The REDD+ program recognizes and respects both statutory and customary rights¹² to lands, territories and resources which Indigenous Peoples or local communities¹³ have traditionally owned, occupied or otherwise used or acquired.¹⁴</p>	<p>1.2.1 The policies of the National REDD+ program include recognition of and respect for the customary rights of Indigenous Peoples and local communities.</p> <p>1.2.2 Land-use plans including forest management plans in areas included in the REDD+ program recognize and respect customary and statutory rights of Indigenous Peoples and local communities.</p> <p>1.2.3 The REDD+ program promotes securing statutory rights¹⁵ to lands, territories and resources which Indigenous Peoples or local communities have traditionally owned, occupied or otherwise used or acquired.</p>

<p>1.3 The REDD+ program requires the free, prior and informed consent of Indigenous Peoples and local communities for any activities affecting their rights to lands, territories and resources.</p>	<p>1.3.1 The policies of the REDD+ program uphold the principle of free, prior and informed consent of Indigenous Peoples and local communities for any activities affecting their rights to lands, territories and resources.</p> <p>1.3.2 The REDD+ program effectively disseminates information about the requirement for free, prior and informed consent of Indigenous Peoples and local communities for any activities affecting their rights to lands, territories and resources.</p> <p>1.3.3 Collective rights holders define a verifiable process of obtaining their free, prior and informed consent including definition of their own representative and traditional institutions that have authority to give consent on their behalf.</p> <p>1.3.4 Free, prior and informed consent is obtained from Indigenous Peoples, in accordance with their customs, norms and traditions, for activities that may affect their rights, particularly their rights to own and control traditionally owned lands, territories and resources.</p> <p>1.3.5 Free, prior and informed consent is obtained from members of local communities for any activities affecting their customary or other rights to lands, territories and resources pursuant to mutually acceptable procedures.</p> <p>1.3.6 Where any relocation or displacement, whether physical or economic, occurs in accordance with free, prior and informed consent, there is prior agreement on the provision of alternative lands and/or fair compensation, and the right to return once the reasons for the displacement have ceased.</p>
<p>1.4 The REDD+ program identifies and uses a process for effective resolution of any disputes over rights to lands, territories and resources related to the program and does not proceed with any activity that could prejudice the outcome of the dispute resolution process.</p>	<p>1.4.1 A transparent, accessible and effective mechanism to resolve any disputes over rights to land, territories and resources related to the REDD+ program is identified or developed.</p> <p>1.4.2 Disputes over rights to lands, territories and resources created by the REDD+ program are transparently resolved within an agreed time frame.</p>
<p>1.5 Where the REDD+ program enables private ownership¹⁶ of carbon rights¹⁷, these rights are based on the statutory and customary rights to the lands, territories and resources¹⁸ that generated the greenhouse gas emissions reductions and removals.</p>	<p>1.5.1 Where the REDD+ program enables private ownership of carbon rights, a transparent process for defining carbon rights is developed and implemented based on the statutory and customary rights to the lands, territories and resources that generated the greenhouse gas emissions reductions and removals</p>

Principle 2: The benefits of the REDD+ program are shared equitably¹⁹ among all relevant²⁰ rights holders and stakeholders.²¹	
Criteria	Framework for indicators
2.1 The projected costs, potential benefits and associated risks ²² of the REDD+ program are identified for relevant rights holder and stakeholder groups ²³ at all levels ²⁴ using a participatory process.	2.1.1 Projected costs, potential revenues and other benefits and associated risks of the REDD+ program are analyzed for each relevant rights holder and stakeholder groups at all levels using a participatory process.
2.2 Transparent, participatory, effective and efficient ²⁵ mechanisms are established for equitable sharing of benefits of the REDD+ program among and within relevant rights holder and stakeholder groups taking into account costs, benefits and associated risks.	<p>2.2.1 There is full and effective participation²⁶ of relevant rights holders and stakeholders that want to be involved, including the marginalized and/or vulnerable people among them, in defining the decision-making process and the distribution mechanism for equitable benefit-sharing among and within relevant rights holders and stakeholder groups.</p> <p>2.2.2 The REDD+ program adopts an inclusive and transparent process that requires Indigenous Peoples and local communities, including the marginalized and/or vulnerable people among them, to determine the form that the benefits will take, how they are delivered and how they will improve their long-term livelihood security and well-being.</p> <p>2.2.3 Clear policies and guidelines for benefit-sharing are developed, agreed, disseminated and implemented.</p> <p>2.2.4 Administrative procedures for fund management and benefits distribution are timely and cost-effective.</p> <p>2.2.5 The design of the benefit-sharing mechanisms is based on a review of options with respect to the equity, effectiveness²⁷ and efficiency of the REDD+ program.</p> <p>2.2.6 The benefit-sharing process includes a transparent and accessible procedure for submitting and resolving complaints.</p>
2.3 There is transparent and participatory monitoring of the costs and benefits of the REDD+ program, including any revenues, and their distribution among relevant rights holders and stakeholders.	<p>2.3.1 Relevant rights holders and stakeholders, including representatives of the marginalized and/or vulnerable groups, participate effectively in monitoring of the implementation of the agreed benefit-sharing process at national and local levels.</p> <p>2.3.2 Relevant rights holders and stakeholders, including representatives of the marginalized and/or vulnerable groups, participate effectively in the reporting and review of costs, revenues and other benefits and how they have been distributed, taking into account the initial analysis of projected costs, potential benefits and associated risks.²⁸</p>

Principle 3: The REDD+ program improves long-term livelihood²⁹ security and well-being of Indigenous Peoples and local communities with special attention to the most vulnerable people.	
Criteria	Framework for indicators
3.1 The REDD+ program generates additional, positive impacts on the long-term livelihood security and well-being of Indigenous Peoples and local communities, with special attention to the most vulnerable people.	<p>3.1.1 The objectives of the REDD+ program include improving long-term livelihood security and well-being of Indigenous Peoples and local communities, with special attention to the most vulnerable people.</p> <p>3.1.2 The most vulnerable people are identified among the Indigenous Peoples and local communities participating in the REDD+ program.</p> <p>3.1.3 Indigenous Peoples and local communities, including the most vulnerable people among them, acknowledge that they have received benefits from participation in the REDD+ program.</p> <p>3.1.4 The REDD+ program generates additional resources³⁰ to improve long-term livelihood security and well-being of Indigenous Peoples and local communities.</p> <p>3.1.5 Measures are adopted to ensure long-term livelihood security and well-being benefits for Indigenous Peoples and local communities are sustainable.</p>
3.2 There is participatory assessment of positive and negative social, cultural, human rights, environmental and economic impacts of the REDD+ program for Indigenous Peoples and local communities including both predicted and actual impacts.	<p>3.2.1 A participatory process is established and implemented to assess the predicted and actual positive and negative social, cultural, human rights environmental and economic impacts of the REDD+ program for Indigenous Peoples and local communities and specifically for the most vulnerable people among them, including gender differentiated impacts.</p> <p>3.2.2 The social, cultural, human rights, environmental and economic impact monitoring takes a differentiated approach that can identify positive and negative impacts on the most vulnerable people, including gender differentiated impacts.</p>
3.3 The REDD+ program is adapted based on predictive and ongoing impact assessment to mitigate negative, and enhance positive, long-term livelihood security and well-being impacts for indigenous peoples and local communities	<p>3.3.1 Measures to identify and effectively mitigate potential negative impacts on Indigenous Peoples and local communities in general, and the most vulnerable people in particular, are included in the design of the REDD+ program.³¹</p> <p>3.3.2 Feedback from monitoring is used to develop and implement measures to further mitigate potential and actual negative impacts on the most vulnerable people in particular, during the implementation phase of the REDD+ program.</p> <p>3.3.3 Feedback from monitoring results in measures to enhance the positive impacts on Indigenous Peoples and local communities in general, and the most vulnerable people in particular</p>

Principle 4: The REDD+ program contributes to broader sustainable development, respect and protection of human rights and good governance³² objectives.	
Criteria	Framework for indicators
4.1 The REDD+ program contributes to achieving the objectives of sustainable development policies, strategies and plans ³³ established at national and other relevant levels.	<p>4.1.1 The REDD+ program elaborates how its policies and measures will contribute to the implementation of any existing poverty reduction policies, strategies and plans developed at national and other relevant levels.</p> <p>4.1.2 The REDD+ program elaborates how its policies and measures will contribute to the implementation of any existing biodiversity policies, strategies and plans³⁴ developed at national level and other relevant levels.</p> <p>4.1.3 National livelihood, poverty and other millennium development goal monitoring shows improvements in areas where REDD+ program activities are implemented.</p>
4.2 The REDD+ program leads to improvements in governance of the forest sector and other relevant sectors.	<p>4.2.1 The REDD+ program identifies the broader forest governance issues that it can address, particularly those related to the equity³⁵, effectiveness and efficiency of the REDD+ program, and establishes country-specific performance targets.</p> <p>4.2.2 The REDD+ program includes institutional capacity strengthening and other measures that aim to improve these governance aspects.</p> <p>4.2.3 The REDD+ program monitoring and evaluation plan includes key forest governance indicators.</p>
4.3 The REDD+ program contributes to respect and protection of human rights.	<p>4.3.1 The REDD+ program elaborates how its policies and measures will contribute to the improved respect and protection of human rights.</p> <p>4.3.2 The REDD+ program monitoring and evaluation plan includes key human rights indicators.</p>
4.4 There is strong government commitment to the REDD+ program in their country.	<p>4.4.1 REDD+ program institutional arrangements reflect government leadership.</p> <p>4.4.2 Government agencies/organizations play a leading role in the development, implementation and evaluation of the REDD+ program.</p>

