

Objectives and scope

This tool aims to offer a collaborative and robust approach to prepare a Jurisdictional REDD+ (J-REDD+) safeguards conformance roadmap. The specific objectives and scope of this roadmap template report are:

1. To ensure all the safeguard minimum requirements of the Warsaw Framework for REDD+ (WFR)[[1]](#footnote-1)[[2]](#footnote-2) are in place. The results from the completed Tool 1 will serve to inform this aspect of the roadmap.
2. To address any gaps or shortcomings in relation to each of the safeguard minimum requirements of the WFR, which were assessed through this toolkit. The results from the completed Tools 2-7 will serve to inform this aspect of the roadmap.
3. To identify a clear, operational and actionable plan forward for both of the above, in terms of:
   * 1. Specific tasks and activities that need to be taken,
     2. Stakeholder groups/platforms that must be involved/consulted in the delivery of the tasks and activities,
     3. The participatory processes required to undertake the tasks and activities,
     4. The expertise and other requirements necessary to deliver the tasks and activities,
     5. The estimated timelines for the execution of the tasks and activities,
     6. The estimated budget for the execution of the tasks and activities, and
     7. The overall organizational and capacity building needs to ensure the lasting implementation of these safeguard elements.

Users should also refer to the ‘Jurisdictional REDD+ Safeguards Conformance Assessment Tool-Kit Framework’ for guidance on the participatory process for preparing this roadmap

How to use this tool?

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| This tool is divided into seven (7) sections, and in each section, users will be guided to identify a clear, operational and actionable plan to address any gaps and shortcomings.   * **Section 1:** guides users in preparing a plan for any safeguard elements that are missing- as per results from Tool 1. * **Section 2:** guides users for addressing any gaps or shortcomings in relation to the safeguard information system (SIS) - as per results from Tool 2 * **Section 3:** guides users for addressing any gaps or shortcomings in relation to the J-REDD+ program’s governance arrangements that guarantee the application of the UNFCCC REDD+ safeguards- as per results from Tool 3. * **Section 4:** guides users for addressing any gaps or shortcomings in relation to the REDD+ revenue distribution plan or system - as per results from Tool 4. * **Section 5:** guides users for addressing any gaps or shortcomings in relation to grievance redress mechanism(s) (GRMs) - as per results from Tool 5. * **Section 6:** guides users for addressing any gaps or shortcomings in relation to the J-REDD+ program’s participatory approaches- as per results from Tool 6. * **Section 7:** guides users for addressing any gaps or shortcomings in relation to the summary of information (SOI) - as per results from Tool 7 |

Section 1 - Missing Safeguard elements of the WFR

**Key considerations**

In alignment with the minimum requirements of the WFR, all J-REDD+ programs should have in place the following elements:

* A SIS[[3]](#footnote-3). J-REDD+ programs are required to establish a system to provide information on how the seven UNFCCC safeguards are being addressed and respected in all of the phases of implementation of REDD+ activities, and which must be consistent with the guidance in UNFCCC decision 12/CP.17.
* The J-REDD+ program’s governance arrangements guarantee the application of the UNFCCC REDD+ safeguards. REDD+ activities, regardless of their type of funding source, are to be implemented in such a way that is consistent with the UNFCCC REDD+ safeguards[[4]](#footnote-4).
* The REDD+ revenue distribution plan or system. Connected to element ‘2’, the adoption of a REDD+ revenue distribution plan or system is considered a key aspect of the UNFCCC safeguards ‘b’[[5]](#footnote-5) and ‘c’[[6]](#footnote-6).
* The GRMs. Connected to element ‘2’, the availability of adequate GRMs is considered a key aspect of the UNFCCC safeguard ‘b’[[7]](#footnote-7).
* The J-REDD+ program’s participatory approaches. Connected to element ‘2’[[8]](#footnote-8), and in response to UNFCCC decision[[9]](#footnote-9), a key aspect for J-REDD+ programs is to ensure the full and effective participation of all stakeholders in their design and implementation.
* The SOI. In order to receive results-based payments, J-REDD+ programs must present their most recent SOI (or equivalent subnational safeguard report) demonstrating how the safeguards have been addressed and respected.

