

**Environmental and Social Management Framework (ESMF)
for REDD+ implementation in the
Republic of Suriname**

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Abbreviations

AAE	Asesoramiento Ambiental Estratégico, in English Strategic Environmental Advice
ACT/ACTO	Amazon Cooperation Treaty/Amazon Cooperation Treaty Organization
AP	Action Plan
BGA	Bureau Gender Affairs
BeRT	Benefits and Risks Tool of the UN-REDD Programme
BP	Bank Procedures (referring to the World Bank)
CELOS	Center for Agricultural Research in Suriname
CI-Suriname	Conservation International Suriname
CITES	Convention on International Trade in Endangered Species of Wild Flora and Fauna
CoP	Code of Practice for Forest Operations
DC	District Commissaris, District Commissioner
EIA	Environmental Impact Assessment
EITI	Extractive Industries Transparency Initiative
EIS	Environmental Impact Statement
EMP	Environmental Management Plan
ESA	Environmental and Social Assessment
ESA-Office	Environmental and Social Assessment Office
ESIA	Environmental and Social Impact Assessment
ESMF	Environmental and Social Management Framework
FCMU	Forest Cover Monitoring Unit
FCPF	Forest Carbon Partnership Facility
FDC	Forest-Dependent Communities
FPIC	Free, Prior and Informed Consent/Consultation
FRL/FREL	Forest Reference Levels/Forest Reference Emission Levels
GCF	Green Climate Fund
GIZ	Deutsche Gesellschaft fuer Internationale Zusammenarbeit GmbH, literally translated German Society for International Cooperation
GLIS	Geographic Land Information System
GRM	Grievance Redress Mechanism
HFLD	High Forest cover Low Deforestation
HKV	Houtkap Vergunning, Communal Wood Cutting License, i.e. the old version of community forests, today not issued anymore
IACAC	Inter-American Convention against Corruption

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IAIA	International Association for Impact Assessment
ICESCR	International Covenant on Economic, Social and Cultural Rights
IFC	International Finance Corporation
INDC	Intended Nationally Determined Contribution
ITPs	Indigenous and Tribal Peoples
ITTA	International Tropical Timber Agreement
L-Decrees	National Legal Framework on Land Tenure
MD	Mining Decree
MGC	Major Groups Collectives
MI-GLIS	Management Instituut voor Grondregistratie en Land Information Systeem
Min-BUZA	Ministerie van Buitenlandse Zaken, Ministry of Foreign Affairs
Min-HI&T	Ministerie van Handel, Industrie & Toerisme, Ministry of Trade, Industry & Tourism
Min-LVV	Ministerie van Landbouw, Veeteelt en Visserij, Ministry for Agriculture, Animal Husbandry and Fishery
Min-NH	Ministerie van Natuurlijke Hulpbronnen, Ministry of Natural Resources
Min-OWC	Ministerie van Onderwijs Wetenschap en Cultuur, Ministry of Education, Science and Culture
Min-OWTC	Ministerie van Openbare Werken, Transport en Communicatie, Ministry of Public Works, Transport and Communication
Min-RO	Ministerie van Regionale Ontwikkeling, Ministry of Regional Development
Min-ROGB	Ministerie van Ruimtelijke Ordening, Grond- and Bosbeheer, Ministry of Physical Planning, Land and Forest Management
MRV	Monitoring, Reporting and Verification
NBAP	National Biodiversity Action Plan
NBS	National Biodiversity Strategy
NFMS	National Forest Monitoring System
NFP	National Forest Policy
NIMOS	Nationaal Instituut voor Milieu en Ontwikkeling in Suriname, National Institute for Environment and Development in Suriname
NS	National Strategy, referring to National REDD+ Strategy of Suriname
NTFPs	Non-Timber Forest Products
OP	Operating Policy (referring to World Bank OPs)
OP 2017-2021	Development Plan of the Republic of Suriname 2017-2021 (Dutch abbreviation)
PAMs	Policies and Measures
PES	Payments for Ecosystem Services
PLRs	Policies, Laws and Regulations
PMU	Project Management Unit
PRODOC	Project Document developed in 2014 for the implementation of the R-PP
PS	Performance Standard
RACs	REDD+ Assistants Collective
REDD+	Reducing Emissions from Deforestation and forest Degradation in developing countries, and the role of conservation, sustainable management of forests and enhancement of forest carbon stocks
R-PP	Readiness Preparation Proposal
RSC	REDD+ Steering Committee

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SAI	Suriname Arbitration Institute
SBB	Stichting voor Bosbeheer en Bostoezicht, Foundation for Forest Management and Production Control
SCBD	Secretariat of the Convention on Biological Diversity
SESA	Strategic Environmental and Social Assessment
SFM	Sustainable Forest Management
SIS	Safeguard Information System
SOS	Save our Species, joint initiative of the International Union for Conservation of Nature, the Global Environment Facility and the World Bank
SPS	National Planning Office
ToRs	Terms of Reference
UN	United Nations
UN Development	United Nations Development Programme (formerly UNDP)
UNCBD	United Nations Convention on Biological Diversity
UNCCD	United Nations Convention to Combat Desertification
UNESCO	United Nations Educational, Scientific and Cultural Organization
UNFCCC	United Nations Framework Convention on Climate Change
UN-REDD Programme	United Nations Collaborative Programme on Reducing Emissions from Deforestation and Forest Degradation in Developing Countries
VIDS	Vereniging van Inheemse Dorpshoofden in Suriname, Association of Indigenous Village Leaders in Suriname
VSG	Vereniging van Saramaccanse Gezagsdragers, Association of Saramaka Authorities
WB	World Bank
WWF	World Wide Fund for Nature
WISE REDD+	Widening Informed Stakeholder Engagement for REDD+

Executive summary

The Republic of Suriname is preparing for implementation of REDD+, the international mechanism incentivizing actions for Reducing Emissions from Deforestation and forest Degradation, conservation of forest carbon stocks, sustainable management of forests and enhancement of forest carbon stocks. As part of the development of Suriname's National REDD+ Strategy, a Strategic Environmental and Social Assessment (SESA) was conducted, involving over 800 REDD+ stakeholders, most of which Indigenous and Tribal Peoples inhabiting the vast forest areas of the country.

Based on the findings and conclusions from the SESA process, the following overall objectives have been established in the present document for Suriname's Environmental and Social Management Framework (ESMF) for REDD+:

To enhance success and sustainability of implementing Suriname's National REDD+ Strategy by presenting a framework whose implementation will promote social and environmental REDD+ benefits and avoid or, where this is not possible, minimize and manage REDD+ risks.

The ESMF suggests a two-pronged approach for the management of REDD+ benefits and risks and achievement of the overall objective:

1. Implementation of the SESA Action Matrix to enhance enabling conditions for REDD+ implementation in country and further strengthen Suriname's National REDD+ Strategy; and
2. A framework for implementation of the Policies and Measures (PAMs) included in the National REDD+ Strategy to ensure that potential benefits and risks are considered throughout the process of REDD+ (sub-) project implementation.

Implementation of the SESA Action Matrix

The SESA Action Matrix is the main output of the SESA process. The actions included are derived from the findings of the SESA's participatory and analytical elements, especially the first national workshop, the community consultations and the assessment of existing Policies, Laws and Regulations against REDD+ benefits and risks identified by stakeholders. The actions are spread across six priorities, under which different priority reform areas are addressed. For each priority reform area, short-, medium- and long-term actions are suggested, together with outcomes that can be monitored. The priorities and actions can be summarized as follows:

Priority 1: Clarification of topics currently unclear and causing mistrust or confusion

Actions under this priority refer to clarification and communication of official government positions with regards to relationship between community forests/HKVs and land tenure rights, REDD+ benefit sharing, Free, Prior and Informed Consent (FPIC), and ITP rights (beyond land rights).

Priority 2: Resolution of existing conflicts over land use and concessions

The Policies and Measures included in Suriname's National REDD+ Strategy will help prevent conflicts over the use of land and resources in the future, however, a need for resolution of existing conflicts was identified in the SESA. Actions under this priority therefore deal with reviewing current conflicts due to overlapping land uses and encroachment of extractive activities into areas inhabited and/or used by ITPs and developing options for their resolution.

Priority 3: Institutional and governance strengthening

Several of the Policies and Measures included in Suriname's National REDD+ Strategy aim to strengthen institutions and governance structures for REDD+ implementation. Results from the SESA

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process have been internalized into the development of the National REDD+ Strategy. However, a need for more effort in this regard has been identified. Actions under this priority thus refer to further enhancing institutional capacity for REDD+ implementation, strengthening monitoring and control and fostering transparency in coordination and communication procedures.

Priority 4: Strengthening of gender inclusive REDD+ implementation

Rationale: The potential contribution of women to sustainability and success of REDD+ is not yet sufficiently acknowledged in REDD+ decision-making processes and implementation. Actions under this priority address this gap through continued gender capacity building, gender literacy education, an increased role of the Bureau Gender Affairs and the development of gender specific processes, such as gender checklists and gender specific budgeting.

Priority 5: Local-level capacity building as preparation for REDD+ implementation

REDD+ implementation will lead to new rules and regulations, new livelihood opportunities and new responsibilities, each of which require knowledge and capacities to ensure the lasting positive impact on communities and the environment. Actions under this priority address capacity building needs of ITPs to ensure sustainability of REDD+ implementation, enhance benefits and avoid or minimize and manage risks.

Priority 6: Additional measures to enhance benefits and reduce risks from REDD+ implementation

Actions under this priority refer to a range of additional topics, namely:

- exploring further options to incentivize REDD+ benefits;
- financial support for ITPs where changes to less harmful practices require acquisition of material;
- REDD+ specific measures to reduce sensitivity to corruption included in Suriname's Corruption Risk Assessment; and
- documentation of traditional knowledge as a reference to be used in revisions of policies, laws and regulations as foreseen in the National REDD+ Strategy.

Jointly, these actions would help increase REDD+ inclusiveness and trust in the REDD+ mechanism amongst stakeholders, and thus their willingness to support and engage. They would also improve the country's position to implement the envisioned PAMs sustainably and successfully, promoting REDD+ benefits and avoiding or minimizing and managing risks.

Framework for implementing Policies and Measures

The framework for implementing PAMs complements the SESA Action Matrix by providing guiding principles to REDD+ (sub-) project developers and evaluators to ensure that potential social and environmental REDD+ benefits and risks are considered throughout at the stage of REDD+ implementation. In preparing the framework, the existing NIMOS guidelines on Environmental and Social Impact Assessment have been used and the suggested process is, to the extent possible, aligned with these guidelines.

For the **proposal preparation stage**, important topics to be covered in the proposal are described, including initial information of relevance for identification of potential REDD+ benefits and risks. The proposal preparation stage is followed by a **screening stage**, in which a set of screening questions should be used to identify whether the (sub-) project in focus may trigger any of the relevant safeguards. At the **scoping stage** and based on the screening results, Terms of Reference for Environmental and Social Assessment are produced for (sub-) projects that likely have more than

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minor impacts on people and/or the environment. In line with respective ToRs, (sub-) project developers in the next stage need to conduct **Environmental and Social Assessment** and produce Impact Statements that may include, where applicable, an Environmental Management Plan, Indigenous and Tribal Peoples Plan and/or Resettlement Plan. Each REDD+ implementing (sub-) project in the course of the described stages needs to address certain additional topics, namely ways to promote benefits, mitigation measures, monitoring and evaluation, stakeholder engagement and dispute resolution at a level of detail that is proportionate to the (sub-) project. The outputs of this process should be publicly disclosed and a final decision be taken under consideration of stakeholder input. Gender sensitivity and cultural appropriateness of REDD+ (sub-) projects are addressed in different stages of the process.

Implementation of the ESMF at institutional level requires an extension or redistribution of responsibilities and may require additional staff. Once REDD+ implementation starts, it is likely that the number of projects that will have to be accompanied through the above described process will increase. It will also be important to maintain consultation with stakeholders and continue to disclose certain information for public information. The ESMF deals in separate sections with these topics and includes general remarks regarding budget requirements for ESMF implementation based on all of the above.

Finally, the document discusses obvious synergies between the SESA process, the ESMF and Suriname's need to develop a Safeguard Information System (SIS). Topics included in the safeguards of relevance for REDD+ implementation in Suriname have been considered throughout the SESA process and in the ESMF. Information produced during the SESA process presents valuable input into the development of the SIS. Moreover, provisions regarding proposal development, screening, scoping and monitoring for REDD+ (sub-) project implementation hold potential to directly feed into Suriname's SIS. Consideration of the SESA and ESMF in the process to develop a SIS for the Republic of Suriname is therefore highly recommendable.

1. Introduction

REDD+ (Reducing Emissions from Deforestation and forest Degradation and the role of conservation, sustainable management of forests and enhancement of forest carbon stocks) as a concept has been developed under the United Nations Framework Convention on Climate Change (UNFCCC), recognizing the potential role of forests in mitigating climate change. REDD+ aims to financially reward developing countries for emissions reductions and enhanced removals within the forest sector.

Suriname is considered a High Forest cover Low Deforestation (HFLD) country. 93% of its terrestrial land is covered by tropical forests and the deforestation rate between 0.02 and 0.1% annually in the period 2000-2015 can be considered relatively low. The country situation thus holds potential for REDD+ to contribute to Suriname's sustainable development.

1.1. REDD+ readiness in Suriname

The UNFCCC distinguishes between three phases of REDD+, namely the readiness, demonstration and implementation phase. During the readiness phase, countries are preparing for REDD+ demonstration and implementation. In the demonstration phase, REDD+ gets tested so that adjustments can be made to the developed strategy, procedures and frameworks as necessary. The last phase refers to actual REDD+ implementation.

Suriname finds itself in an advanced stage of phase 1, the readiness phase. It is scheduled to run from 2014 to 2018. However, overall engagement in REDD+ started already in 2009, when Suriname decided to develop a Readiness Preparation Proposal (R-PP) for submission to the Forest Carbon Partnership Facility (FCPF), a global partnership of governments, businesses, civil society and Indigenous Peoples. The final R-PP was approved in March 2013 (Republic of Suriname 2013) and Suriname received a first grant out of the FCPF REDD+ Readiness Fund for REDD+ preparation.

Suriname's R-PP details the rationale for the country's engagement in REDD+, defines possible ways to achieve REDD+ and identifies institutional and capacity needs to be met beforehand.

Since then, based on the project document (PRODOC, [REF?](#)) that has been developed in 2014 for the implementation of the R-PP, several key studies have been conducted. These include the 'Background study for REDD+ in Suriname: Multi-perspective analysis of drivers of deforestation, forest degradation and barriers to REDD+ activities' (UNIQUE forestry and land use 2016), the 'Corruption Risk Assessment for Suriname' (Vaidya 2017), the 'State-of-the-art study: Best estimates for emission factors and carbon stocks for Suriname' ([REF](#)), 'Analysis of the historical deforestation' ([REF](#)), as well as the Roadmap towards the National Forest Monitoring System (NFMS, [REF](#)). All these studies informed the development of Suriname National REDD+ Strategy, which took place over a period of ten months in the course of 2017.

The National REDD+ Strategy and the National Forest Monitoring System are two of four essential REDD+ elements that countries are required to develop as part of REDD+ readiness according to the UNFCCC Cancun Agreements (UNFCCC 2011). The two remaining ones are the Forest Reference (Emissions) Level (FRL/FREL) and the Safeguards Information System (SIS). The FRL/FREL is currently under development and Suriname is aiming to submit its FREL by January 2018. Planning for the development of Suriname's SIS is underway and the system is scheduled to be finalized in 2018.

The development of Suriname's National REDD+ Strategy included the formulation of a REDD+ Vision that reflects a shared understanding of the main objectives of REDD+ implementation in Suriname. It

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guides the overall direction of REDD+ and its priorities, while the strategy defines the means to reach that common vision. Box 1 presents the agreed vision statement.

Box 1: Agreed National REDD+ Vision of the Republic of Suriname (REF)

Suriname's tropical forest continues and improves its contribution to the national and community growth, welfare and wellbeing of current and future generations through planning, research, effective protected areas management and sustainable forest management, resulting in an efficient use of the forest and natural resources, ecosystem services and the preservation of biodiversity, while continuing to offer a substantial contribution to the global environment, enabling the conditions for an adequate compensation for this global service.

The National REDD+ Strategy will be introduced in section 3.3. below.

1.2. The SESA and ESMF

In line with funding requirements of the Forest Carbon Partnership Facility (FCPF), the development of the National REDD+ Vision and Strategy for Suriname was accompanied by a Strategic Environmental and Social Assessment (SESA). The SESA aims to capture social and environmental issues prior to REDD+ implementation as well as those that might arise from the implementation of REDD+ PAMs. Its aims are to (a) inform the development of the vision and strategy, and (b) develop an Environmental and Social Management Framework (ESMF), which provides guiding principles for how to assess and deal with environmental and social risks and benefits before, during and following REDD+ implementation.

Suriname's SESA process consisted of a number of closely linked analytical and participatory elements. Consultation of all relevant REDD+ stakeholders played a major role in the assessment and even difficult to reach indigenous and tribal communities, some of which had not been included in REDD+ related consultation before, were consulted as part of Suriname's SESA. For a detailed description of analytical and participatory elements, please see the separate SESA report (REF) and SESA Work Plan (REF).

The present ESMF is one main result of the entire SESA process. It follows FCPF guidance as well as relevant REDD+ standards and safeguards.

1.3. Social and Environmental Standards and Safeguards for REDD+

As a recipient country of funding from the Forest Carbon Partnership Facility (FCPF) through the World Bank, Suriname needs to ensure compliance with the FCPF Readiness Fund Common Approach (FCPF 2012). This includes that SESA's and ESMF's shall be compliant with the World Bank's Environmental and Social Safeguard Policies (World Bank 2017)¹. Box 2 details the REDD+ relevant World Bank Operational Policies (OPs) in the context of the FCPF Readiness Fund and their objectives.

¹ In 2016, the World Bank released a new Environmental and Social Framework (World Bank 2016). This new framework is to be applied from 2018. It is closely aligned with the framework of the International Finance Corporation, which is used by the Green Climate Fund.

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Box 2: REDD+ relevant World Bank Operational Policies in the context of the FCPF Readiness Fund and their objectives (FCPF 2012)

OP 4.01 Environmental Assessment: To help ensure the environmental and social soundness and sustainability of investment projects/strategies and to support integration of environmental and social aspects of projects/strategies into the decision-making process.

OP 4.04 Natural Habitats: To promote environmentally sustainable development by supporting the protection, conservation, maintenance, and rehabilitation of natural habitats and their functions.

OP 4.36 Forests: To realize the potential of forests to reduce poverty in a sustainable manner, integrate forests effectively into sustainable economic development, and protect the vital local and global environmental services and values of forests.

OP 4.12 Involuntary Resettlement: To avoid or minimize involuntary resettlement and, where this is not feasible, to assist displaced persons in improving or at least restoring their livelihoods and standards of living in real terms relative to pre-displacement levels or to levels prevailing prior to the beginning of project/strategy implementation, whichever is higher.

OP 4.10 Indigenous Peoples: To design and implement projects/strategies with the full and effective participation of Indigenous Peoples in a way that fosters full respect for Indigenous Peoples' dignity, human rights, traditional knowledge, and cultural uniqueness and diversity and so that they: (i) receive culturally compatible social and economic benefits and (ii) do not suffer adverse effects during the development process.

OP 4.11 Physical and Cultural Resources: To assist in preserving physical and cultural resources and avoiding their destruction or damage. Physical and cultural resources include resources of archaeological, paleontological, historical, architectural, religious (including graveyards and burial sites), aesthetic, or other cultural significance.

Also being a UN-REDD Programme partner country, consideration of the UNFCCC Cancun Safeguards is important to the Republic of Suriname as well (see first column in Table 1 and UNFCCC 2011). Moreover, the Government of the Republic of Suriname may in the future be interested in applying for funding for REDD+ implementation from the Green Climate Fund (GCF), which means that yet another set of safeguards is of relevance (World Resources Institute, German Cooperation, and GIZ 2015).

While the different safeguards and standards all aim to reduce overall risks of REDD+ implementation and thus refer to a number of shared concerns, there are also a number of differences between them. Their joint consideration in a country's Strategic Environmental and Social Assessment and resulting ESMF is therefore challenging. Throughout Suriname's SESA process and the development of the ESMF, however, efforts have been made to take all of them into account to the extent possible (see, for example, Table 7 on identified risks and safeguards they trigger).

Among the main differences between the standards and safeguards are the following:

- **Level of detail**, for example, the World Bank Operational Policies and accompanying Bank Procedures (BP) and GCF (IFC) safeguards are more detailed than the Cancun Safeguards;
- **Structure**, for example, the Cancun Safeguards have one safeguard on participation while the World Bank Operational Policies deal with participation under each topic separately;

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Similarly, the GCF (IFC) include a standard on Environmental and Social Assessment (PS1), while the World Bank Operational Policies mainly deal with environmental assessment under OP 4.01 Environmental Assessment and with social assessment under OP 4.10 Indigenous Peoples.

