
LITERATURE REVIEW OF BEST PRACTICES FOR REDD+ SOCIAL SAFEGUARDS

CONSERVATION
INTERNATIONAL



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ACKNOWLEDGEMENT

This report was researched and authored by Psamson Nzioki, Programme Manager, Jurisdictional and Nested REDD+. It was extensively reviewed by Christina Ender, Regional Climate Change Director (Africa); and Vince McElhinny, Senior Director, Environmental and Social Accountability who also provided invaluable research assistance. The report was also reviewed by Maggie Comstock, Senior Director, Climate Policy; Shereeda Yusuf, Policy Manager; Leon Theron, Regional Carbon Technical Director; Mario Chacon, Forest Carbon Specialist; Elijah Toirai, Lead Communities and Natural Climate Solutions; and, Natasha Calderwood Senior Director, Carbon Portfolio Delivery.

Special thanks also go to Ally Jamah, Regional Communication Manager for editing and designing the final report.

Every effort has been made to verify the accuracy of the information contained in this report. All information was believed to be correct as of October 2021. Nevertheless, Conservation International cannot accept responsibility for the consequences of its use for other purposes or in other contexts.

EXECUTIVE SUMMARY

Reducing Emissions from Deforestation and Forest Degradation including the role of conservation, sustainable management of forests and enhancement of forest carbon stocks (REDD+) was established under the United Nations Framework Convention on Climate Change (UNFCCC) as a potential climate change mitigation mechanism in forest and other land use sectors.

REDD+ is being implemented in many countries, jurisdictions and projects globally. Despite focusing on reducing carbon emissions, the potential social and environmental risks and opportunities posed by the implementation of REDD+ activities have been acknowledged. The response from the Parties to the UNFCCC to address these risks and opportunities has been the development of safeguards to be applied to all REDD+ activities. These are designed to ensure that no harm is inflicted on people or the environment. While there are numerous forest carbon standards through which REDD+ can be implemented, their requirements for safeguards differ.

This paper looks at five major forest carbon standards (including The Forest Carbon Partnership Facility, Architecture for REDD+ Transactions: The REDD+ Environmental Excellence Standard (ART TREES), The Green Climate Fund, REDD+ Social and Environmental Standard and, Jurisdictional and Nested REDD+ (VERRA-JNR) against a set of five social safeguards. These safeguards include; Stakeholder engagement, Grievance and Redress mechanisms (GRM), Access restrictions, Benefit sharing and Gender responsive approaches. The paper aims to identify “the bar” (standard) of what CI thinks site-scale activities should strive to meet with regards to social safeguards. It reviews the requirements of the standards against a list of best practice principles for the different safeguards and identifies the gaps within those requirements. The findings of this paper were used to develop a research design to undertake an assessment of how site scale activities in Kenya are addressing and respecting safeguards. They will also be useful in identifying what Kenya should aim for as it seeks to develop its Safeguards Information System. Based on this assessment, the highest standards with regards to the specific social safeguards under assessment are as follows:

1. Stakeholder engagement: FCPF and GCF
2. Grievance Redress Mechanism: GCF
3. Access Restriction: GCF
4. Benefit Sharing: JNR
5. Gender Responsive Approaches: GCF

INTRODUCTION

Reducing Emissions from Deforestation and Forest Degradation, conservation of forests, enhancement of forest carbon stocks and sustainable management of forests (REDD+) is a mechanism created under the United Nations Framework Convention on Climate Change (UNFCCC) which seeks to reduce emissions related to the forest sector. To date, in most countries, the development of REDD+ at the national level is at the REDD+ Readiness or REDD+ Readiness planning stages, and some of the most advanced countries such as Brazil, Costa Rica, Indonesia or Ecuador, are already receiving results-based payments from the Green Climate Fund and country governments such as Norway and Germany¹. Considerable public donor support has been provided to support this work, particularly through multilateral REDD+ financing mechanisms, such as the Forest Carbon Partnership Facility (FCPF), for which the World Bank serves as the Trustee of the funds and Secretariat of the Facility, the Forest Investment Program (FIP), also managed by the World Bank, and the United Nations collaborative initiative on REDD+ (UN-REDD). Additional support from bilateral finance between countries or finance from private foundations has also contributed to the design, implementation, and reward for REDD+.²

At sub-national levels (regional, state, provincial, district or project)³, local governments, civil society and the private sector are undertaking their own initiatives, but not necessarily in synchronization with the national government. Moving forward, these sub-national level activities may need to be nested⁴ in, or linked to, national processes or frameworks for REDD+. Meanwhile, REDD+ site scale interventions/projects are taking place with communities, local organizations, municipal and provincial governments, and managers of protected areas supported by multilateral, bilateral, foundations, private sector, and conservation non-governmental organization (NGO) sources. These early field experiences should inform higher-level REDD+ planning and motivate investor and stakeholder enthusiasm for REDD+, and they should ideally be integrated (or nested) into subnational or national systems.

In addition to emissions reductions and removals, REDD+ has the potential to deliver significant social and environmental benefits. However, it may also pose negative social and environmental impacts. REDD+ actions should be designed and implemented to

¹ More details on the Green Climate Fund REDD+ program: <https://www.greenclimate.fund/redd>, and in the UNFCCC REDD+ Web Platform <https://redd.unfccc.int/info-hub.html>

² Environmental Defense Fund. 2018. Mapping Forest Finance A Landscape of Available Sources of Finance for REDD+ and Climate Action in Forests. <https://www.edf.org/sites/default/files/documents/EDF101-REDD%2BFinance.pdf>

³ A sub-national or project approach allows for early involvement and wide participation and is attractive to private investors. Conversely, a national approach allows pursuit of a broad set of policies, addresses domestic leakage, and creates country ownership. In the short to medium term, however, this approach is not feasible for many countries. It is also susceptible to governance failures and may be less likely to mobilize private investment or involve local government. A nested approach -allows countries to start subnational activities and gradually move to a national approach. Some REDD+ project level initiative can apply for validation and verification under international carbon voluntary standards.

⁴ Nesting refers to a system that allows for site- or subnational-scale REDD+ activities to be incorporated into and formally recognized under national REDD+ programs, allowing for benefits to flow at all scales.

avoid, minimize, or mitigate the risk of negative impacts and bring additional benefits. The Cancun Safeguards¹ provide impetus to ensure implementation of REDD+ does no harm to local people and the environment, and to guarantee that policies and measures established under REDD+ are complementary to other environment and development policies. To ensure safeguards are implemented, and in line with the Warsaw Framework of the UNFCCC, countries should develop a Safeguards Information System (SIS)² to explain how these are being addressed and respected in REDD+ activities. 2019 witnessed significant progress in development of safeguards information systems with a total of 13 countries having established online systems.³ As a prerequisite for obtaining results-based payments, countries should periodically⁴ submit to the UNFCCC a summary of information outlining their work with respect to the safeguards. The SIS forms a key component of the four REDD+ Elements (Fig.1). Further, all standards reviewed in this paper refer to the Cancun Safeguards as the foundation for their framework for safeguards. Others have gone further to enhance and strengthen the Cancun Safeguards.

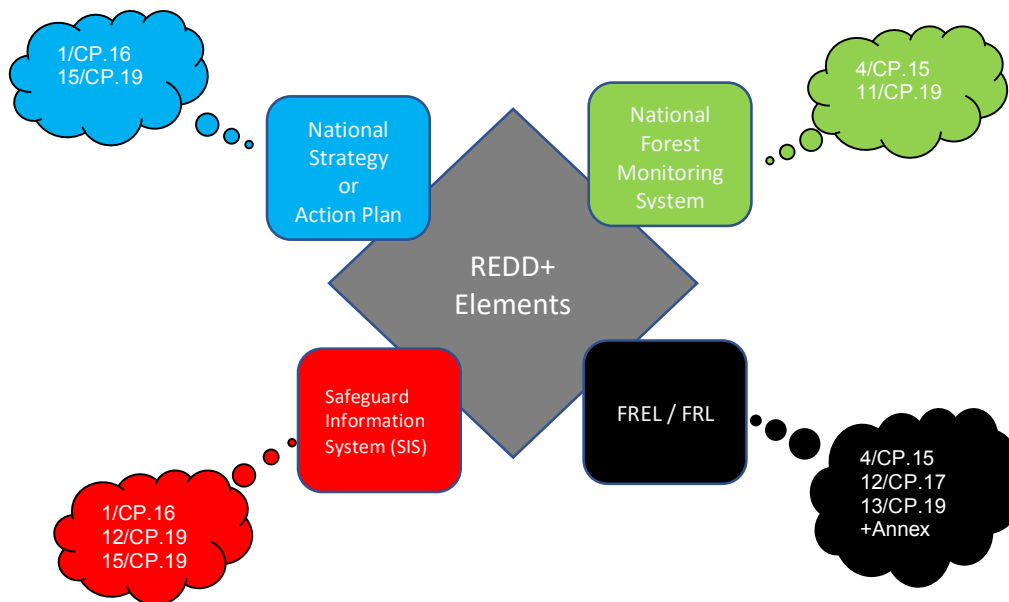


Figure 1: REDD+ Elements and corresponding UNFCCC COP decisions?

Several international mechanisms such as the UNFCCC, have been proposing different sets of social and environmental safeguards, which can prevent potential social and/or

¹ UNFCCC. 2011. The Cancun Agreements: Outcome of the work of the Ad Hoc Working Group on Long-term Cooperation Under the Convention. Decision 1/CP.16. Report of the Conference of the Parties on its Sixteenth Session, Cancun, 29 November–10 December 2010. FCC/CP/2010/7 Add.1. Bonn, Germany: United Nations Framework Convention on Climate Change

² UNREDD: [Safeguards Country Resources Hub - UN-REDD Programme](https://unredd.org/)

³ [2019 Progress on REDD+ Safeguards: A Year in Review \(un-redd.org\)](https://unredd.org/)

⁴ This summary should be included in national communications or be provided, on a voluntary basis, via the REDD+ Web Platform. (<https://redd.unfccc.int/fact-sheets/safeguards.html>)

environmental damage or harm to forest-dependent communities and increase benefits for them in an equitable manner. There is a need to customize and harmonize the safeguard measures proposed so far by these initiatives with the national level initiatives related to forest/land rights, forest governance, benefit sharing, among others.

Scope and Structure

Social and environmental safeguards are critical elements for successful implementation of REDD+. The existence and emergence of forest carbon standards⁹ with different requirements for social and environmental safeguards means that countries will need to harmonize various requirements to ensure alignment with the national policies, REDD+ SIS and acceptability and compatibility with the international markets under Article 6 and, coherence with NDCs. At a minimum, a basic set of safeguards should be met by all REDD+ activities.

The goal of this paper is to assess best practice for selected safeguard standards in order to identify “the bar” (standard) of what CI contemplates site-scale activities should strive to meet in Kenya. It looks at approaches to social and environmental safeguards by different REDD+ Standards and will support development of good practice and guidelines on safeguards for nested projects aligned with the national approach to REDD+ safeguards under development in Kenya¹⁰. It will also inform the development of a methodological framework and questionnaire for data collection to assess how current REDD+ projects in Kenya are addressing and respecting safeguards. The review will examine five REDD+/Forest Carbon Standards (described in Table 1) requirements for social safeguards. It will further identify case studies that espouse best practice and proper application of social safeguards in REDD+. It will focus on 5 key safeguard elements¹¹ namely:

- Stakeholder engagement
- Grievance and Redress mechanisms (GRM)
- Access restrictions and Free, Prior and Informed Consent (FPIC)
- Benefit sharing
- Gender responsive approaches.