<p>4.5 The REDD+ program is coherent with relevant policies, strategies and plans at all relevant levels and there is effective coordination between government and other agencies/organizations responsible for the design, implementation and evaluation of the REDD+ program and other relevant government agencies/organizations</p>	<p>4.5.1 Land use planning elements of the REDD+ program including recognition of customary rights to land territories and resources are consistent with other land use planning processes.</p> <p>4.5.2 The REDD+ program is consistent with national policies and strategies to protect human rights and combat discrimination against marginalized groups.</p> <p>4.5.3 The REDD+ program is integrated into the broader policy framework of the forest sector and other relevant sectors.</p> <p>4.5.4 Inconsistencies between the REDD+ program and other relevant sustainable development, governance, and, human rights policies, strategies and plans are identified and resolved.</p>
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Principle 5: The REDD+ program maintains and enhances³⁶ biodiversity and ecosystem services.³⁷	
Criteria	Framework for indicators
5.1 Biodiversity and ecosystem services potentially affected by the REDD+ program are maintained and enhanced.	<p>5.1.1 Biodiversity and ecosystem services³⁸ potentially affected by the REDD+ program are identified, prioritized and mapped³⁹ at a scale and level of detail appropriate to each element/activity within the program.⁴⁰</p> <p>5.1.2 The objectives of the REDD+ program include making a significant contribution to maintaining and enhancing biodiversity and ecosystem services.</p> <p>5.1.3 The REDD+ program identifies and implements measures that aim to maintain and enhance the identified biodiversity and ecosystem service priorities potentially affected by the REDD+ program.</p> <p>5.1.4 The REDD+ program does not lead to the conversion of natural forests or other areas that important for maintaining and enhancing the identified biodiversity and ecosystem service priorities.</p> <p>5.1.5 The REDD+ program generates additional resources⁴¹ to maintain and enhance biodiversity and ecosystem services.</p>
5.2 The positive and negative environmental impacts of the REDD+ program on biodiversity and ecosystem service priorities and any other negative environmental impacts are assessed including both predicted and actual impacts.	<p>5.2.1 A monitoring plan and indicators are defined for measurement of the identified biodiversity and ecosystem service priorities potentially affected by the REDD+ program drawing from traditional knowledge and scientific research as appropriate.</p> <p>5.2.2 There is an assessment of both predicted and actual environmental impacts of the REDD+ program⁴², involving Indigenous Peoples and local communities and other stakeholders as appropriate.</p>
5.3 The REDD+ program is adapted based on predictive and ongoing impact assessment to mitigate negative, and enhance positive, environmental impacts.	<p>5.3.1 Measures to identify and effectively mitigate potential negative environmental impacts are included in the design of the REDD+ program.</p> <p>5.3.2 Feedback from monitoring is used to develop and implement measures to further mitigate potential and actual negative environmental impacts, during the implementation phase of the REDD+ program.</p>

Principle 6: All relevant⁴³ rights holders and stakeholders participate fully and effectively⁴⁴ in the REDD+ program.	
Criteria	Framework for indicators
6.1 The REDD+ program identifies and characterizes the rights and interests of all rights holder and stakeholder groups ⁴⁵ and their relevance to the REDD+ program.	<p>6.1.1 Rights holder and stakeholder groups are identified including Indigenous Peoples, local communities, with special attention to marginalized and/or vulnerable groups.</p> <p>6.1.2 The rights and interests of each rights holder and stakeholder group in relation to the REDD+ program are characterized, including potential barriers to their participation, and their relevance to the REDD+ program defined.</p> <p>6.1.3 There is a procedure to enable any interested party to apply be considered as a relevant rights holder or stakeholder based on their rights and interests related to REDD+ program.</p>
6.2 All relevant rights holder and stakeholder groups that want to be involved in REDD+ program design ⁴⁶ , implementation ⁴⁷ and evaluation are fully involved through culturally appropriate and effective participation.	<p>6.2.1 A process and institutional structure are established and functional to enable all relevant rights holder and stakeholder groups to participate fully and effectively in program design, implementation and evaluation.</p> <p>6.2.2 There is effective and equitable representation of marginalized and/or vulnerable groups in the rights holder and stakeholder participation process, including women.</p> <p>6.2.3 Consultations about the REDD+ program are tailored to the local context using socially and culturally appropriate methods and are conducted at mutually agreed locations.</p> <p>6.2.4 Local government is involved in the REDD+ program as well as government at national or other relevant levels and their roles and responsibilities are clearly defined.</p> <p>6.2.5 The REDD+ program design and implementation is adapted based on ongoing rights holder and stakeholder participation in design, implementation and evaluation of the program.</p> <p>6.2.6 Relevant rights holders and stakeholder groups have access to sufficient resources to participate fully and effectively in the design, implementation and evaluation of the REDD+ program.</p>
6.3 The relevant rights holder and stakeholder groups determine, in a verifiable manner, the process and mechanism by which they will participate and be represented in relation to the REDD+ program, taking account of statutory and customary institutions.	<p>6.3.1 The participation processes employed by the REDD+ program are developed with and approved by the relevant rights holder and stakeholder groups, taking account of statutory and customary institutions and practices.</p> <p>6.3.2 The REDD+ program recognizes and respects and does not undermine rights holder and stakeholder groups' own decision-making structures and processes particularly those of Indigenous Peoples and local communities.</p> <p>6.3.3 Rights holder and stakeholder groups select their own representatives to participate in decision-making about the REDD+ program.</p> <p>6.3.4 Rights holder and stakeholder group representatives ensure effective involvement of, and accountability to, the people they represent, informing them about how the REDD+ program could potentially affect them and facilitating discussion and feedback.</p>

<p>6.4 The relevant rights holders and stakeholder groups have a good understanding of the key issues related to the REDD+ program and the capacity to participate effectively.</p>	<p>6.4.1 Information dissemination and other awareness-raising activities ensure that relevant rights holders and stakeholders have a good understanding of the REDD+ program, particularly Indigenous Peoples and local communities, including marginalized and vulnerable people among them.</p> <p>6.4.2 Constraints to the effective participation of relevant rights holder and stakeholder groups in design, implementation and evaluation are identified and resolved through effective capacity- building that is appropriate to the situation and needs of the groups concerned.</p>
<p>6.5 Design, implementation and evaluation of the REDD+ program builds on, respects and supports rights holders' and stakeholders' traditional and other knowledge, skills and management systems including those of Indigenous Peoples and local communities.</p>	<p>6.5.1 A process is established to identify traditional and other knowledge, skills and management systems of relevance to the REDD+ program.</p> <p>6.5.2 The REDD+ program builds on and respects, as appropriate, the identified relevant rights holder and stakeholder traditional and other knowledge, skills and management systems in planning, implementation and evaluation.</p> <p>6.5.3 Where the traditional knowledge, innovations and practices of Indigenous Peoples and local communities is used, recorded or exploited, this is with their free, prior and informed consent in accordance with relevant international standards.⁴⁸</p>
<p>6.6 Mechanisms are in place to receive and resolve grievances and disputes effectively relating to the design, implementation and evaluation of the REDD+ program.</p>	<p>6.6.1 A transparent, impartial, and accessible process is established to address grievances and disputes that arise during REDD+ program design, implementation and evaluation including a process for hearing, responding to and resolving rights holder and stakeholder grievances within an agreed time period.</p> <p>6.6.2 The grievance and dispute resolution process is publicized to all rights holders and stakeholders.</p> <p>6.6.3 Rights holders and stakeholders have information on and are able to access relevant international mechanisms to resolve grievances related to the operational procedures of relevant international agencies and/or international treaties, conventions or other instruments.</p>
<p>6.7 Rights holders and stakeholders have access to legal advice and understand relevant legal processes, and legal and financial implications related to the REDD+ program.</p>	<p>6.7.1 A legal advice service is available and accessible to rights holders and stakeholders to advise them on relevant legal processes and legal and financial implications related to the REDD+ program.</p>

Principle 7: All rights holders and stakeholders have timely access to appropriate and accurate information to enable informed decision-making and good governance of the REDD+ program.	
Criteria	Framework for indicators
7.1 Adequate information about the REDD+ program is publicly available to promote general awareness and good governance.	<p>7.1.1 Adequate information about the REDD+ program is made publicly available and accessible to potentially interested members of the public, including information about program design, implementation and evaluation, including social and environmental impact assessment, benefit-sharing, biodiversity and ecosystem services and rights to lands, territories, resources.</p> <p>7.1.2 Government policies support free and timely stakeholder access to information about the REDD+ program, including information on rights to lands, territories, resources.</p>
7.2 Rights holders and stakeholders have the information that they need about the REDD+ program, provided in a culturally appropriate and timely way, to participate fully and effectively in program design, implementation and evaluation, including information about potential social, cultural, economic and environmental risks and opportunities, legal implications, and the global and national context.	<p>7.2.1 Rights holders and stakeholders know what information is available about the REDD+ program and how to access it.</p> <p>7.2.2 The most effective means of dissemination of information about the REDD+ program are identified and used for each rights holder and stakeholder group.</p> <p>7.2.3 Rights holders and stakeholders have access to relevant information about the REDD+ program, including the results of monitoring and evaluation, potential social, cultural, economic and environmental risks and opportunities, legal implications, opportunities to participate in decision-making processes, grievance mechanisms and the global, national and local context.</p> <p>7.2.4 Indigenous Peoples and local communities, including marginalized and/or vulnerable groups among them, have access to the relevant information they need about the REDD+ program in a form they understand.</p>
7.3 Rights holder and stakeholder group representatives collect and disseminate all relevant information about the REDD+ program from and to the people they represent in an appropriate and timely way.	<p>7.3.1 Rights holder and stakeholder group representatives collect and disseminate all relevant information related to the REDD+ program from and to the people they represent.</p> <p>7.3.2 A process is established to ensure that rights holders and stakeholders receive and supply all relevant information related to the REDD+ program through their representatives.</p>
7.4 Information is available and disseminated about the REDD+ program in time to enable rights holder and stakeholder feedback to their representatives and respecting the time needed for inclusive decision making.	7.4.1 Information is available and disseminated about the REDD+ program allowing adequate time between information dissemination and decision-making to enable rights holders and stakeholders to coordinate their response.
7.5 The REDD+ program makes sufficient resources available to provide and collect information in a timely and appropriate manner.	7.5.1 There are sufficient resources to ensure that relevant information about the REDD+ program is disseminated to, and collected from, rights holders and stakeholders in a timely and appropriate manner.