- **Prescriptiveness**, i.e. the World Bank Operational Policies prescribe procedures for how to ensure that Environmental and Social Policies can be met, while under UNFCCC the countries are encouraged to each select and develop their own approaches to and procedures for applying the Cancun Safeguards;
- **Content**, for example, the World Bank Operational Policies and GCF (IFC) Performance Standards do only implicitly but not explicitly cover the risks of reversal or displacement of emissions. This is likely due to the fact that they were not developed specifically for REDD+ but as social and environmental policies for a much broader range of projects.

The Common Approach also specifies that where the standards and safeguards of FCPF delivery partners are stricter than the World Bank ones, the stricter ones should apply. In the case of Suriname, the delivery partner is United Nations Development (UN Development). Their standards and safeguards are stricter regarding specific topics. For example, World Bank Operational Policies define FPIC as “Free, Prior and Informed Consultation” while UNDP defines the term as “Free, Prior and Informed Consent” (FPIC), i.e. defining the acronym in its strictest sense. The UNDP definition is in line with UN-REDD Programme’s approach to FPIC, and thus the UN-REDD Guidelines on Free, Prior and Informed Consent can serve as an orientation for Suriname (UN-REDD Programme 2013). The Common Approach states furthermore that the FCPF and UN-REDD guidelines on stakeholder engagement in REDD+ (FCPF and UN-REDD 2012) are to be considered FCPF requirements.

The below table relates the World Bank Safeguard Policies and Procedures with the UNFCCC Cancun Safeguards. An extension to include the safeguards of the Green Climate Fund is not needed, as the World Bank Safeguard Policies and Procedures are considered generally consistent with the Environmental and Social Performance Standards of the International Finance Corporation (IFC), which are the ones currently used by GCF (SAL Consult Ltd 2014).

The table reflects some of the points made earlier, e.g. that the World Bank Operational Policies and Procedures cover certain topics separately under different operational policies, while the Cancun Safeguards are structured to deal with them in one single safeguard (e.g. governance or participation). Overall, however, the table also shows that the World Bank Safeguard Policies and the UNFCCC Cancun Safeguards have a broad topical overlap. In fact, according to the Facility Management Team (FMT) of the FCPF, “the required application of the World Bank’s Safeguards [...] should be sufficient to ensure that the World Bank’s safeguards successfully promote and support the UNFCCC safeguards for REDD+” (FCPF Carbon Fund 2013).

Table 1: UNFCCC Cancun Safeguards and the World Bank Safeguard Policies (Source: World Bank 2013, OP = Operational Policy, BP = Bank Procedure)

UNFCCC Cancun Safeguards	Sample of Relevant World Bank Safeguard Policies and Procedures
(a) Actions complement or are consistent with objectives of national forest programs and relevant international conventions and agreements	OP 4.01 on Environmental Assessment, in particular paragraph (“para.”) 3 OP 4.36 on Forests, in particular paras. 14 and 6
(b) Transparent and effective national governance structures taking into account	Access to Information policy, in particular para. 1 OP 4.01 on Environmental Assessment, in particular

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national legislation and sovereignty	paras. 3 and 13 OP 4.36 on Forests, in particular para. 14 BP 4.04 on Natural Habitats, in particular para. 5 BP 4.10 on Indigenous Peoples, in particular para. 10 BP 4.12 on Involuntary Resettlement, in particular para. 2
(c) Respect for the rights and knowledge of indigenous peoples and local communities, by taking into account relevant international obligations	OP 4.10 on Indigenous Peoples, in particular para. 1; para. 16 and footnote 17; paras. 19 to 21 OP 4.36 on Forests, in particular paras. 10 and 14 BP 4.36 on Forests, in particular para. 4
(d) Full and effective participation of relevant stakeholders, in particular, forest dependent indigenous peoples and local communities	OP 4.01 on Environmental Assessment, in particular paras. 14 and 15 OP 4.10 on Indigenous Peoples, in particular para. 1 and footnote 4 OP 4.04 on Natural Habitats, in particular para. 10 OP 4.12 on Involuntary Resettlement, in particular para. 7 OP 4.36 on Forests, in particular paras. 11 and 12
(e) Consistency with the conservation of natural forests and biological diversity, ensuring that REDD+ is not used for the conversion of natural forests	OP 4.04 on Natural Habitats, in particular para. 1 and Annex A, para. 1(a); para. 4 and Annex A, para. 1(c) OP 4.36 on Forests, in particular paras. 1, 2, 5, and 7
(f) Actions to address the risks of reversal	OP 4.01 on Environmental Assessment, in particular paras. 1 and 2 OP 4.36 on Forests, in particular para. 14
(g) Actions to reduce displacement of emissions	OP 4.01 on Environmental Assessment, in particular para. 2 and footnote 3; para. 3 and footnote 5 OP 4.04 on Natural Habitats, in particular para. 4 and Annex A, para. 1(c)

The above standards and safeguards have been considered in different ways during the SESA and in the production of the ESMF. For example, risks and benefits assessment at the first national workshop used screening questions for the identification of benefits and risks that covered most of the topics included in the safeguards (see SESA report [REF](#)), apart from questions on policy consistency as policy consistency was assessed during the development of the National REDD+ Strategy itself. The ESMF has been developed alongside FCPF requirements regarding procedures and content. For example, the chapters Environmental Management Plan, Indigenous and Tribal Peoples Plan and Resettlement Plan are required ESMF elements according to the World Bank.

2. Aims, scope and limitations of the ESMF

2.1. Aims of the ESMF

The REDD+ Environmental and Social Management Framework (ESMF) of the Republic of Suriname has the following aims:

1. To recommend actions through which enabling conditions for REDD+ implementation can be further enhanced, benefits promoted and risks avoided or minimized and managed;

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2. To provide a framework for managing REDD+ benefits and risks during implementation of REDD+ (sub-) projects, including guiding principles for their screening and scoping, Environmental and Social Assessment and production of environmental management/action plans, Indigenous and Tribal Peoples Plans and Resettlement Plans, in line with the World Bank Safeguard Policies and Procedures and the Environmental Assessment Guidelines of NIMOS.

Jointly, those two aims would lead to achieving the following overall objective:

To enhance success and sustainability of implementing Suriname's National REDD+ Strategy by presenting a framework whose implementation will contribute to promoting social and environmental REDD+ benefits and avoiding or, where this is not possible, minimizing and managing REDD+ risks.

2.2. Scope of the ESMF

The ESMF document, from this point onwards, consists of four main parts:

The first part, i.e. chapter 3, provides the basis for the ESMF by briefly introducing to the legal and institutional framework for REDD+ implementation in Suriname and to the developed National REDD+ Strategy.

The second part, i.e. chapter 4, presents the benefits and risks of REDD+ Policies and Measures (PAMs) as identified in the SESA process. For the benefits it is showcased how they can contribute to achieving the objectives of national Policies, Laws and Regulations (PLRs) and international conventions and explained how they can get more actively promoted. For the risks it is shown which of the relevant REDD+ safeguards they trigger, to what extent they are covered by existing PLRs and what mitigation measures could be established in order to minimize the risks. The part ends with a table that summarizes the recommended actions for enhancing enabling conditions, promoting benefits and reducing risks into an Action Matrix.

The third part, i.e. chapter 5, is the framework for implementing PAMs and provides guidance for managing REDD+ benefits and risks that may only arise during REDD+ implementation. The National REDD+ Strategy outlines which PAMs will be implemented and why, however, it is still to be decided how, where and by whom this will happen. Implementation of the PAMs in practice may require a series of more specific tasks that may get implemented at different levels, from national to local. For example, promoting nature tourism requires identification of sites to focus on, identification of facilities/construction requirements, sourcing of building material and construction on-site, marketing for the eco-tourism site, etc. Without such detailed information, a more holistic environmental and social assessment to identify potential benefits and risks is not possible.

Therefore, the ESMF also provides guidance for preparation and screening of REDD+ (sub-) project implementation proposals, as well as scoping and more detailed assessment of potential benefits and risks where this might be required. Important considerations for environmental and social impact assessment and the subsequent development of respective Management Plans (i.e. Environmental Management Plan, Indigenous and Tribal Peoples Plan and Resettlement Plan) are described. Generic elements of these plans, such as stakeholder consultation, monitoring and evaluation, and the applicable grievance redress mechanism, are dealt with in separate sub-sections of this ESMF document.

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The fourth part of the document, i.e. chapters 6-10, looks at institutional arrangements for ESMF implementation, discusses continued consultation and information disclosure, provides general remarks regarding budget requirements and reflects on the alignment and synergies with the upcoming Safeguards Information System before providing some concluding remarks.

The main users of the ESMF fall into two different categories, namely the entities responsible for oversight of REDD+ implementation at national and sub-national level and the entities implementing REDD+, i.e. those actors developing REDD+ implementation proposals to then put REDD+ into practice.

2.3. Limitations of the ESMF

The development of the national REDD+ Vision and Strategy for Suriname and its accompanying SESA were conducted within a comparably short time frame of 11 months. This limited amount of time constrained the possibilities for in-depth analytical work as recommended by some sources on good practice for conducting a SESA. In addition, the country context of Suriname, where 65.000 Indigenous and Tribal Peoples are distributed across vast areas of forest, parts of which are only accessible by boat or air, meant that only one round of community consultations was feasible within the duration of the study. Table 2 details these limitations and how the study dealt with them.

Table 2: Limitations of the ESMF and approaches to mitigation

Limitation	Approaches to mitigation
Limited time for further in-depth analytical work	<ul style="list-style-type: none"> ● Use of most recent existing analytical work, e.g. the study on Drivers of Deforestation and Forest Degradation and Barriers to REDD+ activities and the stakeholder analysis and engagement strategy for REDD+ readiness in Suriname; ● Identification of needs for further analysis and reference to missing information where necessary.
Limited opportunity for reiterative consultation at local level	<ul style="list-style-type: none"> ● Maximum use of consultation opportunities, covering relevant topics in the most concise way feasible; ● In local level community consultations, identification of ways to provide update on progress and invite further feedback; ● Coordination with the REDD+ Project Management Unit (PMU)'s consultation process prior to consultations related to the strategy; ● After completion of the National REDD+ Strategy, SESA and ESMF, the PMU plans to go back to the consulted communities to present the results and to collect input for SIS development and implementation.
Limited opportunity for in-depth broad national consultations	<ul style="list-style-type: none"> ● PMU will carry the documents further and consult stakeholders as needed when transitioning to implementation of the National REDD+ Strategy and ESMF.

3. Suriname's REDD+ legal and institutional framework and the National REDD+ Strategy

3.1. Legal framework for REDD+ implementation

To date, there is no REDD+ specific legislation that sets out the procedures for implementation of REDD+ PAMs. However, there are a number of different PLRs that need to be considered for REDD+ to be embedded and as a frame for the REDD+ strategy. In the following, the ones that are considered of immediate relevance are listed and briefly described (see National REDD+ Strategy section 1 for further detail).

National Constitution

The protection of forests in Suriname is foreseen in the National Constitution, which highlights the relevance of natural resources for the country and their use “to promote economic, social and cultural development.” (Article 41 in Republic of Suriname 1987)

The framework relevant to REDD+ implementation in Suriname is also integrated by diverse laws and policies that relate to the protection of the environment, natural resources, forest management and land-use planning. In recent years, the country is engaged in updating its legal framework to better integrate the three pillars of sustainable development. Such initiative is led by the National Institute for Environment and Development in Suriname (NIMOS), which was established in 1998 with a mission to enhance the national legal and institutional framework for environmental protection and sustainable development.

The national legal framework states the basis for respecting the international compromises adopted by the country, as national regulations incompatible with the provisions of the ratified international agreements should not apply, in accordance with the National Constitution (National Constitution, Article 106).²

National Development Plan

A key strategic instrument guiding the development planning in the country is the *Development Plan 2017-2021* (OP 2017-2021), which has a constitutional base, and sets out the State's social economic development for a period of 5 years (Republic of Suriname 2017). It aims at both strengthening the development capacity of the country, and achieving sustainable development by combining economic, social development and the responsible use of the environment, while allowing future development opportunities.

The four pillars that compose the OP 2017-2021 are: the strengthening of developmental capacity; economic growth and diversification; social progress; and the use and protection of the environment. Climate change and the use of the forests' economic value are considered within the last pillar on environmental protection.

On climate change, the OP 2017-2021 indicates that the country will work on attracting further investments to commit to increasing reductions of greenhouse gases emissions, using energy and other resources more efficiently, and minimizing the loss of biodiversity and damage to ecosystems.

² However, it is often required that the international agreements need the adoption of national legislation to be implemented.

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Apart from the National Constitution and the OP 2017-2021, which apply across all sectors, there is sector-specific legislation of relevance for REDD+ implementation. The subsequent Table 3 lists and briefly describes such legislation.

Table 3: Sectoral legislation of relevance for REDD+ implementation³

Sector	PLR (reference)	Very brief description
Forestry	National Forest Policy (NFP) 2005 (NH and SBB 2006)	<ul style="list-style-type: none"> • Sets key objectives and principles for the forest sector; • Main objective is “enhancing the contribution of the forests to the national economy and the welfare of the current and future generations, taking into account the preservation of the biodiversity”.
	Interim Strategic Action Plan for the Forest Sector in Suriname 2009-2013 (GOS 2008)	<ul style="list-style-type: none"> • Based on the NFP; • Prioritizes four of the seven NFP’s strategic goals oriented towards economic objectives. • Clearly reflects the call for shifting the profile of forestry as a source of additional income for the country.
	Code of Practice for Forest Operations (CoP) 2011 (REF)	<ul style="list-style-type: none"> • Describes the best practices for sustainable forest management; • Its provisions do not have a mandatory status.
	Forest Management Act 1992 (Government of Suriname 1992)	<ul style="list-style-type: none"> • Addresses forest management, forest exploitation and the primary wood processing sector; • Sets the provisions for the national authority to grant permits and concessions for forest product harvesting (including timber); • Defines the types of licenses for harvesting timber and other forest products through different categories of concessions and the use of community forests/HKVs⁴; • Provides the basis for sustainable use of NTFPs.
Nature Conservation	National Biodiversity Strategy 2006-2020 (NBS) (NIMOS 2006)	<ul style="list-style-type: none"> • Establishes a national vision, goals and strategic directions to conserve and sustainably use the nation’s rich biodiversity; • Highlights the country's commitment to protect and enhance “the diversity of the country’s cultural and natural heritage”.
	National Biodiversity Action Plan (NBAP) 2012-2016 (Ministry of Labour, Technological Development and Environment 2013)	<ul style="list-style-type: none"> • Adopted, foresees more specific objectives for the conservation and sustainable use of biodiversity in the country; • Specific actions in the NBAP relevant to REDD+ include: amending norms and policies to protect biodiversity inside and outside protected areas; set an adequate and effective system of protected areas; the rational allocation of land uses, considering biodiversity protection; responsible mining; sustainable forestry and forest restoration; responsible tourism; responsible agriculture; regulated access to genetic resources in indigenous peoples and

³ For more detailed description, please see National REDD+ Strategy (REF).

⁴ HKVs are the old version of today’s community forests and are not issued anymore. For maximum inclusiveness, the report will always use the term “community forests/HKV”s.

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		Maroons communities with fair and equitable benefit sharing; local cooperation and involvement of communities in biodiversity protection.
	Nature Conservation Act 1954 (De Nationale Assemblée van de Republiek Suriname 1954b)	<ul style="list-style-type: none"> • Origin going back to colonial times; • Regulates the establishment and management of Suriname’s protected areas, which currently include Nature Reserves, Multiple Use Management Areas, Nature Parks and Specially Protected Forests.
	Game Act 1954 (De Nationale Assemblée van de Republiek Suriname 1954a)	<ul style="list-style-type: none"> • Origin going back to colonial times; • Regulates which species may be hunted and during which period of the year by using four categories of wild animals, i.e. protected animals, game species, cage species and predominantly harmful species.
Mining	Mining Decree (MD) 1986 (REF)	<ul style="list-style-type: none"> • Governs the exploration and exploitation of mineral resources in the country; • Sets out that all minerals in and on the ground are considered to belong to the State (MD, Arts. 2.1& 2), regardless of the property of the land; • Provides for granting of different categories of mining rights and other licenses for the different groups of minerals, as well as for inspection and monitoring; • Covers general regulations and provisions (including social and environmental considerations) of operations of large-, medium- and small-scale mining, which are often addressed in specific agreements between the government and the company.
Land tenure	National Legal Framework on Land Tenure (L-Decrees) 1982 (REF)	<ul style="list-style-type: none"> • States that “All land to which the right of ownership cannot be proven by other parties, is property of the State”. (Art. 1, section 1). • Leaves room for respecting the tribal lands provided that it is not contrary to the general interest of the State
	Lelydorp Peace Accord 1992 (cited in Heemskerk 2005)	<ul style="list-style-type: none"> • Provides arrangements for the recognition of Maroon and Indigenous land rights (art. 10)
	Buskondre Protocol, or Presidential Resolution No. PO 28/2000 (REF)	<ul style="list-style-type: none"> • States that “starting April 1, 2000, the Government of Suriname recognizes the collective rights of Indigenous Peoples and Maroons on the lands they respectively live on [...], and that those territories later [...] will be recorded on maps with coordinates and placed at the disposal of the respective traditional authorities’ (Art. 1, cited in Heemskerk 2005).

International Conventions

The national legal framework states the basis for respecting the international compromises adopted by the country, as national regulations incompatible with the provisions of the ratified international

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agreements should not apply, in accordance with the National Constitution (National Constitution, Article 106).⁵

Table 4: International Conventions of relevance for REDD+ implementation

International Convention	Brief description
Jurisdiction of the Interamerican Court on Human Rights	Three Court rulings have been issued to date, ordering the state to, inter alia, demarcate and grant collective titles over ITPs lands; abstain from further acts (such as establishment of protected areas) until delimitation, demarcation, and titling has been completed, unless the State obtains the free, informed and prior consent of the peoples in question. The rulings also highlighted the need for recognizing their juridical collective personality in accordance with their communal system, customary laws, and traditions. Importantly, rights to be recognized should not limit to land ownership but extend to ‘natural resources traditionally used and necessary for the very survival, development and continuation’ of indigenous and tribal peoples’ way of life, including resources found on and within their territories’.
United Nations Framework Convention on Climate Change (UNFCCC)	As signatory to the UNFCCC, Suriname has highlighted its commitment with the global efforts to mitigate climate change in its Intended Nationally Determined Contribution (INDC) presented in September 2015. The Surinamese INDC states the country’s intention to pursue a green economy through a climate compatible development approach, with REDD+ as a “key” mechanism.
United Nations Convention on Biological Diversity (UNCBD)	Suriname signed the convention in 1996. The country’s fifth National Report to the UNCBD includes the country’s biological diversity targets through which the goals of the Convention are to be met. These targets include one target stating that “by 2020, the rate of loss of all natural habitats, including forests, is at least halved and where feasible brought close to zero, and degradation and fragmentation significantly reduced. This will be reached with the implementation of the REDD+ Programme (Reduced Emission from Deforestation and Forest Degradation) and ongoing implementation of the sustainable harvesting method known as the ‘CELOS Management System’ in the timber industry, developed and introduced by the Centre for Agricultural Research In Suriname (CELOS)”. (Republic of Suriname 2015)
International Tropical Timber Agreement (ITTA)	ITTA provides a framework for cooperation between tropical timber producers and consumers and encourages the development of national policies aimed at sustainable utilization and conservation of tropical forests and their genetic resources. Suriname became the 68th Party of ITTA in 2014.

⁵ However, it is often required that the international agreements need the adoption of national legislation to be implemented.

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Extractive Industries Transparency Initiative (EITI)	The EITI is a global standard for the good governance of oil, gas and mineral resources. Suriname became a member in May 2017. In order to meet the EITI standards, Suriname has identified a number of technical issues that need to be addressed, one of which refers to the need to discuss the environmental and social impacts of the extraction activities (Republic of Suriname 2017b).
UNESCO World Heritage Convention	Suriname joined the convention in 1997. The Central Suriname Nature Reserve is a Natural World Heritage Site. In order to be accepted as a World Heritage site, sites must prove to be of outstanding universal value. Where they are endangered of losing this value, they can get listed on the World Heritage in Danger List.
Cartagena Protocol on Biosafety	Supplement to the UNCBD. The Cartagena Protocol aims to protect biodiversity from the risk posed by genetically modified organisms resulting from modern biotechnology. In Suriname, the Cartagena Protocol entered into force in 2008.
Convention on International Trade in Endangered Species of Wild Fauna and Flora (CITES)	Agreement between governments to ensure that international trade in species does not threaten their survival. In Suriname, CITES entered into force in 1981.
Convention on Nature Protection and Wildlife Preservation in the Western Hemisphere	Agreement among 11 members of the Pan American Union, including Suriname, that entered into force in May 1942. Sets out the shared goal of establishing protected areas for the protection of nature and the preservation of flora and fauna. Declares that the resources of protected areas shall not be subject to exploitation for commercial profit (article 3).
Amazon Cooperation Treaty (ACT)	Treaty aiming to promote the sustainable development and social inclusion in the Amazon Basin while balancing the need to conserve the environment. The treaty was signed in 1978. Suriname is one of eight member states.
International Covenant on Economic, Social and Cultural Rights (ICESCR)	Multilateral treaty with 164 parties as of 2015. Adopted by the UN General Assembly in 1966. Commits parties to work towards granting economic, social and cultural rights to the non-self governing and trust territories and individuals, including labour rights, rights to health, education and an adequate standard of living. The ICESCR is part of the International Bill of Human Rights.
Inter-American Convention against Corruption (IACAC)	Adopted by member countries of the Organization of American States in 1996. Aims to (1) promote and strengthen the development of mechanisms to prevent, detect, punish and eradicate corruption; and (2) promote, facilitate and regulate cooperation among parties to ensure the effectiveness of such mechanisms.
Minamata Convention on Mercury ⁶	Global treaty to protect human health and the environment from the adverse effects of mercury. Highlights of the convention include a phase out and

⁶ Discussions are currently underway in Parliament to decide whether the Minamata Convention should be ratified by Suriname.