This review begins with an introduction of REDD+, social and environmental safeguards and the interrelationship between the two. It further elaborates the rationale behind this review and its scope. The review then delves into the global outlook on the importance of safeguards in REDD+. It is structured according to the following thematic areas;

⁹ Certification programs which provide standards, guidance, and establish requirements for project developers to follow to generate carbon offset credits e.g. FCPF, ART TREES. They provide a system for accounting for emission reductions and environmental and social benefits.

¹⁰ At the time of publishing, Kenya was in the process of developing its REDD+ readiness elements including the REDD+ Strategy and Investment Plan, Safeguards Information System and Summary of Information, and the National Forest Monitoring System. The Forest Reference Level was developed and submitted to the UNFCCC.

¹¹ These 5 safeguard elements are deemed most important in ensuring no harm is done and they cut across other elements.

Stakeholder engagement, Grievance and redress mechanisms, Access restrictions including Free Prior and Informed Consent, Benefit sharing and, Gender responsive approaches. It then identifies best practice in relation to each of these safeguards and summarizes the highest possible set of safeguards (“the bar”). The review concludes by drawing deductions and recommendations to enhance effective application of social safeguards in REDD+, with an intention of ultimately informing the SIS rollout in Kenya.

Global overview on the relationship and importance of safeguards in REDD+

While REDD+ has the potential to deliver significant social and environmental co-benefits, many have also highlighted the serious risks (Murphy 2011)¹², particularly for Indigenous Peoples, local communities, women, and other marginalized communities, who depend significantly on the forests for their livelihoods and other daily needs. To ensure REDD+ activities do no harm, the Cancun Safeguards were adopted by the UNFCCC to ensure full and effective participation of relevant stakeholders, in particular Indigenous Peoples and local communities. They address key aspects of governance, protection of natural forests, biodiversity and rights, enhancing environmental and social benefits and ensuring effectiveness and sustainability of emission reductions.¹³ Under the UNFCCC, countries are required to provide a summary of information¹⁴ on how these safeguards are being addressed and respected throughout implementation of REDD+ activities¹⁵ before receiving results-based payments.¹⁶ The intention of these safeguards is to ensure that REDD+ does no harm to local people and the environment, and to verify that new policies and measures put in place through REDD+ are complementary to other environment and development policies. In addition, REDD+ safeguards are intended to protect non-carbon forest values.

Over the years, voluntary certification standards for assessing social and environmental impacts at the jurisdictional and project level have emerged. This for example includes the REDD+ Social and Environmental Standards (REDD+ SES) Initiative led by the Climate, Community and Biodiversity Alliance (CCBA) and CARE International, whilst bilateral and multilateral donors have safeguard policies of their own (e.g. the World Bank Group’s Forest Carbon Partnership Facility (FCPF), the United Nations program on REDD (UN-REDD) and the United States Agency for International Development (USAID)).¹⁷ This review focuses on five carbon standards as described in the following table:

¹² Murphy, D. 2011. Safeguards and Multiple Benefits in REDD+ Mechanism. International Institute for Sustainable Development and Partnership for the Tropical Forest Margins.

¹³ Decision 1/CP.16

¹⁴ The summary of information should be provided periodically and be included in national communications, consistent with relevant decisions of the Conference of the Parties on guidelines on national communications from Parties not included in Annex I to the Convention, or communication channels agreed by the Conference of the Parties. UNFCCC Decision 12/CP.17, paragraph 4. Available at: <http://unfccc.int/resource/docs/2011/cop17/eng/09a02.pdf>

¹⁵ Decision 1/CP.16

¹⁶ Decision 9/CP.16

¹⁷ CIFOR, Operationalizing REDD+ Safeguards.

https://www.cifor.org/publications/pdf_files/SafeguardBrief/5183-brief.pdf

Table 1: Overview of standards under review

Standard	Description
Forest Carbon Partnership Facility /World Bank	<ul style="list-style-type: none"> • Launched in 2008, the FCPF now works with 47 developing countries. • Has two complementary funds: <ul style="list-style-type: none"> ○ The FCPF Readiness Fund helps countries set up the building blocks to implement REDD+. ○ The FCPF Carbon Fund pilots results-based payments to countries that have advanced through REDD+ readiness and implementation and have achieved verifiable emission reductions in their forest and broader land-use sectors. • The FCPF Methodological Framework was adopted in 2012 for Carbon Fund finance • The World Banks' ESF was updated in 2016, consisting of an Environmental and Social Policy and 10 Standards. • Multi-lateral mechanism
ART TREES	<ul style="list-style-type: none"> • Global voluntary initiative to promote the environmental and social integrity, and ambition, of carbon emission reductions from the forest and land use sector. • The establishment and governance of ART in 2018 was guided by an Interim Steering Committee (ISC), working with a Secretariat. Several Technical Committees provided input to the development of the TREES Standard. • ART TREES specifies requirements for the quantification, monitoring, reporting and verification of Greenhouse Gas (GHG) emission reductions from REDD+ activities at a jurisdictional and national scale.
GCF/IFC PS	<ul style="list-style-type: none"> • GCF is an operating entity of the financial mechanism of the UNFCCC. • In October 2017, GCF started piloting REDD+ results-based payments, consistent with the Warsaw Framework for REDD+ and other REDD+ decisions under the United Nations Framework Convention on Climate Change (UNFCCC). • IFC Performance Standards were updated in (2012) and comprise a Sustainability Policy and 8 Standards. The IFC PS were adopted by the GCF in 2014 and complemented with separate policies on IPs (2018), Gender (2019) and IRM (2013). Separate guidance on the Payment for Results program were defined in 2017). • Currently GCF supports 4 REDD+ PfR projects for an estimated \$270 Mn in 4 pioneer countries. Brazil, Ecuador, Indonesia, and Costa Rica.
REDD+ Social and Environmental Standard	<ul style="list-style-type: none"> • Started in 2009 to develop voluntary best-practice standards used through a multi-stakeholder process to support effective implementation and credible reporting on social and environmental performance of government-led REDD+ programs and related low-emissions land use. • REDD+ SES Version 2 was developed in 2012 by a multi-stakeholder coalition. • REDD+ SES is a set of 7 principles, criteria, and indicators for design of jurisdictional REDD+ programs. Used selectively REDD+SES focuses on support for SIS development. • Provides countries with a tool to address the Cancun REDD+ safeguards.
Jurisdictional and Nested REDD+ (JNR)	<ul style="list-style-type: none"> • Jurisdictional and Nested REDD+ (JNR) framework was first released as part of the Verified Carbon Standard (VCS) in October 2012. • World's first accounting and verification framework for jurisdictional REDD+ programs and nested projects • It serves as a comprehensive carbon accounting and crediting platform for governments to guide development of their REDD+ programs and help nest REDD+ projects and subnational jurisdictions within these programs.

High-level guidance on expectations for REDD+ SIS has been issued from the UNFCCC and its Subsidiary Body for Scientific and Technical Advice (SBSTA). Having high-level guidance strengthens national ownership and provides space for independent experimentation in complex country-specific contexts. However, it has the potential to

create uncertainties and high transaction costs.¹⁸ Additionally, the process is complicated by a lack of harmonization among the various safeguard policies and a clear disconnect in REDD+ monitoring efforts at different scales.

SAFEGUARD ELEMENTS

The following section describes the five safeguards elements that we will be looking at in detail (beginning with the Cancun Safeguards), focusing on quality elements for each that fits a best practice scenario, and the requirements under each standard.

The Cancun Safeguards

The Cancun Safeguards¹⁹ adopted by COP 16 in Cancun, Mexico, form the foundational basis for environmental and social frameworks for REDD+. All Standards including independent ones, such as ART TREES, apply the Cancun Safeguards as the basis for further elaborating their requirements for safeguards. Countries should clarify the

BOX 1: THE CANCUN SAFEGUARDS

When undertaking REDD+ activities, 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;
- B. National forest governance structures are transparent and effective, taking into account national legislation and sovereignty;
- 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;
- D. The full and effective participation of relevant stakeholders, in particular Indigenous Peoples and local communities;
- E. That actions are consistent with the conservation of natural forests and biological diversity, ensuring that [REDD+] actions 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;
- F. Actions to address the risks of reversals;
- G. Actions to reduce displacement of emissions.

¹⁸ CIFOR, Operationalizing REDD+ Safeguards.

https://www.cifor.org/publications/pdf_files/SafeguardBrief/5183-brief.pdf

¹⁹ UNFCCC. 2011. The Cancun Agreements: Outcome of the work of the Ad Hoc Working Group on Long-term Cooperation Under the Convention. Decision 1/CP.16. Report of the Conference of the Parties on its Sixteenth Session, Cancun, 29 November–10 December 2010. FCC/CP/2010/7 Add.1. Bonn, Germany: United Nations Framework Convention on Climate Change

meaning of the Cancun Safeguards according to their specific country context and national circumstances. The seven Cancun Safeguards are detailed in the box below:

The World Bank's **Forest Carbon Partnership Facility (FCPF)**²⁰ supports REDD+ ER programs that meet the World Bank social and environmental safeguards²¹ (now the Environmental and Social Framework, ESF), promotes and supports the safeguards included in UNFCCC guidance related to REDD+, and provides information on how these safeguards are addressed and respected, including through the application of appropriate grievance mechanisms.²² The FCPF Methodological Framework allows for the incorporation of environmental and social concerns into the formation of national REDD+ strategies and ensures that the FCPF readiness activities comply with the World Bank's policies during the strategic planning phase of REDD+ projects and programmes, considering that these strategic activities could have potentially far-reaching impacts (Silori et al, 2013).²³

Requirements under **ART TREES** (Architecture for REDD+ Transactions - REDD+ Environmental Excellence Standard) prescribe compliance with all the seven Cancun Safeguards.²⁴ Each safeguard is further broken down into thematic topics and defines the conditions that must be met to address and respect the Safeguard in alignment with national policies, laws, and regulations.

The environmental and social requirements of the **Green Climate Fund (GCF)**²⁵ should be consistent with all relevant REDD+ decisions under the UNFCCC and existing highest standards for the operationalization of its decisions.²⁶ It requires that an accredited entity/project developer, in collaboration with the host country(ies), prepare an environmental and social assessment (SESA) report describing the extent to which the measures undertaken to identify, assess, and manage environmental and social risks and impacts, in the context of a REDD+ proposal, were consistent with the requirements of the applicable GCF ESS (Environmental and Social Safeguards) standards. This, along with the country's own assessment of how the Cancun safeguards were addressed and respected in implementing REDD+ activities, will provide the basis for recommendation of a project proposal to the GCF Board for approval. Furthermore, when developing a GCF REDD+ results-based payment funding proposal, an accredited entity/project developer should provide any additional information on safeguards considered by the country to provide sufficient information

²⁰ Relevant information on the REDD+ FCPF safeguards: <https://www.forestcarbonpartnership.org/safeguards>

²¹ This was updated to the Environmental and Social Framework that was approved in August 2016. Work is underway to align the FCPF to the framework.

