

**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
BeRT	Benefits and Risks Tool of the UN-REDD Programme
BGA	Bureau Gender Affairs
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
EIS	Environmental Impact Statement
EITI	Extractive Industries Transparency Initiative
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
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
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- GBB	Ministry of Land Policy and Forest Management
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-ROS	Ministerie van Regionale Ontwikkeling, Ministry of Regional Development and Sport
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
PAMs	Policies and Measures
PES	Payments for Ecosystem Services
PLRs	Policies, Laws and Regulations
PMU	Project Management Unit
PRODOC	Project Document
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
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 Saramaccaanse Gezagsdragers, Association of Saramaka Authorities
WB	World Bank
WISE REDD+	Widening Informed Stakeholder Engagement for REDD+
WWF	World Wide Fund for Nature

## 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. In the case of Suriname's UN REDD+ Programme, the delivery partner is United Nations Development Programme (UNDP).

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, the assessment of existing Policies, Laws and Regulations against REDD+ benefits and risks identified by stakeholders and the requirements of the UNDP SES. 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 and legal personality. The development and implementation of FPIC guidelines/protocols are covered in this priority, as well as the recognition of legal personality and documentation of customary rights and traditional activities to promote their use as reference in implementing PAMs.

#### *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. They also include the organization of spaces for capacity building and dialogue to work through differences and the finalization of Suriname's GRM.

*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 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 enhanced coordination, communication and engagement, together with increased transparency in coordination and communication procedures.

*Priority 4: Strengthening of gender inclusive REDD+ implementation*

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, the development of gender specific processes, such as gender checklists and gender specific budgeting and increased efforts to maintain a high level of participation and inclusivity of women in all stakeholder events, including in consultation and FPIC processes.

*Priority 5: Local-level empowerment 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. The actions also speak to increased information and recognition and the need to carefully implement the Indigenous and Tribal Peoples Framework, Cultural Heritage Framework and Livelihood Action Framework as well as respective plans, where these get developed for REDD+ sub-project implementation in the future.

*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;
- documentation of traditional knowledge, uses, stories, crafts and skills as a reference to be used in the development of REDD+ implementing sub-projects;
- mapping of physical cultural resources as an input into land use planning and where restrictions on access and use of resources may result from REDD+ implementation.

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 guidance to REDD+ (sub-) project developers and evaluators to ensure that potential social and environmental REDD+ benefits and risks are considered throughout the process 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 (applying the UNDP [Social and Environmental Screening Procedure \(SESP\)](#))**, 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 (specifically the **UNDP [Social and Environmental Standards \(SES\)](#)** as described below). 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 minor impacts on people and/or the environment. In line with respective ToRs, (sub-) project developers in the next stage need to conduct the particular **Environmental and Social Assessments** that are required for the respective low, moderate to high categories given to the potential risks identified during the SESP. They then produce an Environmental and Social Management Plan/Framework (ESMP/F), and various constituent management plans that may be indicated by the assessments, for example: An Indigenous Peoples Plan (to be called an Indigenous and *Tribal Peoples* Plan in the Suriname context), a Cultural Heritage Management Plan, a Biodiversity Management Plan, and/or a Resettlement and/or Livelihood Action 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 chapters 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 presented valuable input into the development of the SIS. Moreover, provisions regarding proposal development, screening, scoping and monitoring for REDD+ (sub-) project implementation directly fed into Suriname's SIS. The SESA and ESMF have thus been thoroughly considered in the process of developing the SIS for the Republic of Suriname.

## 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 (Phase I), Implementation (Phase II), and Results-based actions phase (Phase III). During the Readiness phase, countries are preparing for REDD+ implementation. In the implementation phase, REDD+ gets tested so that adjustments can be made to the developed strategies, procedures and frameworks as necessary. The last phase refers to results-based REDD+ actions.

Suriname finds itself in an advanced stage of Phase I, the Readiness phase. It is scheduled to run from 2014 to 2021. 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.

From the R-PP, a Project Document (PRODOC) was developed, further prioritizing and structuring the activities to be conducted under the REDD+ Readiness phase. In 2019, on the request of Suriname, the Forest Carbon Partnership Facility (FCPF) approved an additional grant and project extension till June 30, 2020. Based on this, the PRODOC has been revised.

Based on the project document (PRODOC) 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 'Technical Report: State-of-the-art study: Best estimates for emission factors and carbon stocks for Suriname' (SBB et al. 2017);
- the 'NFMS Roadmap - Status and plans for Suriname's National Forest Monitoring System' (SBB 2017).

All these studies informed the development of Suriname National REDD+ Strategy (Government of Suriname 2019a), which took place over a period of ten months in the course of 2017. Since then, additional documents were developed for REDD+ Readiness, including:

- The Final Design Report as part of the development of a REDD+ Grievance Mechanism for Suriname (Government of Suriname 2019b);
- The report on the development, content and management of Suriname’s REDD+ Safeguards Information System (SIS, Government of Suriname 2019c); and
- The First Summary of Information on REDD+ Safeguards of Suriname (Government of Suriname 2020).

The National REDD+ Strategy, the National Forest Monitoring System, the Forest Reference (Emissions) Level (FRL/FREL) and the Safeguards Information System (SIS) are four essential REDD+ elements that countries are required to develop as part of REDD+ Readiness according to the UNFCCC Cancun Agreements (UNFCCC 2011). The NFMS roadmap was developed by April 2017 (SBB 2017). The National REDD+ Strategy of Suriname was finalized in 2019 (Government of Suriname 2019a). Suriname submitted its first final FRL/FREL in May 2018 (Government of Suriname 2018) and the second final FRL/FREL in August 2021 (Government of Suriname 2021). Suriname’s SIS was finalized in December 2019 (see [sis.surinameredd.org](http://sis.surinameredd.org)) and the first Summary of Information on REDD+ Safeguards of Suriname was submitted in April 2021 (Government of Suriname 2020).

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 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: National REDD+ Vision and Mission of the Republic of Suriname*

<p><b>Vision</b></p> <p><i>“Suriname’s tropical forest continues to contribute to the improvement of the welfare and wellbeing of current and future generations, while continuing to offer a substantial contribution to the sustainable development of our country and the global environment, enabling the conditions for an adequate compensation for this global service.”</i></p> <p><b>Mission</b></p> <p><i>“Establishing long-term partnerships through planning, research, effective protected areas management and sustainable forest management, resulting in an efficient use of the natural resources, including forests, ecosystems and biodiversity.”</i></p>
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The National REDD+ Strategy will be introduced in chapter 3.3. below.