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	phase down of mercury use in a number of products and processes and control measures on emissions to air and on release to land and water, and the regulation of the informal sector of artisanal and small-scale gold mining.
Convention for the Safeguarding of Intangible Cultural Heritage	Aiming to safeguard intangible cultural heritage defined as practices, representations, expressions, knowledge, skills – as well as the instruments, objects, artefacts and cultural spaces associated therewith – that communities, groups and, in some cases, individuals recognize as part of their cultural heritage. Also aiming to ensure respect for the intangible cultural heritage, raise awareness and provide for international cooperation and assistance.

3.2. Institutional framework for REDD+ implementation

REDD+ implementation requires additional and specific institutional arrangements both during REDD+ readiness and during REDD+ implementation. Suriname’s Readiness Preparation Proposal (R-PP) described the different entities in Suriname and their roles in REDD+ readiness (Republic of Suriname 2013). In the development of the National REDD+ Strategy, an institutional framework for REDD+ implementation is developed. This framework is reflected in the below table.

Table 5: Institutions and their responsibilities in REDD+ readiness in Suriname (complemented from Republic of Suriname 2013)

Proposed body	Proposed responsibilities
Suriname REDD+ Commission	<p>This is a decision-making body, responsible for giving the policy direction to the REDD+ program. It will be chaired by the Office of the President, Coordination Environment. It is comprised of high level government representatives from agencies with mandates that are related, can have an indirect effect on or can be affected by REDD+ actions. In addition to the Chair, the following institutions will be part of the REDD+ Commission: the National Planning Office (SPS), Ministry of Physical Planning, Land- and Forest Management (Min-ROGB), Ministry of Natural Resources (Min-NH), Ministry of Regional Development (Min-RO), Ministry of Agriculture, Fisheries and Animal Husbandry (Min-LVV), Ministry of Trade, Industry and Tourism (Min-HI&T), Ministry of Public Works, Transport and Communication (Min-OWTC), Ministry of Finance, Ministry of Foreign Affairs (Min-BUZA), Ministry of Education, Science and Culture (Min-OWC). Funding and implementation partners may attend Commission meetings as observers.</p> <p>The REDD+ Commission will have the responsibility for decision-making and to guide the Executive Coordinating Office. This body will be responsible for:</p> <ul style="list-style-type: none"> • Setting policy direction for the REDD+ programs with advice from the Steering Committee; • Providing guidance and instructions to the Suriname REDD+ fund;

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	<ul style="list-style-type: none"> • Financial management systems and incentives related to climate change; • Liaise with international bodies relevant for REDD+ implementation, in particular the UNFCCC Secretariat; <p>Oversee benefit sharing criteria and guide the Executive Coordinating Office in this regard.</p>
Executive Coordinating Office	<p>This is the executive body that will manage the program administratively. It should be responsible for:</p> <ul style="list-style-type: none"> • Day to day management of the REDD+ Program in line with guidance from the REDD+ Commission and advice from the Steering Committee; • Managing the flow of information among different entities and stakeholders including information on changes in forest carbon stocks; • Responsible for coordination between the Registry, SIS, ESMF and MRV; • Coordinate the communication of REDD+ results to the UNFCCC, to be submitted via the UNFCCC National Focal Point in the Office of the President Coordination Environment after approval by the REDD+ Commission; • Lead the search for further support and funding under the guidance of the REDD+ Commission; • Management and allocation of benefits under the guidance of the REDD+ Commission; • Ensure that information from monitoring and reporting on emissions resulting from REDD+ activities is readily available at all levels and to all actors; • Implementing safeguards; • Disseminate information to all stakeholders including indigenous and tribal communities; • Implementing the feedback, grievance and redress mechanism; • Awareness raising, information sharing and consultation; • International forest carbon market analyses; • Reporting regularly to the REDD+ Commission, via the NIMOS Director.
Suriname REDD+ Steering Committee	<p>The REDD+ Steering Committee (RSC) will serve as an independent oversight and advisory body. The RSC forms an important link between the Executive Coordinating Office and the different stakeholders/beneficiaries (Government, Indigenous and Tribal Peoples (10 tribes), Civil Society; Major Groups Collective). The RSC is responsible for:</p> <ul style="list-style-type: none"> • Oversee the implementation of the REDD+ program, the National REDD+ Strategy and its Strategic Lines; • Advise the REDD+ Commission on setting policy direction for the REDD+ programs; • Clarifying and disseminating information to their constituents; • Advice on different topics like the Registry, MRV and SIS.

	Subgroups can be created if considered necessary by the RSC in order to follow up or discuss specific issues in smaller and more dynamic groups.
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The coordination of the ESMF will fall under the responsibility of the Executive Coordinating Office. Looking at the intense involvement and numerous responsibilities that NIMOS has in REDD+ readiness, they might continue in the implementation phase. This is also obvious in the present document and emphasized in the later section 6 on Institutional arrangements and capacity building for ESMF implementation. The REDD+ Steering Committee will oversee and advice on the implementation and functioning of the ESMF, as well as informing the stakeholders.

3.3. Suriname's National REDD+ Strategy

Suriname's National REDD+ Strategy was developed over a period of 10 months by the consultancy Asesoramiento Ambiental Estratègico (AAE) and associated consultants. The development was a highly consultative process and involved all relevant REDD+ stakeholders, as described in the SESA report (REF). The resulting strategy consists of a set of 43 REDD+ Measures (PAMs), organized along 4 Strategic lines and 13 Policy lines (REF), as presented in the following:

Strategic line 1: Continue being a High Forest cover and Low Deforestation (HFLD) country and receive compensation to invest in economic transition.

Suriname maintains high forest cover and biodiversity and an environment in which diverse cultures can develop within the continuance of the forest service to the global community and receiving compensation for this service that can assist the transition to a diversified economy.

Policy lines:

- A. International and bilateral negotiations aiming at receiving financial support for the preservation of Suriname's forest cover.
 - Measure 1.A.1 Define how the use of REDD+ financial support and activities can facilitate efforts to drive the transition to a diversified economy.*
 - Measure 1.A.2: Communication and branding of Suriname nationally and internationally.*
- B. Support alternative livelihoods and diversification of the economy on national and regional levels including the interior.
 - Measure 1.B.1: Promotion of non-timber forest products (NTFPs) with a view to provide alternative livelihoods to forest dependent communities.*
 - Measure 1.B.2 Promotion of nature tourism with a view to provide alternative livelihoods to forest dependent communities and aid in the diversification of the economy.*
 - Measure 1.B.3 Provide alternative livelihoods to forest dependent communities through the promotion of medicinal plants.*
 - Measure 1.B.4: Provide alternative livelihoods to forest dependent communities through the promotion of agroforestry practices.*
 - Measure 1.B.5 Support education and training opportunities in forest-based communities in the interior.*

Strategic line 2: Forest governance

The objective of this strategic line is to increase the forests' contribution to global, national and local development through promoting sustainable forest management. This can be done through an enabling and participatory forest governance structure by strengthening the capacity of indigenous and tribal peoples (ITPs) and encouraging participation of private sector and other forest related

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actors, and at the same time increasing the ability of the government to properly manage, control and monitor its resources.

Policy lines:

- A. Advance participation of different stakeholders.
 - Measure 2.A.1: Adoption of a new Planning Act.*
 - Measure 2.A.2: Preparation and approval of the Environmental Law with Environmental Impact Assessment procedures as part thereof.*
 - Measure 2.A.3: Adoption of a community engagement strategy for REDD+.*
 - Measure 2.A.4: Strengthening capacity of ITPs in forest governance.*
- B. Enforcement, control and monitoring.
 - Measure 2.B.1: Capacity building of institutions in forest monitoring, control and protection.*
 - Measure 2.B.2: Capacity building of forest-based communities in forest monitoring.*
 - Measure 2.B.3: Ensuring adequate forest monitoring and enforcement capacities in the interior.*
 - Measure 2.B.4: Implementation of The National Forest Monitoring System Roadmap.*
- C. Forest and environmental laws and regulation.
 - Measure 2.C.1: Develop and adopt implementation regulations under the Forest Management Act and, when feasible, formulate a new Forest Management Act.*
 - Measure 2.C.2: Confer legally mandatory status to requirements contained in the Code of Practice guidelines for sustainable timber harvesting in Suriname.*
 - Measure 2.C.3: Adoption of an Environmental Act.*
 - Measure 2.C.4: Formulate and adopt a new Nature Conservation Act.*
- D. Promotion of Sustainable Forest Management (SFM).
 - Measure 2.D.1: Increasing the proportion and size of areas under controlled forest management.*
 - Measure 2.D.2: Improve and confer legally mandatory status to requirements contained in the Code of Practice guidelines for sustainable timber harvesting in Suriname and to other voluntary measures on environmental and forest protection.*
 - Measure 2.D.3: Review the timber charges system with a view to make them more reflective of timber and resource values to increase efficiency of the forest sector through appropriate taxation.*
 - Measure 2.D.4: Increasing added value of wood production, reducing the proportion of round wood exports in favor of processed products.*

Strategic line 3. Land use planning

This strategic line aims to develop, implement and maintain land use planning, zoning and sustainable land use practices and tools that result in optimal use of Suriname's forest and natural resources across sectors, including mining, forestry, infrastructure and agriculture, favouring different uses of the forest by different actors at different times and scales, as well as taking into account the development of forest communities and their rights to the land and natural resources.

Policy lines:

- A. Land tenure
 - Measure 3.A.1: Reconduct the process towards the legal recognition of land tenure rights of indigenous and maroon tribal peoples in Suriname. Support the establishment of a roadmap among different stakeholders.*
 - Measure 3.A.2: Strengthen the capacities and knowledge of the judiciary and government officers on the rights of ITPs, including those in international declarations, conventions and guidelines on land tenure.*

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Measure 3.A.3: Make information on traditional land ownership publicly available in the central registry.

Measure 3.A.4: Set guidance on how land tenure rights can be acknowledged through contracts before establishing new development or REDD+ activities in the vicinity of ITPs' communities.

B. Land use planning

Measure 3.B.1: Streamlining of concession policies, particularly of ministries responsible for mining and logging concessions.

Measure 3.B.2: Establish a central information system for storing and consulting data concerning land uses through a modern Geographic Information System (GIS).

Measure 3.B.3: Map and publicize areas for small-scale gold mining.

Measure 3.B.4: Formulate new land use planning legislation to ensure harmonization of sectoral legislation and enhance the coordinating role of the Ministry of ROGB as institution to lead the land use planning processes at the national level through institutional strengthening of the Ministry.

Measure 3.B.5: Improve the location and size of community forest permits and forestry concessions through adoption of guidelines on criteria for designation.

C. Promotion of sustainable practices in land use sectors other than forest

Measure 3.C.1: Adopt the Draft Environmental law and corresponding Environmental and Social Impact Assessment- and Pollution Control Regulation.

Measure 3.C.2: Support review and update the Mining Decree from 1986 and improve mining regulation by incorporating considerations of environmental nature (particularly on land degradation and deforestation) and social considerations in concession and permit requirements.

Measure 3.C.3: Further support Suriname's decision to participate in the Extractive Industries Transparency Initiatives (EITI).

Measure 3.C.4: Strengthen relevant government institutions in coordinated monitoring of field practices on forest areas and socially and environmentally sensitive sites.

Measure 3.C.5: Promote implementation of sustainable practices in other land use sectors.

D. Participatory community development

Measure 3.D.1: Promote democratic management of community forests/HKVs and an equitable allocation of benefits among all the members of the community.

Measure 3.D.2: Promote planning at the community level, by producing guidance that includes broader participation of community members.

Strategic line 4: Conservation of forests and reforestation as well as research and education to support sustainable development

This strategic line aims to continue and expand current efforts for the conservation and rehabilitation of the forest, its biodiversity and ecological functions, while exploring extractive and non-extractive uses that result in community development and wellbeing as well as in economic diversification.

Policy lines:

A. Protected areas

Measure 4.A.1 Increase the coverage of protected areas and provide for their protection through measures including the involvement and participation of ITPs.

Measure 4.A.2 Protection of mangrove areas.

B. Rehabilitation and reforestation of degraded and deforested areas

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Measure 4.B.1 Rehabilitation of mangrove areas.

Measure 4.B.2 Reforestation of abandoned mine sites.

C. Scientific research and education on forest management

Measure 4.C.1 Research in forest monitoring encouraged and research institutions strengthened.

Measure 4.C.2. Education on forest management

The National REDD+ Strategy also includes an implementation framework and a financial strategy.

4. Managing identified REDD+ benefits and risks

4.1. REDD+ benefits

Both at the first national workshop and in the community consultations potential REDD+ benefits were identified (see SESA report, REF). These benefits fall into 21 different benefit categories covering a wide range of topics from empowerment to enhanced livelihoods and biodiversity conservation. Their achievement will not only be relevant under REDD+ but instead would contribute to implementing a large number of national PLRs and international conventions (see Table 6). Active promotion of the achievement of these benefits in REDD+ implementation has thus multiple advantages and is in line with UNFCCC Cancun Safeguard (e) that requests REDD+ actions to be “used to incentivize the protection and conservation of natural forests and their ecosystem services, and to enhance other social and environmental benefits”.

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Table 6: Assessment of how achieving identified benefits under REDD+ can contribute to achieving objectives of national PLRs and international conventions

Benefit categories	National PLRs											International Conventions ⁷																
	Constitution	National Development Plan	National Biodiversity Strategy and Action Plan	REDD+ Readiness Proposal	Strategic Action Plan for the Forest Sector	Intended Nationally Determined Contribution under UNFCCC	National Forest Policy	Forest Management Act and Code of Practice	Draft Environment Act	Nature Conservation Act	Act on Regional Bodies	Anti Corruption Act	Bill amending the issuance of Domain land	United Nations Convention on Biological Diversity (UNCBD)	UNFCCC and Kyoto Protocol	United Nations Convention to Combat Desertification (UNCCD)	UNESCO World Heritage Convention	International Tropical Timber Agreement (ITTA) 1994	Cartagena Protocol	Convention on International Trade of Endangered Species (CITES)	Convention on Nature Protection and Wildlife Preservation in the Western Hemisphere	Amazon Cooperation Treaty	International Covenant on Economic, Social and Cultural Rights	International Covenant on Civil and Political Rights	Inter American Convention on Corruption	Minamata Convention ⁸	Convention for the Safeguarding of intangible cultural heritage	
Biodiversity conservation and sustainable natural resource management	X	X	X			X	X		X				X			X	X	X	X	X	X	X				X		
Conservation of cultural heritage	X					X	X		X				X			X											X	
Conservation of traditional activities						X	X						X			X						X					X	
Contribution to climate change mitigation and adaptation		X				X	X	X	X				X	X	X													
Development		X				X	X			X			X				X						X					
Empowerment (capacity)					X	X																	X					

⁷ It should be noted that this is a selection of international conventions Suriname has ratified (apart from Minamata, see next footnote) and which are relevant in the context of the identified benefits.

⁸ Discussions are currently underway in Parliament to decide whether the Minamata Convention should be ratified by Suriname.

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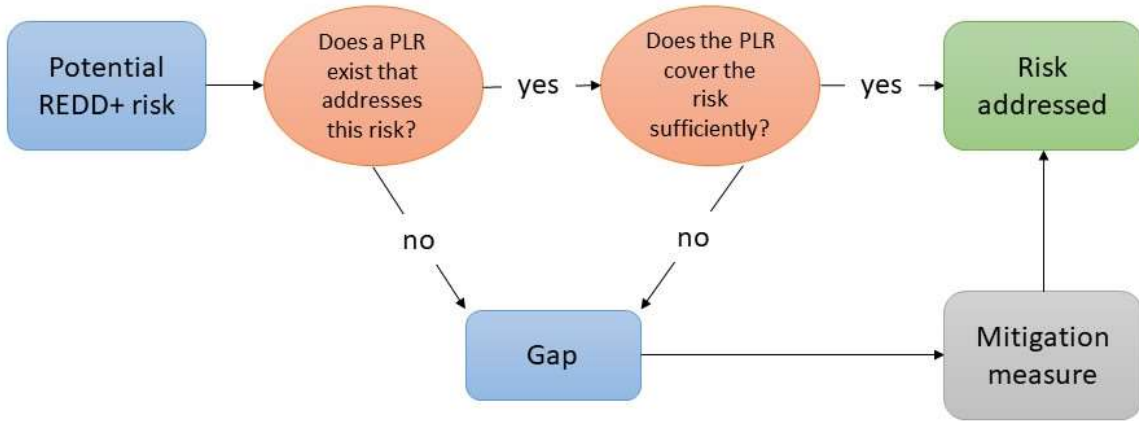


Figure 1: Logic for assessing identified risks against existing PLRs, identifying gaps and suggesting mitigation measures

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Table 7: Identified risk categories, safeguards triggered (WB = World Bank Operational Policies, Cancun = UNFCCC Cancun Safeguards, GCF = Green Climate Fund Safeguards), existing PLRs addressing the risks, gaps in PLRs and potential mitigation measures

Risk category	Safeguards triggered			Existing PLRs	Gaps and mitigation measures
	WB	Cancun	GCF		
1. Adverse effects on livelihoods - reduced income opportunities	OP 4.10, OP 4.12	c, e	PS5 PS7	<p>Based on the Act on Regional Bodies (Wet RO, S.B.1989 no.44). art. 51, ressort and district plans must be made with participation of the communities. These Plans are approved and part of the Budget of the Districts. This means that the ITPs must be engaged in the development of these plans.</p> <p>In addition, there are districts ordinances (Districtsverordeningen) for each districts to develop a district fund. According to the regulations, there are rules for managing the fund by district. These regulations aim to isolate the district resources for the benefit of the district.</p> <p>There is no legislation in place that specifically address adverse effects on livelihoods, however, the aforementioned law and regulation provides the security to ITPs to participate in the planning for their area (ressort/district level) and therefore provide opportunities to enhance their income opportunities.</p> <p>It is also the policy of the Ministry of Regional Development (Min RO) to increase the livelihood of the ITPs. In this light an integral development plan for the interior is being developed (document was not yet made available by the Ministry). This integral plan includes plans to provide basic utilities (water and energy), to support nature tourism and agriculture, which are activities already related/familiar to the areas.</p>	<p>Existing PLRs and the integral development plan cover engagement in future planning at district level, management of district funds, provision of basic utilities (water and energy) and support of alternative livelihoods. However, they do not cover the risk of reduced income opportunities as e.g. might occur where more sustainable/less harmful methods to logging or small-scale mining become mandatory and local community members do not have the means to change to new methods and techniques due to a lack of skills or financial resources to acquire the needed materials (e.g. tools, substances, seeds,...).</p> <p>The possibility to promote financing opportunities especially for the poor/marginalized in the form of credits or subsidies together with capacity building could help mitigate the risk. In Suriname's National REDD+ Strategy, measures to establish alternative livelihoods are included under Policy line 1.B.</p>
2. Adverse effects on livelihoods - unsustainable	OP 4.10,	E	PS4	<p>Currently there is a Bill entitled "Protection village areas" at Parliament, which is an amendment of the L-Decree. The Bill provides for zones (10km areas) around the villages where it is prohibited to issue rights to third</p>	<p>This new Bill should help address cases where third parties have either received permits within 10km of villages or have encroached uncontrolled into these</p>