²² The FCPF has also provided complementary guidance, such as the Carbon Fund Methodological Framework among others, to guide the design of for ER Programs with respect to UNFCCC safeguard criteria and indicators. https://www.forestcarbonpartnership.org/system/files/documents/FMT%20Note%20CF-2013-3_FCPF%20WB%20Safeguard%20Policies%20and%20UNFCCC%20REDD%2B%20Safeguards_FINAL_0.pdf

²³ Social Safeguards in REDD+: A Review of Existing Initiatives and Challenges Chandra Shekhar Silori, Simone Frick, Harisharan Luintel and Bishnu Hari Poudyal, Journal of Forest and Livelihood 11(2) July, 2013

²⁴ Architecture for REDD+ Transactions (ART) Program TREES ENVIRONMENTAL, SOCIAL, AND GOVERNANCE SAFEGUARDS DOCUMENT, August 2020. <https://www.artredd.org/wp-content/uploads/2020/08/TREES-ESG-Safeguards-Guidance-Documents.pdf>

²⁵ <https://www.greenclimate.fund/projects/safeguards/ess>

²⁶ Decision 1/CP.16.

to demonstrate that each Cancun safeguard has been addressed and respected in the full period during which results were generated.²⁷

The **REDD+ SES** principles, criteria and framework for indicators break down the Cancun safeguards into key constituent elements, with special attention to best practice related to among others; the rights of Indigenous Peoples and local communities including free, prior, and informed consent, effective participation of women and vulnerable and marginalized groups, equitable benefit sharing, and enhancing biodiversity and ecosystem services priorities. The standard can be used to support a country's interpretation of safeguards, helping to identify the important constituent elements for the country context. They can also be used to build stakeholder (both government and civil society) capacity to understand detailed issues related to safeguards.²⁸

The **Jurisdictional and Nested REDD+ (JNR) framework** provides that all UNFCCC decisions on safeguards for REDD+ and any relevant jurisdictional (national and subnational) REDD+ safeguards requirements must be complied with. A jurisdictional program should describe how it meets these requirements. Additionally, the monitoring report should provide information on how, during the design and implementation of the program, UNFCCC decisions on safeguards and any relevant jurisdictional (national and subnational) REDD+ safeguards requirements have been met, and in particular how the safeguards have been addressed and respected.²⁹ Projects/programmes using JNR must demonstrate conformance with Cancun Safeguards e.g. using REDD+ SES. If a country is interested, it can request a joint validation and verification process when a jurisdiction is using JNR and REDD+ Social and Environmental Standards (REDD+SES).³⁰

Stakeholder Engagement

A key challenge for REDD+ interventions in developing countries is balancing the incorporation of the power of various stakeholders³¹ in decision making. The importance of stakeholder participation in REDD+ schemes is anchored in the UNFCCC architecture for REDD+. The Cancun Safeguards, provide the clearest guidance on stakeholder engagement requiring countries to ensure full and effective participation of relevant stakeholders, in particular Indigenous Peoples and local communities. Four of the seven Cancun safeguards are most directly related to stakeholder engagement. In order of importance, they include:

²⁷ Terms of reference for the pilot programme for REDD+ results-based payments, 2017.

<https://www.greenclimate.fund/sites/default/files/document/terms-reference-pilot-programme-redd-results-based-payments.pdf>

²⁸ https://www.redd-standards.org/index.php?option=com_content&view=article&id=77&Itemid=122

²⁹ Jurisdictional and Nested REDD+ Requirements. https://verra.org/wp-content/uploads/2018/03/JNR_Requirements_v3.4.pdf

³⁰ https://verra.org/wp-content/uploads/2021/04/JNR_Validation_and_Verification_Process_v4.0.pdf

³¹ Stakeholders are defined as those groups that have a stake/interest/right in the forest and those that will be affected either negatively or positively by REDD+ activities. They include relevant government agencies, formal and informal forest users, private sector entities, NGOs, Indigenous Peoples and forest dependent communities.

- Safeguard (d) which focuses on "the full and effective participation of relevant stakeholders, in particular Indigenous Peoples and local communities, in REDD+ actions."
- Safeguard (c) specifies "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" (UNDRIP)³².
- Safeguard (b) which recognizes the importance of "transparent and effective national forest governance structures"
- Safeguard (e) discusses enhancing social and environmental benefits.

Stakeholder participation in REDD+ builds trust among and reduces conflict between stakeholders and supports the empowerment of local stakeholders. It should be informed by participation rights enshrined as basic human rights in many national constitutions and legal frameworks, as well as by international law and multilateral environmental agreements (Nancy, 2013).³³

Key elements of a good stakeholder engagement framework include:

- Requirement for stakeholder mapping to identify vulnerable groups.
- Stakeholder Engagement Plans (SEPs) should be developed.
- SEPs should cover the full project cycle.
- The SEPs should be developed in a consultative manner and ensure that views and interests of the most directly affected stakeholders are adequately reflected in its design and execution.
- The SEP should have robust disclosure commitments.
- Include as appropriate the participation of stakeholders throughout the implementation of the project.
- The SEP should be disclosed and regularly updated.
- The SEP should provide for free, prior and informed consent (FPIC) for Indigenous Peoples and local communities, as required.
- SEPs should incorporate an appropriate Feedback, Grievance and Redress Mechanism.

Approaches to stakeholder engagement can promote participation that ranges from weak (info sharing) to strong (control over decision making) depending on the objectives. According to a report³⁴ commissioned by the Forest Carbon, Markets and Communities (FCMC), a program of the United States Agency for International Development (USAID), stakeholder engagement can be categorized by convener objectives and by increasing levels of power sharing between government and other

³² The UN Declaration on the Rights of Indigenous Peoples, adopted by the 61st session of the United Nations General Assembly on September 13, 2007, can be accessed at <http://www.un.org/esa/socdev/unpfii/en/declaration.html>

³³ Nancy K. Diamond. (2013) Readiness to Engage: Stakeholder Experiences for Redd+: Forest Carbon, Markets and Communities (FCMC) Program. USAID

³⁴ Nancy K. Diamond. (2013) Readiness to Engage: Stakeholder Experiences for Redd+: Forest Carbon, Markets and Communities (FCMC) Program. USAID

stakeholders (Diamond, 2013) ranging from information sharing to oversight and monitoring roles. The nature of stakeholder engagement is dependent on the objectives of the convener and the power the target stakeholders yield in the process.

REDD+ country governments bear the final responsibility for the quantity, quality and timing of stakeholder engagement for their REDD+ readiness and implementation activities. However, REDD+ donor guidance may also require or encourage REDD+ countries to implement stakeholder engagement in a prescribes manner.

Standard-specific assessment with respect to stakeholder engagement

FCPF³⁵: The FCPF draws on requirements from the World Bank ESF and the UN-REDD, which include the Cancun UNFCCC safeguards. ESS 10 (Environmental and Social Standards) of the World Banks ESF recognizes the importance of open and transparent engagement between the Borrower (Project Developer/Proponent in the context of REDD+) and project stakeholders as an essential element of good international practice. It also requires borrowers to provide sufficient information about the potential risks and impacts of the project for the borrower's consultations with its stakeholders. Such information should be disclosed in a timely manner, in an accessible place, and in a form and language understandable to project-affected parties and other interested parties as set out in ESS10, so they can provide meaningful input into project design and mitigation measures.³⁶

Effective stakeholder engagement can improve the environmental and social sustainability of projects, enhance project acceptance, and make a significant contribution to successful project design and implementation. Key guiding principles³⁷ for effective stakeholder engagement for the FCPF include:

1. The consultation process should include a broad range of relevant stakeholders at the national and local levels.
2. Consultations should be premised on transparency and timely access to information, for example, about the costs and benefits for the proposed project or activity.
3. Consultations should facilitate dialogue and exchange of information, and consensus building reflecting broad community support should emerge from consultation.

³⁵ FCPF/UNREDD. 2012. Guidelines on Stakeholder Engagement in REDD+ Readiness with a Focus on the Participation of Indigenous Peoples and Other Forest-Dependent Communities April 20, 2012. <https://www.unredd.net/documents/global-programme-191/stakeholder-engagement-295/operational-guidance-on-engagement-of-ips-392/joint-fcpf-and-un-redd-se-guidelines-1120/5421-final-fcpf-un-redd-joint-stakeholder-engagement-guidelines-20-april-2012-5421/file.html>

³⁶ World Bank Access to Information Policy and ESS10.

³⁷ FCPF/UNREDD. 2012. Guidelines on Stakeholder Engagement in REDD+ Readiness with a Focus on the Participation of Indigenous Peoples and Other Forest-Dependent Communities April 20, 2012. <https://www.unredd.net/documents/global-programme-191/stakeholder-engagement-295/operational-guidance-on-engagement-of-ips-392/joint-fcpf-and-un-redd-se-guidelines-1120/5421-final-fcpf-un-redd-joint-stakeholder-engagement-guidelines-20-april-2012-5421/file.html>

4. Consultations with Indigenous Peoples must be carried out through their own existing processes, forms of self-selection/representation, organizations and institutions, e.g., councils of elders, headmen and tribal leaders. Indigenous Peoples should have the right to participate through representatives chosen by themselves in accordance with their own procedures and decision-making institutions.³⁸
5. Special emphasis should be given to the issues of land tenure, resource-use rights and property rights because in many tropical forest countries these are unclear as Indigenous Peoples' customary/ancestral rights may not necessarily be codified in, or consistent with, national laws.³⁹
6. Impartial, accessible, and fair mechanisms for grievance, conflict resolution and redress must be established and accessible during the consultation process and throughout the implementation of REDD+ policies, measures and activities.

ART TREES⁴⁰: ART TREES calls for recognition, respect, protection, and fulfillment of the right of all relevant stakeholders to participate fully and effectively in the design and implementation of REDD+ actions. It seeks to ensure that participants have in place procedures that recognize, respect, and protect the right of all relevant stakeholders to participate fully and effectively, including timely access and culturally appropriate information prior to consultations, and these are anchored in relevant ratified international conventions/agreements and/or domestic and if applicable, subnational, legal framework; access is established to recourse mechanisms to ensure the participation process is respected.⁴¹

It also recognizes the need to promote adequate participatory procedures for the meaningful participation of Indigenous Peoples and local communities, or equivalent. Design, implementation, and periodic assessments of REDD+ actions should, where relevant, be undertaken with the participation of Indigenous Peoples and/or local communities, or equivalent, including if applicable through FPIC, in accordance with relevant international and/or domestic and if applicable, subnational, legal framework, and in accordance with their respective rights and decision-making structures and processes.

GCF: The Environmental and Social Management System of the GCF requires that there is broad multi-stakeholder support and participation throughout the lifecycle of GCF-financed activities, including the development of measures to mitigate, manage and monitor environmental and social risks and impacts. The process to build support shall be inclusive, gender-responsive and culturally aware, and will be supported by the disclosure of relevant information pursuant to the GCF Information Disclosure Policy⁴².

³⁸ Also defined in ESS7 on Indigenous Peoples .

³⁹ Also articulated in ESS5 and for IPLCs, ESS7 para. 29

⁴⁰ Architecture for REDD+ Transactions (ART) Program TREES ENVIRONMENTAL, SOCIAL, AND GOVERNANCE SAFEGUARDS DOCUMENT, August 2020. <https://www.artredd.org/wp-content/uploads/2020/08/TREES-ESG-Safeguards-Guidance-Document.pdf>

⁴¹ TREES Environmental, Social, And Governance Safeguards Document

⁴² Information Disclosure Policy of the Green Climate Fund.

<https://www.greenclimate.fund/sites/default/files/document/information-disclosure-policy.pdf>

The Information Disclosure Policy further calls for the disclosure of Environmental and Social Impacts Assessment (ESIA) and Environmental and Social Management Plan (ESMP) in accordance to risk categories. The higher the risk category, the longer the duration of disclosure.