Principle 8: The REDD+ program complies with applicable local⁴⁹ and national laws and international treaties, conventions and other instruments.⁵⁰

Criteria	Framework for indicators
<p>8.1 The REDD+ program complies with applicable local law, national law and international treaties, conventions and other instruments ratified or adopted by the country.</p>	<p>8.1.1 International treaties, conventions and other instruments ratified or adopted by the country relevant to the REDD+ program are identified.</p> <p>8.1.2 National and local laws relevant to the REDD+ program are identified.</p> <p>8.1.3 The REDD+ program recognizes and respects the human rights⁵¹ of Indigenous Peoples and local communities, including women and other marginalized groups, as defined by national and international law.</p> <p>8.1.4 Any possible areas where the design and/or implementation REDD+ program does not, or may not, comply with the relevant local and national laws and international treaties, conventions and other instruments⁵² are identified⁵³ and monitored, and appropriate measures are taken to ensure compliance.</p>
<p>8.2 Where local or national law is not consistent with the standards, a review process should be undertaken that results in a plan to resolve the inconsistencies.</p>	<p>8.2.1 A review process is established to address the inconsistencies between the standards and local or national law, including preexisting laws and changes in the legal framework that may occur during implementation of the REDD+ program.</p>
<p>8.3 Relevant⁵⁴ rights holders and stakeholders have the capacity to understand, implement and monitor legal requirements related to the REDD+ program.</p>	<p>8.3.1 Relevant rights holders and stakeholders have the capacity to enable them to understand, implement and monitor legal requirements related to the REDD+ program.</p>

³ 'Country-specific interpretation' refers to interpretation at the level of jurisdiction leading the REDD+ program.

⁴ 'Resources' is understood to include ecosystem services provided by these resources.

⁵ 'Respect' is taken to include not undermining or prejudicing rights.

⁶ This framework for indicators identifies key elements for each criterion. There will be a process for country-specific interpretation to develop a set of indicators that are tailored to the context of a particular country.

⁷ The REDD+ program comprises objectives, policies and measures developed for the program and other relevant policies that support it.

⁸ Including holders of individual rights and Indigenous Peoples and others who hold collective rights.

⁹ 'Customary rights' to lands and resources refers to patterns of long-standing community land and resource usage in accordance with Indigenous Peoples' and local communities' customary laws, values, customs, and traditions, including seasonal or cyclical use, rather than formal legal title to land and resources issued by the State.

¹⁰ Recognizing that any land use and forest management plans developed under the REDD+ program should be developed with full and effective participation of all relevant stakeholders and rights holders in accordance with criterion 6.2.

¹¹ 'Relevant' rights holders are identified by the REDD+ program in accordance with criterion 6.1.

¹² Including individual and collective rights.

¹³ Wherever the term Indigenous Peoples and local communities is used through these standards it is implicit that particular attention will be paid to marginalized and/or vulnerable groups within these communities

¹⁴ In particular, recognizing that Indigenous Peoples have the right to own, use, develop and control the lands, territories and resources that they possess by reason of traditional ownership or other traditional occupation or use, as well as those that they have otherwise acquired.

¹⁵ Includes securing existing statutory rights and conversion of customary rights to statutory rights.

¹⁶ Ownership of carbon rights may be individual or collective

¹⁷ 'Carbon rights' are defined as the rights to enter into contracts and national or international transactions for the transfer of ownership of greenhouse gas emissions reductions or removals and the maintenance of carbon stocks.

¹⁸ 'The statutory and customary rights to the lands, territories and resources and the rights holders relevant to the REDD+ program' are identified in accordance with criterion 1.1.

¹⁹ 'Equity' and 'equitable' are defined as just, impartial and fair to all parties including marginalized and vulnerable groups.

²⁰ 'Relevant' rights holder and stakeholder groups are identified by the REDD+ program in accordance with criterion 6.1.

²¹ 'Rights holders' are those whose rights are potentially affected by the REDD+ program and 'stakeholders' are those whose interests are potentially affected by the program.

²² All analysis of costs, benefits and risks should include those that are direct and indirect and include social, cultural, human rights, environmental and economic aspects. Costs should include those related to responsibilities and also opportunity costs. All costs,

benefits and risks should be compared against the reference scenario which is the most likely land-use scenario in the absence of the REDD+ program.

²³ 'Relevant rights holder and stakeholder groups' are identified in accordance with criterion 6.1.

²⁴ At local, national and other relevant levels.

²⁵ 'Efficient' is defined as achieving the target with minimum cost, effort and time.

²⁶ 'Full and effective participation' means meaningful influence of all relevant rights holders and stakeholders who want to be involved throughout the process, ensuring they have prior access to adequate information.

²⁷ The 'effectiveness' of the REDD+ program is defined as the extent to which the emissions reductions and other goals of the program are achieved.

²⁸ 'The initial analysis of projected costs, potential benefits and associated risks for each rights holder and stakeholder group' undertaken in accordance with criterion 2.1.

²⁹ 'Livelihoods' are based on social, cultural, human, financial, natural, physical and political capabilities/assets.

³⁰ Resources should be additional compared with those available under the reference scenario which is the most likely land-use scenario in the absence of the REDD+ program.

³¹ Recognizing that any mitigation measures within the REDD+ program should be developed and implemented with full and effective participation of all relevant rights holders and stakeholders in accordance with criterion 6.2

³² The elements of good governance include accessibility, people's participation, transparency, accountability, rule of law, predictability, justice and sustainability.

³³ E.g. poverty reduction strategies/targets, national/government budgets, biodiversity strategies, conservation policies and regulations, climate change strategies, adaptation plans etc.

³⁴ Including public, private and community protected areas.

³⁵ 'Equity' and 'equitable' are defined as just, impartial and fair to all parties including marginalized and vulnerable groups

³⁶ Impacts on biodiversity and ecosystem services are relative to the reference scenario which is the most likely land-use scenario in the absence of the REDD+ program.

³⁷ 'Ecosystem services' in this context refers to services other than greenhouse gas emissions reductions or removals.

³⁸ Including biodiversity and ecosystem service priorities identified in existing national biodiversity strategy and action plans (NBSAP), gap analyses supporting the Convention on Biological Diversity 2010 targets or application of frameworks aligned with these efforts such as multilateral development bank safeguards (World Bank OP 4.04, IFC Performance Standard 6), key biodiversity areas, high conservation value areas and other relevant systematic conservation planning approaches.

³⁹ Including natural forest and areas important for the conservation of biodiversity and ecosystem service priorities and paying specific attention to any plans to expand non-native forests and their impacts on biodiversity and ecosystem service priorities.

⁴⁰ Including but are not limited to areas of significance for threatened or endemic species, for significant concentrations or source populations of other species, for ecosystems and for ecosystem services of economic, climate change adaptation, cultural or religious importance to stakeholders, particularly Indigenous Peoples and local communities.

⁴¹ Resources should be additional compared against the reference scenario which is the most likely land-use scenario in the absence of the REDD+ program.

⁴² For example through strategic environmental assessment or environmental impact assessments ⁴³ The 'relevant' rights holder and stakeholder groups are identified by the REDD+ program in accordance with criterion 6.1.

⁴⁴ 'Full and effective participation' means meaningful influence of all relevant rights holder and stakeholder groups who want to be involved throughout the process, and includes consultation and free, prior and informed consent..

⁴⁵ Groups of rights holders or stakeholders who have a similar rights or interests with respect to the REDD+ program.

⁴⁶ Including the development of land use and forest management plans related to the REDD+ program.

⁴⁷ 'Implementation' is understood to include on-going planning/decision-making as well as the implementation of the activities

⁴⁸ E.g. the Convention on Biological Diversity

Annex 5. Comparison of Cancun Safeguards with CCB Standards

Comparison of Cancun seven safeguards principles with CCB standards

Cancun Principles	a	b	c	d	e	f	g
Sections from CCB Standards Third Edition	Section G5.6	Not applicable	Section G5.1-3	Section G3.1-6; G5.2-3	Section B1-4; CM1-4	Section G1.10-11	Section CL3; CM3; B3

Principle A: Actions complement or are consistent with the objectives of national forest programmes and relevant international conventions and agreements

CCB Section: G5.6

6. Submit a list of all national and local laws (all norms given by organisms of government whose jurisdiction is less than the national level, such as departmental, municipal and customary norms) and regulations in the host country that are relevant to the project activities. Provide assurance that the project is complying with these and, where relevant, demonstrate how compliance is achieved.

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

Not Applicable

Principle 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 as adopted the United National Declaration on the Rights of Indigenous Peoples

CCB Section G5. 1-3

Respect for rights to lands, territories and resources, and Free, Prior and Informed Consent

1. Describe and map statutory and customary⁵⁷ tenure/use/access/management rights to lands, territories and resources in the Project Zone including individual and collective rights and including overlapping or conflicting rights. If applicable, describe measures needed and *taken* by the project to help to secure statutory rights. *Demonstrate* that all Property Rights are recognized, respected, and supported.

2. *Demonstrate* with documented consultations and agreements that

a. the project will not encroach uninvited on private property, community property, or government property,

b. the Free, Prior, and Informed Consent⁵⁹ *has been obtained* of those whose property rights are affected by the project through a transparent, agreed process.

Free, Prior and Informed Consent is defined as:

- '**Free**' means no coercion, intimidation, manipulation, threat and bribery;
- '**Prior**' means sufficiently in advance of any authorization or commencement of activities and respecting the time requirements of their decision-making processes;
- '**Informed**' means that information is provided that covers (at least) the following aspects

- a. the nature, size, pace, reversibility and scope of any proposed project or activity;
- b. the reason/s or purpose of the project and/or activity;
- c. the duration of the above;
- d. the locality of areas that will be affected;
- e. a preliminary assessment of the likely economic, social, cultural and environmental impact, including potential risks and fair and equitable benefit sharing in a context that respects the precautionary principle;
- f. personnel likely to be involved in the execution of the proposed project (including Indigenous Peoples, private sector staff, research institutions, government employees, and others); and
- g. procedures that the project may entail; and

- '**Consent**' means that there is the option of withholding consent and that the parties have reasonably understood it.