## **1.2. The SESA and ESMF**

In line with funding requirements of the Forest Carbon Partnership Facility (FCPF) and UNDP as Delivery Partner, the development of the National REDD+ 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 and SESA Work Plan.

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

### 1.3. Social and Environmental Standards and Safeguards for REDD+

**As a recipient country of funding from the Forest Carbon Partnership Facility (FCPF), Suriname needs to ensure compliance with the FCPF Readiness Fund Common Approach (FCPF 2012). As further described below, this means compliance with UNDP SES.**

In recognition of the role forests can play in efforts to mitigate and adapt to global climate change, Parties to the UNFCCC developed a policy mechanism to contribute to the reduction of global carbon emissions from deforestation and to enhance their resilience by providing financial incentives, in the form of 'results-based payments', to developing countries that successfully slow or reverse forest loss. This mechanism is known as Reducing Emissions from Deforestation and forest Degradation (REDD), and conservation, sustainable management of forests and enhancement of forest carbon stock (+). The UNFCCC Conference of the Parties (COP) has articulated five REDD+ activities that developing countries can implement to be eligible to receive these payments:<sup>1</sup>

- Reducing emissions from deforestation;
- Reducing emissions from forest degradation;
- Sustainable management of forests;
- Conservation of forest carbon stocks; and
- Enhancement of forest carbon stocks

After several years of negotiations and discussions at the international level, the UNFCCC COP adopted the 'Warsaw Framework for REDD+' at its 19<sup>th</sup> meeting in December 2013.<sup>2</sup> This officially anchored REDD+ to the UNFCCC regime. The Warsaw Framework builds on previous COP decisions and clarifies and consolidates the requirements and methodological guidance countries must meet in order to access results-based finance.<sup>3</sup> According to the Warsaw Framework, developing country Parties aiming to receive results-based finance for REDD+ must:

- Ensure that the anthropogenic forest-related emissions by sources and removals resulting from the implementation of REDD+ activities are fully measured, reported and verified (MRV) in accordance with UNFCCC guidance;<sup>4</sup>
- Have in place:<sup>5</sup>
  - a. A national strategy or action plan (a link to which is shared on the UNFCCC REDD+ Web Portal);
  - b. A national forest reference emission level and/or forest reference level, or if appropriate, as an interim measure, subnational forest reference emission levels

<sup>1</sup> UNFCCC Decision 1/CP.16 paragraph 70

<sup>2</sup> UNFCCC Decisions 9/CP.19; 10/CP.19; 11/CP.19; 12/CP.19; 13/CP.19; 14CP.19 and 15/CP.19

<sup>3</sup> UNFCCC Decision 2/CP.17 paragraph 63

<sup>4</sup> UNFCCC Decision 1/CP.16 paragraph 73

<sup>5</sup> UNFCCC Decision 1/CP.16 paragraph 71

- and/or forest reference level (that has undergone a UNFCCC-coordinated technical assessment process);
  - c. A robust and transparent national forest monitoring system for the monitoring and reporting of REDD+ activities; and
  - d. A system for providing information on how the safeguards are being addressed and respected (SIS);
- Ensure that REDD+ activities, regardless of the source and type of funding, are implemented in a manner consistent with the UNFCCC REDD+ safeguards;<sup>6</sup> and
  - Provide the most recent summary of information on how all the UNFCCC REDD+ safeguards have been addressed and respected before they can receive results-based payments.<sup>7</sup>

REDD+ is based on a three-phased approach, which includes: Readiness (Phase I), Implementation (Phase II) and Results-based actions (Phase III).<sup>8</sup> However, due to the significant time-frame between REDD+'s initial conception and introduction as a UNFCCC negotiation topic at COP 13 in Bali<sup>9</sup> and its finalization at COP 19 in Warsaw, several multilateral institutions and bilateral agreements were established to fund initial REDD+ readiness activities, including the World Bank's FCPF, which was set up in 2010 "to assist eligible REDD+ countries in their efforts to achieve emission reductions from deforestation and/or forest degradation by providing them with financial and technical assistance in building their capacity to benefit from possible future systems of positive incentives for REDD+."<sup>10</sup>

### 1.3.1. UNFCCC safeguard requirements

Although REDD+ is primarily a mechanism to incentivize forest-based climate change mitigation, it is broadly agreed that it should, as a minimum, 'do no harm', and where possible go beyond this to 'do good' and achieve multiple (carbon and non-carbon) benefits. Given the potential environmental risks and benefits of REDD+ implementation, Parties to the UNFCCC recognized the need to ensure that the rules and guidance for REDD+ include measures to protect those potentially at risk, particularly indigenous peoples, local communities and biodiversity. For this reason, they agreed to the adoption of seven safeguards for REDD+ at the 16<sup>th</sup> Conference of the Parties (COP16) also known as the 'Cancun safeguards' (see Box 2).

*Box 2: The Cancun Safeguards<sup>11</sup>*

When undertaking the activities referred to in paragraph 70 of this decision, the following safeguards should be promoted and supported:

(a) That actions complement or are consistent with the objectives of national forest programmes and relevant international conventions and agreements;

<sup>6</sup> UNFCCC Decision 2/CP.17 paragraph 63

<sup>7</sup> UNFCCC Decision 9/CP.19 paragraph 4

<sup>8</sup> UNFCCC Decision 1/CP.16 paragraph 73

<sup>9</sup> UNFCCC Decision 2/CP.13

<sup>10</sup> The other stated objectives of the FCPF are: To pilot a performance-based payment system for Emission Reductions generated from REDD activities, with a view to ensuring equitable benefit sharing and promoting future large scale positive incentives for REDD; to test ways to sustain or enhance livelihoods of local communities and to conserve biodiversity; and To disseminate broadly the knowledge gained in the development of the Facility and implementation of Readiness Preparation Proposals and Emission Reductions Programs. FCPF, (2010) Charter Establishing the FCPF. The International Bank for Reconstruction and Development (IBRD). Available: [http://www.forestcarbonpartnership.org/sites/forestcarbonpartnership.org/files/Documents/PDF/Sep2010/FCPF\\_Charter-August\\_2010\\_clean.pdf](http://www.forestcarbonpartnership.org/sites/forestcarbonpartnership.org/files/Documents/PDF/Sep2010/FCPF_Charter-August_2010_clean.pdf)