**Workplan**

Users should please refer to **their completed Section B of Tool 1,** which was utilized to identify which of the above elements were in place, and which were missing. Based on this information, users should complete the following template table.

To complete this template, users (with the support of from a selected expert international organization) will need to consider the scope of each column as follows:

* Column 1(Safeguard Element Missing): for users to identify and insert which element is missing- please **refer to completed Section B of Tool 1.**
* Column 2 (Actions and Tasks): for users to identify specific and key actions and tasks to be taken. These may include, but are not limited to:
  + Policy and regulatory development
  + Institutional arrangements, such as the set-up or strengthening of multi-stakeholder platforms
  + Development of guidelines, indicators, processes, and/or procedures
  + Capacity building and awareness raising, including training activities
* Column 3 (Stakeholder groups): for users to identify stakeholder groups that must be involved/consulted in the delivery of the tasks and activities. In this column, users should seek to identify both governmental and non-governmental stakeholders that should be involved, with a view of ensuring the full and effective participation of stakeholders.
* Column 4 (Participatory processes): for users to identify the participatory processes required to undertake the tasks and activities, such as the number and scope of consultation activities, workshops, meetings, etc.
* Column 5 (Expertise): for users to identify the expertise and other requirements necessary to deliver the tasks and activities. This column should be used to identify any specific organizations that may be able to offer technical assistance.
* Column 6 (Timelines): for users to identify the estimated timelines for the execution of the tasks and activities, noting any milestones and key dates.
* Column 7 (Budget): for users to identify the estimated budget for the execution of the tasks and activities, and
* Column 8 (Capacity building needs): for users to identify the overall organizational and capacity building needs to ensure the lasting implementation of these safeguard elements. This column should be used to also identify any new staff that must be embedded within government institutions) of the jurisdiction to ensure the effective implementation of the safeguard element (e.g. GRM officer).

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Section 2 – The Safeguard Information System

**Key considerations**

J-REDD+ programs are required to establish a system to provide information[[10]](#footnote-10) on how the seven UNFCCC safeguards are being addressed and respected in all of the phases of implementation of REDD+ activities, and which must be consistent with the guidance in UNFCCC decision 12/CP.17.

**Environmental Impact**

Users should please refer to their **completed Section B of Tool 2**, which was utilized to identify gaps and shortcomings in relation to their SIS. Based on this information, users should complete the following template table.

To complete this template, users (with the support of from a selected expert international organization) will need to consider the scope of each column as follows:

* Column 1 (Shortcomings or Gaps Identified): for users to insert the key shortcomings or gaps identified for each of the SIS characteristics and generally. Please refer to completed Section B of Tool 2.
* Column 2 (Actions and Tasks): for users to identify specific actions and tasks to be taken. Please **refer to completed Section B of Tool 2, which already sets out some key recommendations**. Key actions may include, but are not limited to:
  + Policy and regulatory development, such as the adoption of a SIS policy or framework document
  + Technological solutions, such as the adoption of a SIS webpage and database
  + Institutional arrangements, such as the set-up or strengthening of a SIS multi-stakeholder platform
  + Adoption of guidelines, processes, and procedures for the SIS
  + Capacity-building and awareness-raising
* Column 3 (Stakeholder groups): for users to identify stakeholder groups that must be involved/consulted in the delivery of the tasks and activities. In this column, users should seek to identify both governmental and non-governmental stakeholders that should be involved, with a view of ensuring the full and effective participation of stakeholders.
* Column 4 (Participatory processes): for users to identify the participatory processes required to undertake the tasks and activities, such as the number and scope of consultation activities, workshops, meetings, etc.
* Column 5 (Expertise): for users to identify the expertise and other requirements necessary to deliver the tasks and activities. This column should be used to identify any specific organizations that may be able to offer technical assistance.
* Column 6 (Timelines): for users to identify the estimated timelines for the execution of the tasks and activities, noting any milestones and key dates.
* Column 7 (Budget): for users to identify the estimated budget for the execution of the tasks and activities, and
* Column 8 (Capacity building needs): for users to identify the overall organizational and capacity building needs to ensure the lasting implementation of these safeguard elements. This column should be used to also identify any new staff that must be embedded within government institutions) of the jurisdiction to ensure the effective implementation of this safeguard element (e.g. SIS officer).