- Collective rights holders must be able to participate through their own freely chosen representatives and customary or other institutions following a transparent process for obtaining their Free, Prior and Informed Consent that they have defined.

c. appropriate restitution or compensation has been allocated to any parties whose lands have been or will be affected by the project.

3. *Demonstrate* that project activities do not lead to involuntary removal or relocation of Property Rights Holders from their lands or territories, and does not force them to relocate activities important to their culture or livelihood. If any relocation of habitation or activities is undertaken within the terms of an agreement, the project proponents must *demonstrate* that the agreement was made with the Free, Prior, and Informed Consent of those concerned and includes provisions for just and fair compensation.

Principle D: The full and effective participation of relevant stakeholders, in particular indigenous peoples and local communities

CCB Section G3. 1-6

Access to information

1. Describe how full project documentation has been made accessible to Communities and Other Stakeholders, how summary project documentation (including how to access full documentation) has been actively disseminated to Communities in relevant local or regional languages, and how widely publicized information meetings have been held with Communities and Other Stakeholders.
2. Explain how relevant and adequate information about potential costs, risks and benefits to Communities has been provided to them in a form they understand and in a timely manner prior to any decision they may be asked to make with respect to participation in the project.
3. Describe the measures taken, and communications methods used, to explain to Communities and Other Stakeholders the process for validation and/or verification against the CCB Standards by an independent Auditor, providing them with timely information about the Auditor's site visit before the site visit occurs and facilitating direct and independent communication between them or their representatives and the Auditor.

Consultation

4. Describe how Communities including all the Community Groups and Other Stakeholders have influenced project design and *implementation* through Effective Consultation, particularly with a view to optimizing Community and Other Stakeholder benefits, respecting local customs, values and institutions and maintaining high conservation values. Project proponents must document consultations and indicate if and how the project design and implementation has been revised based on such input. A plan must be developed and *implemented* to continue communication and consultation between the project

proponents and Communities, including all the Community Groups, and Other Stakeholders about the project and its impacts to facilitate adaptive management throughout the life of the project.

5. Demonstrate that all consultations and participatory processes have been undertaken directly with Communities and Other Stakeholders or through their legitimate representatives, ensuring adequate levels of information sharing with the members of the groups.

Participation in decision-making and implementation

6. Describe the measures needed and *taken* to enable effective participation, as appropriate, of all Communities, including all the Community Groups, that want and need to be involved in project design, implementation, monitoring and evaluation throughout the project lifetime, and describe how they have been implemented in a culturally appropriate and gender sensitive manner.

CCB Section G5. 2-3

Respect for rights to lands, territories and resources, and Free, Prior and Informed Consent

2. *Demonstrate* with documented consultations and agreements that

a. the project will not encroach uninvited on private property, community property, or government property,

b. the Free, Prior, and Informed Consent⁵⁹ *has been obtained* of those whose property rights are affected by the project through a transparent, agreed process.

Free, Prior and Informed Consent is defined as:

- '**Free**' means no coercion, intimidation, manipulation, threat and bribery;

- '**Prior**' means sufficiently in advance of any authorization or commencement of activities and respecting the time requirements of their decision-making processes;

- '**Informed**' means that information is provided that covers (at least) the following aspects

a. the nature, size, pace, reversibility and scope of any proposed project or activity;

b. the reason/s or purpose of the project and/or activity;

c. the duration of the above;

d. the locality of areas that will be affected;

e. a preliminary assessment of the likely economic, social, cultural and environmental impact, including potential risks and fair and equitable benefit sharing in a context that respects the precautionary principle;

f. personnel likely to be involved in the execution of the proposed project (including Indigenous Peoples, private sector staff, research institutions, government employees, and others); and

g. procedures that the project may entail; and

- '**Consent**' means that there is the option of withholding consent and that the parties have reasonably understood it.

- Collective rights holders must be able to participate through their own freely chosen representatives and customary or other institutions following a transparent process for obtaining their Free, Prior and Informed Consent that they have defined.

c. appropriate restitution or compensation has been allocated to any parties whose lands have been or will be affected by the project.

3. *Demonstrate* that project activities do not lead to involuntary removal or relocation of Property Rights Holders from their lands or territories, and does not force them to relocate activities important to their culture or livelihood. If any relocation of habitation or activities is undertaken within the terms of an agreement, the project proponents must *demonstrate* that the agreement was made with the Free, Prior, and Informed Consent of those concerned and includes provisions for just and fair compensation.

Principle E: Actions are consistent with the conservation of natural forests and biological diversity, ensuring that REDD+ activities 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

CCB Section B1-4

B1. Biodiversity Without–project Scenario

1. Describe biodiversity within the Project Zone at the start of the project and threats to that biodiversity, using appropriate methodologies.
2. Evaluate whether the Project Zone includes any of the following High Conservation Values (HCVs) related to biodiversity and describe the qualifying attributes for any identified HCVs:
 - a. Globally, regionally or nationally significant concentrations of biodiversity values;
 - i. protected areas
 - ii. threatened species
 - iii. endemic species
 - iv. areas that support significant concentrations of a species during any time in their lifecycle.
 - b. Globally, regionally or nationally significant large landscape-level areas where viable populations of most if not all naturally occurring species exist in natural patterns of distribution and abundance;
 - c. Threatened or rare ecosystems.Identify the areas that need to be managed to maintain or enhance the identified HCVs.
3. Describe how the without-project land use scenario would affect biodiversity conditions in the Project Zone.

B2. Net Positive Biodiversity Impacts

1. Use appropriate methodologies to estimate changes in biodiversity, including assessment of predicted and actual, positive and negative, direct and indirect impacts, resulting from project activities under the with-project scenario in the Project Zone and over the project lifetime. This estimate must be based on clearly defined and defensible assumptions.
2. *Demonstrate* that the project's net impacts on biodiversity in the Project Zone are positive, compared with the biodiversity conditions under the without-project land use scenario (described in B1).
3. Describe measures needed and *taken* to mitigate negative impacts on biodiversity and any measures needed and *taken* for maintenance or enhancement of the High Conservation Value attributes (identified in B1.2) consistent with the precautionary principle.
4. *Demonstrate* that no High Conservation Values (identified in B1.2) are negatively affected by the project.
5. Identify all species used by the project and *show* that no known invasive species are introduced into any area affected by the project and that the population of any invasive species does not increase as a result of the project.
6. Describe possible adverse effects of non-native species used by the project on the region's environment, including impacts on native species and disease introduction or facilitation. Justify any use of non-native species over native species.
7. *Guarantee* that no GMOs are used to generate GHG emissions reductions or removals.
8. Describe the possible adverse effects of, and justify the use of, fertilizers, chemical pesticides, biological control agents and other inputs used for the project.
9. Describe the process for identifying, classifying and managing all waste products resulting from project activities.

B3. Offsite Biodiversity Impacts

1. Identify potential negative impacts on biodiversity that the project activities are likely to cause outside the Project Zone.

2. Describe the measures needed and *taken* to mitigate these negative impacts on biodiversity outside the Project Zone.
3. Evaluate unmitigated negative impacts on biodiversity outside the Project Zone and compare them with the project's biodiversity benefits within the Project Zone. Justify and demonstrate that the net effect of the project on biodiversity is positive.

B4. Biodiversity Impact Monitoring

1. Develop and implement a monitoring plan that identifies biodiversity variables to be monitored, the areas to be monitored, the sampling methods, and the frequency of monitoring and reporting. Monitoring variables must be directly linked to the project's biodiversity objectives and to predicted activities, outcomes and impacts identified in the project's causal model related to biodiversity (described in G1.8).
2. Develop and implement a monitoring plan to assess the effectiveness of measures taken to maintain or enhance all identified High Conservation Values related to globally, regionally or nationally significant Biodiversity (identified in B1.2) present in the Project Zone.
3. Disseminate the monitoring plan and the results of monitoring, ensuring that they are made publicly available on the internet and summaries are communicated to the Communities and Other Stakeholders through appropriate means.

CCB Section CM1-4

CM1. Without-Project Community Scenario

1. Describe the Communities at the start of the project and significant community changes in the past, including well-being information, and any community characteristics. Describe the social, economic and cultural diversity within the Communities and the differences and interactions between the Community Groups.
2. Evaluate whether the Project Zone includes any of the following High Conservation Values (HCVs) related to community well-being and describe the qualifying attributes for any identified HCVs:
 - a. Areas that provide critical ecosystem services;
 - b. Areas that are fundamental for the livelihoods of Communities; and
 - c. Areas that are critical for the traditional cultural identity of Communities. Identify the areas that need to be managed to maintain or enhance the identified HCVs.
3. Describe the expected changes in the well-being conditions and other characteristics of Communities under the without-project land use scenario, including the impact of likely changes on all ecosystem services in the Project Zone identified as important to Communities.

CM2. Net Positive Community Impacts

1. Use appropriate methodologies to assess the impacts, including predicted and actual, direct and indirect benefits, costs and risks, on each of the identified Community Groups (identified in G1.5) resulting from project activities under the with-project scenario. The assessment of impacts must include changes in well-being due to project activities and an evaluation of the impacts by the affected Community Groups. This assessment must be based on clearly defined and defensible assumptions about changes in well-being of the Community Groups under the with-project scenario, including potential impacts of changes in all ecosystem services identified as important for the Communities (including water and soil resources), over the project lifetime.
2. Describe measures needed and *taken* to mitigate any negative well-being impacts on Community Groups and for maintenance or enhancement of the high conservation value attributes (identified in CM1.2) consistent with the precautionary principle.