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<p>resource use, pollution</p>	<p>OP 4.36</p>			<p>parties. In the new situation, on the date of entry into force of the law, no competent public authority may issue land or other rights within the protected village areas. This in order to normalize emerging situations and as a first stage in the overall process to settle the land rights issue in Suriname. In the event that areas were already issued at the time of entry into force of the law, but the obligations to cultivate the land have not yet been fulfilled, the rights will be annulled. If they are issued after the law enters into force, the rights are void. If a project is being prepared in the context of a development plan, it will only be approved in consultation and after approval by the community.</p>	<p>areas and it should help avoid similar cases in the future. Unsustainable resource use and pollution within those 10km of villages caused by third parties should thus be avoided. However, pollution of rivers and creeks by upstream mining operations is not covered here. Measure 3.C.1 of the National REDD+ Strategy: Adopt the draft Environmental Law and corresponding Environmental and Social Impact Assessment- and Pollution Control Regulation, if well monitored and enforced, should address this problem. Where the risk refers to unsustainable resource use through leaving behind wood waste, measures included under Strategic line 2. Forest governance, policy line 3. Promotion of Sustainable Forest Management should be able to address this.</p>
<p>3. Adverse effects on livelihoods - traditional activities</p>	<p>OP 4.10</p>	<p>c</p>	<p>PS7</p>	<p>The Game Act divides the country in a northern and a southern part. There are certain restrictions for the northern part, which are not applicable for the Southern part. For example, according to the Game Act, there are no bag limits (maximum amount of animals to be caught) for the Southern part of the Country where local communities depend on game. As Apoera is situated in the northern part, the restriction is applicable to the ITPs in this area.</p> <p>Suriname's nature conservation legislation (Nature Conservation Act and Game Act) dates from 1954. Both laws are outdated and need to be revised. With support from CI -Suriname, a process was recently initiated to revise the Nature Conservation Act. The Ministry of RGB also acknowledged that the current Game Act is outdated and needs to be revised. These processes for revision are being done in consultation with the stakeholders (including ITPs).</p>	<p>Existing PLRs are covering this risk insufficiently. It is recommended that the issues with regards to the restriction of the current laws for the ITPs are being dealt with when revising the legislation, including the Nature Conservation and the Game Act. Documenting traditional rights can help establish a basis to use as a reference in the revision of the legislation, see respective action in the SESA Action Matrix. Land use maps developed in the past years for several communities for project purposes (i.e. not formally approved) could serve as an additional tool in revision processes.</p>

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<p>4. Conflicts</p>	<p>(OP 4.12)</p>	<p>b</p>	<p>(PS5)</p>	<p>In case of conflicts there is the possibility for a conflict between the Government and ITPs or third parties and ITPs. For both cases there is the possibility to go to the Court. However, only legal entities (natural person or legal persons) can file law cases and in Suriname Communities do not have legal personality as of yet.</p> <p>Beside the Court, there is the possibility of arbitration and mediation through the Suriname Arbitration Institute (SAI). The purpose of the SAI is to prevent, eliminate, or resolve disputes between legal entities through arbitration, binding advice or mediation. The SAI is accessible to anyone who has a dispute, which lends itself to this form of settlement and / or mediation.</p> <p>Risk of Violence are being dealt with by the Police, based on the Criminal Act and the Police Criminal Act.</p>	<p>Coverage of the risk by existing PLRs is limited due to the restrictions regarding legal entities, which makes it difficult for a community to file a case and also because of limited capacities and financial means for communities to follow through with a court case or make use of the SAI. There is also the Interamerican Court on Human Rights, which can be and has been appealed to in case of conflicts over land and resources. Where REDD+ PAM implementation was to lead to conflicts within or between local communities, there are no PLRs in place to deal with this. A Grievance Redress Mechanism (GRM) for REDD+ is currently in development at national level with its completion planned for June 2018. To what extent this would cover for such conflicts needs to be reviewed.</p> <p>A two-fold approach could help reduce the risk further:</p> <ol style="list-style-type: none"> 1) Establishment of associations for the purpose of serving the interests of the village would provide legal personality to communities. The members of the community are then formed by the individual villagers. Capacity building and assistance might be needed to enable communities to establish associations. 2) Establishment of conflict resolution mechanisms at village level.
<p>5. Contradicting legislation - context: poor fine-tuning in the process of</p>	<p>(OP 4.10)</p>	<p>a, b, c</p>	<p>/</p>	<p>With regards to rights of ITPs, there are some initiatives started by the Government and by Parliament. This includes the previously described Bill on the issuance of land entitled "Protected Village Areas" (see this column</p>	<p>The Protected Village Areas Bill can help resolve some of the conflicts regarding concessions that were granted to third parties within 10km of villages. It can also help avoid such conflicts in the future.</p>

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<p>recognizing ITP rights</p>				<p>under risk 2. Adverse effects on livelihoods - unsustainable resource use, pollution).</p> <p>If FPIC is properly addressed in new legislation, this will be applicable to all other sectoral legislation, as new legislation overrule older legislation. This means that possible conflicting legislation is handled.</p>	<p>Having FPIC principles covered further supports that ITP views and rights are taken into consideration.</p> <p>However, (a) it is as yet unsure that the Bill will be approved or when it will be approved, and (b) the identified risk goes beyond this in that it also refers to amendment in legislation, such as protected area legislation, that does not sufficiently consider ITP rights and ends up restricting such rights. Documentation of traditional rights on paper (as a first step towards legal recognition of such traditional rights) could be helpful, as such documentation could be used as a reference in processes where legislation gets amended to ensure that amended or new legislation text does not undermine ITP rights. Land use maps developed in the past years for several communities for project purposes (i.e. not formally approved) could serve as an additional tool in these processes.</p>
<p>6. Corruption</p>	<p>/</p>	<p>B</p>	<p>/</p>	<p>On August 31, 2017 the Anti Corruption Act was approved by Parliament. This law does not only provide to fight against corruption but also provides for prevention of corruption. Corruption or corruptive action of officials can be reported to a special anti-corruption committee. The law protects the declarant or whistleblower by remaining them anonymous. Corrupt officials as well as persons who bribe officials are penalized. The law has no retroactive effect. A totally new provision in the law is the obligation of certain public officials to declare their income, assets and debts with the attorney general. The law provides the basis for combating corruption, but much will depend on the implementation of the law. (Source of the Act:</p>	<p>Approval of the Anti Corruption Act has very good potential to address the risk. However, it is not clear at this stage whether it includes the REDD+ specific recommendations derived from this year's Corruption Risk Assessment (Vaidya 2017). In order to ensure complete coverage of the risk it is therefore recommended to review and prioritize these REDD+ specific recommendations by assessing their feasibility and impact and work towards establishment of at least the prioritized ones.</p>

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				http://www.dna.sr/wetgeving/). The official text was not yet available when preparing this report.	
7. Degradation of biodiversity	OP 4.04, OP 4.36	e	PS6	It is stated in the Constitution that it is a social objective of the state to identify the potentials for development of the own natural environment and the enlarging of the capacities to ever more expand those potentialities, but also to create and improve the conditions necessary for the protection of nature and for the preservation of the ecological balance.	The risk is not sufficiently covered by existing PLRs. The National REDD+ Strategy aims to reduce degradation where it occurs from unsustainable resource use in the logging and mining sector and through unsustainable management of community forests/HKVs. However, degradation of biodiversity as a result of unsustainable harvesting of NTFPs, for instance, is not covered by the PAMs included in the National REDD+ Strategy. Monitoring of activities promoting alternative livelihoods that could result in overexploitation and thus degradation of biodiversity can help identify the need for sustainable use regulations, which could then be developed accordingly.
8. Disempowerment - context: lack of time for ITPs to think through proposals before taking an informed decision, pressure to sign agreement	OP 4.10, OP 4.12	d	PS7	No PLRs are currently in place addressing the procedures for engagement of local stakeholders in the revision of the law, including culturally sensitive engagement approaches allowing for clear information and sufficient time to consider suggested amendments or new legal provisions.	Several PAMs included in the National REDD+ Strategy foresee engagement of stakeholders in the revision or new creation of laws. Development and adoption of engagement procedures for such processes including provisions for culturally sensitive approaches and sufficient time for consideration before decision-making could help address this risk. This is directly related to application of FPIC principles.
9. Displacement of emissions	OP 4.01 (Annex A)	g	/	No PLRs are currently in place that address this risk. In Suriname, since most of the land is forest land, the risk refers mainly to displacement of emissions across national boundaries, at least as long as REDD+ is established at national scale and the NFMS is well established.	The National REDD+ Strategy to some extent addresses the issue in measure 2.A.2 Preparation and approval of an Environmental Act with Environmental Impact Assessment procedures as

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					<p>part thereof. The ESMF suggests to expand the EIA guidelines by including screening questions that cover all relevant REDD+ safeguards, thereby raising awareness on the potential risk of displacement of emissions early on. This should allow for REDD+ (sub-) projects to be designed, prioritized and implemented to reduce displacement of emissions. However, additional measures can help reduce the risk further, such as</p> <ul style="list-style-type: none"> • Addressing the underlying drivers of deforestation and forest degradation and barriers to the conservation, enhancement and sustainable management of forest rather than only the direct ones (UN-REDD Programme 2016); The PAMs included in the National REDD+ Strategy and the actions included in the SESA Action Matrix jointly do this. • Monitoring the demand for wood and wood products at national level and the source of the supply. Where according to the NFMS forest degradation in Suriname is stable or reduced but the demand for wood in Suriname increases, there are two ways to meet this increased demand. One is to use wood from Suriname and reduce export to other countries. The other way is that wood imports are increased to meet the demand, which may indicate a displacement of emissions across national boundaries. Attention needs to be paid to the possibility of illegal timber trading contributing to a mismatch between demand and legal supply (Meyfroidt and Lambin 2009).
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<p>10. Disrespect of ITP rights</p>	<p>OP 4.10, OP 4.12</p>	<p>c</p>	<p>PS5 PS7</p>	<p>There are different sectoral laws that provide some protection, which can be invoked in case of an infringement:</p> <ol style="list-style-type: none"> 1. Forest Management Act: With regards to conduct and continue traditional rights, it is stated in the Forest Management Act in article 41 that the customary law rights of tribal inhabitants of the interior in respect of their village and settlements as well as on their agricultural plots, will be respected as much as possible. In case of violation, an appeal can be written to the President by the traditional authority of the ITPs. 2. In the Decree on Land Policy Principles (Decreet L-1): “Upon disposing of State land, <i>the rights of tribal Bush Negroes and Amer-Indians to their villages, settlements and agricultural plots are respected, insofar as not contrary to the general interest.</i> General interest refers to the implementation of any project within the framework of an approved development plan. The Explanatory Memorandum states amongst others, that it is a requirement of justice, that when issuing State land, the actual rights of Indigenous and Maroon communities to the areas are taken into consideration as much as possible. 3. Despite the fact that the Planning act is not implemented in practice, it will be briefly discussed as it is part of the effective law. The Planning act aims to provide for national and regional planning in the interest of a good physical planning of the land use. Article 2 states that upon the preparation of a coherent and sustainable development policy, the Minister will <i>conduct consultations with the leaders of independent communities.</i> It furthermore dictates that development programs will be worked out with maps related thereto. 4. The only reference to ITPs in the Mining Decree is the requirement that application for an exploration permit must include a list of all tribal communities located in or near the area to be explored. <p>It is also expressly stated in the Constitution that everyone has the right to cultural expression and that the State shall save and protect the cultural heritage of Suriname, shall promote its preservation and shall encourage</p>	<p>While several PLRs exist that address the risk, they usually do not include full protection and respect of ITP rights. Instead, respect of rights is required “as much as possible” or “insofar as not contrary to the general interest”.</p> <p>One part of the difficulty is that ITP (traditional) rights are largely undocumented, so that their consideration is challenging from the start. Documentation as a first step towards legal recognition together with engagement of ITPs in revision of PLRs and adequate monitoring and enforcement of adherence to rules by all relevant stakeholders could jointly address the risk.</p>
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				<p>the use of science and technology in the context of the national development objectives.</p> <p>The previously described “Protected village areas” (see this column under risk 2. Adverse effects on livelihoods - unsustainable resource use, pollution) Bill could help provide the communities with some kind of protection against issuance of land near their village to third parties.</p>	
11. Forced eviction and/or displacement	OP 4.12	C	PS5 PS7	<p>The constitution provides for fundamental rights for citizens and also some social responsibilities for the State. It is the responsibility of the State to provide for a secured means of livelihood for the entire nation, sufficient employment under the guarantee of freedom and justice and the participation of everyone in the economic, social and cultural development and progress.</p> <p>Fundamental rights to property are regulated in the Constitution. Property, of the community as well as of the private person, shall fulfil a social function. Everyone has the right to undisturbed enjoyment of his property subject to the limitations which stem from the law. Expropriation will take place only in the general interest, pursuant to rules to be laid down by law and against compensation guaranteed in advance.</p> <p>Compensation need not be previously assured if emergency immediate expropriation is required. Here, the Expropriation Act applies. In cases determined by or through the law, the right to compensation shall exist if the competent public authority destroys or renders property unserviceable or restricts the exercise of property rights for the public interest.</p> <p>However, there is still a far-reaching right for the State included in the Constitution regarding the possession of natural resources; it is stated in article 41, that natural riches and resources are property of the nation and shall be used to promote economic, social and cultural development. The nation shall have the inalienable right to take complete possession of the</p>	<p>Existing PLRs to some extent address the risk of forced eviction. The National REDD+ Strategy includes several measures that jointly aim at empowering ITPs by engaging them in law- and decision-making processes, clarifying land rights and fostering the principles of FPIC, which can help avoid forced eviction or displacement. Access to a grievance redress mechanism would also be helpful.</p> <p>The ESMF includes provisions to identify the risk at the project screening stage and also for the development of a Resettlement Plan, should it indeed be unavoidable. Such a Resettlement Plan would include all necessary information regarding eligibility for compensation and compensation regulations.</p>

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				natural resources in order to apply them to the needs of the economic, social and cultural development of Suriname.	
12. Illegal activities	/	B	/	Both the mining and Forestry laws contain penal provisions in case of violation of these laws. The penalties are imprisonment and fines. In addition, there are also administrative measures, such as revocation of the license.	PLR are in place, however, illegal activities are still likely to occur due to the current lack of monitoring, control and enforcement capacities. The National REDD+ Strategy and the SESA Action Matrix include measures to enhance these capacities and thus jointly address the risk.
13. Inequality - income	(not explicitly covered)	(b), (e) (not explicitly covered)	(PS2)	One of the social objectives of the State as stated in the Constitution is the fair distribution of national income, aimed at a fair distribution of well-being and prosperity across all sections of the population.	The respective paragraph in the constitution addresses the risk to some extent. The ESMF includes provisions for REDD+ implementing (sub-) projects that aim to create income opportunities to consider the issue of income inequality.
14. Loss of cultural heritage	OP 4.11 (restricted to physical)	c	PS7 PS8	<p>It is stated in the Constitution that the State shall save and protect the cultural heritage of Suriname, shall promote its preservation and promote the use of science and technology in the context of the national development aims. On 16 February 2017, the Parliament approved the law on the accession of the Republic of Suriname to the Convention for the Safeguarding of the Intangible Cultural Heritage. The aim is to protect the cultural uses, traditions, traditional doctrines, traditional cultural expressions, stories, craft skills of the different cultures in the country, including ITPs.</p> <p>Regarding the sites and structures, the Monuments law is applicable. It is prohibited to perform excavation work in the fields of ancient research of monuments in contravention of such conditions without a license of the Minister of Education and Culture. The Minister may decide that a person</p>	<p>Existing PLRs cover physical as well as intangible heritage and the ESMF includes provisions for the identification of the risk at the stage of project screening. However, physical cultural heritage is often not documented and consultation with local stakeholders will thus be crucial. Over time, mapping of physical cultural resources could help ensure that their location can be more easily taken into consideration in land use planning.</p> <p>For intangible cultural heritage documenting traditional knowledge, uses, stories, craft skills, etc. would represent the equivalent to mapping of physical cultural heritage.</p>

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				<p>entitled to a site/field must tolerate that the State or persons in the interest of archaeological research, perform measurements or excavations. In so far this person suffers damage caused by the investigation, he may be paid by the State a fee whose height is determined by an independent third party. Monuments found in excavations and on which no one can prove his right of ownership are the property of the State.</p> <p>The owner of the land in which the monuments have been discovered is required to transfer the found monuments to the State and is entitled to a reimbursement amounting to half the value of those monuments.</p>	
15. Loss of cultural heritage - intellectual property rights	(OP 4.10)	c	PS7 PS8	<p>With regards to Intellectual Property rights, the only law which could be applicable is the Copyrights law when it regards the maker of a work of literature, science or art. Traditional rights are usually covered by category Industrial Property for which there is no legislation as of yet. Since 2004, a Bill on Industrial Property was submitted to Parliament but never approved.</p>	Existing PLRs do not sufficiently cover the risk. The ESMF includes provisions for alternative livelihoods projects that make use of cultural heritage to include in the planning measures to protect intellectual property rights.
16. Pollution	OP 4.01	e	PS3	<p>Dumping of waste and other objects on public roads, associated footpaths, in public or public gardens or parks, a canal, trench or creek intended for the drainage is prohibited in the Police Criminal Act.</p> <p>In the Criminal law he who puts a substance in a well, pump, source, trench, creek or in a commonly used or shared use of or intended drinking water device is penalized.</p> <p>A draft Environmental Act has been formulated, which provide for pollution control.</p>	<p>The existing PLRs only partly cover the risk. However, both the National REDD+ Strategy and the SESA Action Matrix include measures to jointly address the lack of control and enforcement capacity.</p> <p>In any new project, in line with relevant safeguards and EIA guidelines (see ESMF), pollution control and management needs to be considered from the start.</p>
17. Reduced access to resources	OP 4.10, OP 4.12	c	PS5 PS7	<p>It is stated in the current Nature Conservation Act that it is prohibited to hunt, fish and to have with you a dog, firearm or any hunting or catching gear inside of protected areas without a permission of the Head of the</p>	The PLRs together with measures included in the National REDD+ Strategy promoting engagement of stakeholders in the revision of legal instruments and documentation of traditional rights to be used as a reference in such processes (see SESA Action Matrix)

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				<p>Forest Service. This leaves the opportunity for the Communities to apply for a permit.</p> <p>The Government is aware of the limitations of the current Nature Conservation legislation, especially for ITPs. With support from CI and WWF, a process has started to modernize the nature conservation law with engagement of ITPs. During this engagement process, ITPs have the opportunity to address all the shortcomings and limitations of the current law. Special focus will be benefit sharing, co-management and FPIC.</p>	<p>should provide good coverage of the risk. The GRM currently under development would be applicable in case needed.</p>
18. Risk of reversal	OP 4.01, OP 4.04, OP 4.36	f	/	<p>No PLRs are currently in place that address this risk</p>	<p>Both the National REDD+ Strategy and the ESMF are fostering the long-term sustainability of REDD+ actions in different ways. Data produced by the NFMS should help detect reversals and allow for adjustment in REDD+ management accordingly.</p>
19. Unsustainable resource use - wood waste	OP 4.36	e	PS3	<p>The Forest Management Act provides the basis for sustainable use of the forest. If the Code of Practice is being implemented, unsustainable use of forest resources will be minimized.</p> <p>Some elements of the Code have already been considered in the concessions requirements. However, the Code itself does not have a mandatory status at the moment, which hinders the relevant authorities to implement an effective control of operations.</p>	<p>The National REDD+ Strategy under Strategic line 2 Forest governance, Policy line D. Promotion of Sustainable Forest Management includes provisions to minimize wood waste, e.g. in measure 2.D.2 Improve and confer legal mandatory status to requirements contained in the Code of Practice Guidelines for sustainable timber harvesting in Suriname and to other voluntary measures on environmental and forest protection. No additional mitigation measures will be needed.</p>
20. Unsustainable resource use - overexploitation of NTFPs	(OP 4.36)	e	PS6	<p>Based on the Forestry Act, the Minister is authorized to issue licenses for NTFP under special conditions.</p>	<p>Projects promoting the use of NTFPs should be monitored, also after intervention by external actors ends, in order to observe changes in availability of the resources as a consequence of its use in such projects. The SESA Action Matrix includes provisions</p>

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					to ensure this is done. SBB should develop conditions for sustainable harvesting of NTFPs.
21. Unsustainable resource use - tourism	OP 4.04	e	PS6	<p>A Tourism Act has been drafted but not finalized for submission to Parliament. The draft is not yet publicly available.</p> <p>There is a law on Standards, however no standards have been set yet for the Tourism Industry.</p>	In the absence of more detailed information on the contents of the Tourism Act, it is suggested that projects promoting nature tourism should be monitored, also after intervention by external actors ends, in order identify potentially negative impacts at an early stage. Regulations for sustainable nature tourism should be developed and implemented.

4.3. Actions to further strengthen enabling conditions, promote benefits and minimize risks

The SESA findings allow the formulation of a number of recommendations for actions that could together substantially strengthen Suriname’s foundation for successful and sustainable implementation of a REDD+ mechanism that reduces emissions, enhances removals and actually benefits Suriname’s people and environment. The below table presents these recommended actions, allocated to five different priority areas:

- 1) Clarification of topics currently unclear and causing mistrust or confusion
- 2) Resolution of existing conflicts over land use and concessions
- 3) Institutional and governance strengthening
- 4) Strengthening of gender inclusive REDD+ implementation
- 5) Local-level capacity building as preparation for REDD+ implementation
- 6) Additional measures to enhance benefits and reduce risks from REDD+ implementation.

Responsibility for implementation of these actions must not entirely lie with the government of Suriname. Instead, it should be possible to divert some of the responsibility to REDD+ (sub-) project implementing agencies. For example, agencies implementing REDD+ (sub-) projects to promote alternative livelihoods through the use of traditional knowledge regarding medicinal plants could be required to document such traditional knowledge (see priority 5) as part of project implementation.