GCF requires accredited entities, including intermediaries, to ensure the effective engagement of communities and individuals, including transboundary, vulnerable, and marginalized groups and individuals that are affected or potentially affected by the activities proposed for GCF financing. The GCF also requires Accredited Entities and intermediaries to develop stakeholder engagement plans based on the principles of transparency, accountability, inclusiveness, non-discrimination, and “do no harm” principle. The stakeholder engagement plan will describe the disclosure of information, meaningful consultation, and informed participation in a culturally appropriate and gender responsive manner throughout the project life, and, in certain circumstances, free, prior informed consent, as required pursuant to the IFC Performance Standards followed by GCF, as well as the GCF IP and Gender Policies.

REDD+ SES: REDD+ SES requires all relevant rights holders and stakeholders participate fully and effectively in the REDD+ program. This should begin with identification of all rights holders and stakeholder groups and characterizes their rights and interests and their relevance to the REDD+ program. Stakeholders should be involved through culturally appropriate, gender sensitive and effective participation. Additionally, a REDD+ program should build on, respect, support and protect rights holders’ and stakeholders’ traditional and other knowledge, skills, institutions and management systems including those of Indigenous Peoples and local communities.⁴³

JNR: Requirements of JNR call for consultation with relevant stakeholders in development of Jurisdictional REDD+ programs, baselines and crediting options. It further recognizes Principle 6 of the REDD+ Social & Environmental Safeguards (SES); the Guidelines on stakeholder engagement in REDD+ Readiness of the Forest Carbon Partnership Facility; and the UN-REDD

Programme which may be used to guide the stakeholder consultation process. The jurisdictional program description should also include the nature of stakeholder consultations related to the design and implementation of the jurisdictional program, who was consulted, the manner in which the consultations occurred (including input received and how this was considered) and the outcomes of the consultations.

⁴³Guidelines for the use of REDD+ Social & Environmental Standards at country level: https://www.redd-standards.org/images/site/Documents/Guidelines/REDD_SES_Guidelines_Version_2_-_16_November_2012.pdf

Table 2: Comparative analysis of stakeholder engagement requirements

Stakeholder engagement: Key elements	FCPF/WB ESF & Methodological Framework	ART TREES	GCF/IFC PS	REDD+ SES	JNR
<ul style="list-style-type: none"> Requirement for stakeholder mapping to identify vulnerable groups. Stakeholder Engagement Plans (SEPs) should be developed. SEPs should cover the full project cycle. The SEPs should be developed in a consultative manner and ensure that views and interests of the most directly affected stakeholders are adequately reflected in its design and execution. The SEP should have robust disclosure commitments. Include as appropriate the participation of stakeholders throughout the implementation of the project. The SEP should be disclosed and regularly updated. The SEP should provide for free, prior and informed consent (FPIC) for Indigenous Peoples and local communities, as required. SEPs should incorporate an appropriate Feedback, Grievance and Redress Mechanism. 	<ul style="list-style-type: none"> Transparent stakeholder information sharing and consultation mechanisms that ensure broad community support and the full and effective participation of relevant stakeholders, in particular affected Indigenous Peoples and local communities. Activities follow a human rights-based approach and adhere to the UNDRIP, UN Development Group Guidelines on Indigenous Peoples' Issues, and International Labour Organization (ILO) Convention No. 169. FPIC is adhered to.⁴⁴ Stakeholder engagement and information disclosure as per the World Banks' ESS10⁴⁵ SEP required as per ESS10. 	<ul style="list-style-type: none"> Adherence to Cancun Safeguards Identify indigenous peoples and local communities, or equivalent. Respect, protect, and fulfill rights of indigenous peoples and/or local communities, or equivalent. Respect, protect, and fulfill the right of all relevant stakeholders to participate fully and effectively in the design and implementation of REDD+ actions. Promote adequate participatory procedures for the meaningful participation of Indigenous Peoples and local communities, or equivalent. 	<ul style="list-style-type: none"> Broad multi-stakeholder support and participation throughout the lifecycle of GCF-financed activities is required. The GCF Information Disclosure Policy ensures transparency, public access to information and stakeholder participation in all its activities. FPIC is required under GCF IP Policy. SEP required 	<ul style="list-style-type: none"> All relevant rights holders and stakeholders participate fully and effectively in the REDD+ program. A multi-stakeholder approach is suggested. 	<ul style="list-style-type: none"> Stakeholder consultation is required Adherence to other standards recognized e.g. FCPF, REDD+ SES

⁴⁴ World Bank ESF – ESS7

⁴⁵ World Bank ESF – ESS10

Main differences identified: The SEP is the blueprint for meaningful consultation that not all standards require. Only the World Bank and the GCF have provisions for development of a stakeholders engagement plan.

The following box describes how Peru has approached stakeholder engagement in the REDD+ discourse.

PERU

From the onset of the REDD+ Preparation activities in 2008 and due to the multi-sectoral nature of the actions needed to control deforestation, REDD+ management in Peru has been characterized by an intense need for coordination and collaboration between different public and private organizations. As the national authority on climate change, MINAM has a clear mandate regarding the implementation of REDD+ issues according to the Framework Law on Climate Change. In December 2019, the regulation of the Framework Law on Climate Change was approved, after conducting a Prior Consultation mechanism with Indigenous Peoples. Notable progress has been made in developing plans to increase the scope and diversity of participation; but it is important to formalize and expand consultation processes, increase information accessibility for a broader range of stakeholders, and increase capacity for public disclosure and dissemination of information to constituents that lack or have limited access to digital “portals”. These needs are recognized in documents such as the Stakeholder Participation and Involvement Plan (PPIA) and can be addressed with the implementation of systems such as the Safeguards Information System, the REDD+ grievance redress mechanism, the use of “traditional” public media and the greater engagement of regional authorities and civil society. These needs have been recognized, and planning is already underway to design and implement broader capacity for communication, including in indigenous languages, and to receive feedback.

Box 1: REDD+ Stakeholder Engagement in Peru⁴⁶

Different requirements and standards for REDD+ stakeholder engagement exist among different countries, donors, and multilateral REDD+ funding mechanisms. Efforts should be made to harmonize requirements and standards set by multilateral REDD+ funding mechanisms and donors, improve systematic monitoring of REDD+ stakeholder engagement experiences and standardize reporting expectations, indicators, and standards for stakeholder engagement.

Grievance Redress Mechanisms

A grievance redress mechanism is a process for receiving, recording and facilitating resolution of queries and grievances from affected communities or stakeholders related to REDD+ activities, policies or programs at the level of the community or country. A national feedback and grievance redress mechanism (GRM) needs to be effectively available, and if necessary, strengthened, as part of the country's REDD+ institutional arrangements in order to facilitate handling of any request for feedback, grievance or

⁴⁶ FCPF RF Country Progress Report, 2020:

<https://www.forestcarbonpartnership.org/system/files/documents/FCPF%20RF%20REDD%2B%20Progress%20Report%20Template%202020%20FINAL.pdf>

complaint by any REDD+ stakeholder, with particular attention to providing access to geographically, culturally or economically isolated or excluded groups.⁴⁷ Once established or strengthened, effective Grievance Redress Mechanisms (GRMs) can help REDD+ countries accomplish several objectives in both the Readiness and Implementation phases including:

- Identify and resolve implementation problems in a timely and cost-effective manner: As early warning systems, well-functioning GRMs help identify and address potential problems before they escalate, avoiding more expensive and time-consuming disputes.
- Identify systemic issues: Information from GRM cases may highlight recurring, increasingly frequent or escalating grievances, helping to identify underlying systemic issues related to implementation capacity and processes that need to be addressed.
- Promote learning as an input to review/adjustment of the REDD+ programme/intervention.
- Improve REDD+ outcomes: Through timely resolution of issues and problems, GRMs can contribute to timely achievement of REDD+ objectives.
- Help win the trust and confidence of community members on REDD+ project/programmes and creates productive relationships between the parties involved.
- Can promote equitable and fair distribution of benefits, costs, and risks.
- Promote accountability in REDD+ countries: Effective GRMs promote greater accountability to stakeholders, positively affecting both specific activities and overall REDD+ governance.⁴⁸

GRMs are intended to be accessible, legitimate, predictable, transparent, efficient, and effective in resolving concerns through dialogue, joint factfinding, negotiation, and problem solving. GRM good practice requires accurate documentation of cases using an electronic database to ensure public accountability, organizational learning, and resource planning.

⁴⁷ FCPF FMT Note on Enhancing Capacity for Dispute Resolution (February 20, 2012) and FCPF/UN-REDD Programme Readiness Preparation Proposal Template with Guidance (Version 6 from April 20, 2012)

⁴⁸ FCPF/UN-REDD Programme, Guidance Note for REDD+ Countries: Establishing and Strengthening Grievance Redress Mechanisms, June 2015

- ✓ The Ministry of Fisheries and Forests, with funding from the World Bank, developed a feedback and grievance redress mechanism (FGRM) for all stakeholders in the National REDD+ Programme.
- ✓ The mechanism promotes and facilitates a two-way communication process between local landowners and the Ministry of Forestry's REDD+ Programme and serves as an effective outreach process to local communities.
- ✓ It compliments existing structures that serve to reduce conflict on issues related to land use, land tenure, and land management whilst promoting mutually constructive relationships and building trust.
- ✓ It articulates:
 - Ways to receive, register, assess, and respond to grievances.
 - Method for screening REDD+ related grievances from other conflicts.
 - Select grievance resolution approaches
 - Implementation of the resolution
 - Design of a means to track and monitor grievances
- ✓ From the time that a grievance is received until a decision is reached on the dispute (resolution or not) is an estimated 30-45 working days elaborated in 5 steps.

The type of grievances anticipated by the FGRM are related to tensions that exist from land and forest governance resources (non-REDD+) such as tenure rights, boundary disputes, administration of customary land, LOU and investor relations, awareness of rights and access to resources (indirect impacts), as well as aspects related to direct impacts from REDD+ program itself (e.g., benefit-sharing, conservation lease terms).

Box 2: Grievance Redress Mechanism in Fiji

Standard-specific assessment with respect to Grievance and Redress Mechanism

FCPF: The World Bank's ESF requires establishment of a grievance mechanism, process, or procedure to receive and facilitate resolution of concerns and grievances of project-affected parties arising in connection with the project, in particular about the environmental and social performance. A grievance redress mechanism may include different ways in which users can submit their grievances; a log where grievances are registered in writing and maintained as a database; publicly advertised procedures, setting out the length of time users can expect to wait for acknowledgement, response and resolution of their grievances; transparency about the grievance procedure, governing structure and decision makers; and an appeals process (including the national judiciary) to which unsatisfied grievances may be referred when resolution of grievance has not been achieved.

Further, in the context of the FCPF, impartial, accessible, and fair mechanisms for grievance, conflict resolution and redress must be established and accessible during the consultation process and throughout the implementation of REDD+ policies, measures and activities. An appropriate Feedback and Grievance Redress Mechanism (FGRM) should be developed during the Readiness phase or otherwise exist, building on existing institutions, regulatory frameworks, mechanisms and capacity⁴⁹.

⁴⁹ FCPF Carbon Fund Methodological Framework, Criterion 26.

https://www.forestcarbonpartnership.org/system/files/documents/FCPF%20Carbon%20Fund%20Methodological%20Framework%20revised%202016_1.pdf

ART TREES: On its part, ART TREES does not require a distinct GRM to be developed. However, it requires REDD+ proponents to respect, protect, and fulfill access to justice. Participants should have in place procedures for guaranteeing non-discriminatory and non-cost prohibitive access to dispute resolution mechanisms at all relevant levels. These should be anchored in relevant ratified international conventions/agreements and/or domestic and if applicable, subnational, legal framework.