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Section 3 – The J-REDD+ program’s governance arrangements that guarantee the application of the UNFCCC REDD+ safeguards

**Key considerations**

REDD+ activities, regardless of their type of funding source, are to be implemented in such a way that is consistent with the UNFCCC REDD+ safeguards[[11]](#footnote-11). This implies that J-REDD+ programs should take steps to clarify what UNFCCC REDD+ safeguards mean in the country context, and determine ‘how’ they will be applied throughout the implementation of their REDD+ activities.

**Workplan**

Users should please refer to their **completed Section B of Tool 3,** which was utilized to identify gaps and shortcomings. Based on this information, users should complete the following template table.

To complete this template, users (with the support of from a selected expert international organization) will need to consider the scope of each column as follows:

* Column 1 (Shortcomings or Gaps Identified): for users to insert the key shortcomings or gaps identified for each safeguard. Please refer to **completed Section B of Tool 3.**
* Column 2 (Actions and Tasks): for users to identify specific actions and tasks to be taken. Please **refer to completed Section B of Tool 3, which already sets out some key recommendations**. Key actions may include, but are not limited to:
  + Policy and regulatory development, such as the adoption of dedicated procedures
  + Institutional arrangements, such as the set-up or strengthening of a REDD+ multi-stakeholder platform
  + Adoption of guidelines and processes
  + Capacity-building and awareness-raising
* Column 3 (Stakeholder groups): for users to identify stakeholder groups that must be involved/consulted in the delivery of the tasks and activities. In this column, users should seek to identify both governmental and non-governmental stakeholders that should be involved, with a view of ensuring the full and effective participation of stakeholders.
* Column 4 (Participatory processes): for users to identify the participatory processes required to undertake the tasks and activities, such as the number and scope of consultation activities, workshops, meetings, etc.
* Column 5 (Expertise): for users to identify the expertise and other requirements necessary to deliver the tasks and activities. This column should be used to identify any specific organizations that may be able to offer technical assistance.
* Column 6 (Timelines): for users to identify the estimated timelines for the execution of the tasks and activities, noting any milestones and key dates.
* Column 7 (Budget): for users to identify the estimated budget for the execution of the tasks and activities, and
* Column 8 (Capacity building needs): for users to identify the overall organizational and capacity building needs to ensure the lasting implementation of these safeguard elements. This column should be used to also identify any new staff that must be embedded within government institutions) of the jurisdiction to ensure the effective implementation of this safeguard element (e.g. Safeguards/SIS officer).

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Section 4 – The REDD+ revenue distribution plan or system

**Key considerations**

The adoption of a REDD+ revenue distribution plan or system is considered a key aspect of the UNFCCC safeguards ‘b’[[12]](#footnote-12) and ‘c’[[13]](#footnote-13).

**Workplan**

Users should please refer to their **completed Section B of Tool 4,** which was utilized to identify gaps and shortcomings. Based on this information, users should complete the following template table.

To complete this template, users (with the support of from a selected expert international organization) will need to consider the scope of each column as follows:

* Column 1 (Shortcomings or Gaps Identified): for users to insert the key shortcomings or gaps identified for each safeguard. Please refer to **completed Section B of Tool 4.**
* Column 2 (Actions and Tasks): for users to identify specific actions and tasks to be taken. Please **refer to completed Section B of Tool 4, which already sets out some key recommendations.** Key actions may include, but are not limited to:
  + Policy and regulatory development, such as the adoption of dedicated procedures
  + Institutional arrangements, such as the set-up or strengthening of a REDD+ multi-stakeholder platform
  + Adoption of guidelines and processes
  + Capacity-building and awareness-raising
* Column 3 (Stakeholder groups): for users to identify stakeholder groups that must be involved/consulted in the delivery of the tasks and activities. In this column, users should seek to identify both governmental and non-governmental stakeholders that should be involved, with a view of ensuring the full and effective participation of stakeholders.
* Column 4 (Participatory processes): for users to identify the participatory processes required to undertake the tasks and activities, such as the number and scope of consultation activities, workshops, meetings, etc.
* Column 5 (Expertise): for users to identify the expertise and other requirements necessary to deliver the tasks and activities. This column should be used to identify any specific organizations that may be able to offer technical assistance.
* Column 6 (Timelines): for users to identify the estimated timelines for the execution of the tasks and activities, noting any milestones and key dates.
* Column 7 (Budget): for users to identify the estimated budget for the execution of the tasks and activities, and
* Column 8 (Capacity building needs): for users to identify the overall organizational and capacity building needs to ensure the lasting implementation of these safeguard elements. This column should be used to also identify any new staff that must be embedded within government institutions) of the jurisdiction to ensure the effective implementation of this safeguard element.