3. *Demonstrate* that the net well-being impacts of the project are positive for all identified Community Groups⁹⁸ compared with their anticipated well-being conditions under the without project land use scenario (described in CM1).

3. *Demonstrate* that no High Conservation Values (identified in CM1.4) are negatively affected by the project.

CM3. Other Stakeholder Impacts

1. Identify any potential positive and negative impacts that the project activities are likely to cause on the well-being of Other Stakeholders.

2. Describe the measures needed *and taken* to mitigate the negative well-being impacts on Other Stakeholders.

3. Demonstrate that the project activities do not result in net negative impacts on the well-being of Other Stakeholders.

CM 4. Community Impact Monitoring

1. Develop and implement a monitoring plan that identifies community variables to be monitored, Communities, Community Groups and Other Stakeholders to be monitored, the types of measurements, the sampling methods, and the frequency of monitoring and reporting. Monitoring variables must be directly linked to the project's objectives for Communities and Community Groups and to predicted outputs, outcomes and impacts identified in the project's causal model related to the well-being of Communities (described in G1.8). Monitoring must assess differentiated impacts, including and benefits, costs and risks, for each of the Community Groups and must include an evaluation by the affected Community Groups.

2. Develop and implement a monitoring plan to assess the effectiveness of measures taken to maintain or enhance all identified High Conservation Values related to community well-being.

3. Disseminate the monitoring plan, and any results of monitoring undertaken in accordance with the monitoring plan, ensuring that they are made publicly available on the internet and summaries are communicated to the Communities and Other Stakeholders through appropriate means.

Principle F: Actions to address the risks of reversals

CCB Section G1.10-11

Risk Management and Long-term Viability

10. Identify likely natural and human-induced risks²⁶ to the expected climate, community and biodiversity benefits during the project lifetime and outline measures needed *and taken* to mitigate these risks.

11. Describe the measures needed *and taken* to maintain and enhance the climate, community and biodiversity benefits beyond the project lifetime.

Principle G: Actions to reduce displacement of emissions

CCB Section CL3

CL3. Offsite Climate Impacts ('Leakage')

1. Determine the types of Leakage⁷⁷ that are expected and estimate offsite increases in GHG emissions due to project activities using an Approved or Defensible methodological approach. Where relevant, define and justify where Leakage is most likely to take place.

2. Describe the measures taken to mitigate Leakage.

3. Non-CO₂ emissions must be included if they are likely to account for more than 20% of the total Leakage emissions (in terms of CO₂-equivalent) following the procedures for including or excluding non-CO₂ emissions described in CL 2.1.'

CCB Section CM3

CM3. Other Stakeholder Impacts

1. Identify any potential positive and negative impacts that the project activities are likely to cause on the well-being of Other Stakeholders.
2. Describe the measures needed *and taken* to mitigate the negative well-being impacts on Other Stakeholders.
3. Demonstrate that the project activities do not result in net negative impacts on the well-being of Other Stakeholders.

CCB Section B3

B3. Offsite Biodiversity Impacts

1. Identify potential negative impacts on biodiversity that the project activities are likely to cause outside the Project Zone.
2. Describe the measures needed *and taken* to mitigate these negative impacts on biodiversity outside the Project Zone.
3. Evaluate unmitigated negative impacts on biodiversity outside the Project Zone and compare them with the project's biodiversity benefits within the Project Zone. Justify and demonstrate that the net effect of the project on biodiversity is positive.

Annex 6 compare VCS Components of REDD+ with the UNFCCC+ activities

UNFCCC REDD+ activities	Broad VCS jurisdictional and nested REDD+ activities	Major activities	Broad VCS project activities	Specific VCS project activities
RED (Reducing Emissions from Deforestation)	Reducing Emissions from Deforestation	Reducing deforestation (conversion of forest to non-forest).	REDD (Reduced Emissions from Deforestation and Degradation)	APD (avoided planned deforestation)
				APD + RWE (avoided planned deforestation plus wetland restoration)
				APD + CIW (avoided planned deforestation and wetland conservation)
				AUD (avoided unplanned deforestation)
				AUD + RWE (avoided unplanned deforestation plus wetland restoration)
				APD + CIW (avoided planned deforestation and wetland conservation)
REDD (Reducing Emissions from Degradation)	Reducing Emissions from Degradation	Reducing emissions from forests remaining forests.	REDD (Reduced Emissions from Deforestation and Degradation)	AUDD (avoided unplanned degradation)
				AUDD + RWE (avoided unplanned degradation plus wetland restoration)
				AUDD + CIW (avoided unplanned degradation and wetland conservation)
			IFM (Improved Forest Management)	RIL (reduced impact logging)
				LtPF (logged to protected forest)
				ERA (extended rotation age)
REDD+ (Sustainable)	Enhancement of forest carbon stocks	Increasing removals from forests	REDD+ (Sustainable)	IFM + RWE (improved forest management plus wetland restoration)
				IFM + CIW (improved forest management and wetland conservation)
				LtHP (low productive to high-productive forest)

management of forests and enhancement of forest carbon stocks)		remaining forests	ARR (Afforestation, Reforestation and Revegetation)	ARR (afforestation, reforestation and revegetation)
		Increasing conversion to forests.		ARR + RWE (afforestation, reforestation and revegetation plus wetland restoration)
				ARR (afforestation, reforestation and revegetation)
				ARR + RWE (afforestation, reforestation and revegetation plus wetland restoration) and wetland conservation)
REDD+ (Sustainable management of forests and enhancement of forest carbon stocks)	Enhancement of forest carbon stocks	Increasing removals from forests remaining forests	ARR (Afforestation, Reforestation and Revegetation)	LtHP (low productive to high-productive forest)
				ARR (afforestation, reforestation and revegetation)
				ARR + RWE (afforestation, reforestation and revegetation plus wetland restoration)
		Increasing conversion to forests.		ARR (afforestation, reforestation and revegetation)
				ARR + RWE (afforestation, reforestation and revegetation plus wetland restoration)
				ARR + RWE (afforestation, reforestation and revegetation plus wetland restoration)

Annex 7: Plan Vivo

Table xx summarizes the standard a Plan Vivo project must meet

Theme	Standard	Indicators for Validation/Verification
<p>Effective And Transparent Project Governance</p>	<p>The project has established an effective governance structure. Roles and lines of accountability are clear. The project coordinator has the following core capabilities:</p> <p>Administrative:</p> <ul style="list-style-type: none"> · Legal and organisational framework with the ability and capacity to aggregate carbon from multiple land-owners and transact to purchasers, and monitor progress across all project operations. <p>This must include:</p> <ol style="list-style-type: none"> 1. A legal entity (project coordinator) able to enter into sale agreements with multiple producers or producer groups for carbon services; 2. Standard sale agreement templates for the provision of carbon services; 3. Transparent and audited financial accounts able to the secure receipt, holding and disbursement of payments to producers; 4. All necessary legal permissions to carry out the intended activities; 5. Mechanisms for participants to discuss issues associated with the design and running of the project. <p>Technical:</p> <ul style="list-style-type: none"> · Able to assist producers in planning and implementing productive, sustainable and economically viable forestry and agroforestry systems, and provide support for silvicultural and other management operations. 	<ul style="list-style-type: none"> · Approved PDD containing all statutes, articles and agreements stating individual and organizational roles and responsibilities, as well as documented processes for key project activities. · Evidence of individual/ organisation’s relevant experience. · Evidence of community meetings (e.g. minutes, lists of attendees). · Evidence of effective communication between project coordinators and producers (e.g. records of training days, meetings, emails). · Populated, effectively managed database; staff able to explain and demonstrated database functions. <p>Approved annual reports</p>

	<p>Social:</p> <ul style="list-style-type: none"> · Able to select appropriate target groups, inform groups about the Plan Vivo System and the nature of carbon and ecosystem services and establish effective participatory relationships with producers · Able to establish land-tenure rights through engaging with producers and other relevant organisations · Able to consult producers effectively on a sustained basis <p>Projects must on an annual basis, according to the reporting schedule</p> <p>agreed with the Plan Vivo Foundation:</p> <ul style="list-style-type: none"> · Accurately report progress, achievements and problems experienced; · Transparently report sales figures and demonstrate resource allocation in the interest of target groups. 	
<p>Carbon Benefits</p>	<p>Carbon benefits are calculated using recognised carbon accounting methodologies and conservative estimates of carbon uptake/storage that take into account risks of leakage and reversibility.</p> <p>Carbon benefits are measured against a clear and credible carbon baseline.</p> <p>Carbon benefits are additional, i.e. the project and activities supported by the project could not have happened were it not for the availability of carbon finance.</p> <p>Specifically this means demonstrating, as a minimum:</p> <p>(1) The project does not owe its existence to legislative decrees or to commercial land-use initiatives likely to have been economically viable in their own right without payments for ecosystem services; and</p>	<ul style="list-style-type: none"> · Activities relate to one or more approved technical specifications which are being utilised by local technicians. · Baseline analysis. · Additionality analysis · Evidence of subtraction and recording of risk buffer from database. · Evidence of management regimes implemented to minimise risks.

	<p>(2) In the absence of project development funding and carbon finance, financial, social, cultural, technical, ecological or institutional barriers would have prevented the project activity.</p>	
	<ul style="list-style-type: none"> · Potential risks to permanence of carbon stocks are identified in project technical specifications and effective mitigation measures implemented into project design, management and reporting procedures. · Producers enter into sale agreements with the project coordinator agreeing to maintain activities, comply with the monitoring, implement management requirements and re-plant trees felled or lost. · As a minimum, a 10% risk buffer is deducted from the saleable carbon of each producer, where the level of buffer is recommended in the technical specifications according to the level of risk identified, and subsequently reviewed annually following annual reporting. 	
	<p>Potential sources of leakage have been identified and effective mitigation measures implemented.</p>	
	<p>Carbon sales are traceable and recorded in the database.</p>	<ul style="list-style-type: none"> · Database demonstrating effective data management. · Staff able to explain functions of database and data held in it.
	<p>Project has an effective process for monitoring the continued delivery of the ecosystem services, where:</p> <ul style="list-style-type: none"> · Monitoring is carried out against targets specified in technical specifications; · Monitoring is carried out accurately using indicators specified in technical specifications; · Monitoring is accurately documented and reported to the entity responsible for disbursing payments to producers; · Corrective actions are prescribed and recorded where targets are not met, and followed up in subsequent monitoring. 	<ul style="list-style-type: none"> · Documented procedures are consistent and in line with technical specifications. · Monitoring reports. · Field notes. · Evidence that errors followed up with corrective actions from field notes and/or project database. · Evidence of team training.