GCF: The approach of GCF is to provide for grievance and redress at GCF, accredited entity, intermediary entity and activity levels. This mechanism tries to solve the problem at the project level first (unless it is a high-risk grievance), then escalate to the Accredited Entity if no resolution is possible, and finally to the Independent Redress Mechanism (IRM) if the entity cannot reach a resolution. However, all three levels are available to a complainant. Its Indigenous Peoples Policy stipulates that all grievance mechanisms associated with GCF activities are effective in addressing issues raised by Indigenous Peoples and are accessible, fair, transparent and culturally appropriate.⁵⁰ It further provides that, all GCF-financed activities affecting indigenous peoples will establish an effective grievance redress mechanism at the project level to address Indigenous Peoples' project-related concerns. The mechanism will be designed in consultation with the affected or potentially affected communities of Indigenous Peoples.

The GCF also requires that accredited entities inform the communities affected, or likely to be affected, by the GCF-financed activities about the grievance and redress mechanisms at all three levels, at the earliest opportunity of the stakeholder engagement process, refreshed severally throughout implementation and in an understandable format and in all relevant languages. The details for submitting and receiving complaints containing the contact information and the appropriate modes by which these will be provided by the accredited entities to the communities and disseminated with other involved institutions. At the GCF level, the independent Redress Mechanism will address the grievances and complaints filed by persons, groups of persons or communities or on their behalf by governments or a representative, duly authorized to act in such a capacity, who may be or have been affected by the adverse impacts including transboundary impacts of the projects, in connection to the GCF-financed activities. In the event of a complaint being filed with the independent Redress Mechanism, the accredited entities will cooperate with the IRM and GCF.

REDD+ SES: The REDD+ SES provides for identification and use of processes for effective resolution of grievances and disputes relating to the design, implementation, and evaluation of the REDD+ program, including disputes over rights to lands, territories and resources relating to the program. Processes should be established and used to resolve grievances and disputes related to any aspect of the REDD+ program including;

- National, local, regional, international and customary processes.
- Grievances and disputes that arise during design, implementation, and evaluation of the REDD+ program.

⁵⁰ GCF Indigenous Peoples Policy. <https://www.greenclimate.fund/sites/default/files/document/ip-policy.pdf>

- Grievances and disputes over rights to lands, territories and resources and other rights relating to the REDD+ program.
- Grievances and disputes related to benefit sharing.
- Grievances and disputes related to participation.
- The processes are transparent, impartial, safe, and accessible, giving special attention to women and marginalized and/or vulnerable groups.
- Grievances are heard, responded to, and resolved within an agreed period, leading to adequate redress and remedy.
- Includes grievances related to the operational procedures of relevant international agencies and/or international treaties, conventions, or other instruments. No activity should be undertaken by the REDD+ program that could prejudice the outcome of an unresolved dispute related to the program including disputes over rights to lands, territories and resources; disputes related to benefit sharing; and the specific area or activity affected by the dispute.

JNR. According to scenario 1 “Jurisdictional proponents shall develop a mechanism for receiving, screening, addressing, monitoring and reporting feedback on grievances and concerns submitted by stakeholders relating to the design and allocation of the FREL. This mechanism shall include appropriate means of communication to enable all interested and/or stakeholders to participate. Principle 6.6 of the REDD+ SES may be used to guide development of grievance mechanisms”.⁵¹ “Jurisdictions following scenarios 2 or 3 shall develop a mechanism for receiving, screening, addressing, monitoring and reporting feedback on grievances and concerns submitted by affected stakeholders relating to the design, implementation and evaluation of the jurisdictional REDD+ program at the local, subnational and national levels. Additionally, principle 6.6 of the REDD+ Social & Environmental Safeguards (SES) may be used to guide development of grievance mechanisms”.⁵²

Table 3: Comparative analysis of requirements for a Grievance Redress Mechanism

Grievance Redress Mechanism: Key Elements	FCPF/WB ESF & Methodological Framework	ART TREES	GCF/IFC PS	REDD+ SES	JNR
<ul style="list-style-type: none"> • Ensure that a Project level grievance redress mechanism is established • Meets good practice principles: <ul style="list-style-type: none"> • Requirement for raising awareness 	<ul style="list-style-type: none"> • An appropriate Feedback and Grievance Redress Mechanism (FGRM) developed during the Readiness phase or otherwise exist(s), building on existing institutions, 	<ul style="list-style-type: none"> • Respect, protect, and fulfill access to justice. • Formal grievance processes are not prescribed. 	Provide for grievance and redress at GCF, accredited entity, and activity levels.	Identify and use processes for effective resolution of grievances and disputes relating to the design, implementation and evaluation of the REDD+ program, including	Requires establishment of a grievance mechanism.

⁵¹ JNR Requirements: Scenario 1

⁵² JNR Requirements: VCS Version 3. https://verra.org/wp-content/uploads/2018/03/JNR_Requirements_v3.4.pdf

<p>among communities;</p> <ul style="list-style-type: none"> • Includes time limits for responding and addressing grievances • Contains clear, inclusive eligibility criteria • Integrates risk based response; • Is accessible to women and vulnerable people; • Includes an appeals process and access to an institutional accountability mechanism; • Provides for confidentiality; • Requires public reporting of performance of the GRM • Considers delegation to local, customary dispute resolution practices, where feasible and suitable, and supplemented as needed with project specific arrangements 	<p>regulatory frameworks, mechanisms, and capacity.</p> <ul style="list-style-type: none"> • A grievance mechanism will be provided for all direct workers and contracted workers (and, where relevant, their organizations) to raise workplace concerns.⁵³ <p>Provide project-affected parties with an inclusive and accessible grievance mechanism.⁵⁴</p>			<p>disputes over rights to lands, territories and resources relating to the program.</p>	
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Identified differences: Gaps for all include project level procedures for receiving and managing grievances. No standards analysed here adequately spells out what good

⁵³ WB ESS

⁵⁴ WB ESS10

practice means at the site /project level, leaving significant flexibility to define those standards case by case.

Access restrictions

REDD+ activities can lead to restriction of access to resources that a community relied on or use. This could result in loss of livelihood, culture, identity, social cohesion, spiritual practice among others that depend on access to natural resources. It can also include loss of communal property and natural resources such as marine and aquatic resources, timber and non-timber forest products, fresh water, medicinal plants, hunting and gathering grounds and grazing and cropping areas.⁵⁵ Restrictions on land use also refers to limitations or prohibitions on the use of agricultural, residential, commercial or other land that is directly introduced and put into effect as part of the project. These may include restrictions on access to legally designated parks and protected areas, restrictions on access to other common property resources, and restrictions on land use within utility easements or safety zones.⁵⁶

Despite there being similarities with benefit sharing, access restrictions require some form of compensation among other commitments to make whole (restore) the party that will give up some type of access to natural resources, if not improve their livelihood. However, safeguard requirements addressing access restrictions are primarily about preventing harm and are only aspirational with regard to going beyond that and for instance improve livelihoods. There are procedural criteria that define this standard, but much less on substantive outcomes. While compensation for access restrictions can be perceived as benefit sharing, benefit sharing can involve a wider range of values and can be justified in the absence of restricted access to natural resources – for example, to support afforestation. Benefit sharing can serve as an *incentive* for ecosystem stewards to maintain or expand their positive contribution to humanity's well-being that derives from the ecosystem services they provide, maintain, or restore. It can also be a recognition of past contributions of IPLCs to global environmental objectives. Benefit sharing therefore implies a more equal and transformative relation between participants in the exchange.

Human rights and rights-based approaches have increasingly influenced international climate change debates and decision-making including REDD+ which to a large degree, depends on the willingness of local communities to engage in forest protection.⁵⁷ It is thereby assumed that providing secure rights and control over the resources to local communities might lead to more effective implementation. On the other hand, some see REDD+ as another attempt to take away control over resources and could lead to recentralization of forest governance, exclusion of local people from decision-making, and displacement from forest land held by indigenous groups who are denied access to traditional use of natural resources.

⁵⁵ World Bank ESF-ESS1, Para 4(f).

⁵⁶ 2016. "World Bank Environmental and Social Framework." World Bank, Washington, DC.] License: Creative Commons Attribution CC BY 3.0 IGO

⁵⁷ Caney, S. Climate change, human rights and moral thresholds. In Human rights and Climate Change; Humphreys, S., Ed.; Cambridge University Press: Cambridge, UK, 2010

Project-related land acquisition and restrictions on land use can have adverse impacts on communities and persons that use this land. Involuntary resettlement refers both to physical displacement (relocation or loss of shelter) and to economic displacement (loss of assets or access to assets that leads to loss of income sources or other means of livelihood) as a result of project-related land acquisition and/or restrictions on land use. Resettlement is considered involuntary when affected persons or communities do not have the right to refuse land acquisition or restrictions on land use that result in physical or economic displacement⁵⁸. This occurs in cases of:

1. Lawful expropriation or temporary or permanent restrictions on land use and
2. Negotiated settlements in which the buyer can resort to expropriation or impose legal restrictions on land use if negotiations with the seller fail.

Key elements for addressing access restrictions include exclusion of any forced evictions, process framework to avoid or minimize economic displacement, extension of safeguard to customary rights, development of a resettlement action plan, and restoration of any loss through meaningful consultation and for IPs, FPIC.

Standard-specific assessment with respect to Access Restriction

FCPF: The World Bank’s ESF recognizes that project-related land acquisition and restrictions on land use can have adverse impacts on communities and persons. Project-related land acquisition or restrictions on land use may cause physical displacement (relocation, loss of residential land or loss of shelter), economic displacement (loss of land, assets or access to assets, leading to loss of income sources or other means of livelihood), or both. The term “involuntary resettlement” refers to these impacts. Resettlement is considered involuntary when affected persons or communities do not have the right to refuse land acquisition or restrictions on land use that result in displacement. FCPF requires consideration of Indigenous Peoples and other forest dwellers livelihoods. Thus, clarifying and ensuring their rights to land and carbon assets, including community (collective) rights, in conjunction with the broader array of Indigenous Peoples’ rights as defined in applicable international obligations, and introducing better access to and control over the resources will be critical priorities for REDD+ formulation and implementation.

ART TREES: ART TREES requires that stakeholders should have access to, use of, and control over land and resources in conformity with relevant ratified international conventions, agreements, and/or domestic and if applicable, subnational legal frameworks. It further demands that no involuntary relocation took place without the free, prior, and informed consent (FPIC) of any Indigenous Peoples and local communities (or equivalent) concerned.