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Section 5 – The grievance redress mechanism(s)

**Key considerations**

The availability of adequate GRMs is considered a key aspect of the UNFCCC safeguard ‘b’[[14]](#footnote-14).

**Workplan**

Users should please refer to **their completed Section B of Tool 5,** which was utilized to identify gaps and shortcomings. Based on this information, users should complete the following template table.

To complete this template, users (with the support of from a selected expert international organization) will need to consider the scope of each column as follows:

* Column 1 (Shortcomings or Gaps Identified): for users to insert the key shortcomings or gaps identified for each safeguard. Please refer to **completed Section B of Tool 5.**
* Column 2 (Actions and Tasks): for users to identify specific actions and tasks to be taken. Please refer to **completed Section B of Tool 5, which already sets out some key recommendations.** Key actions may include, but are not limited to:
  + Policy and regulatory development, such as the adoption of dedicated procedures
  + Institutional arrangements, such as the set-up of a GRM unit
  + Adoption of guidelines and processes
  + Capacity-building and awareness-raising
* Column 3 (Stakeholder groups): for users to identify stakeholder groups that must be involved/consulted in the delivery of the tasks and activities. In this column, users should seek to identify both governmental and non-governmental stakeholders that should be involved, with a view of ensuring the full and effective participation of stakeholders.
* Column 4 (Participatory processes): for users to identify the participatory processes required to undertake the tasks and activities, such as the number and scope of consultation activities, workshops, meetings, etc.
* Column 5 (Expertise): for users to identify the expertise and other requirements necessary to deliver the tasks and activities. This column should be used to identify any specific organizations that may be able to offer technical assistance.
* Column 6 (Timelines): for users to identify the estimated timelines for the execution of the tasks and activities, noting any milestones and key dates.
* Column 7 (Budget): for users to identify the estimated budget for the execution of the tasks and activities, and
* Column 8 (Capacity building needs): for users to identify the overall organizational and capacity building needs to ensure the lasting implementation of these safeguard elements. This column should be used to also identify any new staff that must be embedded within government institutions) of the jurisdiction to ensure the effective implementation of this safeguard element.

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Section 6 – The J-REDD+ program’s participatory approaches

**Key considerations**

In response to UNFCCC decision[[15]](#footnote-15), a key aspect of J-REDD+ programs is to ensure the full and effective participation of all stakeholders in their design and implementation.

**Workplan**

Users should please refer to their **completed Section B of Tool 6**, which was utilized to identify gaps and shortcomings. Based on this information, users should complete the following template table.

To complete this template, users (with the support of from a selected expert international organization) will need to consider the scope of each column as follows:

* **Column 1 (Shortcomings or Gaps Identified): for users to insert the key shortcomings or gaps identified for each safeguard. Please refer to completed Section B of Tool 6.**
* Column 2 (Actions and Tasks): for users to identify specific actions and tasks to be taken. Please refer **to completed Section B of Tool 6, which already sets out some key recommendations.** Key actions may include, but are not limited to:
  + Policy and regulatory development, such as the adoption of dedicated procedures
  + Institutional arrangements
  + Adoption of guidelines and processes
  + Capacity-building and awareness-raising
* Column 3 (Stakeholder groups): for users to identify stakeholder groups that must be involved/consulted in the delivery of the tasks and activities. In this column, users should seek to identify both governmental and non-governmental stakeholders that should be involved, with a view of ensuring the full and effective participation of stakeholders.
* Column 4 (Participatory processes): for users to identify the participatory processes required to undertake the tasks and activities, such as the number and scope of consultation activities, workshops, meetings, etc.
* Column 5 (Expertise): for users to identify the expertise and other requirements necessary to deliver the tasks and activities. This column should be used to identify any specific organizations that may be able to offer technical assistance.
* Column 6 (Timelines): for users to identify the estimated timelines for the execution of the tasks and activities, noting any milestones and key dates.
* Column 7 (Budget): for users to identify the estimated budget for the execution of the tasks and activities, and
* Column 8 (Capacity building needs): for users to identify the overall organizational and capacity building needs to ensure the lasting implementation of these safeguard elements. This column should be used to also identify any new staff that must be embedded within government institutions) of the jurisdiction to ensure the effective implementation of this safeguard element.