	<p>Producers draw up Plan Vivos as part of a voluntary and participatory process that ensures proposed land-use activities:</p> <ul style="list-style-type: none"> · Are clear, appropriate and consistent with approved technical specifications for the project; · Will not cause producers' overall agricultural production or revenue potential to become unsustainable or unviable. 	<ul style="list-style-type: none"> · Example Plan Vivos. · Discussions with producers and locals. · Staff able to explain process and criteria for evaluating Plan Vivos. · Evidence of recording systems.
Ecosystem benefits	<p>Planting activities are restricted to native and naturalised species. Naturalised (i.e. non-invasive) species are eligible only where they can be shown to have compelling livelihood benefits and:</p> <ol style="list-style-type: none"> 1. Producers have clearly expressed a wish to use this species; 2. The areas involve are not in immediate proximity to conservation areas or likely to have any significant negative effect on biodiversity; 3. The activity is still additional i.e. the producers in the area are not doing this activity or able to do this activity without the intervention and support of the project; 4. The activity will have no harmful effects on the water-table. 	<ul style="list-style-type: none"> · Approved technical specifications and example Plan Vivos. · Staff awareness of conservation aspects and priorities.
	<p>Wider ecological impacts have been identified and considered expressly including impacts on local and regional biodiversity and impacts on watersheds.</p>	
Livelihood Benefits	<p>Project has undergone a producer/community-led planning process aimed at identifying and defining sustainable land-use activities that serve the community's needs and priorities.</p> <p>Mechanisms are in place for continued training of producers and participation by producers in project development.</p>	<ul style="list-style-type: none"> · Records of meetings and lists of attendees. · Training materials and team notes.
	<p>Project has procedures for entering into sale agreements with producers based on saleable carbon from Plan Vivos, where:</p> <ul style="list-style-type: none"> · Producers have recognised carbon ownership via 	

	<p>tenure or landuse rights;</p> <ul style="list-style-type: none"> · Agreements specify quantity, price, buyer, payment conditions, risk buffer, and monitoring milestones; · An equitable system is in place to determine the share of the total price which is allocated to the producer; · Producers enter into sale agreements voluntarily. 	<ul style="list-style-type: none"> · Staff are able to explain sale agreement conditions and process. · Records of consultation/ training meetings with producers. · Verbal evidence from producers.
	<p>Project has an effective and transparent process for the timely administration and recording of payments to producers, where:</p> <ul style="list-style-type: none"> · Payments are delivered in full when monitoring is successfully completed against targets in sale agreements; · Payments are recorded in the project database to ensure traceability of sales. 	<ul style="list-style-type: none"> · Approved PDD; · Evidence of legally constituted and financially audited Plan Vivo Fund/ Account. · Database with evidence of data management and back-up systems. · Staff able to explain processes for sale agreements and producer payments. · Other evidence of payments (e.g. financial audit reports, verbal evidence from producers).

Annex 8. Gap analyses for policies, laws and regulations in Cambodia

UNFCCC safeguards	SEPC (UN-REDD) SESA (World Bank) SES (CCBA & Care International)	FA	MoE	Fishery	Land/Interior
	<p><u>Identification of possible adverse impacts, costs and risks</u></p> <ul style="list-style-type: none"> Identify, avoid, and mitigate potential adverse impacts, costs and risks on the rights and welfare of indigenous peoples and members of local communities (SESA and SES) Special attention to women and the most marginalized and or vulnerable groups (SES) 	<p>Forest law (2002): (environmental and social impact assessment)</p> <ul style="list-style-type: none"> No specific mention of indigenous peoples or local communities 	<p>Protected area law (2002): (environmental and social impact assessment)</p> <ul style="list-style-type: none"> No specific mention of indigenous peoples or local communities 		
<ul style="list-style-type: none"> Respect for the knowledge and rights of indigenous peoples and 	<p><u>Tenure/rights</u></p> <ul style="list-style-type: none"> Attention to tenure rights (SESA) <ul style="list-style-type: none"> With special focus to legally 	<p>Forest law (2002):</p> <ul style="list-style-type: none"> Recognition of customary, subsistence use rights of forest produces and by products for local communities Recognition of rights of shifting cultivation by indigenous communities registered with the state <p>Sub-decree on community forestry management (2003)</p>	<p>Protected area law (2008)</p> <ul style="list-style-type: none"> Core zone: no access Conservation zone: recognition of access to traditional use, local customs, belief and religions of the local communities the ethnic groups Sustainable zone: same as above + community protected 	<p>Fishery law (2004)</p> <ul style="list-style-type: none"> Traditional use rights of fisheries resources for 	<p>Land law (2002)</p> <ul style="list-style-type: none"> Recognition of right of indigenous peoples to their community and immovable property and their traditions <p>Sub-decree on procedures of registration (2009)</p>

<p>members of local communities</p>	<p>recognize the lands belonging to indigenous peoples (SESA)</p> <ul style="list-style-type: none"> Identify, clarify, recognize, respect and protect both statutory and customary rights of stakeholders to land, territories and resources (SEPC and SES) and to their carbon rights (SEPC) with special attention to women and most vulnerable groups (SEPC) 	<ul style="list-style-type: none"> Additional rights (e.g. harvest.. transport and sell forest products and NTFPs) for members of community forestry <p><u>Sub-decree on measure of using state forest for plantation</u></p> <ul style="list-style-type: none"> Those who received land for plantation have rights to develop, use sell and distribute their products 	<p>area (recognition of use of natural resource in accordance with the management plan but no right to clear or work forest lands)</p>	<p>local communities</p> <ul style="list-style-type: none"> The rights to form a community fisheries in their own areas for sustainable management, conservation development and use of fishery resources 	<ul style="list-style-type: none"> Provide indigenous communities with land tenure to ensure land security and collective ownership <p><u>Sub-decree. Social land concession (2012)</u></p> <ul style="list-style-type: none"> Under the program, the land recipients own the land.
	<p><u>Consent/consultation</u></p> <ul style="list-style-type: none"> Seek (SEPC)/require (SES) Free Informed Consent (FPIC) 		<p><u>Draft law on EIA</u></p> <ul style="list-style-type: none"> Requirement of free prior informed consent There shall be a right of access to information provided in the EIA process Project proponents shall ensure that all project affected persons, have received information about the project and be given the opportunity to fully participate in the public consultation meetings All the public participation shall be recorded and taken into consideration by the Project Proponent during the preparing plan stage and implementation of EIA. The project proponent shall report the details of the public impact and whether those concerns are accepted or rejected. If the public concerns are rejected, the project 		

			proponent must provide the clear reasons why the concerns are rejected in the EIA report (a25: report on public participation)		
	<ul style="list-style-type: none"> Undertake free prior informed consultation (SESA) 	<p><u>Forest law (2002):</u></p> <ul style="list-style-type: none"> Grant an area of production forest after consultation with communities <p><u>Sub-decree on forest concession management (2000)</u> Ensure regular consultation with and participation by local communities in the development of concession management plan</p> <p><u>Sub-decree on Forest Concession Management (2000)</u></p> <ul style="list-style-type: none"> All forest management plans shall be developed by consultation with all relevant parties to define forest management, social, environmental and financial planning criteria; 			
	<p><u>Involuntary resettlement</u></p> <ul style="list-style-type: none"> No involuntary resettlement (SEPC) 	<p><u>Sub-decree on economic land concession (2005)</u></p> <ul style="list-style-type: none"> Prohibition of involuntary resettlement of lawful land holders May not apply for communities without lawful rights 			<p><u>Land law (2002)</u></p> <ul style="list-style-type: none"> of involuntary resettlement of lawful
	<ul style="list-style-type: none"> Avoid or minimize involuntary resettlement and compensate those who are replaced (SESA) 		<p><u>Draft EIA law</u></p> <ul style="list-style-type: none"> Requirement of the involvement of the project affected person in any resettlement planning and requirement of compensation to be provided for lost assets 		
	<p><u>Knowledge, skills and management systems</u></p> <ul style="list-style-type: none"> Respect, support and protect stakeholders traditional and other knowledge, skills, institutions and management 		<p><u>National Biodiversity Strategy and Action Plan (2002)</u></p> <ul style="list-style-type: none"> Respect for the knowledge, innovations and practice of local communities 		

	systems (SEPC and SES)				
	<u>Enhancement of social and economic benefits</u> <ul style="list-style-type: none"> • Provide positive impacts on the long-term livelihood security and well-being of Indigenous Peoples and local communities (SES) • Realize sustainable livelihoods, poverty reduction, and economic development (SEPC, SESA) 	<u>Forestry law (2002)</u> <ul style="list-style-type: none"> • Ensure sustainable forest management • Promote the development of community forestry agreements and programs • Maximize the social, economic, environmental and cultural heritage benefits for Cambodia and its people <u>Sub-decree on Economic Land Concession (2005)</u> <ul style="list-style-type: none"> • Evaluate Economic Land Concession based on the possibility to create increasing employment; and promote living standards of the people 	<u>National Biodiversity Strategy and Action Plan (2002)</u> <ul style="list-style-type: none"> • Reduce poverty in rural communities through appropriate community-based capacity building programs <u>Strategic Plan of the Ministry of Environment 2009-2013</u> <ul style="list-style-type: none"> • Ensure the environmental protection and natural resources preservation in maintaining the sustainable development, improving the environmental quality and human health 	<u>Statement of the Royal Government of Cambodia on the National Fisheries Sector Policy</u> <ul style="list-style-type: none"> • Ensure people's food security and to socioeconomic development in order to enhance people's livelihoods and the nation's prosperity". 	
	<u>Benefit distribution</u> <ul style="list-style-type: none"> • Investigate possible multiple benefits (SES) • Equitable, non-discriminatory and transparent benefit sharing (SEPC, SES) 	<u>Government Decision Sor Chor Nor 699</u> <ul style="list-style-type: none"> • Money from carbon sell shall be used to: <ol style="list-style-type: none"> 1. Improve the quality of the forest; 2. Maximize the benefits to local communities who are participating in the project; and 3. Study potential sites for additional forest carbon credit REDD+ projects 	<u>CCCSP 2013 (2014-2023)</u> <ul style="list-style-type: none"> • Promote micro-financing to facilitate access to credits by local communities for climate change response; • Promote and encourage insurance schemes for reducing climate-risk and disaster burdens on society; 	<u>National Policy on the Development of the Kingdom of Cambodia</u> <ul style="list-style-type: none"> • Enable the IPs to gain benefits under the National Policy on the Development of the Kingdom of Cambodia 	
	<ul style="list-style-type: none"> • Grievance 	<u>Sub-decree on Permanent Forest Estate (2005)</u>	<u>Draft EIA law</u>		<u>Land law (2002)</u>