GCF: GCF requires and ensures that activities are screened, including component subprojects of programmes and activities requiring financial intermediation, for potential involuntary resettlement impacts, pursuant to the objectives and requirements

⁵⁸ World Bank ESF – ESS5

of the ESS standard of GCF, particularly regarding land acquisition and involuntary resettlement. GCF financed activities will be designed and implemented in a way that avoids or minimizes the need for involuntary resettlement. When limited involuntary resettlement cannot be avoided, GCF will require, through informed consultations and participation of the people or communities affected by the activities, the preparation of a resettlement action plan or, if specific activities or locations have not yet been determined, a resettlement policy framework proportional to the extent of physical and economic displacement and the vulnerability of the people and communities. In addition, the IFC-PS5 advises avoidance of involuntary resettlement wherever possible and minimizing its impact on those displaced through mitigation measures such as fair compensation and improvements to and living conditions. Active community engagement throughout the process is essential.⁵⁹

REDD+ SES: REDD+ SES stipulate that a REDD+ program effectively identifies the different rights holders (statutory and customary) and their rights to lands, territories, and resources relevant to the program. It also provides that an effective process is established to inventory and map rights to lands, territories, and resources relevant to the REDD+ program. The process should:

- Be participatory including representatives of women and marginalized and/or vulnerable people.
- Includes statutory and customary rights.
- Includes individual and collective rights.
- Includes tenure/use/access/management rights.
- Includes rights of women and marginalized and/or vulnerable people.
- Includes overlapping or conflicting rights

Additionally, free, prior and informed consent of Indigenous Peoples and local communities is required for any activities affecting their rights to lands, territories and resources.

JNR: The requirements from VCS call for recognition, respect and support for local stakeholders' property rights and where feasible, take measures to help secure tenure rights. A project should not relocate communities off their lands without consent. However, the project may affect property rights if free, prior and informed consent is obtained from those concerned and a transparent agreement is reached that includes provisions for just and fair compensation.

⁵⁹ IFC Performance Standards on Environmental and Social Sustainability.
https://www.ifc.org/wps/wcm/connect/24e6bfc3-5de3-444d-be9b-226188c95454/PS_English_2012_Full-Documents.pdf?MOD=AJPERES&CVID=jkV-X6h

Table 4: Comparative analysis of requirements for Access Restrictions - Resettlement, physical or economic displacement.

Access Restrictions - Resettlement, physical or economic displacement. Key elements	FCPF/WB ESF & Methodological Framework	ART TREES	GCF/IFC PS	REDD+ SES	JNR
<ul style="list-style-type: none"> • No forced evictions; • Extends safeguard to customary rights; safeguard is not limited to areas where there are legal rights over access and use of resources • Requires [Process Framework to] Avoid and/or minimize economic displacement - restricting people's access to use of land and/or natural resources. • Requires resettlement action plan (RAP) or equivalent agreement that documents consent on impacts and benefits. • Provides all displaced persons with fair and equitable compensation, such as replacement land, cash or in-kind replacement of lost assets, and restored access to natural resources (outlined in a Process Framework). • Requires restoration or if possible, improvement of livelihoods and standards of living for those people who are economically displaced. 	<ul style="list-style-type: none"> • Requires consideration of Indigenous Peoples and other forest dwellers livelihoods. • Avoid forced evictions • Avoid involuntary resettlement or, when unavoidable, minimize involuntary resettlement by exploring project design alternatives 	<p>Respect, protect, and fulfill land tenure rights.</p>	<ul style="list-style-type: none"> • Requires financial intermediation, for potential involuntary resettlement impacts, particularly regarding land acquisition and involuntary resettlement. Where limited involuntary resettlement cannot be avoided, GCF will require through informed consultations and participation of the people or communities affected, the preparation of a resettlement action plan or, if specific activities or locations have not yet been determined, a resettlement policy framework proportional to the extent of physical and economic displacement and the vulnerability of the people and communities. 	<ul style="list-style-type: none"> • REDD+ programs recognizes and respect rights to lands, territories, and resources. • FPIC is required for IP&LCs for any activity affecting their land, territories, and resources. 	<ul style="list-style-type: none"> • No forced evictions • Respect for property and tenure rights • FPIC required in the event project will affect property rights.

Most requirements for access restrictions focus on land and resources but few go to address economic displacement.

Benefit sharing

The notion of benefit sharing in natural resources was first formalized in international law in 1992 through the Convention on Biological Diversity (CBD), a move that was expected at the time to address problems with the governance of socio-ecological systems in developing countries (Nkhata et al. 2012) and 2002 Bonn Guidelines on Access to Genetic Resources and Fair Equitable Sharing of the Benefits Arising out of their Utilization (Cabrera Medaglia et al. 2019).⁶⁰ The concept of ‘benefit sharing’ has since evolved. Whereas benefit sharing was originally understood as referring to the distribution of financial benefits, the concept has come to encompass broader forms of social accountability and responsibility. In the context of REDD+, benefit sharing refers to the distribution of both the monetary and the non-monetary benefits generated through the implementation of REDD+ projects.

Conceptualizations of REDD+ have evolved over the past decade, yet REDD+ remains at its core a financial mechanism directing incentives such as results-based payments (RBPs) towards countries and areas tackling deforestation⁶¹. It requires a system to designate who gets rewarded, why, under what conditions, in what proportions and for how long. Benefit sharing describes all institutional means, structures and instruments for distributing finance and other net benefits from REDD+ programs. It is important for creating the necessary incentives to change deforestation and forest degradation behaviors and thus reduce carbon emissions. A well-designed benefit-sharing mechanism can also support the effectiveness of forest management and increase the efficiency of REDD+ programs. However, if stakeholders do not see the system as fair, it will threaten the legitimacy of, and support for, REDD+. Discussions on benefit sharing reflect heightened concerns of how to access REDD+ finance, assessing REDD+ policy performance and results, generating co-benefits, and resolving issues around equity and safeguards.⁶²

REDD+ implementation will not only generate benefits for forest stewards but will also involve costs. The two main types of costs are: implementation and transaction costs, i.e., the direct expenses incurred in setting up a REDD+ system and implementing the necessary policies; and opportunity costs, or the foregone profits from the best alternative forest and land use. Therefore, understanding REDD+ ‘benefits’ requires a thorough understanding of both the costs and benefits involved in a REDD+ scheme as, ultimately, ‘it is the net benefits that matter’ (Luttrell et al. 2012).

⁶⁰ Jorge Cabrera Medaglia, Frederic Perron-Welch, MA (Toronto), LLB (Dalhousie), The benefit-sharing principle in international law, *Journal of Intellectual Property Law & Practice*, Volume 14, Issue 1, January 2019

⁶¹ Angelsen, A. (2017). REDD+ as result-based aid: General lessons and bilateral agreements of Norway. *Review of Development Economics*, 21(2), 237–264.

⁶² Wong, G., Angelsen, A., Brockhaus, M., Carmenta, R., Duchelle, A., Leonard, S., ... Wunder, S. (2016). Results-based payments for REDD+: Lessons on finance, performance, and non-carbon benefits

There are different categories of benefits. Luttrell et al. (2013) distinguishes between three main types of net benefits:

1. Benefits from implementation of a REDD+ project, programme or policy (e.g. direct financial payments);
2. Benefits from changes in forest use (e.g. improved provision of ecosystem services or non-timber forest products);
3. Indirect and non-monetary (net) benefits from REDD+ implementation (e.g. improved governance, technology transfer, enhanced participation in decision-making, and infrastructure provision).

Benefit-sharing mechanisms involve a variety of institutional means, governance structures and instruments for distributing finance and other benefits (Luttrell et al. 2012, 2013; Vhugen and Miner 2011). According to the UNFCCC (2007), benefit-sharing mechanisms are created through what are known as REDD+ Policies and Measures (PAMs). Two types of PAMs related to benefit-sharing mechanisms are:

- Compensation for the foregone opportunity costs of deforesting the land (similar to access restriction compensation).
- Incentives to induce positive choices of behavior (Brown et al. 2008; Peskett et al. 2008).

Both types of PAMs can be either delivered upfront, to enable REDD+ activities to begin, or dispensed over time to guarantee their continuation (Gebara 2010).

Benefit-sharing mechanisms can be organized along two main axes: a vertical axis of benefit sharing across scales from national to local, and a horizontal axis of sharing within scales, including within and across communities, households and other local stakeholders (Lindhjem et al. 2010; UN-REDD 2011), and within regional and national levels. Both the vertical and horizontal aspects of a REDD+ benefit-sharing mechanism need to be designed to maximize equity among the actors responsible for the reduction of deforestation and forest degradation, to improve the effectiveness of forest management and to increase the efficiency of national and subnational programmes (largely by minimizing transaction and implementation costs) (Brockhaus et al. 2013).

Elements of good practice for benefit can be grouped under fair (outcome) to include full range of monetary, non-monetary benefits, prevention of corruption, elite capture (eg. Good internal distribution arrangements), and improvement of livelihoods, not just restoring impoverished status quo; and equitable (process), encompassing good faith negotiations and transparent disclosure and participation of stakeholders.

Standard-specific assessment with respect to Benefit Sharing

FCPF: The World Bank in ESS 5 requires that that appropriate compensation, benefit sharing and grievance redress mechanisms are put in place. FCPF provides that an ER Program uses clear, effective and transparent benefit-sharing mechanisms with broad community support and support from other relevant stakeholders. A Benefit-Sharing

Plan⁶³ will elaborate on the benefit-sharing arrangements for Monetary and Non-Monetary Benefits and should be made publicly available, in a form, manner and language understandable to the affected stakeholders. The Plan should contain the following information:

1. The categories of potential Beneficiaries, describing their eligibility to receive potential Monetary and Non-Monetary Benefits.
2. Criteria, processes, and timelines for the distribution of Monetary and Non-Monetary Benefits.
3. Monitoring provisions for the implementation of the Benefit-Sharing Plan, including, as appropriate, an opportunity for participation in the monitoring and/or validation process by the Beneficiaries themselves.

ART TREES: One of the requirements from ART TREES is that the distribution of REDD+ benefits related to the implementation of the REDD+ results-based actions have been carried out in a fair, transparent, and accountable manner, as per relevant ratified international conventions, agreements, and/or domestic and if applicable, subnational, legal framework. However, specific requirements for benefit sharing plans are not prescribed.

GCF: The GCF Terms of reference for the pilot programme for REDD+ results-based payments⁶⁴ spell out the requirements for developing a GCF REDD-plus results-based payment funding proposal. It should include a description of how the proceeds will be used consistent with the country's NDC and national REDD+ strategy, and/or low-GHG development strategy including a timeline of implementation of public and private institutions involved as well as relevant stakeholders consistent with the objectives of the GCF and corresponding ESS requirements. It may also include a benefit sharing plan. Further, in meeting the IFC Performance Standards, all activities financed by GCF require that, where they are unavoidable, adverse impacts do not fall disproportionately on vulnerable and marginalized groups and individuals that are affected or potentially affected by GCF-financed activities and avoid prejudice and discrimination in providing access to development resources and benefits.

REDD+ SES: The REDD+ SES provide that the benefits⁶⁵ of a REDD+ program are shared equitably among all relevant rights holders and stakeholders. They call for a transparent and participatory assessment of predicted and actual benefits, costs, and risks of the REDD+ program for relevant rights holder and stakeholder groups at all levels, with special attention to women and marginalized and/or vulnerable people. In addition, transparent, participatory, effective and efficient mechanisms should be established for equitable sharing of benefits of the REDD+ program among and within

⁶³ FCPF Methodological Framework, Criterion 30.

https://www.forestcarbonpartnership.org/system/files/documents/FCPF%20Carbon%20Fund%20Methodological%20Framework%20revised%202016_1.pdf

⁶⁴ <https://www.greenclimate.fund/sites/default/files/document/terms-reference-pilot-programme-redd-results-based-payments.pdf>

⁶⁵ The term 'benefits' is understood to reflect a full consideration of benefits, costs and risks.

relevant rights holder and stakeholder groups taking into account socially differentiated⁶⁶ benefits, costs and risks.