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Section 7 – The summary of information

**Key considerations**

In order to receive results-based payments, J-REDD+ programs must present their most recent SOI (or equivalent subnational safeguard report) demonstrating how the safeguards have been addressed and respected (usually referred to as the summary of information or SOI)[[16]](#footnote-16), which must be consistent with the guidance from the UNFCCC[[17]](#footnote-17).

**Workplan**

Users should please refer to their **completed Section B of Tool 7,** which was utilized to identify gaps and shortcomings. Based on this information, users should complete the following template table.

To complete this template, users (with the support of from a selected expert international organization) will need to consider the scope of each column as follows:

* Column 1 (Shortcomings or Gaps Identified): for users to insert the key shortcomings or gaps identified for each safeguard. Please refer to **completed Section B of Tool 7.**
* Column 2 (Actions and Tasks): for users to identify specific actions and tasks to be taken. Please refer to **completed Section B of Tool 7, which already sets out some key recommendations.** Key actions may include, but are not limited to:
  + Policy and regulatory development, such as the adoption of dedicated procedures
  + Institutional arrangements
  + Adoption of guidelines and processes
  + Capacity-building and awareness-raising
* Column 3 (Stakeholder groups): for users to identify stakeholder groups that must be involved/consulted in the delivery of the tasks and activities. In this column, users should seek to identify both governmental and non-governmental stakeholders that should be involved, with a view of ensuring the full and effective participation of stakeholders.
* Column 4 (Participatory processes): for users to identify the participatory processes required to undertake the tasks and activities, such as the number and scope of consultation activities, workshops, meetings, etc.
* Column 5 (Expertise): for users to identify the expertise and other requirements necessary to deliver the tasks and activities. This column should be used to identify any specific organizations that may be able to offer technical assistance.
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* Column 7 (Budget): for users to identify the estimated budget for the execution of the tasks and activities, and
* Column 8 (Capacity building needs): for users to identify the overall organizational and capacity building needs to ensure the lasting implementation of these safeguard elements. This column should be used to also identify any new staff that must be embedded within government institutions) of the jurisdiction to ensure the effective implementation of this safeguard element.

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1. According to Decision 9/CP.19, paragraph 3, all of the elements referred to in Decision 1/CP.16, paragraph 71, should be in place in order to access results-based payments. All these elements are incorporated as requirements of J-REDD+ standards. [↑](#footnote-ref-1)
2. As of December 2022, of the 64 countries that have made submissions to the UNFCCC info hub, only 24 have submitted a summary of information (SOI) on how safeguards are addressed and respected, and only 7 have submitted documentation to evidence the safeguard information system (SIS) is in place. For more information please refer to Rey Christen, D., Oliveira, B., et. al. 2022. “Jurisdictional REDD+ programs: Progress on the Elements of the Warsaw Framework for REDD+ and Access to Results-based Finance ” Info Brief. Oxford, UK. Climate Law & Policy. Available online at <https://climatelawandpolicy.com/> [↑](#footnote-ref-2)
3. UNFCCC Decision 1/CP.16 Paragraph 71(d). [↑](#footnote-ref-3)
4. “Agrees that, regardless of the source or type of financing, the activities referred to in decision 1/CP.16 paragraph 70, should be consistent with the relevant provisions included in decision 1/CP.16, including the safeguards in its appendix I” UNFCCC Decision 2/CP.17 paragraph 63 [↑](#footnote-ref-4)
5. Characteristics of effective governance structures generally include: laws and regulations relating to forest governance and sustainable use of forests; clear rights of ownership and possession (land tenure) including