Table 8: Action matrix summarizing SESA recommendations, including measures to promote benefits and address anticipated social and environmental risks and impacts

Priority 1						
Clarification of topics currently unclear and causing mistrust or confusion						
<i>Rationale: The National REDD+ Strategy includes PAMs on a number of topics that are currently reasons for confusion or mistrust, or that stakeholders are not equally aware of and familiar with. This priority aims to clarify and raise awareness on these topics to enable success of respective PAMs.</i>						
Priority reform area	Short term actions (1-2 years)	Short term monitorable outcomes	Medium-term actions (3-5 years)	Medium-term monitorable outcomes	Long-term actions (> 5 years)	Final outcomes
Relationship between community forests/HKVs and land tenure rights	At national level, agree on an official government position with regards to the listed topics, in line with stakeholder expectations, SESA findings and international commitments At national level, develop	Official government position in written form publicly available Communication plan developed and implementation started	Complete establishment of PAMs regarding community forests/HKV regulations and land tenure rights, always engaging ITPs in a culturally appropriate way. Continue on clarifying where necessary to restore trust.	No complaints issued regarding the relationship between community forests/HKVs and land tenure rights	Monitor the situation, maintain communication levels with ITPs to build trust (linked with other actions)	Land tenure rights are legally recognized and community forests established in a culturally appropriate way. All relevant stakeholders have a clear understanding of the relationship between land tenure rights and community forests/HKVs and trust has been restored between ITPs and the national government in this respect.

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REDD+ benefit sharing	communication plan to inform ITPs and other relevant stakeholders accordingly		Develop “REDD+ benefits tracker” to communicate monetary and other benefits obtained and how they get used (e.g. website).	REDD+ benefit tracker is viewed by a broad range of stakeholders.	REDD+ benefit sharing summary reports are produced from the tracker and released on a regular basis. These national reports will also provide input to the REDD+ safeguards Summary of Information to be submitted to UNFCCC.	There is a shared understanding of REDD+ benefits and how they are being shared in Suriname. Expectations are managed regarding limitations to monetary benefits from REDD+.
FPIC			Develop and implement official guidelines for seeking and obtaining FPIC, in line with UN-REDD Programme (2013) ⁹ Build capacity amongst agencies that will have to follow the guidelines	Number of cases where FPIC was sought and obtained or refused across sectors (potentially relevant information for the SIS and Summary of Information to be submitted to UNFCCC)	FPIC guidelines are broadly accepted and applied as a default element of project implementation (where applicable)	All relevant stakeholders, including local communities, have a clear understanding of the principles of FPIC, when they apply and the process for applying them. Local community members are aware that they do not have to provide consent to project proposals and feel empowered and more secure.
ITP rights (beyond land rights)			Traditional rights are documented and used as reference in processes to amend legislation. Existing land use maps are used in addition.	Number of documented traditional rights across the country. (potentially relevant information for the SIS and Summary of Information to be submitted to UNFCCC)	Traditional rights get legally recognized, which is reflected in the amended legislation. This legal recognition is communicated to all relevant stakeholders.	ITPs feel empowered and more secure regarding their rights to land and resources. They trust that their rights will be respected by all relevant stakeholders.

⁹ Suriname’s R-PP included some indicative elements that should be included in the process of obtaining FPIC, see Republic of Suriname (2013), page 81 and 82.

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Priority 2						
<i>Resolution of existing conflicts over land use and concessions</i>						
<i>Rationale: The National REDD+ Strategy aims to avoid further conflicts over the use of land and resources in the future; however, there is a lack of clarity on resolution of already existing conflicts over land and resources. This priority aims to address existing conflicts to pave the ground for streamlined planning in the future.</i>						
Priority reform area	Short term actions (1-2 years)	Short term monitorable outcomes	Medium-term actions (3-5 years)	Medium-term monitorable outcomes	Long-term actions (> 5 years)	Final outcomes
Conflict resolution	Identify a government position regarding existing conflicts over the use of land (overlaps, encroachment) Review options for resolution of conflicts at local level (within and between communities) Develop communication and action plan to resolve these conflicts	Government position exists and is publicly available Communication and action plan exists detailing how the government will approach the resolution of these conflicts	Implement communication and action plan	Number of conflicts resolved (e.g. where concessions were issued too close to villages) (Potentially relevant information for the SIS and Summary of Information to be submitted to UNFCCC)	Implementation of streamlining PAMs and thus avoidance of further conflict	There is clarity regarding issuance of concessions and processes are well coordinated between responsible stakeholders. Conflicts can be avoided as a consequence, creating trust and better cooperation between local and other REDD+ stakeholders. Where conflicts still occur, they will be addressed through the Grievance Redress Mechanism currently under development.
Priority 3						
<i>Institutional and governance strengthening</i>						
<i>Rationale: REDD+ implementation requires a range of new capacities and skills and depends on transparent coordination and communication, monitoring and control. The National REDD+ Strategy partly addresses such new requirements but more effort will be needed to enable long-term success.</i>						
Priority reform area	Short term actions (1-2 years)	Short term monitorable outcomes	Medium-term actions (3-5 years)	Medium-term monitorable outcomes	Long-term actions (> 5 years)	Final outcomes
Capacity needs	Conduct an institutional REDD+ implementation needs assessment, looking at required	Published result of the assessment, identifying relevant gaps in terms of (a) knowledge and skills, (b)	Implement action matrix. Apply adaptive management approach, i.e. where new requirements emerge, include	Progress report showing which gaps have been addressed and how.	Review the match between the existing capacities and capacity needs over time and	Capacity needs get addressed and REDD+ can get fully implemented. Capacity gaps are identified at an early stage and addressed as quickly as possible to ensure

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	functions, tasks and existing capacities.	staffing and thus (c) financial resources. Published action matrix to fill gaps, including possible funding sources.	them in the action matrix and address them accordingly.		review and revise the action plan accordingly.	that important tasks can be continued.
Monitoring and control (forest monitoring and beyond)	Review the needs for monitoring and control beyond forest monitoring, i.e. including REDD+ implementation and generic monitoring of adherence to PLRs. Special attention should be paid to monitoring the sustainability of alternative livelihood options and demand and supply of wood and wood products at national level. Incorporate provisions to help track the risks of reversal and displacement of emissions in the NFMS, as contribution to the SIS.	Summary of monitoring and control needs review publicly available and detailing in which areas monitoring and control needs to be enhanced, including suggestions for responsibilities for monitoring (e.g. including the role of ITPs in monitoring), financing options and action plan.	Implement action plan and adjust management of different areas monitored accordingly. This can include to develop sustainable use regulations for NTFPs, medicinal plants and nature tourism.	Monitoring data exists on a range of topics relevant for REDD+ implementation and safeguards, e.g. referring to the risks of reversal and displacement of emissions (link with SIS and Summary of Information to be submitted to UNFCCC). Sustainable use regulations exist and are applied.	Re-assess match between monitoring needs and capacities to be able to adjust to changes in needs. Produce report showing progress made and how the monitoring data helps assess progress with REDD+ implementation (link with SIS).	There is clarity regarding the needs for monitoring and control and capacities have been enhanced, including by involving local communities in monitoring. Long-term sustainability of REDD+ implementation can be observed and management adjusted where monitoring detects issues that could hinder achievement of agreed objectives. Application of sustainable use regulations ensure that alternative livelihood options will continue to benefit ITPs. The risks of reversal and displacement of emissions can be tracked as a direct input into the SIS.
Coordination and communication	Establish provisions for transparent communication of changes in PLRs as part of REDD+ implementation to all	Official regulation is in place for communication of PLR changes to all stakeholders, including in the interior.	Apply both regulation for communication of PLR changes and REDD+ community strategy.	Number of PLR changes successfully communicated and number of legal revision procedures completed	Communication regulations officially acknowledged and applied. PLR reviews continue	The combination of clear communication and enhanced monitoring and control reduces the risk that new or amended PLRs do not get adhered to. ITPs do no longer

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	<p>stakeholders. Incorporate cultural and gender aspects into the REDD+ community engagement strategy referred to under measure 2.A.3, including reference to FPIC and ensuring that community engagement in legal revision processes provides sufficient time for consideration of proposals.</p>	<p>REDD+ community strategy appropriately reflects culture and gender aspects.</p>		<p>involving ITPs. Number of complaints raised in this context.</p>	<p>using REDD+ community engagement strategy.</p>	<p>worry that they will feel hurried to agree to legal amendments they may not have fully understood, since the engagement strategy includes provisions for culturally appropriate approaches, including FPIC, clear language and sufficient time for consideration.</p>
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Priority 4

Strengthening of gender inclusive REDD+ implementation

Rationale: The participatory elements of the SESA have shown that there is acknowledgement of the role of women regarding the sustainable use and management of forest land and resources. However, this is not yet sufficiently reflected in REDD+ decision-making processes and implementation.

Priority reform area	Short term actions (1-2 years)	Short term monitorable outcomes	Medium-term actions (3-5 years)	Medium-term monitorable outcomes	Long-term actions (> 5 years)	Final outcomes
Gender specific capacity building and education	<p>Continue capacity building on gender inclusiveness at government level, involving both men and women;</p> <p>Foster gender literacy education;</p> <p>Encourage engagement of traditional authorities in the above.</p>	<p>Gender capacity building and literacy education plan established.</p>	<p>Implement gender capacity and literacy education plan.</p>	<p>Number of capacity building events realized, number or participants and W:M ratio.</p> <p>Number of gender literacy education events realized and number of participants.</p> <p>Presence of traditional authorities. (information</p>	<p>Review capacity building and education needs based on holistic update of gender issues and acknowledge ment of their importance in REDD+ implementation</p>	<p>The importance of gender inclusiveness in REDD+ implementation is more noticeably acknowledged and considering gender-specific issues has become a natural part of REDD+ decision-making and implementation.</p> <p>Women feel more empowered to engage in decision-making and their voice is heard and appreciated.</p>

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				may be of interest to the SIS)		
Bureau Gender Affairs (BGA)	Strengthen the role of the BGA by ensuring its engagement in REDD+ implementation to, e.g., foster equal access to REDD+ benefits by men and women.	Plan exists about the role of the BGA in REDD+ implementation.	Implement BGA involvement plan. Assessment of gender equality in accessing REDD+ benefits and development of action plan as appropriate. Promotion of assignment of women as key players in REDD+ implementation, e.g. as REDD+ assistants.	BGA is represented at REDD+ relevant meetings and ensures that gender specific aspects are sufficiently considered, including equal access to REDD+ benefits.	BGA reviews gender specific aspects in the context of REDD+ implementation and identifies needs for action as appropriate.	The role of the BGA in REDD+ implementation is strengthened, leading to more consistent consideration of gender specific aspects in REDD+ implementation processes. Women and men have equal access to REDD+ benefits.
Gender specific processes	Develop gender tools, such as checklists, surveys and analyses and incorporate these into common procedures, e.g. (sub-) project proposal revision; Encourage separate budget lines for activities targeting gender equality and inclusiveness.	Gender tools have been developed for specific REDD+ implementation processes.	Gender checklists and similar tools are being applied in REDD+ implementation processes. Gender specific budget is included in REDD+ activities at government level (see ESMF framework for PAMs implementation for project level).	Number of times gender tools have been used. Amount of funding allocated to gender specific activities under REDD+ implementation. (Both information of potential interest to SIS)	Gender tools are being revised to adjust them as appropriate. Needs for further gender specific budgeting is assessed and action plans are developed accordingly.	The application of gender tools has been fully embedded into REDD+ implementation processes. Their value is understood and results are used in order to adjust plans for continued REDD+ implementation that is gender sensitive and inclusive.

Priority 5

Local-level capacity building as preparation for REDD+ implementation

Rationale: Especially at local level, REDD+ implementation can make a change. However, this means that the life of the people at local level may change too. There will be new rules and regulations, new livelihood opportunities and new responsibilities, each of which require knowledge and capacities to ensure their lasting positive impact on communities and the environment. The SESA has identified a number of areas where capacity building of ITPs will be required to ensure sustainability of REDD+ implementation, enhance benefits and avoid or minimize and manage risks.

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Priority reform area	Short term actions (1-2 years)	Short term monitorable outcomes	Medium-term actions (3-5 years)	Medium-term monitorable outcomes	Long-term actions (> 5 years)	Final outcomes
Capacity building	<p>Develop capacity building plans in the areas of</p> <ul style="list-style-type: none"> - Obtaining rights to land and autonomous management of land; - Sustainable resource use, less harmful methods in the logging and mining sector and agroforestry; - Starting and managing local businesses (entrepreneurship); - Policy development and legal document revision; - Monitoring and protected area management - Establishment and management of associations 	Capacity building plans exist and are publicly available, number of capacity building initiatives started	Capacity building continues and aligns with implementation of REDD+ PAMs for which the capacity was built.	ITPs engage in REDD+ PAMs in which the newly gained capacities are required.	<p>REDD+ PAMs implementation continues and capacity building is completed.</p> <p>Capacity building requirements could get revised to identify whether there are any additional needs to ensure sustainability of PAMs and avoid reversal (link with SIS).</p>	<p>Land rights of ITPs are clarified and ITPs confident in the management of their own land, including the sustainable use of resources from their land.</p> <p>ITPs have the skills and knowledge to set up small businesses and improve their livelihoods through alternative income opportunities, also after completion of (sub-) projects.</p> <p>ITPs understand the process of revision of PLRs and can make their voice heard. They are also aware of the regulations for their involvement in PLR revisions, including culturally sensitive approaches, etc.</p> <p>ITPs are aware of the opportunities to engage with protected area management and monitoring and have the skills to do so.</p> <p>ITPs are aware of the opportunity to establish associations and thus improve their possibilities for legal steps in case of infringement of their rights.</p>

Priority 6

Additional measures to enhance benefits and reduce risks from REDD+ implementation

Rationale: The SESA process has identified additional measures that can help enhance benefits and reduce risks from REDD+ implementation that do not fall under any of the above included priorities.

Exploration of opportunities to financially incentivize REDD+ benefits.

Promotion of financing opportunities for poor/marginalized people, e.g. in the form of credits or subsidies, to enable the implementation of new regulations regarding less harmful methods or agroforestry.

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Assessment of content of the Anti Corruption Bill against REDD+ specific recommendations from the Corruption Risk Assessment and adjustment of the Bill, if needed.
Documentation of traditional knowledge, uses, stories, crafts and skills, which can serve as a reference to be used where REDD+ implementing (sub-) projects establish alternative livelihood opportunities that make use of such knowledge and intellectual property rights may be at stake. (potentially relevant information for the SIS and Summary of Information to be submitted to UNFCCC)
Government-level discourse on potential emissions from conversion of natural forest to plantation forest and development of ways to avoid or, where this is not possible, minimize, manage and monitor this risk. The NIMOS EIA guidelines on agriculture (REF), which include plantations, should be consulted in this process.

5. Framework for implementing PAMs

The following sections shall be used prior to and during implementation of REDD+ PAMs by the (sub-) project applicants and responsible government entities. Their sequence is based on the following step-wise process, including actors (dark blue), process stage (mid blue) and outputs (light blue). Guiding principles on each of these steps are provided in the respective sections below.

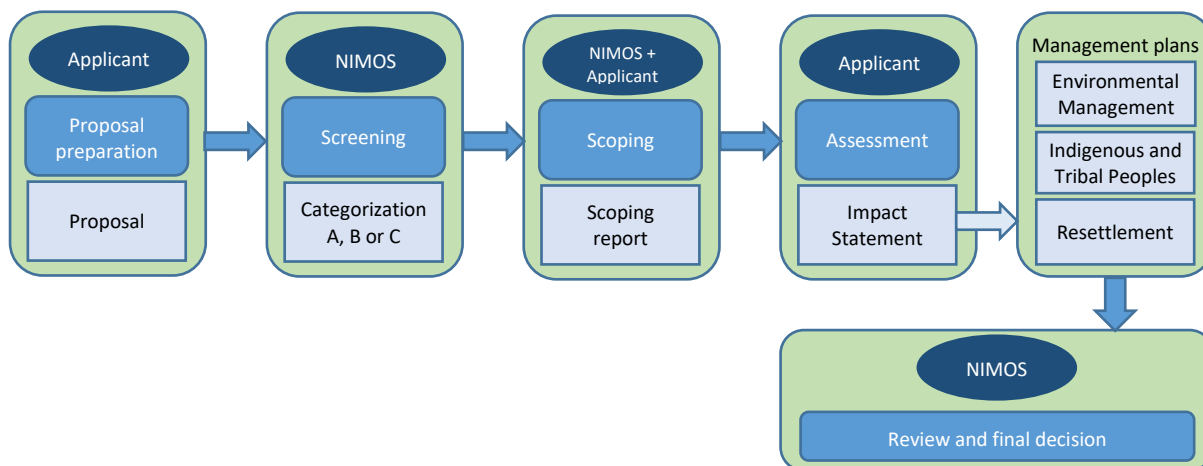


Figure 2: Step-wise process for managing social and environmental benefits and risks in REDD+ implementing (sub-) projects (dark blue = suggested responsible entity, mid-blue = step in the process, light blue = outputs)

The following arrangements for PAMs implementation have been developed in consideration of World Bank Operational Principles (OPs), especially OP 4.01 Environmental Assessment, and make use of existing in-country guidance for environmental and social assessment, produced and provided by NIMOS, namely the NIMOS Environmental Assessment Guidelines Volume I: Generic (NIMOS 2009), Volume III: Forestry (NIMOS 2005a) and Volume IV: Social Impact Assessment (NIMOS 2005b). These documents were prepared using best practice guidance provided by the International Association for Impact Assessment (IAIA) and the World Bank’s Environmental Assessment Sourcebook (World Bank 1991). They also make reference to IAIA’s fundamental principles for development (Vanclay 2003), which cover several topics that are also reflected in the REDD+ standards and safeguards relevant for Suriname.

Of greatest relevance in the context of REDD+ is the NIMOS Environmental Assessment Guideline Volume III: Forestry, which explicitly refers to “activities or developments that may directly or indirectly involve Suriname forestland, forest products or forest by-products” (NIMOS 2005a, see page 1, introduction)

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To the extent possible, the following sections will refer to the procedures described in the above guidance documents. In some places, however, amendments to the existing guidelines are suggested to:

- Align the procedures with the specific requirements of REDD+;
- Expand coverage of relevant REDD+ safeguards and standards in the procedures;
- Extend procedures to ensure full coverage of social aspects of relevance to REDD+¹⁰.

Elements that play a role in all of the three management plans (Environmental Management, Indigenous and Tribal Peoples and Resettlement), i.e. ways to promote benefits, mitigation measures, stakeholder engagement, monitoring and evaluation and dispute resolution, are addressed in separate sub-sections.

5.1. Proposal preparation

Many REDD+ PAMs are likely going to get implemented in the form of (sub-) projects. For example, the promotion of eco-tourism will likely happen on a site-by-site basis and may happen by different implementing actors, e.g. eco-tourism operators. For each of these sub-projects, implementing actors are requested to prepare a proposal. The proposals should include the following information:

1. Title of the proposal;
2. Name, address and contact point of applicants;
3. REDD+ PAM(s) the proposal refers to;
4. Short summary of the intended activities, how they contribute to implementing the respective REDD+ PAM and addressing the five REDD+ activities (reducing emissions from deforestation, reducing emissions from forest degradation, conservation of forest carbon, sustainable management of forests and enhancements of forest carbon stocks) or to creating REDD+ enabling conditions;
5. Location of the intended activities, including map showing sites in focus for implementation, location of ITPs in case there are any in or near the sites in focus, roads and waterways, and other information of interest (e.g. potential overlap with or proximity to other current or planned activities, including mining sites, timber concession areas etc.);
6. If applicable, name of community and number of people (potentially) affected (positively and/or negatively);
7. More detailed description of planned activities, their potential benefits and risks and measures to promote benefits and mitigate risks;
8. Description of how local conditions, priorities and needs are being taken into consideration and issues and concerns addressed by the planned activities, including gender-specific issues identified through surveys and analyses;
9. Description of provisions for long-term ecological, social and financial sustainability of the (sub-)project;

¹⁰ The NIMOS guidelines have a stronger focus on environmental impacts than on social impacts and the guidance on social impact assessment is considerably less detailed than the ones on environmental assessment. At the same time, the environmental assessment guidelines include social assessment criteria. The terminology used in the NIMOS documents does not always account for inclusion of social impacts. This has been taken into consideration through minor amendments in terminology or methodology. For example, the NIMOS screening categories originally refer to “Environmental Assessment Screening Categories” but are in Box 1 of the present ESMF called “Environmental and Social Assessment Screening Categories”.

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10. Stakeholder consultation before, during and subsequent to implementation and information disclosure, including gender-sensitive approaches to consultation;
11. Monitoring and evaluation, including provisions for continued monitoring after completion of the project;
12. Description of alternatives.

The chapters presenting the pre-identified risks and benefits, standards and safeguards they trigger, PLRs in place to help promote avoid or mitigate risks and other mitigations measures can serve as an orientation in the development of REDD+ implementation proposals under the above item 7, together with the sections on Ways to promote benefits and Mitigation measures and examples for mitigation measures included in Annex 2.

Local community consultation reports (see Annex B of SESA report REF) should be used as a baseline during proposal preparation under item 8 to ensure that local conditions, priorities, needs and concerns have been taken into consideration. The use of specific gender checklists adapted to Suriname, whose development is suggested in the SESA Action Matrix (section 4.3), is recommended to ensure coverage of gender-specific issues.