<sup>11</sup> UNFCCC Decision 1/CP.16 Appendix 1 paragraph 2



- (b) Transparent and effective national forest governance structures, taking into account national legislation and sovereignty;
- (c) Respect for the knowledge and rights of indigenous peoples and members of local communities, by taking into account relevant international obligations, national circumstances and laws, and noting that the United Nations General Assembly has adopted the United Nations Declaration on the Rights of Indigenous Peoples;
- (d) The full and effective participation of relevant stakeholders, in particular indigenous peoples and local communities, in the actions referred to in paragraphs 70 and 72 of this decision;
- (e) That actions are consistent with the conservation of natural forests and biological diversity, ensuring that the actions referred to in paragraph 70 of this decision are not used for the conversion of natural forests, but are instead used to incentivize the protection and conservation of natural forests and their ecosystem services, and to enhance other social and environmental benefits;<sup>12</sup>
- (f) Actions to address the risks of reversals;
- (g) Actions to reduce displacement of emissions.

The UNFCCC recognizes that safeguards are a key part of REDD+ implementation and **links the Cancun safeguards to results-based payments**, requiring that countries demonstrate how they have addressed and respected them throughout the implementation of their REDD+ activities.<sup>13</sup> The specific UNFCCC safeguard requirements are the following:

**Requirement 1:** Implement REDD+ activities in a manner consistent with the Cancun safeguards

REDD+ activities, regardless of their type of funding source, are to be implemented in such a way that is **consistent** with the Cancun safeguards.<sup>14</sup> This implies that countries should take steps to define **how** the Cancun safeguards will be implemented, and to ensure compliance with the safeguards **throughout** the implementation of REDD+ activities.

**Requirement 2:** Establish a system to provide information on how the Cancun safeguards are being addressed and respected

The governments of countries implementing REDD+ activities are required to establish a system to provide information on how the seven Cancun safeguards are being addressed and respected in all of the phases of implementation of REDD+ activities.<sup>15</sup> This is commonly referred to as the **Safeguard Information System**, or SIS.

According to the UNFCCC guidelines, the SIS should:<sup>16</sup>

- Be consistent with guidance in decision 1/CP.16, appendix I, paragraph 1<sup>17</sup>;

<sup>12</sup> Taking into account the need for sustainable livelihoods of indigenous peoples and local communities and their interdependence on forests in most countries, reflected in the United Nations Declaration on the Rights of Indigenous Peoples, as well as International Mother Earth Day.

<sup>13</sup> UNFCCC Decision 2/CP.17, Paragraphs 63 and 64, which should be read along with UNFCCC Decision 1/CP.16, Paragraph 69 and Appendix 1, Paragraph 2.

<sup>14</sup> "Agrees that, regardless of the source or type of financing, the activities referred to in decision 1/CP.16 paragraph 70, should be consistent with the relevant provisions included in decision 1/CP.16, including the safeguards in its appendix I" UNFCCC Decision 2/CP.17 paragraph 63

<sup>15</sup> UNFCCC Decision 1/CP.16 Paragraph 71(d).

<sup>16</sup> UNFCCC Decision 12/CP.17 Paragraph 2

<sup>17</sup> Which states that REDD+ activities should: (a) Contribute to the achievement of the objective set out in Article 2 of the Convention; (b) Contribute to the fulfilment of the commitments set out in Article 4, paragraph 3, of the Convention; (c) Be country-driven and be considered options available to Parties; (d) Be consistent with the objective of environmental integrity and take into account the multiple functions of forests and other ecosystems; (e) Be undertaken in accordance with national development priorities, objectives

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

**Requirement 3:** Provide a summary of information on how the Cancun safeguards are being addressed and respected

In order to receive results-based payments, countries must present their most recent **summary of information demonstrating how the safeguards have been addressed and respected** (subsequently referred to as the summary of information or SOI).<sup>18</sup> The UNFCCC also establishes that the summary of information should be provided periodically, and be included in national communications or other communication channels identified by the COP. An additional and voluntary format for providing information to the UNFCCC is through the UNFCCC REDD+ web platform.<sup>19</sup>

In the final series of decisions on REDD+, agreed in Paris at COP 21, Parties to the UNFCCC developed some further guidance “on ensuring transparency, consistency, comprehensiveness and effectiveness when informing on how all the safeguards referred to in decision 1/CP.16, appendix I, are being addressed and respected.”<sup>20</sup>

As part of this guidance, the COP “strongly encourages” developing country Parties, when providing the summary of information on how the Cancun safeguards are being addressed and respected, to include, inter alia, “[a] description of each safeguard in accordance with national circumstances.”<sup>21</sup>

**Because the UNFCCC sets the rules for all REDD+ implementation, consideration of the UNFCCC Cancun Safeguards is very important to the Republic of Suriname. And as described below, the UNDP SES satisfies all key components of the Cancun Safeguards.**

### 1.3.2. FCPF safeguard requirements

Countries receiving FCPF funding for readiness preparation are required to ensure compliance with the FCPF Readiness Fund’s Common Approach to Environmental and Social Safeguards for Multiple Delivery Partners (Common Approach).<sup>22</sup> According to the Common Approach, participating countries

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and circumstances and capabilities and should respect sovereignty; (f) Be consistent with Parties’ national sustainable development needs and goals; (g) Be implemented in the context of sustainable development and reducing poverty, while responding to climate change; (h) Be consistent with the adaptation needs of the country; (i) Be supported by adequate and predictable financial and technology support, including support for capacity-building; (j) Be results-based; (k) Promote sustainable management of forests;

<sup>18</sup> Decision 9/CP, Paragraph 4, UNFCCC Decision 2/CP.17, op cit, Paragraph 63 and 64.