   for traditional and customary ownership; and fair and equitable benefit sharing arrangements. Annex II, Braña Varela, J., Lee, D., Rey Christen, D., and Swan, S. 2014. “REDD+ Safeguards: Practical Considerations for Developing a Summary of Information.” Prepared with support from the Government of Norway’s International Climate and Forest Initiative. [↑](#footnote-ref-5)
6. International instruments recognise the right to an equitable share of the benefits. Convention on Biological Diversity, Articles 8(f)(j), 10(c); Nagoya Protocol, Article 7; Non-legally binding instrument on all types of forests, Article 1(f); ILO Convention No. 169, Article 7. [↑](#footnote-ref-6)
7. Characteristics of effective governance structures generally include: access to judicial or administrative procedures that can provide effective remedy for infringements of rights, and to resolve disputes, especially for indigenous peoples. Annex II, Braña Varela, J., Lee, D., Rey Christen, D., and Swan, S. 2014. “REDD+ Safeguards: Practical Considerations for Developing a Summary of Information.” Prepared with support from the Government of Norway’s International Climate and Forest Initiative. [↑](#footnote-ref-7)
8. Characteristics of UNFCCC safeguard ‘D’ which specifically refers to the ‘full and effective participation’ is generally associated to the recognition and implementation of procedural rights (also known as access rights) such as access to information, participation, and justice in relation to decision-making processes. Due to the different identities, cultures, languages and institutions of indigenous peoples and local communities, ensuring their full and effective participation is in some cases associated with special procedure or measures, including Free, Prior and Informed Consent (FPIC). [↑](#footnote-ref-8)
9. UNFCCC Decision 1/CP.16, paragraph 72 [↑](#footnote-ref-9)
10. UNFCCC Decision 1/CP.16 Paragraph 71(d). [↑](#footnote-ref-10)
11. “Agrees that, regardless of the source or type of financing, the activities referred to in decision 1/CP.16 paragraph 70, should be consistent with the relevant provisions included in decision 1/CP.16, including the safeguards in its appendix I” UNFCCC Decision 2/CP.17 paragraph 63 [↑](#footnote-ref-11)
12. Characteristics of effective governance structures generally include: laws and regulations relating to forest governance and sustainable use of forests; clear rights of ownership and possession (land tenure) including for traditional and customary ownership; and fair and equitable benefit sharing arrangements. Annex II, Braña Varela, J., Lee, D., Rey Christen, D., and Swan, S. 2014. “REDD+ Safeguards: Practical Considerations for Developing a Summary of Information.” Prepared with support from the Government of Norway’s International Climate and Forest Initiative. [↑](#footnote-ref-12)
13. International instruments recognise the right to an equitable share of the benefits. Convention on Biological Diversity, Articles 8(f)(j), 10(c); Nagoya Protocol, Article 7; Non-legally binding instrument on all types of forests, Article 1(f); ILO Convention No. 169, Article 7. [↑](#footnote-ref-13)
14. Characteristics of effective governance structures generally include: access to judicial or administrative procedures that can provide effective remedy for infringements of rights, and to resolve disputes, especially for indigenous peoples. Annex II, Braña Varela, J., Lee, D., Rey Christen, D., and Swan, S. 2014. “REDD+ Safeguards: Practical Considerations for Developing a Summary of Information.” Prepared with support from the Government of Norway’s International Climate and Forest Initiative. [↑](#footnote-ref-14)
15. UNFCCC Decision 1/CP.16, paragraph 72 [↑](#footnote-ref-15)
16. UNFCCC Decision 9/CP, Paragraph 4; Decision 2/CP.17, Paragraph 63 and 64; Decision 12/CP.17 paragraph 3 and 4. [↑](#footnote-ref-16)
17. UNFCCC decision 17/CP.2., requires the full and effective participation of relevant stakeholders, inter alia indigenous peoples and local communities; when developing and implementing national strategies or action plans, to address, inter alia, the drivers of deforestation and forest degradation, land tenure issues, forest governance issues, gender considerations and the UNFCCC safeguards. [↑](#footnote-ref-17)