Under item 10, Stakeholder consultation, the topic of Free, Prior and Informed Consent (FPIC) should be dealt with, where applicable. To ensure gender sensitivity, it should be considered how women's decision-making will be brought to par with men's at all stages of the project. The separate section on stakeholder engagement should also be considered.

The separate section on monitoring and evaluation in the ESMF can serve as an orientation for item 11 of the above list and example indicators for monitoring mitigation measures are included in Annex 2 of the ESMF.

Annex 6.2 of NIMOS (2009) can assist in identifying potential alternatives, as required under item 12 above.

More detail in this initial proposal will help speed up the overall process and may reduce effort at a later stage.

5.2. Screening

Screening determines the type of environmental and social assessment a proposal is subject to, including the option that no further assessment is required.

Proposals to implement REDD+ should be screened against relevant REDD+ standards and safeguards, which would also cover screening against relevant national PLRs and international commitments arising from conventions and treaties.

The screening questions in NIMOS (2009, Annex 1) and NIMOS (2005a, Appendix 2) have a focus on environmental impacts. In order to include social aspects of REDD+ and all factors of importance for relevant standards and safeguards, an extended screening list is therefore included in Annex 1 of the ESMF. Depending on the outcome of the screening process, proposals will fall into one of three categories, originally identified by NIMOS for Environmental Assessment, but here extended to also cover social elements of relevance to REDD+ (see Box 1). The same three categories are used by the World Bank and reflected in their Operational Principles (see, e.g. OP 4.01, Annex C).

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Box 3: Environmental and Social Assessment Screening Categories (amended from NIMOS 2005a)

Category A	REDD+ interventions likely to have adverse impacts that may be extensive, irreversible, and diverse. The extent and scale of the environmental and social impacts can only be determined after thorough environmental and social assessment. Mitigation measures can only be formulated after the results of the assessment are known.
Category B	REDD+ interventions whose impact depends on the sensitivity of the location, the scale of the interventions and the predictability of its outcomes and associated risks. Projects in this category must be initially assessed against a checklist to establish whether a full standard Environmental and Social Assessment (ESA) will be required, less comprehensive terms will apply to the ESA, or only further clarifying information or development details are required but no ESA.
Category C	Projects having no impacts or the impacts of which are well known, predictable, can be effectively mitigated, or are trivial in scale.

In general, implementation of REDD+ PAMs should not include category A projects, as extensive, irreversible and diverse adverse impacts are not intended through REDD+. In line with the project screening list provided in Annex 2 of NIMOS (2009), it is more likely that REDD+ PAM implementing projects would mostly fall into category B (e.g. plantation development/reforestation and ecotourism/tourism development).

When REDD+ PAM implementing projects are placed in category B, it needs to be decided what type and detail of further assessment is required. For example, if, based on the screening, it is concluded that ITPs are present in or have collective attachment to the project area, the applicant will be required to undertake not only an environmental but also a social assessment. It also needs to be decided whether a full Environmental and Social Assessment is required or a less stringent form, e.g. only the preparation of an Environmental Management plan.

Where no further assessment is required, i.e. for category C projects and category B projects with both low scale and low sensitivity rating (see Table 4 in NIMOS (2005a)), and depending on the detail of the initial proposal, applicants may be asked to provide additional information, such as a timeline for the planned activities, and details on gender considerations in the methodology, e.g. respective institutional arrangements, inclusiveness and gender-specific budget allocation.

Provisions regarding FPIC and the applicable grievance redress mechanism (see respective sections in the ESMF) apply to all REDD+ implementing (sub-) projects.

5.3. Scoping

Scoping refers to the phase of environmental and social assessment that determines the appropriate terms of reference for the required assessment type.

Once NIMOS has decided that further environmental and/or social assessment is required, the applicant should prepare a notification of intent for public disclosure, potentially accompanied by an announcement for consultation to invite stakeholders' input at this stage.

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The applicant should then prepare Terms of Reference in line with the NIMOS scoping guidelines provided in Annex 6 of NIMOS (2009) and in Table 7 of NIMOS (2005a). This means, that where impacts are expected, the TORs should include provisions for their detailed assessment in the assessment phase.

The output of the scoping phase is a Scoping Report that contains:

1. Proposed TORs for the environmental and/or social assessment;
2. A description of project components and activities by phase, e.g.
 - Reconnaissance and mobilization;
 - Construction;
 - Operations;
 - End-product preparation, storage and transport;
 - Decommissioning of the project.
3. The outcome of stakeholder engagement activities,
4. The findings of site-visits.

The TORs for the environmental and social assessment may include:

1. a requirement for description of
 - boundaries of the physical forest land or other rural and or urban area to be assessed;
 - specific wildlife, aquatic or other habitats to be examined;
 - community and rural populations to be consulted;
2. specific project phases, technologies, practices or processes to be investigated;
3. specific specialist skills to be engaged;
4. a requirement that the competent authorities of other involved sectors be appropriately consulted;
5. specific public consultation requirements.

The TORs should also determine whether an Environmental Management Plan, an Indigenous and Tribal Peoples Plan and/or a Resettlement Plan are to be developed¹¹. The following table summarizes likely requirements for category A, B and C projects in and outside or near ITP areas, which can serve as an orientation in determining the TORs for the Environmental and Social Assessment.

Table 9: Elements for determining project requirements in line with World Bank OP 4.01 Environmental Assessment, OP 4.10 Indigenous Peoples and OP 4.12 Involuntary Resettlement

Project type	World Bank Policy requirements							
	Screening	Scoping	ESA	EMP	ITP Plan	Resettlement Plan	FPIC	Monitoring and Evaluation
Projects not in or near ITP areas								
Cat. A	Yes, also to confirm absence of ITPs in or near	Yes	Only EA	Yes	No	No	No	Yes
Cat. B		No	No	No				
Cat. C								

¹¹ For groups of projects or projects targeting several different project sites, the World Bank requests the production of Environmental Management Frameworks, Indigenous and Tribal Peoples Planning Frameworks and Resettlement Policy Frameworks.

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	project area							
Projects in or near ITP areas								
Cat. A	Yes	Yes	Yes	Yes	Yes	Yes	Yes	Yes
Cat. B			Yes, maybe less detailed	Maybe, depending on ESA results	Maybe, depending on ESA results	Maybe, depending on ESA results	Yes	Yes
Cat. C		No	No	No	No	No	Yes	Yes

Monitoring and evaluation is the one element in the above table that is required for all project categories and independently from the projects' location in or near ITP areas. While monitoring and evaluation can help ensure that individual REDD+ implementing (sub-) projects achieve their original aims, this will also be important in the context of safeguards and Suriname's Safeguard Information System (SIS).

5.4. Environmental and Social Assessment

While the World Bank Operational Policy 4.01 is called Environmental Assessment, its contents clearly go beyond assessing environmental aspects, but instead also include assessing human health and safety, social aspects (involuntary resettlement, indigenous peoples and physical cultural resources), and transboundary and global environmental aspects¹². In addition, the World Bank deals with Social Assessment under Annex A to the Operational Policy 4.10 Indigenous Peoples. Under the GCF (IFC) Performance Standards (PS), the overarching PS1 covers Assessment and Management of Environmental and Social Risks and Impacts. The Cancun Safeguards do not include reference to environmental and social assessment, as they do not include recommendations or provisions for procedural approaches to safeguards application.

The NIMOS guidelines have a focus on environmental assessment, however, they emphasize that assessments should cover both environmental and social impacts, positive as well as negative, and their significance.

For increased clarity the ESMF thus refers to this phase as Environmental and Social Assessment.

The ToRs developed in the previous step will detail the requirements and depth of the environmental and social assessment to be conducted.

According to the World Bank OP 4.01 (World Bank 2013a) the environmental assessment includes, as needed:

- A project's potential environmental risks and impacts in its area of influence;
- Examination of project alternatives;
- Identification of ways of improving project selection, siting, planning, design, and implementation by preventing, minimizing, mitigating, or compensating for adverse environmental impacts and enhancing positive impacts;
- The process of mitigating and managing adverse environmental impacts throughout project implementation.

¹² The new World Bank Safeguards Framework has combined the Environmental and Social Assessment into one.

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According to Annex A of the World Bank OP 4.10 (World Bank 2005a) the social assessment includes the following elements, as needed¹³:

- A review, on a scale appropriate to the project of the legal and institutional framework applicable to Indigenous Peoples (the chapter Suriname's REDD+ legal and institutional framework and the National REDD+ Strategy
- Legal framework for REDD+ implementation in the present document can be used as an initial orientation);
- Gathering of baseline information on the demographic, social, cultural and political characteristics of potentially affected ITPs' communities, the land and territories that they have traditionally owned or customarily used or occupied, and the natural resources on which they depend;
- Based on the previous points, the identification of key project stakeholders and the elaboration of a culturally appropriate process for consulting with the ITPs at each stage of project preparation and implementation;
- An assessment of the potential negative and positive impacts of the project with the affected ITPs' communities based on principles of FPIC;
- Based on principles of FPIC and together with affected ITPs' communities, the identification and evaluation of measures necessary to avoid adverse effects or if such measures are not feasible, the identification of measures to minimize, mitigate, or compensate for such effects, and to ensure that the Indigenous Peoples receive culturally appropriate benefits under the project.

Additional content should be selected case by case as needed from Table 1 in NIMOS (2005) to complement the Social Assessment.

Each of the elements of Social Assessment that are done in consultation with ITPs at local level should consider cultural appropriateness of the consultation approach and be conducted in a gender sensitive manner (see section on Stakeholder engagement).

Terminology for the output of the assessment differs between NIMOS and the World Bank. NIMOS calls the result of the assessment an Environmental Impact Statement (EIS), while the World Bank, for category A projects, asks for an assessment report that includes, as appropriate, certain management plans (Environmental Management Plan (EMP), Indigenous and Tribal Peoples Plan (ITP Plan), Resettlement Plan). For many category B projects, only the respective management plans are required, without the need to embed them into a more detailed assessment report (see also above table). In order to minimize terminological change in country, it is suggested to continue to call the result of such assessments Environmental Impact Statements, while adopting the inclusion of management plans as described above into these statements and recognizing that social aspects should be covered as well.

5.5. Environmental Management Plan

NIMOS guidelines use the World Bank's definition of the term Environmental Management Plan: A project's environmental management plan (EMP) consists of a "set of mitigation, monitoring, and

¹³ There is limited overlap between the requirements for Social Assessment according to the World Bank and NIMOS (see differences between the above list and Table 1 in NIMOS 2005). These differences in requirements should be reviewed in order to agree on a joint approach.

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institutional measures to be taken during implementation and operation to eliminate adverse environmental and social impacts, offset them, or reduce them to acceptable levels. The plan also includes the actions needed to implement these measures". (World Bank 2013b)

The preparation of management plans according to the World Bank OPs requires to (a) identify the set of responses to potentially adverse impacts (mitigation); (b) determine requirements for ensuring that those responses are made effectively and in a timely manner (monitoring); and (c) describe the means for meeting those requirements (capacity building and training, implementation schedule and cost estimates). In order to strengthen alignment with the Cancun Safeguards, point (a) above should be extended to also identify ways to promote benefits.

Apart from more detailed information on the above points, a Project Impact Management Summary Table should be included in the Environmental Management Plan (see below).

Table 10: Project Impact Management Summary Table for inclusion into Environmental Management Plans (amended from NIMOS 2005a to also include the promotion of potential benefits)

Description of activities	Potential impacts (benefits and risks)	Ways to promote benefits and mitigate risks	Monitoring plan	Recommendations
<i>List of planned activities</i>	<i>Per activity on list: + benefit 1 + benefit 2 - risk 1 - risk 2 Covers immediate as well as longer term, cumulative and interactions impacts</i>	<i>Per benefit and risk, includes potential alternate approaches and proposals for unplanned incidents</i>	<i>Covers different types of monitoring (e.g. baseline, implementation, impact), includes delegation of responsibilities, financing arrangement, and schedules</i>	<i>Includes conditions of approval stipulated by all relevant competent authorities and agreed terms proposed by other stakeholders</i>

5.6. Indigenous and Tribal Peoples Plan

ITPs can easily be exposed to risks and impacts from REDD+ implementation, and the SESA process has revealed a range of potential risks from the PAMs included in Suriname's National Strategy. At the same time, ITPs are in a unique position to contribute to sustainable management of Suriname's forests and their ecosystem services, due to their experience and respective traditional knowledge. The comprehensive knowledge of and important role played by women in using and managing forest resources deserves particular attention in this context.

The World Bank Operational Policies deal with potential social impacts (negative and positive) under OP 4.01 Environmental Assessment (World Bank 2013a), OP 4.10 Indigenous Peoples (World Bank 2013c) and OP 4.12 Involuntary Resettlement (World Bank 2013d).

According to World Bank Operational Policy 4.10, where the social assessment confirms potential impacts on ITPs, applicants are requested to develop an Indigenous and Tribal Peoples Plan. This should be based on the conducted social assessment and include the following elements as needed (World Bank 2005b):

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1. A summary of the information compiled through the social assessment with regards to (a) Suriname's legal and institutional framework applicable to Indigenous and Tribal Peoples; and (b) baseline information on the demographic, social, cultural and political characteristics of the affected ITP communities, the land and territories that they have traditionally inhabited, and the natural resources on which they depend;
2. A summary of the results of the social assessment;
3. A summary of the results of the process to obtain Free, Prior and Informed Consent (FPIC) of the ITP community/ies during project preparation;
4. A framework for ensuring FPIC during project implementation;
5. An action plan of measures to ensure that ITPs receive social and economic benefits that are culturally appropriate, including, if necessary, measures to enhance the capacity of the project implementing agencies;
6. In case potential adverse impacts on ITPs are identified, an appropriate action plan of measures to avoid, minimize, mitigate or compensate for such effects;
7. Cost estimates and financing plan for the ITP Plan;
8. The applicable grievance redress mechanism;
9. Mechanisms and benchmarks appropriate for monitoring, evaluation and reporting on the implementation of the ITP Plan.

5.7. Resettlement Plan

As emphasized earlier, REDD+ implementation does not intend to lead to forced eviction or physical displacement of ITPs. However, The World Bank Operating Principle 4.12 Involuntary Resettlement (World Bank 2013d) covers "direct economic and social impacts [...] caused by

- (a) The involuntary taking of land resulting in
 - Relocation or loss of shelter;
 - Loss of assets or access to assets;
 - Loss of income sources or means of livelihood, whether or not the affected persons must move to another location; or
- (b) The involuntary restriction of access to legally designated parks and protected areas resulting in adverse impacts on the livelihoods of the displaced persons."

Based on this definition, some of the PAMs included in the National REDD+ Strategy of Suriname may entail risks that would trigger the Operational Policy, e.g. by causing reduced access to resources, for example in the case of protected area establishment or extension¹⁴. Therefore, should any of the previous steps in the (sub-) project application process reveal that impacts caused by the above (a) and (b) can be expected, then the applicant will have to produce a Resettlement Plan.

Preparation of a Resettlement Plan would usually include to:

1. Assess all viable alternative options to avoid or minimize involuntary resettlement;
2. Identify, assess and address potential economic and social impacts;
3. Ensure participation of affected people in the planning, implementation and monitoring of the resettlement program;
4. Inform affected people of their rights, consult them on options and provide them with technically and economically feasible resettlement alternatives and needed assistance;

¹⁴ The likelihood for this risk during REDD+ implementation will also depend on implementation of the SESA Action Matrix, which already includes provisions to reduce the risk further.

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5. Provide resettlement assistance in lieu of compensation for land to help improve or at least restore their livelihoods for people without formal legal rights to land or claims to such land;
6. Disclose draft resettlement plans;
7. Design, document and disclose a participatory process;
8. Implement resettlement plans before project completion and provide resettlement entitlements before displacement or restriction of access;
9. Assess whether objectives of the resettlement plan have been achieved (monitoring and evaluation).

The Resettlement Plan should also include provisions for

- Prompt and effective compensation at full replacement cost for losses of assets attributable directly to the project;
- Assistance (such as moving allowances) during relocation;

Alignment with Suriname's Constitution and the Expropriation Act, specifically its provisions regarding compensation, will be of importance in preparation of the Resettlement Plan. Gender equality should be considered in each of the above steps and particularly in the context of participation of affected people, eligibility for compensation and resettlement assistance.

5.8. Ways to promote benefits

REDD+ PAMs have the main aim to achieve the overall objective of REDD+, namely emissions reductions and enhanced removals in the forest sector. However, several PAMs have the potential to benefit people and/or the environment or have even been developed with the explicit intention to address a social or environmental issue that needs resolving in order for REDD+ to succeed (creation of enabling conditions).

The UNFCCC Cancun safeguard (e) directly refers to the promotion of benefits: “[REDD+] 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 incentivise the protection and conservation of natural forests and their ecosystem services, **and to enhance other social and environmental benefits.**”

The World Bank Operational Policies similarly encourage projects to ensure that ITPs “receive culturally appropriate benefits under the project” (World Bank 2005a, paragraph e)

Actively enhancing non-carbon benefits can also help secure future funding for REDD+ implementation. For example, the FCPF's Carbon Fund uses seven selection criteria when deciding which national emissions reductions programs to finance, one of which refers to the extent to which the program will generate substantial non-carbon benefits.

Using REDD+ to enhance social and environmental benefits is also in line with Suriname's Vision Statement included in the country's Biodiversity Strategy, which refers to “enhancing the diversity of the country's cultural and natural resources” (NIMOS 2006).

Applicants for REDD+ PAM implementing (sub-) projects are therefore asked to include information on the benefits that can be gained from project implementation as well as possible measures to enhance such benefits in the initial proposal. The important role women in Suriname could play in achieving non-carbon benefits should be considered at this point, given their long-standing roles in traditional forest use. Where further assessment is required, potential social and environmental benefits should be considered in the methodology and referred to in the outputs. Monitoring and

evaluation schemes should also include indicators to evaluate the success of suggested ways to promote benefits.

5.9. Mitigation measures

Mitigation measures should be suggested for each potential risk that gets identified, independently from the (sub-) project category resulting from screening. In doing so, the following mitigation hierarchy should be applied:

1. Avoid impacts;
2. Minimize impacts;
3. Repair, reinstate or restore;
4. Offset unavoidable residual impacts.

Where only minor environmental impacts are expected, these can often be mitigated through measures such as sensitive site selection, good construction practices and sound management practices in the implementation phase. Examples for mitigation measures for potential REDD+ activities are included in Annex 2 of the ESMF.

Certain impacts can be more difficult to mitigate, such as damage to physical cultural property. Since the location of physical cultural properties is often unknown beyond the respective local community, identification of physical cultural property sites should be done in consultation with the local people as part of the environmental and social assessment. This process should also involve archaeological staff from the Department of Culture. Once identified, the sites can be avoided and buffer zones respected around them in order to avoid adverse impacts.

Where REDD+ implementing (sub-) projects aim to use traditional knowledge in promoting alternative livelihoods, proposals and implementation need to address the issues of protecting intellectual property rights and fair sharing of benefits derived from the use of traditional knowledge. Where REDD+ implementing (sub-) projects aim to create income opportunities, the issues of gender and income equality need to be addressed in the proposal and during implementation as a first step to mitigating potential impacts.

Each (sub-) project should contain information on how the long-term financial, social and ecological sustainability of the (sub-) project will be ensured to address the potential risk of reversal (also called non-permanence).

5.10. Monitoring and evaluation

In line with World Bank Operating Principles, monitoring is considered a standard element of all REDD+ implementing (sub-) projects, independently of their allocated screening category.

While the Cancun Safeguards make no explicit reference to monitoring, monitoring provisions are of importance under the UNFCCC in the context of safeguards requirements included in the UNFCCC Warsaw REDD+ Framework (see also section on Alignment and synergies with the upcoming Safeguards Information System).

In the Performance Standards of the Green Climate Fund, monitoring and evaluation is covered under the overarching PS1 on Assessment and Management of Environmental and Social Risks and Impacts (World Resources Institute, German Cooperation, and GIZ 2015).

For REDD+ implementation (sub-) project proposals, this means:

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- Category C (sub-) projects should include provisions for monitoring and evaluation in the initial proposal, or where these are missing, need to prepare a monitoring plan as an add on before approval;
- Category B (sub-) projects should include provisions for monitoring and evaluation in their management plans; and
- Category A (sub-) projects (if any) should include provisions for monitoring and evaluation in their management plans.

NIMOS (2005a) recommends integrating monitoring into proposal configuration and infrastructure and processes in the design phase of each (sub-) project, instead of creating a monitoring plan as an add-on at a later stage, e.g. for economic reasons.

Monitoring can refer to the repeated measurement of indicators for a number of different purposes, including:

- Detection of changes in environmental and social baseline conditions;
- Compliance with timely implementation of activities/action plans;
- Tracking and reporting of project outputs, outcomes and impacts.

Monitoring needs will have to be identified on a case by case basis and for category A and B projects should be specified in the TORs for the assessment and resulting EIS.