JNR: JNR in Scenario 2 and 3 requires that jurisdictional proponents establish an equitable, transparent, and legally binding benefit-sharing system. It should consider stakeholders' carbon rights, including rights to land, forests, forest resources, as well as their contribution to ecosystem services that resulted or will result in GHG emission reductions. The system should be developed through a transparent and participatory process in which stakeholder participation is justifiably representative, with a special emphasis on indigenous peoples, local communities, women and the most marginalized and/or vulnerable. Scenario 1 does not provide guidance on benefit sharing.

The table below illustrates how Brazil through the State System of Incentives for Environmental Services (SISA) has addressed benefit sharing.

State System of Incentives for Environmental Services (SISA), Acre, Brazil:

For both equity and effectiveness, it can be important to recognize the contributions of actors who have maintained forests and provide incentives for ongoing protection as well as incentives for behavior change in those causing deforestation. Beneficiaries in the State of Acre are defined by the SISA legislation based on the provision of ecosystem services using the stock and flow approach, and by rewarding stakeholder groups that contribute to protecting forests (stock) as well as to reducing deforestation (flow). This approach takes into consideration that the conservation of about 87 percent of Acre State's forest cover is mainly the result of protection by its inhabitants, and not only the reduction of activities that cause deforestation. The benefits include establishing economic, tax, and credit incentives and creating enabling conditions (e.g., capacity building) for the program's beneficiaries, aiming to promote and develop sustainable activities. For Indigenous Peoples the benefits also involve direct payment to indigenous agroforestry agents to protect their territory and foster sustainable land management and to Indigenous Peoples' organizations to implement cultural heritage activities (KfW 2017).

Box 3: Benefit Sharing in Brazil

The following table assesses the standards provisions for benefit sharing.

⁶⁶ 'Socially differentiated' includes differentiated by gender, marginalization and vulnerability.

Table 5: Comparative analysis for benefit sharing requirements

Benefit sharing Key elements	FCPF/WB ESF & Methodological Framework	ART TREES	GCF/IFC PS	REDD+ SES	JNR
<ul style="list-style-type: none"> • Fair outcomes <ul style="list-style-type: none"> ○ Covers full range of monetary, non-monetary benefits ○ Prevents corruption, elite capture (eg. Good internal distribution arrangements) ○ Improves livelihoods, and not just restoring impoverished status quo. • Equitable procedure – good faith negotiation adheres to FPIC <ul style="list-style-type: none"> ○ Negotiations are uncoerced, and there is enough time to process choices. ○ Transparent, advanced draft BSP/agreement is shared for consultation. ○ Allows for alternative options/counter proposals (e.g. good-faith negotiation). ○ Participatory process to define benefits and beneficiaries, including recognition of historical contributions. • Efficient, effective and adequate M&E and enforcement mechanism 	<p>The ER Program provides a description of the benefit-sharing arrangements for the ER Program, including information on the categories of potential Beneficiaries, describing their eligibility to receive potential Monetary and Non-Monetary Benefits under the ER Program and the types and scale of such potential Monetary and Non-Monetary Benefits that may be received.</p>	<p>Describe the constitutional, legal, policy and/or governance arrangements related to measures such as financial management to prevent corruption and promote transparency in REDD+ action implementation and benefit distribution.</p>	<p>May require a benefit sharing plan.</p>	<p>The benefits of the REDD+ program are shared equitably among all relevant rights holders and stakeholders.</p>	<p>Requires establishment of a legally binding benefit sharing mechanism</p>

Gender Responsive Approaches

The dependence of the local communities, Indigenous Peoples, women and other marginalized groups on the forest resources for their livelihoods and other daily needs, poses potential risks associated with the faulty design and weak implementation of REDD+ activities. Several international REDD+/Forest Carbon initiatives and funding mechanisms have proposed different sets of social and environmental safeguards, to prevent potential social and/or environmental damage or harm to such forest-dependent communities and increase benefits for them in an equitable manner. Inclusion of women and men equally and recognition of gendered differences in use and knowledge of forests is critical for REDD+. Women's key skills and knowledge in forest use and knowledge in forest conservation and management can add value to and enhance the efficiency and efficacy of REDD+ action. Women in poor forest dependent communities often do not fully benefit from their forest conservation activities or efforts to support REDD+ action – this is especially true in countries where land and forest rights are not equitably guaranteed between women and men. To remedy systemic discrimination related to land access, ownership and control as well as decision-making at the household, community and state levels, REDD+ programmes have prioritized mainstreaming gender responsive REDD+ strategy to progressively change structural inequities that deny women and other marginalized groups (such as indigenous communities) land and forest tenure.

Progress has been made in promoting social inclusion within REDD+ initiatives, including by integrating gender equality and women's empowerment principles into national REDD+ strategies. Efforts towards gender-responsive REDD+ at the national and local levels should be continuous and context-based. Locally appropriate guidance (guided by clear gender indicators) on gender mainstreaming could help guide this process. Development and implementation of REDD+ policies and measures and REDD+ safeguards present critical entry points at the national level for promoting such work.

Key requirements of a gender responsive approach include:

- Gender-responsive strategy that is more about achieving equality and empowerment vs. gender sensitive (now)
- Explicit requirement for a gender action plan that is updated as necessary, with requirements at the project inception, implementation, monitoring and reporting stages.
- Explicitly addresses the risks of sexual and gender-based violence, exploitation, discrimination, and abuse;
- Recognizes that women and people of diverse sexual orientations and gender identities;
- Conduct a Gender and Social Inclusion Assessment to collect baseline data;
- Implement the Gender Action Plan that measures outcomes of activities on women and men, including impacts of activities on women and men's resilience to climate change;
- Ensure the grievance redress mechanisms is accessible to women;

Standard-specific assessment with respect to gender responsive approaches

FCPF: The ESF of the World Bank integrates issues of non-discrimination across its provisions touching on labour and working conditions, financial intermediaries and stakeholder engagement. There should be meaningful consultations with all stakeholders. Stakeholders should be provided with timely, relevant, understandable and accessible information, and consulted with in a culturally appropriate manner, which is free of manipulation, interference, coercion, discrimination and intimidation.

ART TREES: ART TREES does not provide guidance on non-discrimination and special attention to marginalized groups. It makes no reference to gender or women and provides no guidance on the same. It however requires that a REDD+ programme puts in place procedures for guaranteeing non-discriminatory and non-cost prohibitive access to dispute resolution mechanisms at all relevant levels.

GCF: The GCF Gender Policy⁶⁷ spells out the principles for achieving gender equality and women's empowerment through a Gender Action Plan⁶⁸. This will contribute to gender equality and inclusiveness by ensuring that the methods and tools to promote gender equality and reduce gender disparities in climate actions are established and implemented. In designing activities for GCF-funding, GCF will require accredited entities to adequately assess the gender risks and impacts (as part of social risks and impacts assessments) and link the corresponding gender risk management measures to the activity-level gender action plans.⁶⁹ In addition, IFC PS7 provides that the assessment of land and natural resource use should be gender inclusive and specifically consider women's role in the management and use of resources.

REDD+ SES: REDD+ SES envisage long-term improvement of livelihood, security and well-being of Indigenous Peoples and local communities with special attention to women and the most marginalized and/or vulnerable people. REDD+ programs should generate additional, 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 and/or vulnerable people. Moreover, REDD+ programs should be adapted based on assessment of predicted and actual impacts in order to mitigate negative, and enhance positive, impacts on Indigenous Peoples and local communities with special attention to women and the most marginalized and/or vulnerable people.

⁶⁷ GCF Gender Policy. <https://www.greenclimate.fund/sites/default/files/document/gcf-gender-policy.pdf>

⁶⁸ Gender Action Plan of the GCF 2020–2023.

<https://www.greenclimate.fund/sites/default/files/document/gender-action-plan.pdf>

⁶⁹ Decision B.09/11, paragraphs (a–b).

NEPAL

In Nepal, the community-based forestry program mandates that each Community Forest User Group's (CFUG) management committee is made up of 50% women and also has proportionate representation from other marginalized groups (Indigenous Peoples, minority ethnic groups, poor, and/or socially marginalized groups), along with promoting regular communication and public auditing and hearings. CFUGs are required to allocate at least 35% of their income for poverty alleviation specifically focused on socially marginalized groups, Indigenous Peoples, and women.

Quotas or targets for female representation on forest decision-making bodies and/or dedicated funding in benefit sharing mechanisms can improve women's participation and leadership. A broad mandate, such as Nepal's 50% quota for women in the management committee, gives women the numbers to have a strong voice. In a recent study of five rural communities with collective land rights, women in all five cases volunteered or ran for office under newly established gender mandates and quotas, "keenly embracing the new institutional space." (WRI and RE, 2021).

Box 4: Gender responsive approaches, the case of Nepal

The table below highlights the key provisions of four standards and their differences.

Table 6: Comparative Analysis for Gender responsive Approaches

Gender Responsive Approaches Key elements	FCPF/WB ESF & Methodological Framework	ART TREES	GCF/IFC PS	REDD+ SES
<ul style="list-style-type: none"> Requirement for a Gender-responsive strategy (more about achieving equality and empowerment) vs. gender – sensitive (now). Explicit requirement for gender action plan – updated as necessary, with requirements at the project inception, implementation, monitoring and reporting stages. Explicitly addresses the risks of sexual and gender-based violence, exploitation, discrimination, and abuse. Recognizes that women and people of diverse 	<ul style="list-style-type: none"> Monetary and Non-Monetary Benefits should be culturally appropriate and gender and inter-generationally inclusive. Ensure effective and inclusive engagement of all stakeholders, including those needing special measures or assistance.⁷⁰ 		<ul style="list-style-type: none"> The AE should provide an assessment describing the extent to which the measures undertaken complied with the GCF gender policy. all activities financed by GCF will require that, where they are unavoidable, adverse impacts do not fall disproportionately on vulnerable and marginalized groups and individuals that are affected or potentially affected by GCF-financed activities and avoid prejudice and 	<p>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.</p>

⁷⁰ WB ESS10

<p>sexual orientations and gender identities.</p> <ul style="list-style-type: none"> • Conduct a Gender and Social Inclusion Assessment to collect baseline data. • Implement the Gender Action Plan that measures outcomes of activities on women and men, incl. impacts of activities on women and men's resilience to climate change. • Ensure a GRM that is accessible to women. 			<p>discrimination in providing access to development resources and benefits.</p> <p>The process to build support shall be inclusive, gender-responsive and culturally aware, and will be supported by the disclosure of relevant information pursuant to the GCF Information Disclosure Policy;</p>	
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JNR is not included in the table above because it does not provide requirements for gender responsive approaches.

SUMMARY AND CONCLUSIONS

The FCPF, GCF and REDD+ SES seem to have some of the strongest provisions for safeguards however, there are areas that need to be addresses for each as indicated in the tables. Both REDD+ SES and JNR exhibit significant gaps in regard to gender responsive approaches. JNR also lacks specific/dedicated guidance on access restrictions. These gaps need to be addressed to ensure strong provisions on the safeguards front.