<sup>19</sup> Decision 12/CP.19, Paragraph 2 and 3

<sup>20</sup> UNFCCC Decision 17/CP.21, see also UN-REDD [brief on summaries of information](#)

<sup>21</sup> Ibid, paragraph 5(b) see also UN-REDD [brief on summaries of information for further analysis](#)

<sup>22</sup> UN REDD FCPF (2012) R-PP Template Annexes Version 6, for Country Use p. 44.

are expected to achieve “substantial equivalence” to the “material elements” of the World Bank’s environmental and social safeguard policies and procedures applicable to the FCPF Readiness Fund.<sup>23</sup>

To comply with these safeguards countries are required to conduct a Strategic Environmental and Social Assessment (SESA). SESA helps countries to identify potential social and environmental risks associated with REDD+ projects, i.e. whether or not REDD+ projects may violate any of the Delivery Partner’s social and environmental policies and procedures. Countries also need to develop an Environmental and Social Management Framework (ESMF) based on the results of SESA to present specific strategies and means for addressing potential social and environmental impacts from REDD+ activities.

**Under the Common Approach, as the Delivery Partner for the Suriname REDD+ project, UNDP applies its own safeguards standards.**

### 1.3.3. UNDP’s Social and Environmental Standards

UNDP’s Social and Environmental Standards (SES) came into effect in January 2015. The SES underpin UNDP’s commitment to mainstream social and environmental sustainability in its Programmes and Projects to support sustainable development. Table 1 below outlines the Key Elements of UNDP’s Social and Environmental Standards.

*Table 1: Key Elements of UNDP’s Social and Environmental Standards*

Overarching Policy	Project-level standards	Policy delivery process and accountability
Principle 1: Human Rights	Standard 1: Biodiversity Conservation and Sustainable Natural Resource Management	Screening and Categorization
Principle 2: Gender Equality and Women's Empowerment	Standard 2: Climate Change Mitigation and Adaptation	Assessment and Management
Principle 3: Environmental Sustainability	Standard 3: Community Health, Safety and Working Conditions	Stakeholder Engagement and Response Mechanism
	Standard 4: Cultural Heritage	Access to Information
	Standard 5: Displacement and Resettlement	Monitoring, Reporting, and Compliance review
	Standard 6: Indigenous Peoples	
	Standard 7: Pollution Prevention and Resource Efficiency	

The SES are an integral component of UNDP’s quality assurance and risk management approach to programming. This includes the Social and Environmental Screening Procedure (SESP).

The Standards are underpinned by an Accountability Mechanism with two key functions:

<sup>23</sup> FCPF (2011) Readiness Fund Common Approach to Environmental and Social Safeguards for Multiple Delivery Partners. [https://www.forestcarbonpartnership.org/sites/forestcarbonpartnership.org/files/Documents/PDF/Nov2011/FCPF%20Readiness%20Fund%20Common%20Approach%20\\_Final\\_%2010-Aug-2011\\_Revised.pdf](https://www.forestcarbonpartnership.org/sites/forestcarbonpartnership.org/files/Documents/PDF/Nov2011/FCPF%20Readiness%20Fund%20Common%20Approach%20_Final_%2010-Aug-2011_Revised.pdf)

- 1) A Stakeholder Response Mechanism (SRM) that ensures individuals, peoples, and communities affected by UNDP projects have access to appropriate procedures for hearing and addressing project-related grievances; and
- 2) A Compliance Review process to respond to claims that UNDP is not in compliance with UNDP’s social and environmental policies.

### 1.3.4. How UNDP’s Social and Environmental Policies and Procedures Address Multiple REDD+ Safeguard Requirements<sup>24</sup>

The tables below demonstrate how, by applying UNDP’s Social and Environmental Standards and associated procedures, guidance and templates, countries are able to address the safeguard requirements of UNFCCC, FCPF and GCF.<sup>25</sup>

Table 2: UNDP response to and support of UNFCCC safeguard requirements

UNFCCC safeguard requirements	UNDP support/response
<b>Requirement 1:</b> Implement REDD+ activities in a manner consistent with the Cancun safeguards	<a href="#">UNDP’s Social and Environmental Standards (SES)</a> address all key aspects of the Cancun Safeguards
<b>Requirement 2:</b> Establish a system to provide information on how the Cancun safeguards are being addressed and respected	UNDP’s support to countries to meet this requirement is guided by the <a href="#">UN-REDD Technical Resource: REDD+ Safeguards Information Systems: Practical Design Considerations</a>
<b>Requirement 3:</b> Provide a summary of information on how the Cancun safeguards are being addressed and respected	UNDP’s support to countries to meet this requirement is guided by <a href="#">the UN-REDD Info Brief: Summaries of Information: How to demonstrate REDD+ safeguards are being addressed and respected</a> . This <a href="#">Legal Matrix</a> provides a model framework for countries to address this UNFCCC requirement.

Table 3: Demonstrating Consistency: UNDP Social and Environmental Standards and Policies and UNFCCC Cancun Safeguards

UNFCCC Cancun Safeguards for REDD+	Relevant UNDP Standard and/or Policy
(a) That actions complement or are consistent with the objectives of national forest programmes and relevant international conventions and agreements;	<ul style="list-style-type: none"> <li>● UNDP Social and Environmental Screening Procedure</li> <li>● Overarching Policy and Principles, paras. 3 and 13, pp. 6 and 9, SES</li> <li>● Standard 1: Biodiversity Conservation and Sustainable Natural Resource Management, in particular paras. 3 and 22, pp. 13 and 19, SES</li> </ul>

<sup>24</sup> Of additional note, through the Green Climate Fund (GCF) Accreditation Process, the SES are acknowledged to be consistent with the GCF’s Environment and Social Standards

<sup>25</sup> 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).