According to NIMOS (2009), the monitoring section of the proposal or management plans should provide:

- Specific description, with technical details, of the monitoring measures, including the parameters to be measured, methods to be used, sampling locations, frequency of measurements, detection limits (where appropriate), and definition of thresholds that will signal the need for corrective actions;
- Monitoring, data collection and management, and reporting procedures to (i) ensure early detection of conditions that need particular mitigation measures, and (ii) furnish information on the progress and results of mitigation; and
- Adequate and efficient record-keeping systems and database management for the monitoring data.

A standard structure to summarize the plan for monitoring and evaluation is recommendable, for example as suggested below. Example indicators for monitoring of REDD+ risk mitigation measures are included in Annex 2 of the ESMF.

Table 11: Example structure for summary monitoring plan (amended from Richards and Panfil (2011))

Phase	Indicator/ parameter	Where (location)	How (method)	When (frequency)	Why (reason)	Cost (if not in project budget)	Who (responsibili- ty)
(Sub-) Project preparation							
(Sub-) Project implementation							

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Follow up							
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As some outcomes and impacts can be difficult to foresee in advance, a certain degree of flexibility should be maintained to adjust or extend the monitoring plan. For example, grievances received during implementation may point towards unexpected impacts that require revision of the project activities and monitoring. Provisions for follow-up monitoring, i.e. monitoring after completion of the (sub-)project, will be important to allow detection of issues that may need addressing to ensure lasting benefits to people and the environment and reduce the risk of reversal.

For longer-term (sub-) projects, external monitoring to evaluate overall performance may be appropriate, e.g. on a yearly basis.

5.11. Stakeholder engagement

Stakeholder engagement in REDD+ readiness and implementation is indispensable for REDD+ to succeed. The FCPF and UN-REDD guidelines on stakeholder engagement are therefore considered as FCPF requirements (FCPF and UN-REDD 2012). Box 4 summarizes their underlying principles.

Box 4: Principles underlying the FCPF/UN-REDD Guidelines on Stakeholder Engagement in REDD+ (FCPF and UN-REDD 2012)

- a. Consultations should be premised on transparency and facilitate access to information;
- b. The consultation process should include a broad range of relevant stakeholders at the national and local levels;
- c. Consultations should start prior to the design phase, and be applied at every stage of the REDD+ process;
- d. Consultations should facilitate dialogue and exchange of information, and consensus building reflecting broad community support should emerge from consultation;
- e. Mechanisms for grievance, conflict resolution and redress must be established and accessible during the consultation process and throughout the readiness process and the implementation of REDD+ policies and measures;
- f. The diversity of stakeholders needs to be recognized and the voices of vulnerable groups must be heard;
- g. Special emphasis should be given to the issues of land tenure, resource use rights, customary rights, and property rights;
- h. There should be records of consultations and a report on the outcome of the consultations that is publicly disclosed in a culturally appropriate form, including language.

Because of its importance, stakeholder engagement as a topic is covered by all of the standards and safeguards relevant to the Republic of Suriname in the context of REDD+. The NIMOS generic guidance on Environmental Assessment equally emphasizes the importance of the topic and prescribes extensive stakeholder review and participation in different stages of the assessment:

- Stakeholders participate in the scoping phase and provide recommendations;
- Stakeholders participate in reviewing the Environmental Impact Statement (including the Management Plans) and provide recommendations.

Moreover, stakeholder engagement should be part of any more in-depth environmental and social assessment and thus included in the TORs resulting from the scoping exercise.

Environmental Impact Statements should include a description of stakeholder engagement activities conducted and present the results obtained. The same results should be reflected in the respective

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management plans (Environmental Management, Indigenous and Tribal Peoples, Resettlement) and provisions for continued engagement during implementation included.

Where applicable, stakeholder engagement activities in the assessment phase should include obtaining FPIC in line with agreed procedures.

It should also be considered to what extent stakeholders can engage in the actual implementation and monitoring phase of the respective (sub-) projects.

Any and all stakeholder engagement activities in the course of (sub-) project screening, scoping, assessment, review and implementation should follow the above mentioned FCPF and UN-REDD guidelines on stakeholder engagement in REDD+ readiness (FCPF and UN-REDD 2012) and consider the UN-REDD Methodological Brief on Gender (UN-REDD Programme 2017b). In addition, Suriname's Stakeholder Engagement Strategy for REDD+ Readiness (Smith 2016) and the included Guidelines for Tribal Engagement, based on results of the WISE REDD+ project (VIDS and VSG 2016), should be considered. These are also in line with important considerations on stakeholder engagement identified through the SESA process, such as the use of traditional procedures, local language (to the extent possible), culturally appropriate choice of consultation methods, clear communication and provision of sufficient time to fully understand proposals that are put forward for discussion.

Engagement should be monitored and evaluated and approaches adjusted as necessary in order to achieve overall (sub-) project objectives.

5.12. Dispute resolution

A Grievance Redress Mechanism (GRM) for REDD+ is planned and should apply to all REDD+ (sub-) projects. Until this is in place, there is an Interim GRM through the project board. Access to the interim as well as final mechanism and the mechanisms' procedures should be communicated and clear to all stakeholders. It will also be important to ensure that all groups of society have equal access to the mechanism, including women, and other potentially marginalized groups.

The NIMOS guidelines include provisions for possible public appeals against decisions on screening and approval of environmental and social assessment, which should be taken into consideration here as well (see annex 5 in NIMOS 2009).

5.13. Review and final decision

This refers to the stage where a final decision regarding (sub-) project approval or rejection is taken. This is likely going to be the main responsibility of NIMOS, however, depending on the project type, other government agencies (the permitting agencies) with expertise in the specific area of interest may be involved.

Category C projects can get approved based on their initial proposal, if complete, or after revision and additional provision of missing information. Category B and A projects need to complete the additional steps decided during the scoping phase and submission of the final Environmental Impact Statement (including respective management plans) or the separate management plans relevant for the respective (sub-) projects.

According to NIMOS (2009) the final outputs of the assessment should be made publicly available to invite feedback from a broad range of stakeholders. Together with this feedback, a decision can then

be taken by NIMOS to either refuse the (sub-) project or give conditional approval with an advice to the permitting agency to approve the (sub-) project.

6. Institutional arrangements and capacity building for ESMF implementation

The use of the ESMF in practice requires a number of skills and will also require a certain amount of time. Tasks will need to be allocated to different entities and new roles may have to be created.

ESMF implementation can be considered as consisting of two parts: (a) implementation of the Action Matrix (Table 8), and (b) implementation of the Framework for implementing PAMs (Section 5).

It is suggested that the Action Matrix undergoes a more detailed review and revision phase before starting a discussion with national level stakeholders regarding institutional arrangement for its implementation and capacity building needs at national level.

The following table presents the institutions likely involved in implementing the Framework for implementing REDD+ PAMs and provides suggestions for their ESMF related responsibilities for each phase during the application process.

Table 12: Suggested responsibilities of different institutions in each phase during REDD+ (sub-) project application.

Phase	Entity	Task
Proposal preparation	Executive Coordinating Office	<ul style="list-style-type: none"> - Receive project proposals from PAMs implementing actors and coordinate with NIMOS (ESA Office) to assess and advice on E&S safeguards - Inform the applicant about the REDD+ registry, providing information on the context of the proposed project
	NIMOS (ESA Office)	<ul style="list-style-type: none"> - Receive project proposals (via Executive Coordinating Office) to advice on safeguards - Inform and guide the implementing actors in the required information for the project proposal and ESMF procedures
	Implementing actors	<ul style="list-style-type: none"> - Assess potential safeguard issues in an early stage - Describe these potential issues in a (sub-) project proposal - In support of that, conduct stakeholder consultations
	Other entities: - Min-ROGB (SBB, GLIS), Min-NH (GMD), Min-LVV, Min-OW, Min-RO (DC), Min-HI&T - MGC, RAC	<ul style="list-style-type: none"> - Upon consultation by implementing actors provide information and data on context, including on local level, e.g. land use and carbon emissions (linked with NFMS) - Upon consultation by implementing actors, provide information on potential risks and benefits
Screening	NIMOS (ESA Office)	<ul style="list-style-type: none"> - If needed, request additional information - If possible, visit to location for better understanding of context

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		<ul style="list-style-type: none"> - Determine type of environmental and social assessment the project proposals are subject to - Inform Executive Coordinating Office and the implementing actors of the decision and advise them in the follow-up process
	Implementing actors	<ul style="list-style-type: none"> - If needed and requested by NIMOS (ESA Office), provide additional information (e.g. timeline for planned activities)
	Other entities: - Min-ROGB (SBB, GLIS), Min-NH (GMD), Min-LVV, Min-OW, Min-RO (DC), Min-HI&T - MGC, RAC	<ul style="list-style-type: none"> - If needed and requested by NIMOS (ESA Office), verify information from project proposal
Scoping	NIMOS (ESA Office)	<ul style="list-style-type: none"> - Inform and guide the implementing actors in scoping guidelines
	Implementing actors	<ul style="list-style-type: none"> - Prepare a ToR for the social and environmental assessment in line with the scoping guidelines - Prepare a Scoping Report
	Other entities: - Min-ROGB (SBB, GLIS), Min-NH (GMD), Min-LVV, Min-OW, Min-RO (DC), Min-HI&T - MGC, RAC	<ul style="list-style-type: none"> - Give relevant (topic and location specific) advice to NIMOS (ESA Office) in informing and guiding actors in scoping guidelines (e.g. on resettlement)
Assessment	NIMOS (ESA Office)	<ul style="list-style-type: none"> - Approves the ToR and the party to execute the ToR - Visit to location for better understanding of context when relevant
	Implementing actors	<ul style="list-style-type: none"> - Execute the ToR as defined in previous phase (either by hiring a third party or having a quality control done by a third party). This includes stakeholder engagement activities - Prepare and submit to NIMOS (ESA Office) the Environmental Impact Statement, including the Environmental Management Plan, Indigenous and Tribal Peoples Plan and Resettlement Plan, if applicable
	Other entities: - Min-ROGB (SBB, GLIS), Min-NH (GMD), Min-LVV, Min-OW, Min-RO (DC), Min-HI&T - MGC, RAC	<ul style="list-style-type: none"> - Participate in engagement activities
Review and final decision	Executive Coordinating Office	<ul style="list-style-type: none"> - Update the REDD+ Registry with approved projects related to REDD+ activities.

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		<ul style="list-style-type: none"> - Coordinate public disclosure, including disclosure to potentially affected ITPs where applicable, and manage feedback.
	NIMOS (ESA Office)	<ul style="list-style-type: none"> - Sign off of EIS (when applicable) and Environmental Management Plan to be published by implementing actors. - Review the EIS (when applicable) and Environmental Management Plan. - Advice to the Executive Coordinating Office on the submitted EIS (where applicable) and Environmental Management Plan
	Implementing actors	<ul style="list-style-type: none"> - Gather the necessary feedback: Publish EIS (when applicable), Environmental Management Plan, ITP Plan and/or Resettlement Plan; Hold public meetings for feedback, if applicable - Facilitate a multidisciplinary review team if applicable
	Other entities: <ul style="list-style-type: none"> - Min-ROGB (SBB, GLIS), Min-NH (GMD), Min-LVV, Min-OW, Min-RO (DC), Min-HI&T - MGC, RAC - Broad public (all interested parties) 	<ul style="list-style-type: none"> - Act as multidisciplinary team to support NIMOS (ESA Office) in review process, if applicable and upon request - Provide specific feedback to implementing actors
Implementation and monitoring	NIMOS (ESA Office)	<ul style="list-style-type: none"> - Check periodically if Environmental Management Plan, ITP Plan and/or Resettlement Plan are implemented as stated, or for applicable category B and all category C projects whether implementation follows action plan included in the proposal - Provide Executive Coordinating Office with periodic updates
	Implementing actors	<ul style="list-style-type: none"> - Implement Environmental Management Plan, ITP Plan and/or Resettlement Plan, or for category C projects action plan included in project proposal, and report on implementation
	Other entities: <ul style="list-style-type: none"> - Min-ROGB (SBB, GLIS), Min-NH (GMD), Min-LVV, Min-OW, Min-RO (DC), Min-HI&T - MGC, RAC - Broad public (all interested parties) 	<ul style="list-style-type: none"> - Provide feedback on the implementation of Environmental Management Plan, ITP Plan and/or Resettlement Plan, or for category C projects action plan included in project proposal

In specific cases, additional expertise may be required. For example, where physical cultural heritage is within or near a site for (sub-) project implementation, or discovered in the process of

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Environmental and Social Impact Assessment or project realization, archaeological staff of the Department of Culture should get involved.

Actors involved in the implementation of the ESMF Framework for implementing PAMs will likely need capacity building on a range of issues, including, for example:

- Procedures for guiding REDD+ implementing (sub-) project proposals through the application process;
- REDD+ safeguards and standards relevant for Suriname and how they can be considered in further REDD+ readiness and REDD+ implementation (including ITP rights, FPIC and gender, among others);
- Management and oversight of REDD+ implementing (sub-) projects, including implementation monitoring and potential reporting requirements;
- Coordination processes between ministries required for ESMF implementation;
- Requirements for verification of proposal information following request by NIMOS to other ministries;
- Linkages between REDD+ elements, including ESMF, NFMS and SIS;
- Public disclosure and feedback requirements, including management of feedback and government response options to feedback.

7. Continued consultation and information disclosure

Stakeholder consultation is included in different places in the National REDD+ Strategy and the Framework for PAM's implementation includes provisions for stakeholder consultations as well. The Action Matrix contains some specific recommendations for communication of certain topics (e.g. regarding government position on the relationship between community forests/HKVs and land tenure, etc.). The Framework for PAMs implementation indicates at what stage during the project application and assessment process information should be disclosed and stakeholders invited to provide feedback and input.

Overall, for each and any of these interactions with stakeholders, and specifically with ITPs, it is recommended to refer to the following documents and guidance in the development of consultation methodologies and to consider culturally appropriate approaches to consultation:

- FCPF and UN-REDD Guidelines on Stakeholder Engagement in REDD+ Readiness (FCPF and UN-REDD 2012);
- The UN-REDD Guidelines on Free, Prior and Informed Consent (UN-REDD Programme 2013);
- The UN-REDD Methodological Brief on Gender (UN-REDD Programme 2017);
- The Stakeholder Engagement Strategy for REDD+ Readiness in Suriname (Smith 2016); and
- The Community Engagement Strategy for the Government (VIDS and VSG 2016).

In addition to case by case consultation as part of (sub-) project implementation, as described in the Framework for PAMs' implementation, it will be important that the government agrees on ways to keep stakeholders in the interior informed of the general progress and further plans with REDD+ implementation in Suriname. This should include establishing procedures for ITPs to continue to provide input into further REDD+ readiness activities and REDD+ implementation. Such continued consultation could be part of the stakeholder engagement strategy that is to be developed under measure 2.A.3 of the National REDD+ Strategy.

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Information disclosure forms one specific part of stakeholder engagement. For the National REDD+ Strategy implementation, it should be determined in advance at what stage and how information on further plans, processes or achievements should be publicly disclosed.

In line with the FCPF Guidelines and Generic Terms of Reference for SESA and ESMF ToRs (FCPF 2012), the present ESMF in its final draft form should also be disclosed publicly. This could happen at the second national workshop, which is currently planned to take place around Jan/Feb 2018 in Paramaribo.

8. General remarks regarding budget requirements for ESMF implementation

ESMF implementation requires extensive training, therefore capacity building will be carried out to prepare relevant institutions, beneficiaries (community, landholders, NGOs) to plan, implement, monitor and evaluate the different aspects involved in sound environmental and social management as elaborated in this ESMF and the National REDD+ Strategy. The details of the capacity-building program and the institutions to be supported at national and/or local level, still should be developed once specifics of the subproject and beneficiaries are known. Each ESMF partner/actor will be required to undertake an Environmental and Social action classified according to their potential impacts and appropriate mitigation/rehabilitation measures required, according to the Surinam's Environmental Law.

In general, the costs associated with implementing the ESMF will be covered under the standard operating/administrative costs of NIMOS, SBB. Other potential financial resources for ESMF implementation are International grants or the creation by the government of an earmarking of forest fee revenues or tax to finance ESMF implementation. In the short run, and given the current budgetary restraints, it is expected that grants or current operating costs will need to cover the costs associated with ESMF implementation.

9. Alignment and synergies with the upcoming Safeguards Information System

Conducting a Strategic Environmental and Social Assessment (SESA) and producing an Environmental and Social Management Framework in line with the World Bank Operational Policies is the approach of the World Bank to minimize and manage potential risks of activities funded by the Forest Carbon Partnership Facility (FCPF). Under the UN-REDD Programme, countries are encouraged to develop their own approach to applying the UNFCCC Cancun Safeguards, which includes developing a Safeguards Information System (SIS) that allows observing the extent to which safeguards are promoted and supported in line with UNFCCC reporting requirements.

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The below figure outlines the generic framework for country approaches to safeguards under the UNFCCC.

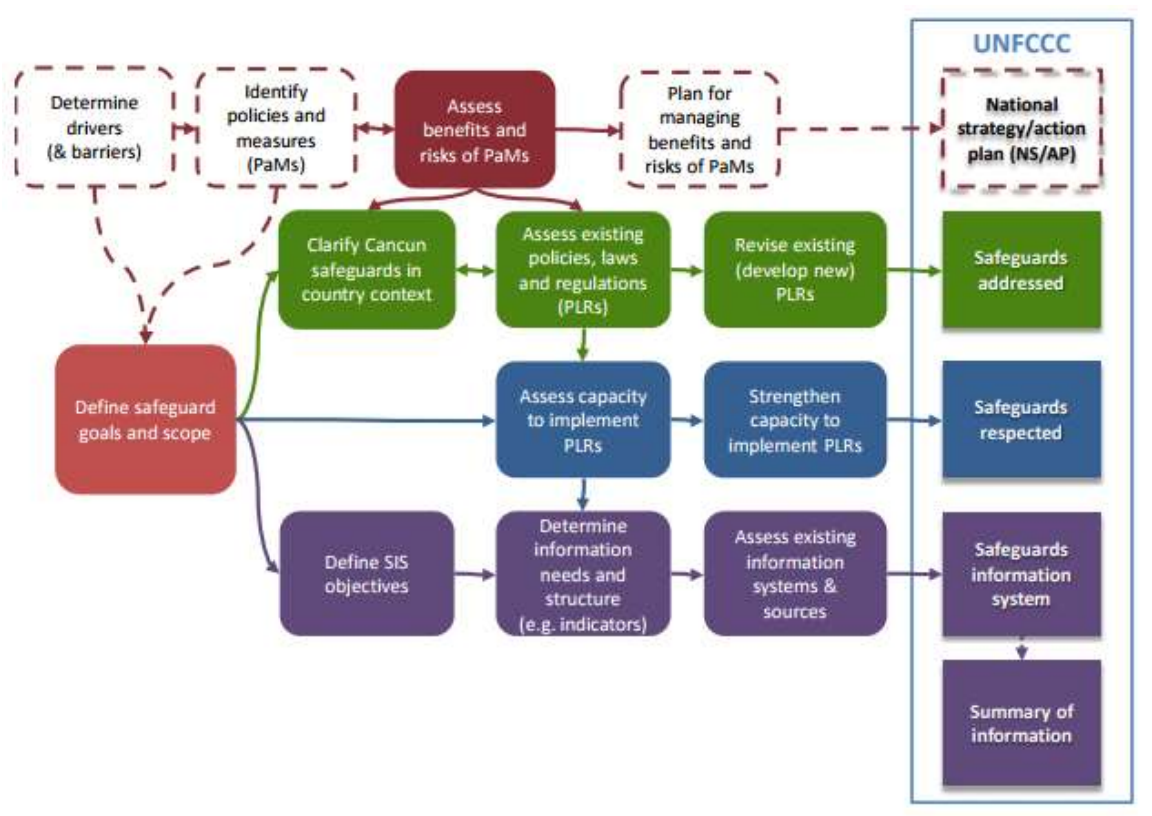


Figure 3: Generic framework for country approaches to safeguards, showing links with national strategy/action plan process (Source: UN-REDD Programme 2015)

As the figure shows, conducting a SESA and producing an ESMF under the FCPF involves some of the steps that are also part of developing a country approach to Cancun Safeguards and developing an SIS under UNFCCC. For example, both processes include assessing benefits and risks of PAMs and existing PLRs and the development of a plan for managing benefits and risks of PAMs. This overlap is recognized in good practice guidance and reviews of initial experience with country approaches to safeguards, by concluding that:

- Synergies between the SESA and ESMF and the Country Approach to Safeguards and SIS development should be identified at an early stage to avoid overlaps and parallel processes (Rey et al. 2016);
- The FCPF SESA process could make important contributions to assessing relevant governance arrangements as part of a country approach to safeguards (UN-REDD Programme 2015);
- The outputs of the SESA process should be considered when undertaking the articulation of the country approach to safeguards, to ensure it is able to also outline how the identified risks and benefits will be dealt with (Korwin et al. 2016).

In several countries, because of the obvious overlaps between both processes and possible synergies, the SESA process was merged with the country approach to safeguards and SIS development, such as in Ghana, the Democratic Republic of the Congo and Mexico (see UN-REDD Programme 2015 and figure 4 in Rey et al. 2016).