In summary, we identified that the various standards address safeguards in a similar manner, however the highest standard for each safeguard element is as follows:

6. Stakeholder engagement: FCPF and GCF have the highest requirements for stakeholder engagement. Both require a stakeholder engagement plan covering the full project cycle and call for participation of stakeholders throughout implementation of projects.
7. Grievance Redress Mechanism: While all standards (except ART TREES) seem to have string provisions regarding grievance redress mechanisms, the GCF calls for establishment of one at every level of engagement i.e., accredited entity, intermediary entity and activity levels. This ensures accessibility of the GRM to different stakeholders and allows for an elaborate appeals process if one is aggrieved by the handling of their grievances at a lower level.
8. Access Restriction: The GCFs approach to access restrictions is the strongest among the standards assessed. It requires that screening of projects and their specific sub-components for any activities that may result in involuntary resettlement. When limited involuntary resettlement cannot be avoided, a resettlement action plan or, if specific activities or locations have not yet been determined, a resettlement policy framework proportional to the extent of

physical and economic displacement and the vulnerability of the people and communities must be developed.

9. **Benefit Sharing:** JNR holds the strongest requirements for benefit sharing. It requires that jurisdictional proponents establish an equitable, transparent, and legally binding benefit-sharing system. It further lays emphasis on the recognition of stakeholders' carbon rights, including rights to land, forests, forest resources, as well as their contribution to ecosystem services that resulted or will result in GHG emission reductions.
10. **Gender Responsive Approaches:** The GCF exhibits best practice for gender responsive approaches. It requires a gender assessment to be undertaken to assess the gender risks and impacts as a result of the project. It further calls for activity-level gender action plans geared towards addressing gender risks at the activity level. Additionally, the GCF has a gender policy that contains principles for achieving gender equality and women empowerment.

The following tables summarize the requirements from the five standards assessed against the key elements for the safeguards elements.

Table 7: Standard specific requirements for stakeholder engagement

Stakeholder engagement: Key elements	FCPF/WB ESF & Methodologic al Framework	ART TREES	GCF/IFC PS	REDD+ SES	JNR
Stakeholder Engagement Plans (SEP) required	Required	Not required	Required	Not required	Not required
Stakeholder mapping to identify vulnerable peoples	Required	Required	Required	Required	Required
SEP covers full project cycle	Required	Not required	Required	Not required	Not required
SEP is consulted, ensure that consulted views and interests of the most directly affected stakeholders are adequately reflected in the design and execution of the SEP	Required	Not required	Required	Not required	Not required
SEP has robust disclosure commitments	Required	Not required	Required	Required	Not required
Include as appropriate the participation of stakeholders throughout the project implementation	Required	Required	Required	Required	Required
SEP regularly updated, disclosed.	Not required	Not required	Not required	Not required	Not required
Provides for free, prior and informed consent for Indigenous Peoples, as required.	Required	Required	Required	Required	Not required
SEP requires appropriate GRM	Required	Required	Required	Required	Required

Table 8: Standard specific requirements for Grievance Redress Mechanism

Grievance Redress Mechanism: Key Elements	FCPF/WB ESF & Methodological Framework	ART TREES	GCF/IFC PS	REDD+ SES	JNR
Ensure that a Project level grievance redress mechanism is established	Required	Not Required	Required	Required	Required
Adequate requirement for raising community awareness	Required	Not required	Required	Required	Required
Time limits for responding and addressing grievances	Required	Not Required	Required	Required	Required

Clear, inclusive eligibility criteria	Required	Not Required	Required	Required	Required
Risk based response	Required	Not Required	Required	Required	Required
Is accessible to women and vulnerable people	Required	Not Required	Required	Required	Required
Appeals process, access to an institutional accountability mechanism	Required	Not Required	Required	Not Required	Required
Provides for confidentiality	Required	Not Required	Required	Required	Required
Public reporting of GRM performance		Not Required	Required	Not Required	Required
Considers delegation to local, customary dispute resolution practices, where feasible and suitable, and supplemented as needed with project specific arrangements	Required	Not Required	Required	Required	Required

Table 9: Standard specific requirements for Access Restrictions

Access Restrictions - Resettlement, physical or economic displacement. Key elements	FCPF/WB ESF & Methodological Framework	ART TREES	GCF/IFC PS	REDD+ SES	JNR
No forced evictions	Required	Required	Required	Required	Required
Extend safeguard to customary rights; safeguard is not limited to areas where there are legal rights over access and use of resources	Required	Required	Required	Required	Required
Requires process framework to avoid and/or minimize economic displacement - restricting people's access to use of land and/or natural resources.	Required	Required	Required	Required	Required
Requires resettlement action plan (RAP) or equivalent agreement that documents consent on impacts and benefits.	Required	Not Required	Required	Required	Required
Provide all displaced persons with fair and equitable compensation, such as replacement land, cash or in-kind replacement of lost assets, and restored access to natural resources (outlined in a Process Framework)	Required	Not Required	Required	Required	Required
Restore or if possible, improve the livelihoods and standards of living of those people who are economically displaced	Required	Not Required	Required	Required	Not required

Table 10: Standard specific requirements for Benefit Sharing

Benefit sharing Key elements		FCPF/WB ESF & Methodological Framework	ART TREES	GCF/IFC PS	REDD+ SES	JNR
Required a benefit sharing plan/agreement		Required	Not required	Not Required	Required	Required
Fair Outcomes	Convers full range of monetary, non-monetary benefits	Required	Not Required	Not Required	Required	Required
	Prevent corruption, elite capture (e.g. Good internal distribution arrangements)	Required	Required	Not Required	Not Required	Required
	Improve livelihoods, not just restore impoverished status quo.	Required	Not Required	Not Required	Required	Required
Equitable procedure	Good faith negotiation adheres to FPIC	Required	Not Required	Not Required	Required	Required
	Uncoerced, enough time to process choices	Required	Not Required	Not Required	Required	Required
	Transparent, advanced draft BSP/agreement for consultation	Required	Not required	Not Required	Not Required	Required
	Allows for alternative options/counter proposals (e.g. good-faith negotiation).	Not Required	Not Required	Not Required	Required	Not Required
	Participatory process to define benefits and beneficiaries, including recognition of historical contributions	Required	Not Required	Not Required	Required	Required
Efficient & effective	Adequate M&E and enforcement	Required	Not Required	Not Required	Required	Required

Table 11: Standard specific requirements for Gender Responsive Approaches.

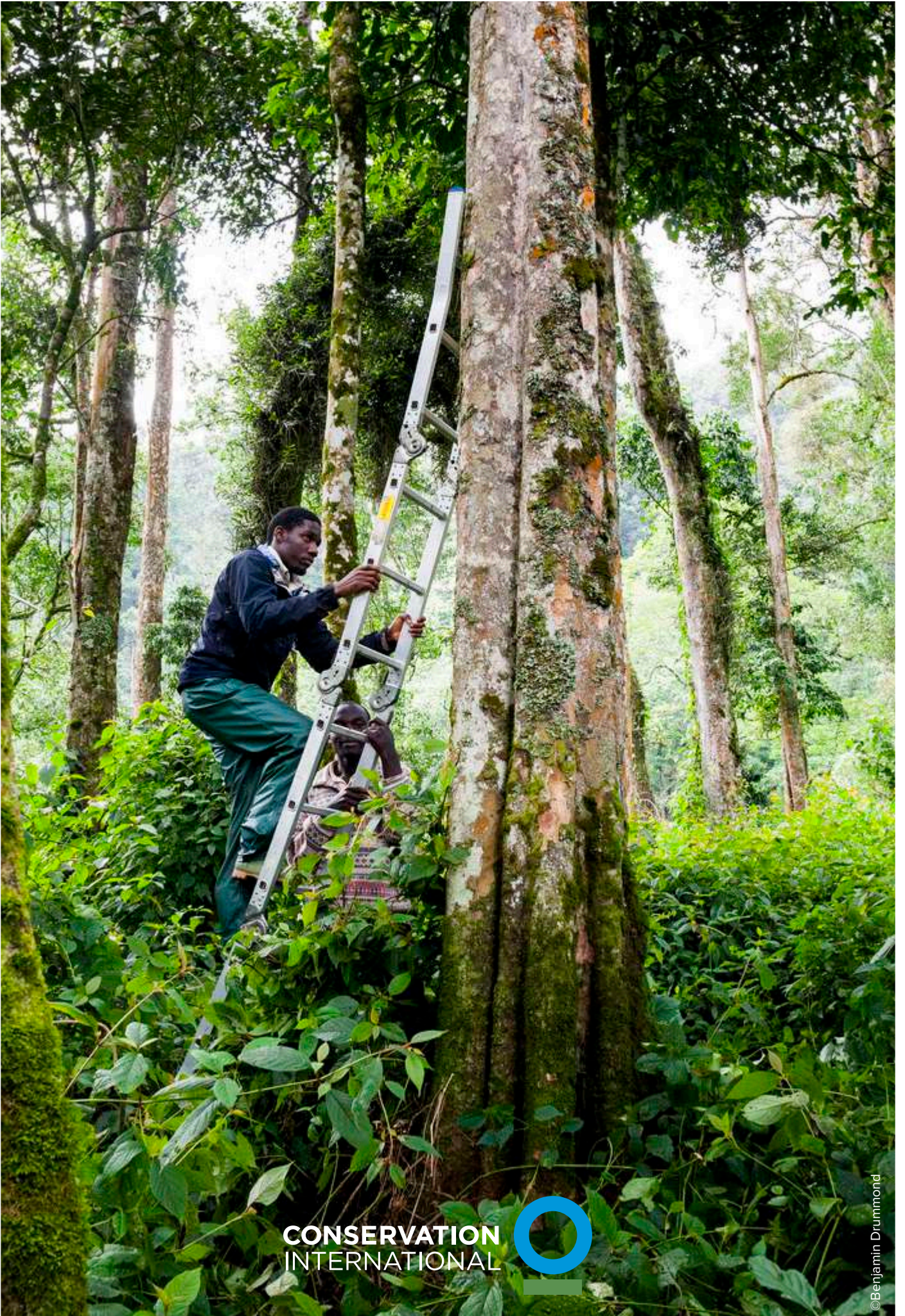
Gender Responsive Approaches Key elements	FCPF/WB ESF & Methodologica I Framework	ART TREES	GCF/IFC PS	REDD+ SES
Gender-responsive strategy (more about achieving equality and empowerment) vs. gender – sensitive (now). Explicit req for gender action plan – updated as necessary, w/ requirements at the project inception, implementation, monitoring and reporting stages;	Required	Not Required	Required	Not Required
Explicitly addresses the risks of sexual and gender-based violence, exploitation, discrimination, and abuse;	Not Required	Not Required	Not Required	Not Required
Recognizes that women and people of diverse sexual orientations and gender identities;	Not Required	Not Required	Not Required	Not Required
Conduct a Gender and Social Inclusion Assessment to collect baseline data;	Required	Not Required	Required	Not Required
Implement the Gender Action Plan that measures outcomes of activities on women and men, incl. impacts of activities on women and men’s resilience to climate change;	Required	Not Required	Required	Not Required
Ensure GRM that is accessible to women;	Required	Not Required	Required	Required

An overall observation from the review of the different standards is that they have different requirements for different safeguards with some being stronger than others. Efforts should be made to harmonize requirements and standards set by multilateral REDD+ funding mechanisms and donors while ensuring that the bare minimum for safeguards elements is adhered to. This will ensure better application of safeguards. Additionally, there is need to improve systematic monitoring of REDD+ safeguards and standardize reporting expectations, indicators, and standards.

National level guidelines should provide for the recognition of other standards/ safeguards systems as means of ensuring compliance and monitoring implementation. This will be important to ensure that activities employing different standards are subjected to somewhat similar requirements for safeguards. Equally important is the need to ensure consistency in terminology between different safeguards systems, as far as possible. Gaps remain even for the strongest standards in gender inclusion, GRM, and benefit sharing which should be addressed over time.

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