	<ul style="list-style-type: none"> <li>● Standard 6: Indigenous Peoples, para. 4, p. 37, and para. 12, p. 29, SES</li> <li>● Quality Assurance Standards: Relevant; and Sustainability and National Ownership</li> </ul>
(b) Transparent and effective national forest governance structures, taking into account national legislation and sovereignty;	<ul style="list-style-type: none"> <li>● UNDP Social and Environmental Screening Procedure</li> <li>● Overarching Policy and Principles, para 3, p. 6, SES</li> <li>● Standard 1: Biodiversity Conservation and Sustainable Natural Resource Management, in particular, para 17, p. 17, SES</li> <li>● UNDP Information disclosure policy</li> </ul>
(c) Respect for the knowledge and rights of indigenous peoples and members of local communities, by taking into account relevant international obligations, national circumstances and laws, and noting that the United Nations General Assembly has adopted the United Nations Declaration on the Rights of Indigenous Peoples;	<ul style="list-style-type: none"> <li>● UNDP Social and Environmental Screening Procedure</li> <li>● Principle 1: Human Rights, in particular, paras 13-16, p. 9, SES</li> <li>● Standard 1: Biodiversity Conservation and Sustainable Natural Resource Management, in particular para 2, p. 13 and para. 22, p. 19, SES</li> <li>● Standard 4: Cultural Heritage, SES</li> <li>● Standard 5: Displacement and Resettlement, SES</li> <li>● Standard 6: Indigenous Peoples, see Objectives, and in particular paras 4-14, pp. 37-41, SES</li> <li>● Stakeholder Engagement and Response Mechanisms, in particular para 16, p. 52, SES</li> <li>● Quality Assurance Standards: Relevant; and Sustainability and National Ownership</li> </ul>
(d) The full and effective participation of relevant stakeholders, in particular indigenous peoples and local communities, in the actions referred to in paragraphs 70 and 72 of this decision;	<ul style="list-style-type: none"> <li>● UNDP Social and Environmental Screening Procedure</li> <li>● Standard 1: Biodiversity Conservation and Sustainable Natural Resource Management, paras. 8, 9, and 14, pp. 16, 38-39</li> <li>● Standard 6: Indigenous Peoples, paras. 8 and 9, pp. 38-39, SES.</li> <li>● Stakeholder Engagement and Response Mechanisms, SES</li> <li>● Access to Information, SES</li> </ul>
(e) Actions are consistent with the conservation of natural forests and biological diversity, ensuring that actions referred to in paragraph 70 of this decision are not used for the conversion of natural forests, but are instead used to incentivize the protection and conservation of natural forests and their ecosystem services, and to enhance other social and environmental benefits;	<ul style="list-style-type: none"> <li>● UNDP Social and Environmental Screening Procedure</li> <li>● Standard 1: Biodiversity Conservation and Sustainable Natural Resource Management, in particular, para 17, p. 17, SES</li> </ul>

Table 4: UNDP response to and support of FCPF safeguard requirements

<b>FCPF safeguard requirement</b>	<b>UNDP support/response</b>
<b>Requirement 1:</b> Delivery Partner’s Safeguards	In the process to become an FCPF Delivery Partner, <a href="#">UNDP’s Social and Environmental Standards</a> were recognized as ‘substantially equivalent’ to the World Bank’s.
<b>Requirement 2:</b> Strategic Environmental and Social Assessment (SESA) and Environmental and Social Management Framework (ESMF)	<a href="#">UNDP’s Social and Environmental Screening Procedure (SESP)</a> and Environmental and Social Management Framework (ESMF) Template address all FCPF SESA/ESMF requirements.
<b>Requirement 3:</b> FCPF/UN-REDD Programme Guidelines on Stakeholder Engagement	<a href="#">UNDP’s SES Policy</a> and <a href="#">Guidance on Stakeholder Engagement</a> address all key requirements outlined in the FCPF/UNREDD SE Guidelines, and more.
<b>Requirement 4:</b> FCPF/UN-REDD Programme Guidance on Grievance Mechanisms	<a href="#">UNDP’s SES Policy</a> and <a href="#">Guidance on Grievance Mechanisms</a> address all key requirements outlined in the FCPF/UNREDD Guidance on GRMs, and more.
<b>Requirement 5:</b> UN-REDD Programme Guidelines on Free, Prior and Informed Consent (FPIC)	<a href="#">UNDP’s Standard</a> and <a href="#">Guidance on Indigenous Peoples</a> , and Policy on Stakeholder Engagement address all requirements outlined in the UN-REDD Guidelines on FPIC.

Table 5: UNDP response to and support of GCF safeguard requirements

<b>GCF safeguard requirement</b>	<b>UNDP support/response</b>
<b>Requirement 1:</b> Accredited Entities’ Safeguard Policies	In the process of obtaining accreditation by the GCF, <a href="#">UNDP’s SES</a> were recognized as consistent with the GCF safeguard policies (IFC Performance Standards).
<b>Requirement 2:</b> Identification of Social and Environmental Risks and Environmental and Social Management Framework (ESMF)	<a href="#">UNDP’s Social and Environmental Screening Procedure (SESP)</a> and Environmental and Social Management Framework (ESMF) Template address all GCF-related requirements.
<b>Requirement 3:</b> Gender Policy, incl submission of a Gender Action Plan	<a href="#">UNDP’s Policy</a> and <a href="#">Guidance on Gender</a> address all key requirements of the GCF Gender Policy
<b>Requirement 4:</b> Indigenous Peoples Policy	<a href="#">UNDP’s Policy</a> and <a href="#">Guidance on IPs</a> address all key requirements of the GCF IP Policy
<b>Requirement 5:</b> Retroactive Environmental and Social Assessment (ESA) [only for REDD+ RBP proposals]	<a href="#">The Legal Matrix</a> addresses all key requirements of the GCF ESA requirement

## 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;
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 the mitigation measures needed to minimize and manage 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. Both the risks table and the Action Matrix are extended versions of the ones included in the SESA Report, a result of the incorporation of further information on existing PLRs and UNDP SES requirements into the risks table.

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 (e.g. Environmental and Social Management Plan, Indigenous [and Tribal] Peoples Plan and Resettlement Plan) are described. Indicative outlines for such plans are included in Annexes to the ESMF.

The fourth part of the document, i.e. chapters 6-13, deal with stakeholder engagement, dispute resolution, ESMF monitoring and evaluation, 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 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. For the latter group of users, chapter 5 as well as the indicative outlines of different management plans included in the ESMF are of particular importance.

### 2.3. Limitations of the ESMF

The development of the National REDD+ 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 6 details these limitations and how the study dealt with them.