Suriname is currently in the process of planning for the development of a Safeguards Information System, which means that merging the development processes of the ESMF and the SIS from the

start is not feasible. However, the process to develop the SIS and institutionalize the ESMF can get merged. SESA findings and the ESMF can provide very useful input and can help avoid duplication of efforts in the design of the methodology for the development of Suriname's Safeguards Information System. For example, the ESMF includes provisions for REDD+ implementing (sub-) projects to identify potential risks and benefits at an early stage using the guiding questions included in the UN-REDD Programme's Benefits and Risks Tool (BeRT, UN-REDD Programme 2017a). The ESMF further includes provisions for monitoring of identified potential benefits and risks, which could generate valuable input into the Safeguards Information System.

10. Concluding remarks

There is a risk that when the present ESMF gets applied to REDD+ but not to other development activities in country, a REDD+ project proposal may get refused while some non-REDD+ proposal with potentially more severe impacts get approved. The National REDD+ Strategy includes approving the Environmental Law with Environmental Impact Assessment (measure 2.A.2). By extending the screening list of the EIA guidelines to ensure that all social and environmental aspects of relevance for applicable safeguards are covered, as suggested within the ESMF for REDD+ implementing (sub-) projects, it could be ensured that all projects, whether part of REDD+ or not, are treated in the same way. This could ensure that no non-REDD+ projects with potential adverse impacts are approved in areas where REDD+ (sub-) projects were refused.

The SESA report (REF) discusses some aspects regarding potential REDD+ benefits and risks under different scenarios. For example, this includes a potential future risk for displacement of primary forest with plantation forest for biofuel production. This risk was not identified in the stakeholder engagement process as part of Suriname's SESA because it is not currently applicable. However, this may change in the future. It is therefore considered important that the topic of potential risks and benefits of REDD+ remains on the agenda of REDD+ implementation. Future development impacts, on-site, off-site, immediate, longer term or accumulated, and their relationship with REDD+ implementation should be observed. It may be useful to revise the ESMF after a certain period of time of its application to be able to adjust it to changing demands and in line with first experiences with REDD+ implementation.

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Annex 1: Additional screening questions to cover relevant REDD+ safeguards aspects

Regarding additional screening questions, there are a number of questions that need to be discussed with stakeholders at government level before the additional screening questions can be finalized.

These relate to:

- The explicit inclusion of reference to “human rights” in screening questions: UN Development screening questions explicitly refer to human rights, but World Bank Operational Principles and Cancun safeguards do not use the term;
- Should the topic of community health, safety and working conditions be covered? It is covered in UNDP screening questions and partly covered in NIMOS (2009) but not in Cancun Safeguards and not among the World Bank OPs considered relevant for REDD+.
- The same applies to the topic of pollution, generation of waste, and hazardous material.
- Inclusion of questions regarding consistency of (sub-) projects with objectives of national PLRs and international conventions. For REDD+ implementation, including these questions should not be necessary, since all the PAMs included in the National Strategy have been assessed regarding their consistency. However, if the screening questions of the EIA were amended to include all relevant REDD+ safeguards aspects and the EIA became mandatory for all projects, i.e. also for projects that are not part of REDD+ implementation, their inclusion might be useful.

For the questions included in Table 13 presented below applies that:

- They are either sourced from the guiding questions for the identification of REDD+ benefits and risks in UN-REDD Programme’s Benefits and Risks Tool (BeRT UN-REDD Programme 2017) or from UNDP’s Social and Environmental Screening Procedure (UNDP 2016);
- They have been worded to be applicable on a project by project basis (instead of for the REDD+ mechanism as a whole, as are the questions in the BeRT);
- They are complementary to or more comprehensive than the questions currently included in Annex 1 of NIMOS’ Environmental Assessment Guidelines (NIMOS 2009). Questions that are already covered in Annex 1 of NIMOS (2009) are not included. This includes, for example, questions from UNDP (2016) that refer to the potential for (sub-) projects to pose risks to endangered species (Principle 3.1.4) or of introducing invasive alien species (Principle 3.1.5).
- They do not address the topics in question as listed in the above bullet points;
- They may not always all be applicable. For example, stakeholder consultation will not be needed for implementation of a (sub-) project that is not in or near areas inhabited by ITPs. This is addressed by including a response option called “not applicable”.
- They help identify potential risks as well as benefits.

Ideally, this list would be revised as part of the development of the SIS. The process of SIS development usually includes a discussion of the meaning and relevance of different safeguards in the national and local context and would allow to further narrow down the list of screening questions or adjust the wording to be more suitable.

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Table 13: Additional screening questions for inclusion into NIMOS (2009) Annex 1 - to be discussed with the Government of Suriname (Sources of questions are UN-REDD Programme 2017 and UNDP 2016)

Screening questions	Yes/No/ I don't know/ Not applicable	If yes, how?	Cancun Safeguard	UNDP Principle
Could the (sub-) project:			a	
Make a specific contribution to achieving the objectives of the national forest programme?			a	
Make a specific contribution to achieving policy objectives on climate change adaptation or objectives for additional climate change mitigation?			a	
Make a specific contribution to achieving the Sustainable Development Goals or other commitments on poverty reduction?			a	
Make a specific contribution to achieving the objectives of the Convention on Biological Diversity)?			a	
Have inequitable or discriminatory adverse impacts on affected populations, particularly people living in poverty or marginalized or excluded individuals or groups?			a	P.1.2
Will this (sub-) project lead to improvements in national forest governance structures (e.g. by strengthening institutional capacities, promoting transparency or contributing to enhanced coherency of PLR and institutional frameworks)?			b	
Is there a risk that duty-bearers do not have the capacity to meet their obligations in the (sub-) project?				P.1.5
Is there a risk that rights-holders do not have the capacity to claim their rights?				P.1.6
Is it clear how all relevant stakeholders can access information relevant to this (sub-) project?			b	
Will the information relevant to this (sub-) project be presented in a format that all relevant stakeholders will understand?			b	

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Are those who will be making decisions about this (sub-) project informed by and representing those that will be impacted (i.e. the stakeholders)?			b	
Will stakeholders participating in this (sub-) project have access to recourse mechanisms?			b	
Will this (sub-) project's implementation affect the clarity or security of land tenure?			b	
Does this (sub-) project have sufficient capacities (financial, human and institutional) to be effectively implemented?			b	
Is there a system in place to monitor the implementation of this (sub-) project against clear, measurable and time-bound targets?			b	
Is there a risk of corruption related to this (sub-) project?			b	
Could the (sub-) project:				
Have potentially inequitable adverse impacts on gender equality and/or the situation of women and girls?			b	P.2.1
Potentially discriminate against women or other groups based on gender, especially regarding participation in design and implementation or access to opportunities and benefits?			b	P.2.2
Potentially discriminate against women or other groups based on gender, especially regarding participation in design and implementation or access to opportunities and benefits?			b	P.2.4
Affect the rights, lands and territories of indigenous peoples and/or local communities (regardless of whether Indigenous Peoples possess the legal titles to such areas)?			c	P.1.1 (but here direct reference to human rights) and P.3.6.3
Involve the utilization and/or commercial development of natural resources on lands and territories claimed by indigenous peoples and/or local communities?			c	P.3.5

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Result in forced eviction or the whole or partial physical displacement of indigenous peoples and/or local communities, including through access restrictions to lands, territories, and resources?			c	P.3.5.1, P.3.5.3, P.3.6.6
Result in economic displacement of indigenous peoples and/or local communities (e.g. loss of assets or access to resources due to land acquisition or access restrictions – even in the absence of physical relocation)?			c	P.3.5.2
Adversely affect the development priorities of indigenous peoples and/or local communities as defined by them?			c	P.3.6.7
Affect the traditional livelihoods, physical and cultural survival of indigenous peoples and/or local communities?			c	P.3.6.8
Affect the Cultural Heritage of indigenous peoples and/or local communities, including through the commercialization or use of their traditional knowledge and practices?			c	P.3.4.2, P.3.6.9
Result in interventions that would potentially adversely impact sites, structures, or objects with historical, cultural, artistic, traditional or religious values or intangible forms of culture (e.g. knowledge, innovations, practices)?			c	P.3.4.1
Affect land tenure arrangements and/or community based property rights/customary rights to land, territories and/or resources?			c	P.3.5.4
Discriminate against indigenous peoples and/or local communities regarding participation in design and implementation or access to opportunities and benefits?			c	
Is the (sub-) project particularly suited to promote respect for the knowledge and rights of indigenous peoples and local communities?			c	
Could the (sub-) project exclude any affected stakeholder, in particular marginalized groups, from fully participating in decisions that may affect it?			d	P.1.4
Could the (sub-) project exacerbate conflicts among and/or the risk of violence to project-affected communities and individuals?			d	P.1.8

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Has a process/platform been established for the relevant stakeholders to engage fully and effectively in the design of the (sub-) project (e.g. in a gender-responsive, culturally sensitive, non-discriminatory and inclusive manner)?			d	
Has a process been established to outline how FPIC of relevant rights-holders will be secured for REDD+ (sub-) project that will impact their rights, lands, territories or resources?			d	P.3.6.4
Have the relevant stakeholders identified their own representation structures, including representatives?			d	
Have the relevant stakeholders been consulted fully and effectively in the design and agreement of the (sub-) project?			d	
Has a process been established to ensure the timely dissemination of information about the (sub-) project to relevant stakeholders in an accessible form and language?			d	
Could the (sub-) project:				
Pose risks to the conservation of biodiversity, natural forests and their ecosystem services, through conversion (e.g. establishment of plantations in degraded or secondary forest)?			e	P.3.1.1 & 3.1.6
Pose risks to the conservation of biodiversity, natural forests and their ecosystem services, through degradation of biodiversity and ecosystem services (e.g. by intensifying the use of forests leading to increased hunting pressure on vulnerable species)?			e	P.3.1.1
Pose risks to biodiversity and ecosystem services outside forests, through displacement of land use change (e.g. new grazing land in other ecosystems rather than in forest)?			e	P.3.1.1
Pose risks to biodiversity and ecosystem services outside forests, through unintended impacts on neighbouring lands (e.g. from pesticide drift from intensified agriculture, water abstraction, or fire resulting from forest management)?			e	P.3.1.3
Pose risks to biodiversity and ecosystem services outside forests, through afforestation in areas of conservation importance?			e	

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Pose risks to biodiversity in other countries (e.g. through increased imports of timber or agricultural products to offset reductions in domestic production)?			e	
Improve local communities' access to forest products, such as fuel wood, forest foods and medicinal plants?			e	
Restrict availability, quality of and access to forest products, in particular to local communities?			e	P.1.3
Enhance communities' capacity to adapt to climate change and hence reduce their vulnerability to climate change?			e	
Provide incentives related to the conservation of natural forests and their ecosystem services (e.g. benefit-sharing, Payments for Ecosystem Services (PES))?			e	
Provide livelihood opportunities for local communities (e.g. development of alternative income generating opportunities that reduce pressures on forests)?			e	
Negatively impact local livelihoods (e.g. through loss of livelihoods due to closures in timber and timber-related industries)?			e	
Conserve forests and forest products of traditional and spiritual importance for indigenous and local communities (e.g. through conservation of sacred sites, medicinal plants)?			e	
Does the project involve utilization of genetic resources? (e.g. collection and/or harvesting, commercial development)				P.3.1.9
Could the (sub-) project be vulnerable to:				
Climate change (e.g. more frequent drought, flooding)?			f	P.3.2.2
Wildfire?			f	
Institutional failure?			f	
Projected demographic trends and changing demands on land, including through international trade?			f	
Instability in neighbouring countries (e.g. REDD+ actions in troubled border areas)?			f	
Financial shock?			f	

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Is the (sub-) project likely to be particularly resilient to these risks?			f	
Would the (sub-) project generate potential adverse transboundary or global environmental concerns?				P.3.1.10
Would the project result in secondary or consequential development activities which could lead to adverse social and environmental effects, or would it generate cumulative impacts with other known existing or planned activities in the area?				P.3.1.11
Are there drivers of land-use change and forest degradation that are likely to persist despite REDD+ actions?			g	
Could the (sub-) project				
Result in displacement of land-use change at the local level (e.g. forest protection leading to agricultural conversion of bushland)?			g	
Give rise to the displacement of emissions to other ecosystems, e.g. through draining of peatlands for agricultural use or displacement of pressures on forests to another region or area?			g	
Give rise to displacement of land-use change within national borders?			g	
Give rise to displacement of land-use change across national borders?			g	
Is the (sub-) project particularly likely to avoid the risk of displacement?			g	
Is the significance of the carbon storage role of non-forest ecosystems in the country/ region understood (i.e. the extent of damage to the climate from displaced land-use change)?			g	
Is the vulnerability of non-forest ecosystems to land-use change understood (e.g. agricultural suitability, accessibility, protection status, potential importance for extractive uses, fragmentation)?			g	

Annex 2: Possible activities as part of REDD+ implementation, their potential impacts, example mitigation measures and indicators

Table 14: Possible activities as part of REDD+ implementation, their potential impacts, example mitigation measures and indicators (amended and extended from SCBD 2011 and SOS 2017)

Basic REDD+ activities			
Possible activities	Examples for potential impacts	Example mitigation measures	Example indicators
(1) Reducing emissions from deforestation and (2) forest degradation	Leakage into areas of high biodiversity	<ul style="list-style-type: none"> • At national level, prioritizing REDD+ actions in areas of high biodiversity; • Developing premiums within incentive measures for biodiversity benefits; • Conserving large areas of primary intact forest. 	<ul style="list-style-type: none"> • Percentage of high biodiversity areas where REDD+ actions are implemented (separately by action); • Premiums in place and paid; • Percentage of primary intact forest conserved.
(3) Forest conservation	Reduced access to resources	<ul style="list-style-type: none"> • Involve ITPs in revision of nature conservation legislation, considering traditional activities and special allowances for ITPs; • Promote alternative livelihoods to reduce dependency on forest resources 	<ul style="list-style-type: none"> • Number of ITP representatives engaging in the revision process of PLRs; • Content of revised PLRs with regards to ITPs customary rights to resources; • Trend in dependency on forest resources.
(4) Sustainable Management of Forests	<ul style="list-style-type: none"> • Potential encroachment in intact forest, resulting in biodiversity loss; • Loss of livelihood opportunities where ITPs do not have the 	<ul style="list-style-type: none"> • Prioritize sustainable management in areas that are already subject to intensive land use and are of high biodiversity values; 	<ul style="list-style-type: none"> • Location and size of forest areas under sustainable management as compared to primary and intact forests of high biodiversity value;

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	means to change to sustainable management practices	<ul style="list-style-type: none"> • Minimize use in primary forests and intact forests of high biodiversity value; • Apply best practice guidelines for sustainable management of forests including reduced impact logging; • Support ITPs' change to more sustainable forest management through, e.g. micro-credits or subsidies. 	<ul style="list-style-type: none"> • Number of villages that have adopted best practice for sustainable management of forests.
(5) Afforestation and Reforestation	<ul style="list-style-type: none"> • Introduction of invasive and alien species; • Introduction of genetically modified trees; • Replacement of non-forest habitats of high biodiversity value by forest plantations; • Changes in water flow regimes, potentially affecting people and biodiversity. 	<ul style="list-style-type: none"> • Apply best practices for reforestation (e.g. native species, mixed plantations); • Prevent replacement of intact forest and non-forest native ecosystems by forest plantations; • Locate reforestation in such a way as to enhance landscape connectivity and reduce edge effects on remaining forest patches; • Develop premiums within incentive measures for biodiversity benefits. 	<ul style="list-style-type: none"> • Percentage of plantation area using native and mixed species; • Percentage overlap between plantations and intact forest and non-forest native ecosystems; • Use connectivity index to measure increase in connectivity over time; • Premiums accessed and disbursed for biodiversity benefits in this context.
Additional and more specific activities that may get implemented under REDD+			
Possible activities	Examples for potential impacts	Example mitigation measures	Example indicators

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<p>Implementation of sustainable cropland management (including soil conservation, conservation tillage, fallows, etc.)</p>	<ul style="list-style-type: none"> • Expansion of cropland into native habitats; • Possible increased use of herbicides associated with conservation tillage. 	<ul style="list-style-type: none"> • Promote sustainable cropland management as part of broader landscape level planning that includes conservation of remaining native ecosystems and restoration, as appropriate; • Consider traditional and local knowledge; • Provide capacity building and information on appropriate sustainable cropland management. 	<ul style="list-style-type: none"> • Percentage overlap between areas under sustainable cropland management and native habitats; • Amount and intensity of herbicide use by hectare of cropland under sustainable cropland management; • Number of capacity building sessions conducted on the topic.
<p>Implementation of agroforestry systems on existing croplands or grazing lands</p>	<ul style="list-style-type: none"> • Introduction of invasive and alien species; • Encroachment into native ecosystems. 	<ul style="list-style-type: none"> • Promote agroforestry as part of broader landscape level planning that includes conservation of remaining native ecosystems and restoration, as appropriate; • Consider traditional and local knowledge; • Provide capacity building and information on appropriate agroforestry systems; • Provide appropriate credit to apply best practices. 	<ul style="list-style-type: none"> • Percentage overlap between agroforestry areas and native habitats; • Number of capacity building sessions conducted on the topic.
<p>Conservation and restoration of peatlands and other wetlands, including mangroves</p>	<ul style="list-style-type: none"> • Increased methane emissions if restoration is done inappropriately; 	<ul style="list-style-type: none"> • Prioritize restoration of wetlands of high biodiversity; • Restore and maintain landscape connectivity; 	<ul style="list-style-type: none"> • Hectares of wetland under conservation and restoration; • Connectivity index; • Species used for restoration;

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	<ul style="list-style-type: none"> • Reduced access to resources following establishment of protected areas. 	<ul style="list-style-type: none"> • Maintain natural water flow regimes; • Encourage regeneration of – or replant – native mangrove trees; • Consult ITPs, considering their customary rights to access and dependency on wetland resources, to determine appropriate land and resource management regimes; • Consider compensation and/or avoidance mechanisms to minimize crop loss and conflict. 	<ul style="list-style-type: none"> • FPIC obtained from ITPs.
<p>Biofuels</p>	<ul style="list-style-type: none"> • Conversion and fragmentation of natural ecosystems resulting in biodiversity loss; • Introduction of invasive species; • Intensification of pesticide and fertilizer use and irrigation; • Contamination of water reserves; • Changes in water flow. 	<ul style="list-style-type: none"> • Prevent replacement of intact forests and other native ecosystems by biofuel crops; • Minimize encroachment of biofuels into intact ecosystems of high biodiversity value; • Plant biofuel crops on already degraded lands; • Apply best practice and standards for biofuels; • Use native species where possible. 	<ul style="list-style-type: none"> • Location and size and of areas used for biofuel crops in relation to intact and native ecosystems; • Area under biofuel crop production that meets best practice and standards; • Species used for biofuel crops and their spread beyond biofuel crop areas in case invasive species are used.

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<p>Construction of basic infrastructure (e.g. shelters, trails)</p>	<ul style="list-style-type: none"> • Minor, short-term potential impacts on already disturbed and small areas of vegetation – mainly due to soil excavation, dust and noise 	<ul style="list-style-type: none"> • Consult local communities to determine appropriate siting of infrastructure to minimize impacts • Ensure trails are ‘fit-for-purpose,’ restricting width to the needs to foot patrols or tourists. In areas where trail bikes are used, the means of controlling access will be instituted. • Obtain any permits required by national and local regulations prior to construction • Choose most appropriate timing for construction to avoid or minimize impacts • Infrastructure will be designed in accordance with local traditions, local architecture, and good environmental practices • Appropriate management and disposal of waste and debris 	<ul style="list-style-type: none"> • Incidental take of species is recorded (indicator species identified and monitored) • Communities’ free, prior and informed consent is recorded • Debris does not litter the site
<p>Reintroduction of captive-bred threatened species</p>	<ul style="list-style-type: none"> • Introduction of disease into the wild 	<ul style="list-style-type: none"> • Undertake health checks prior to release • System for avoiding and mitigating disease outbreaks 	<ul style="list-style-type: none"> • Monitor introductions and disease outbreaks

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<p>Increase in recreational use of protected areas</p>	<ul style="list-style-type: none"> • Impact on habitat and wildlife through increased noise and disturbance, waste, • accidental fires, harvesting of rare species or natural resources • Lack of maintenance of trails leading to erosion on slopes • Social impacts on local communities 	<ul style="list-style-type: none"> • Support training and TA to develop skills for effective tourism management • Promulgate rules and guidelines for visitors • Provide waste and toilet facilities 	<ul style="list-style-type: none"> • Monitoring number of tourists • Monitor habitat disturbance • Communities free, prior and informed consent is recorded
<p>Fire suppression</p>	<ul style="list-style-type: none"> • Impact on fire-dependent ecosystems 	<ul style="list-style-type: none"> • Perform prescribed burns to nurture fire-dependent species 	<ul style="list-style-type: none"> • Monitor fire-dependent indicator species response
<p>Removal of invasive alien species</p>	<ul style="list-style-type: none"> • Native species accidentally removed 	<ul style="list-style-type: none"> • Provide training on IAS and native species differentiation • Isolate native species through demarcation 	<ul style="list-style-type: none"> • Monitor native indicator species for ecosystem response