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	<p>mechanisms</p> <ul style="list-style-type: none"> • Effective resolution of grievances and disputes relating to the design, implementation and evaluation of the REDD+ program (SESA, SES) • Impartial, accessible and fair mechanisms for grievance, conflict resolution and redress 	<ul style="list-style-type: none"> • MAFF via Forestry Administration at district levels shall receive written complaints concerning the creation of permanent forest reserve areas in 90 days from the date that the Prakas has been issued. • In the case of issues or complaints are not be able to solve, the National Committee shall request the decision from the Royal Government. Any part of the permanent forest reserve areas in provinces or municipalities under the process of protesting should be kept and waited for solution and decision from the Royal Government. In the waiting period, no institution or authority has the right to issue letter of approval, certification, or title on the conflicted permanent forest reserve areas. <p>Sub-decree on Forest Concession Management (2000)</p> <ul style="list-style-type: none"> • The bid submissions shall be made freely available for public review for a period of six weeks after identification of the approved bidder, during which time any concerned parties in the bidding process may appeal the bidding decision to the Royal Government- 	<ul style="list-style-type: none"> • Project proponents shall follow the guidelines established by the MOE for receiving and dealing with complaints about environmental problems caused by the project • Project proponents shall consult with the MOE to assist in the mediation process • In the settlement of environmental problems of disputes, all stakeholders have the right to settle their problems through consultation with the Project proponents before taking the action to higher administrative body or court system • The project proponent shall maintain a logbook to record public complaints from project affected persons • Project affected person shall be exempted from payment administrative and legal fees related to the settlement procedures. When the environmental problem is sent to the court, the legal costs shall be paid by the project proponent. 		<ul style="list-style-type: none"> • Disputes over an immovable property of the land possessors shall be submitted for in resolution under determined procedure <p>Sub-decree on Social Economic Land Concession (2005)</p> <ul style="list-style-type: none"> • An applicant, whose name does not appear in the social land concession plan, may request the Provincial/ Municipal Land Use Committee or National Social Land Committee by filing a written letter within twenty (20) days after the decisions are posted. If the decisions disapprove applications are posted under article 13 of this sub decree. • The Provincial/ Municipal Land Use Committee or National Social Land Committee shall investigate and take action on the request within thirty days. The Provincial/ Municipal Land Use and Committee or National Social Land Committee approves the relevant social land concession plan
<p>N.A. (Additional measures)</p>	<p><u>Identification of possible negative environmental impacts</u></p> <ul style="list-style-type: none"> • Identify, avoid and mitigate potential negative impacts (SESA, SEPC) including on <ul style="list-style-type: none"> - Natural forests (e.g. through forest degradation) (SEPC) - Forest 	<p>a. Forestry law (2002) a-b. Sub-decree on Forest Concession Management (2000) a-c. Sub-decree on Economic Land Concession (2005)</p> <ul style="list-style-type: none"> • Requirement of an environmental and social impact for any major forest ecosystem related activity that may cause adverse impact on society and environment (a4). 	<p>a. Environmental protection and natural resource management law (1996) a-b. Protected area law (2008) a-c. Draft EIA law a-d. Sub-decree on EIA</p> <ul style="list-style-type: none"> • Requirement of an environmental and social impact for any major forest ecosystem related activity that may cause adverse impact on society and environment (a4). <p>National Biodiversity Strategy and Action Plan (2002)</p> <ul style="list-style-type: none"> • Identify response measures (both mitigation and adaptation) to mitigate impact on biological resources; assess climate change mitigation and adaptation measures to prevent their impacts on biological resources 	<p>Fishery Law</p> <p>Formatted: Bullets and Numbering</p> <p>Formatted: Bullets and Numbering</p> <p>Formatted: Bullets and Numbering</p> <p>negative impacts on fisheries of activities such as building dams/dikes.</p>	<p>d. National Policy on the Development of the Environment (2005)</p> <p>Formatted: Bullets and Numbering</p> <p>requirement of an environmental and social impact assessment</p>

	biodiversity and ecosystem services (SEPC SES) - Forest carbon stocks (SEPC)				
<ul style="list-style-type: none"> No conversion of natural forests 	<ul style="list-style-type: none"> Avoid (SES)/avoid or minimize (SEPC) conversion or degradation of natural forests or other areas that are important for maintaining and enhancing biodiversity and ecosystem services 				
<ul style="list-style-type: none"> Reduce the risk of reversals and displacement 	<ul style="list-style-type: none"> Address the risk of reversal of REDD+ achievements (SEPC) Avoid or minimize indirect land use change impacts of REDD+ activities on forest carbon stocks, other ecosystem services and biodiversity (SEPC) Avoid or minimise adverse impacts on carbon stocks, other ecosystem services and biodiversity of non-forest ecosystems resulting directly or 				

	indirectly from REDD+ activities (SEPC)				
<ul style="list-style-type: none"> Conservation of natural forests and biodiversity and enhancement of environmental benefits 	<ul style="list-style-type: none"> Maintain and enhance multiple functions of forest including conservation of biodiversity and provision of ecosystem services (SESA, SEPC, SES) Ensure that land-use planning for REDD+ explicitly takes account of potential synergies and trade-offs between the multiple functions of forest and the benefits they provide, respecting local and other stakeholders' values (SEPC) Ensure that planted and natural forest are managed to maintain and enhance ecosystem services and biodiversity important in both local and national contexts (SEPC) 	<p><u>Forestry law (2002)</u></p> <ul style="list-style-type: none"> Ensure Conservation of biological diversity and cultural heritage (Aa1) Promote afforestation on degraded forestland and idle forest land Prevent any damaging activities caused by excessive exploitation, abusive forest clearing, forest ecosystem pollution, forest fires, shifting cultivation, diseases, noxious insects and the imports of harmful forest vegetation and wildlife species Protect rare and endangered wildlife species <p><u>National forest sector policy (2002)</u></p> <ul style="list-style-type: none"> Promote conservation and protection strategies <p><u>Sub-decree on Permanent Forest Estate (2005)</u></p> <ul style="list-style-type: none"> Classify the registration of permanent forest estate in accordance with the function of forest ecological system and the importance of forestry for the needs of economy, social and culture. <p><u>Sub-decree on Forest Concession Management (2000)</u></p> <ul style="list-style-type: none"> Ensure forest management regimes, conserve and protect the natural bio-diversity, ecosystem functions and important forest services such as soil conservation and watershed regulation <p>a. All forest management plans shall be developed by designating non-operational areas (bio-diversity reserves, buffer zones and corridors, watershed protection areas, community forest areas and forest regeneration zones)</p>	<p><u>Environmental protection and natural resource management law (1996)</u></p> <ul style="list-style-type: none"> Natural resources (such as water, forests, land) shall be preserved, developed and managed to use in a rational and sustainable manner <p><u>Protected area law (2008)</u></p> <ul style="list-style-type: none"> Ensure the management and conservation of a protected area already designated as world or regional heritage site, Each protected area shall be divided into four management zoning systems Core zone with threatened and critically endangered species and fragile ecosystems: Conservation zone of high conservation value: Sustainable use zone, Community zone: <p><u>National Biodiversity Strategy and Action Plan (2002)</u></p> <ul style="list-style-type: none"> Promotes the conservation of biodiversity and the sustainable use of our biological resources (P. 6). Ensure the protection of mangrove forests and coastal zones in general and monitor the status of marine species their habitats and negative impacts (P. 47). <p><u>Strategic Plan of the Ministry of Environment 2009-2013</u></p> <ul style="list-style-type: none"> Protect all types of domestic plants by establishing one forest national park at Kulein Mountain and reforestation in the area of barren land in the natural protected areas by creating an abundance of forest types which are under the threat, are considered as the main purposes of Department of National Park and Wildlife Sanctuary-component 7 (Page 83). 	<p><u>Fishery Law (2004)</u></p> <ul style="list-style-type: none"> The community fisheries have to sustainably manage their own areas following the plan, procedure and guideline of community fisheries. MAFF may abolish the community fisheries for public benefit if deemed so. <p><u>The Strategic Planning Framework for Fisheries: 2010-2019 (V 1 and 2)</u></p> <ul style="list-style-type: none"> Conservation, protection and rehabilitation of flooded forests 	