Table 6: Limitations of the ESMF and approaches to mitigation

Limitation	Approaches to mitigation
<b>Limited time for further in-depth analytical work</b>	<ul style="list-style-type: none"> <li>● 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;</li> <li>● Identification of needs for further analysis and reference to missing information where necessary.</li> </ul>
<b>Limited opportunity for reiterative consultation at local level</b>	<ul style="list-style-type: none"> <li>● Maximum use of consultation opportunities, covering relevant topics in the most concise way feasible;</li> <li>● In local level community consultations, identification of ways to provide update on progress and invite further feedback;</li> <li>● Coordination with the REDD+ Project Management Unit (PMU)'s consultation process prior to consultations related to the strategy;</li> <li>● Community consultations for the development of Suriname's SIS in the course of 2019 were used to inform about REDD+ Readiness progress since the consultations undertaken for the National REDD+ Strategy, SESA and ESMF.</li> </ul>



<b>Limited opportunity for in-depth broad national consultations</b>	<ul style="list-style-type: none"> <li>• NIMOS will carry the documents further and consult stakeholders as needed when transitioning to implementation of the National REDD+ Strategy and ESMF.</li> </ul>
<b>Limited knowledge of the nature of each sub-project and activity that will arise under the REDD+ implementation</b>	<ul style="list-style-type: none"> <li>• As described in chapter 5 below, this means that while the risks and mitigation measures have been developed for the broader REDD+ implementation and the PAMs as identified and developed thus far, as more is known about the activities to be carried out, additional SESP screening and environmental and social assessments (i.e. SESA or ESAs) will need to be done to address those specific activities and to identify the particular management plans that are required for the project’s compliance with the UNDP SES.</li> </ul>

### 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 chapter 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).<sup>26</sup>

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<sup>26</sup> However, it is often required that the international agreements need the adoption of national legislation to be implemented.

**While observing this interpretation of the Constitution, the ESMF highlights that in accordance with the UNDP SES, UNDP will not participate in a Project that violates human rights affirmed by Applicable Law. “Applicable Law” as defined by the UNDP SES (and otherwise used in this document) means national law and obligations under international law, *whichever is the higher standard*. If in the process of REDD+ assessments, monitoring and other assurance activities, it is determined that a national law is inconsistent with and offering, for instance, less stringent protection than the international law applicable to Suriname, *compliance with the UNDP SES will be assessed as against the rights affirmed in international law and not national laws*.**

### 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.

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 7 lists and briefly describes such legislation.

Table 7: Sectorial legislation of relevance for REDD+ implementation<sup>27</sup>

Sector	PLR (reference)	Very brief description
Forestry	National Forest Policy (NFP) 2005 (NH and SBB 2006)	<ul style="list-style-type: none"> <li>● Sets key objectives and principles for the forest sector;</li> <li>● 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”.</li> </ul>
	Interim Strategic Action Plan for the Forest Sector in Suriname 2009-2013 (GOS 2008)	<ul style="list-style-type: none"> <li>● Based on the NFP;</li> <li>● Prioritizes four of the seven NFP’s strategic goals oriented towards economic objectives.</li> <li>● Clearly reflects the call for shifting the profile of forestry as a source of additional income for the country.</li> </ul>

<sup>27</sup> For more detailed description, please see National REDD+ Strategy.

	Code of Practice for Forest Operations (CoP) 2011	<ul style="list-style-type: none"> <li>● Describes the best practices for sustainable forest management;</li> <li>● Its provisions do not have a mandatory status.</li> </ul>
	Forest Management Act 1992 (Government of Suriname 1992)	<ul style="list-style-type: none"> <li>● Addresses forest management, forest exploitation and the primary wood processing sector;</li> <li>● Sets the provisions for the national authority to grant permits and concessions for forest product harvesting (including timber);</li> <li>● Defines the types of licenses for harvesting timber and other forest products through different categories of concessions and the use of community forests/HKVs<sup>28</sup>;</li> <li>● Provides the basis for sustainable use of NTFPs.</li> </ul>
<b>Nature Conservation</b>	National Biodiversity Strategy 2006-2020 (NBS) (NIMOS 2006)	<ul style="list-style-type: none"> <li>● Establishes a national vision, goals and strategic directions to conserve and sustainably use the nation's rich biodiversity;</li> <li>● Highlights the country's commitment to protect and enhance "the diversity of the country's cultural and natural heritage".</li> </ul>
	National Biodiversity Action Plan (NBAP) 2012-2016 (Ministry of Labour, Technological Development and Environment 2013)	<ul style="list-style-type: none"> <li>● Adopted, foresees more specific objectives for the conservation and sustainable use of biodiversity in the country;</li> <li>● 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 Maroons communities with fair and equitable benefit sharing; local cooperation and involvement of communities in biodiversity protection.</li> </ul>
	Nature Conservation Act 1954 (De Nationale Assemblée van de Republiek Suriname 1954b)	<ul style="list-style-type: none"> <li>● Origin going back to colonial times;</li> <li>● 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.</li> </ul>
	Game Act 1954 (De Nationale Assemblée van de Republiek Suriname 1954a)	<ul style="list-style-type: none"> <li>● Origin going back to colonial times;</li> <li>● 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.</li> </ul>

<sup>28</sup> 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/HKVs".

Mining	Mining Decree (MD) 1986	<ul style="list-style-type: none"> <li>● Governs the exploration and exploitation of mineral resources in the country;</li> <li>● Sets out that all minerals in and on the ground are considered to belong to the State (MD, Arts. 2.1&amp; 2), regardless of the property of the land;</li> <li>● 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;</li> <li>● 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.</li> </ul>
Land tenure	National Legal Framework on Land Tenure (L-Decrees) 1982	<ul style="list-style-type: none"> <li>● 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).</li> <li>● Leaves room for respecting the tribal lands provided that it is not contrary to the general interest of the State</li> </ul>
	Lelydorp Peace Accord 1992 (cited in Heemskerk 2005)	<ul style="list-style-type: none"> <li>● Provides arrangements for the recognition of Maroon and Indigenous land rights (art. 10)</li> </ul>
	Buskondre Protocol, or Presidential Resolution No. PO 28/2000	<ul style="list-style-type: none"> <li>● 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).</li> </ul>

### International Conventions

Suriname has ratified and/or acceded to a number of international agreements and endorsed a number of international instruments that are relevant to the successful and rights-based implementation of REDD+ programming and activities (see Table 8 below). The UNDP SES that forms the cornerstone of the safeguard approach to this project is aligned with the United Nations Development Group (UNDG) Statement of Common Understanding of the Human Rights-Based Approach to Development Cooperation and Programming (UN Common Understanding) which outlines that development programs and policies (such as those related to REDD+) should further the realization of human rights as laid down in the Universal Declaration of Human Rights and other human rights instruments.

Table 8: International Conventions and instruments of relevance for REDD+ implementation

International Convention	Brief description
American Convention on Human Rights ( <i>including the jurisdiction of the Inter-American Court on Human Rights (IA Court) binding and applicable specifically to Suriname</i> )	Three IA Court rulings have been issued to date collectively finding violations of the rights of indigenous and tribal peoples in Suriname and ordering the State to (i) provide a mechanisms to delimit, demarcate and grant collective titles over ITPs lands in accordance with the norms, values and customs of the affected peoples; (ii) abstain from further acts (such as establishment of protected areas or granting of new concessions) until

	<p>delimitation, demarcation, and titling has been completed, unless the State obtains the free, prior and informed consent of the peoples in question; and (iii) provide for the recognition of the legal (juridical) personality of ITPs in Suriname. The IA Court further affirmed that rights to be recognized should not limit to <i>land ownership</i> 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’. (<i>Moiwana Case, Saramaka Case, and Kaliña and Lokono Case</i>).</p> <p>Recognizing that these orders are legal obligations on Suriname, in 2013 FCPF Resolution PC/14/2013/7 “Suriname’s Readiness Preparation Proposal”, the Participants Committee decided that Suriname needed to submit a “revised R-PP (Revised R-PP) to the FMT, reflecting the key issues in the summary report prepared by the FMT included in the annex to this resolution” (the report is attached to this ESMF as Annex 9. Among others, the report required:</p> <ul style="list-style-type: none"> <li>▪ The inclusion in the new R-PP of a “revised process to collaboratively design, together with indigenous and tribal peoples representatives: (a) a plan for their ongoing consultation and participation ensuring that sufficient budget is allocated for implementation of this plan; and (b) a budget line in the Project Document budget to support activities identified, managed and implemented by indigenous and tribal peoples representatives”;</li> <li>▪ R-PP revisions that “reflect that the Saramaka Judgment of the Inter-American Court of Human Rights and indigenous and tribal peoples rights have implications for REDD+ in Suriname. UNDP, during its due diligence, will commission a review to evaluate these implications, and incorporate its recommendations in the Project Document in collaboration with the government and indigenous and tribal peoples representatives”; and</li> <li>▪ Revision of “the proposed options for a grievance redress mechanism that includes prompt effective remedies with possibility of appeal, in line with the draft UNDP/WB Guidelines on Grievance Mechanisms...”</li> </ul>
<p>United Nations Framework Convention on Climate Change (UNFCCC)</p>	<p>As signatory to the UNFCCC, Suriname has highlighted its commitment with the global efforts to mitigate climate change in its Nationally Determined Contribution (NDC) 2020 (Government of Suriname 2019d). The Surinamese NDC states That much effort has gone into setting up the framework for Suriname to reduce emission and enhance the carbon stock in the forest sector and participate in the REDD+ process. This resulted in the National REDD+ strategy outlining Suriname’s mitigation actions, formulated in its REDD+ vision and the policies and measures necessary to achieve that.</p>

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.
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 Civil and Political Rights (ICCPR)	Multilateral treaty with 172 parties as of 2017. Adopted by the UN General Assembly in 1966. The ICCPR obligates State parties to respect, promote and protect a range of basic human rights, such as: the right to life and human dignity; gender equality; minority rights; freedom of speech, assembly, and association; religious freedom and privacy; equality before the law; freedom from torture, ill-treatment, and arbitrary detention; and the right to a fair trial. The ICCPR is part of the International Bill of Human Rights. The UN Committee on Human Rights, charged with monitoring State compliance to the Convention. The UN Human Rights Council responsible for promoting and protecting human rights throughout the world has expressed its concern for Suriname’s failure to implement the IA Court orders related to ITP rights to property recognition. <sup>29</sup>
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 labor rights, rights to health, education and an adequate standard of living. The ICESCR is part of the International Bill of Human Rights.
International Convention on the Elimination of all Forms of Racial Discrimination	Multilateral treaty with 179 parties as of 2018. Adopted by the UN General Assembly in 1965. Commits parties to eliminate racial discrimination and promote understanding among all races. The UN Committee on the Elimination of Racial Discrimination charged with monitoring State compliance to the Convention, has communicated to Suriname stating that “the Committee is concerned at the nonexistence of specific legislative framework to guarantee the realization of the collective rights of indigenous and tribal peoples: and expressing its profound concern over <i>“ongoing delays in compliance of the most crucial aspects of the [Inter-American] court judgment, in particular, concerning the recognition of communal and self-determination rights of the Saramaka people”</i> <sup>30</sup> .
United Nations Declaration on the Rights of Indigenous Peoples (UNDRIP)	UNDRIP was adopted by the General Assembly in September 2007, by a majority of 144 states in favor (including Suriname). UNDRIP is a compilation of the rights of ITPs already affirmed in treaties and conventions binding on most States of the world. All States endorsing UNDRIP agreed <i>“promote respect for and full application of the provisions of this Declaration and follow up the effectiveness of this Declaration.”</i> (Art. 42). Additionally, UNDP SES #6 (Indigenous Peoples), paragraph 4 states that <i>“UNDP will not participate in a Project that violates the human rights of indigenous peoples as affirmed by Applicable Law and the United Nations Declaration on the Rights of Indigenous Peoples (UNDRIP).”</i>

<sup>29</sup> UN Doc. A/HRC/18/12/Add.1, at para. 13 (recording Suriname’s explicit statement that the specific recommendations calling on it to comply with and execute the judgment of the IA Court in *Saramaka Case* “cannot be supported,” referring to recommendations 73.11, 73.52-73.57). See also UN Doc. A/HRC/WG.6/11/SUR/1, 16 February 2011 para. 67.

<sup>30</sup> Communication of the UNCERD to Suriname (Early Warning and Urgent Action procedures) (9 March 2012); UNCERD, Concluding observations: Suriname, CERD/C/SUR/CO/12, 13 March 2009, at para. 12.

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 <sup>31</sup>	Global treaty to protect human health and the environment from the adverse effects of mercury. Highlights of the convention include a phase out and 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.

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<sup>31</sup> Discussions are currently underway in Parliament to decide whether the Minamata Convention should be ratified by Suriname.



### 3.2. Institutional arrangements for REDD+ implementation

The following figure shows Suriname’s REDD+ implementation framework as described in the National REDD+ Strategy.