				<p>through the mapping, demarcation</p> <p><u>Statement of the Royal Government of Cambodia on the National Fisheries Sector Policy</u></p> <ul style="list-style-type: none"> • Protecting the important natural habitats and biodiversity 	
<p>Governance :</p> <ul style="list-style-type: none"> • Transparent and effective national forest governance structures • Allow for improvement in response to lessons learned and changes 	<p><u>Good governance, transparency, accountability</u></p> <ul style="list-style-type: none"> • Apply norms of democratic governance (SEPC) • Contributes to good governance, to broader sustainable development and to social justice (SES) • Clearly defined, transparent, effective and accountable governance (SES) 		<p><u>Draft EIA law</u></p> <ul style="list-style-type: none"> • To promote the transparency of environmental decision making, every person in the Kingdom of Cambodia shall participate in the EIA process and have access to justice in environmental matters <p><u>Strategic Plan of the Ministry of Environment 2009-2013</u></p> <ul style="list-style-type: none"> • Foster transparency, good governance and participation. <p><u>Cambodia Climate Change Strategic Plan 2013 (2014-2023)</u></p> <ul style="list-style-type: none"> • Strengthening accountability, equity and transparency: 	<p><u>Fishery Law (2004)</u></p> <ul style="list-style-type: none"> • Based on the principle of transparency by ensuring the public rights to participate in decisions making of sustainable management , use, conservation, and development of fisheries resources 	

	<ul style="list-style-type: none"> Improved governance in the forest sector and other relevant sectors (SES) Ensure legitimacy and accountability of all bodies representing relevant stakeholders including through establishing responsive feedback and grievance mechanisms (SEPC) 				
	<p><u>Coordination</u></p> <ul style="list-style-type: none"> Effective coordination between agencies/organizations responsible for the design, implementation and evaluation of the REDD+ program and other relevant agencies (SEPC, SES) 	<p><u>Sub-decree on Forest Concession Management (2000)</u></p> <ul style="list-style-type: none"> Ensure full communication, cooperation and coordination in concession management between all ministries and agencies 	<p><u>National Biodiversity Strategy and Action Plan (2002)</u></p> <ul style="list-style-type: none"> Promote interministerial coordination and collaboration in a sustainable development perspective. Promote and strengthen the cross-sectoral communication and coordination based on the existing mechanisms to solve any conflicts of interest. 	<p><u>The Strategic Planning Framework for Fisheries: 2010-2019</u></p> <ul style="list-style-type: none"> The coordination, harmonization and management of the development of the fisheries sector towards the vision of Management 	

				conservation and development of sustainable fisheries resources	
	<u>Financial management</u> <ul style="list-style-type: none"> Ensure transparency and accountability of fiduciary and fund management systems linked to REDD+(SEPC, SES) 		<u>National Biodiversity Strategy and Action Plan (2002)</u> <ul style="list-style-type: none"> Develop a system which leads to the development of National Financial Mechanism (Trust fund development; national sustainable financing mechanism assessment) 		
Stakeholder engagement					
<ul style="list-style-type: none"> Full and effective participation of relevant stakeholders in REDD+, in particular indigenous peoples and local communities 	<ul style="list-style-type: none"> Full and effective participation of relevant stakeholders in design, planning and implementation of REDD activities including M& E with particular attention to indigenous peoples, local communities and other vulnerable and marginalized groups (SEPC, SESA, SES) <ul style="list-style-type: none"> Through culturally 	<u>Forest law (2008)</u> <ul style="list-style-type: none"> Ensure public participation in any government decisions <u>National forest sector policy (2002)</u> <ul style="list-style-type: none"> Promote the maximum participation of the local population <u>Sub-decree on CFM</u> <ul style="list-style-type: none"> Enable communities to manage, use and benefit from forest resource, preserve their culture, tradition and improve their livelihoods To provide effective means for a CF community to participate in the reforestation, rehabilitation and conservation of natural resources, forest and wildlife. 	a. <u>Environmental protection and natural resources management law (1996)</u> a-b. <u>Protected area law (2008)</u> c. <u>Draft EIA law</u> d. <u>Strategic Plan of the Ministry of Environment 2009-2013</u> e. <u>National Biodiversity Strategy and Action Plan (2002)</u> f. <u>Environmental protection and natural resources management law (1996)</u> <ul style="list-style-type: none"> Encourage 'stakeholders' to participate in the protection of environment and the management of the natural resources and EIA processes (stakeholders) <ol style="list-style-type: none"> Public <ol style="list-style-type: none"> Local authorities, communities, indigenous ethnic minorities, citizens, Buddhist monks, school children, Public, relevant government agencies and civil 	<u>Fishery Law (2004)</u> Formatted: Bullets and Numbering participation from local communities Formatted: Bullets and Numbering authorities in the development of national fisheries management plan. <u>Sub-Decree No 53 on Conservation of Fisheries area in Kandal,</u>	<u>National Policy on the Development of Fisheries</u> <ul style="list-style-type: none"> IPs community leaders such as village heads and development of their cultures and development of their cultures IPs shall participate in the protection and undertake to maintain, the natural resources

	<p>appropriate, gender sensitive and effective participation (SES)</p>		<p>society, private sector <u>a-d.</u> Public <u>a-e.</u> NGOs, local communities <u>a-f.</u> public <u>Cambodia Climate Change Strategic Plan 2013 (2014-2023)</u> <ul style="list-style-type: none"> Institute public engagement, participation and consultations as primary entry points <u>MAFF Policies and Strategic Plans under CCCSP</u> <ul style="list-style-type: none"> D.2. Support to local communities and indigenous peoples in forest conservation and biodiversity activities </p>	<p><u>Kampong Cham, Prey Veng and Takeo province</u></p> <ul style="list-style-type: none"> Fisheries communities, local communities, and NGOs have their rights to participate and cooperate in conserving, protecting, and managing the fisheries conservation areas to ensure the sustainability of the fisheries resources 	
	<p>Attention to gender and marginalized groups</p> <ul style="list-style-type: none"> Promote gender equality (SEPC) and ensure the inclusion of women and other marginalized groups (SESA) 		<p><u>National Biodiversity Strategy and Action Plan (2002)</u></p> <ul style="list-style-type: none"> Encourage and support the participation of women, minority groups, local communities, religious groups, NGOs and private sector to efforts leading to conservation and sustainable use of biodiversity <p><u>Cambodia Climate Change Strategic Plan 2013 (2014-2023)</u></p> <ul style="list-style-type: none"> Addressing gender issues: women and disadvantaged groups are often among those more severely affected by climate change impacts. The framework will address gender equality, gender sensitive performance in climate change response and gender mainstreaming in climate change response 		

Information systems					
<ul style="list-style-type: none"> Information needs to be collected using broad multistakeholder process Information needs to be publicly available and accessible by all relevant stakeholders including the issue of how safeguards are being addressed and respected 	<ul style="list-style-type: none"> Ensure transparency and accessibility of information (SEPC, SESA) Establish outreach, communication and consultation mechanisms with relevant stakeholders (common approach SESA) Routine and timely disclosure and provision of adequate information to public (SESA, SES) <ul style="list-style-type: none"> In a culturally appropriate, gender sensitive and timely way (SES). 	<p><u>Sub-decree on Permanent Forest Estate (2005)</u></p> <ul style="list-style-type: none"> MAFF to officially inform map with location, scale, boundary, coordinate, forest land, permanent non-forest land reserve, and permanent forest land reserve in each province through media and post the following information at relevant government institutions at different levels <p><u>Sub-decree on Economic Land Concession (2005)</u></p> <ul style="list-style-type: none"> Organize a public meeting for clarification on any point of the solicitation documents, and shall prepare a public document of all the clarification made All concession documents shall be made available to pertinent government agencies and the concerned parties upon requests. 	<p><u>Environmental protection and natural resources management law (1996)</u></p> <ul style="list-style-type: none"> Provide information on its activities Disseminate information related to environmental protection and natural resources management between MoE and other ministries <p><u>Protected area law (2008)</u></p> <ul style="list-style-type: none"> Local communities, indigenous ethnic minority communities, the public, and civil society are encouraged to participate fully in the provision of and access to information relevant to the protected area management conservation and development (A 21) <p><u>Strategic Plan of the Ministry of Environment 2009-2013</u></p> <p><u>National Biodiversity Strategy and Action Plan (2002)</u></p> <ul style="list-style-type: none"> Requirements of information dissemination and promotion of public awareness in Cambodia Create information system and communication network for management, maintenance and sharing the biodiversity data <p><u>MAFF Policies and Strategic Plans under CCCSP</u></p> <p><u>CCCSP Strategic Plan for Forestry Sector</u></p> <ul style="list-style-type: none"> Information needs to be shared to local authorities and local communities <p><u>Draft EIA law</u></p> <ul style="list-style-type: none"> there shall be a right of access to information provided in the EIA process Project proponents shall ensure that all project affected persons, have received information about the project and be given the opportunity to fully participate in the public consultation meetings The project proponent shall report the details of the 		<p><u>Sub-decree on procedures of Registration of Indigenous Communities (2009)</u></p> <ul style="list-style-type: none"> If the location, size, and boundary of indigenous community are agreed upon, the notification shall be publicly displayed in public places. After boundary demarcation and approval, public display of collected data shall be done for 30 days at the interested community and commune/Sangkat hall where the community is located. Summary results of the meeting and location, the boundary and the size of land and state land shall be publicly displayed for a period of 30 days at the Commune/Sangkat office and at the Commune/Sangkat office for comments. The comments shall be received at the Commune/Sangkat hall of the interested community. The summary report of public comments shall be submitted to seek approval from the Land Management Committee with the relevant agencies. <p><u>Sub decree on Social Economic Land Concession</u></p> <ul style="list-style-type: none"> A list of all applicants shall be posted publicly for at least thirty (30) days before the application is evaluated. The decisions to approve or disapprove shall be in writing and shall state the reasons for approving or disapproving each application. Written decisions shall be publicized.

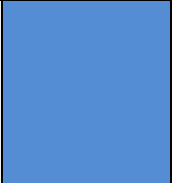
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public impact and whether those concerns are accepted or rejected.

- The MoE shall ensure that all related documents shall be made publically available.
- Documents made publically available should also be available on a publically accessible website of the MoE. (access to information)



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