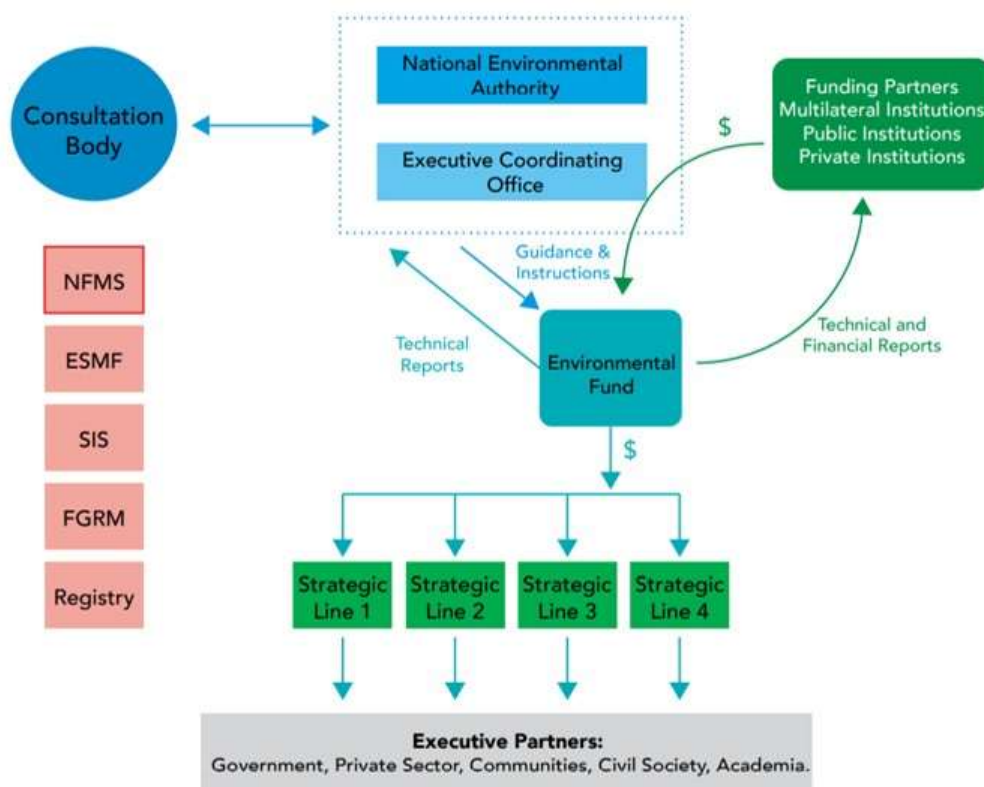


Figure 1: REDD+ Implementation Framework

In accordance with the Environmental Framework Law, NIMOS will transition into the National Environmental Authority. The National Environmental Authority will then be responsible for coordination of the ESMF. The Consultation Body will advise on the operationalization of the ESMF. For further information on the institutional arrangements, please refer to the National REDD+ Strategy (Government of Suriname 2019a).

### 3.3. Suriname’s National REDD+ Strategy

Suriname’s National REDD+ Strategy was developed over a period of 10 months. The development was a highly consultative process and involved all relevant REDD+ stakeholders, as described in the SESA report. The resulting strategy consists of a set of 46 REDD+ Measures (PAMs), organized along 4 Strategic lines and 13 Policy lines, 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. Multilateral 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 existing, alternative and additional sustainable livelihoods and diversification of the economy.  
*Measure 1.B.1: Promotion of non-timber forest products (NTFP) with a view to providing alternative livelihoods to forest dependent communities.*  
*Measure 1.B.2: Promotion of nature and ecotourism 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 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: Improvement planning process.*  
*Measure 2.A.2: Preparation and Approval of an Environmental Framework Act 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 Indigenous and Tribal Peoples (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 regulations.  
*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 Framework Act.*  
*Measure 2.C.4: Revision of the nature conservation law.*
- 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 favour 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: Support the process towards the legal recognition of land tenure rights of indigenous and 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.*

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

*Measure 3.A.4: Follow a prior step to establish a code of conduct on how to take into account land rights before implementing 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: Strengthen and streamline 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 designated 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 RGB 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 Framework Act 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 Initiative (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/HKV's 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 well-being 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

*Measure 4.B.1: Rehabilitation of mangrove areas.*

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

*Measure 4.B.3: Rehabilitation of degraded forest areas*

C. Scientific research and education on forest management

*Measure 4.C.1: Research in forest monitoring and management 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). 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 9). 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”.

Table 9: Assessment of how achieving identified benefits under REDD+ can contribute to achieving objectives of national PLRs and international conventions

	National PLRs													International Conventions <sup>32</sup>																		
<b>Benefit categories</b>	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	American Convention on Human Rights	Jurisdiction of the IA Court: Case of the Saramaka People V. Suriname	Jurisdiction of the IA Court: Case of the Kaliña and Lokono Peoples V. Suriname	International Convention on the Elimination of all Forms of Racial Discrimination	United Nations Declaration on the Rights of Indigenous Peoples (UNDRIP)	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 (ICCPR)	International Convention on Corruption	Minamata Convention	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	X			X	

<sup>32</sup> It should be noted that this is a selection of international conventions Suriname has ratified and which are relevant in the context of the identified benefits.







The National REDD+ Strategy of Suriname promotes a number of these benefits directly through the included measures, such as income opportunities and empowerment (in terms of capacity and voice). The ESMF in the below Action Matrix includes provisions for more actively promoting benefits. In addition, the ESMF's Framework for implementing PAMs includes provisions for promoting benefits in REDD+ (sub-) project implementation.

#### 4.2. REDD+ risks

Per the UNDP SESP, screening for potential adverse social and environmental risks and impacts encompasses all policies and measures included in the National Strategy and related documentation, as well as activities of future REDD+ implementing sub-projects, and includes review of potential direct and indirect impacts in the area of influence of REDD+ implementation.

Policies, measures and sub-project activities are screened for their inherent social and environmental risks regardless of planned mitigation and management measures. It is necessary to form a clear picture of potential inherent risks in the event that mitigation measures are not implemented or fail. **This means that risks should be identified and quantified as if no mitigation or management measures were to be put in place.**

Risk categorization is determined by the highest level of significance of identified risks across all potential risk areas (as rated in Question 3). For example, if some risks are identified as having "Low" or "Moderate" significance and only one has "High" significance, then the overall risk categorization of the project would be "High." However, the UNDP SESP also provides that in cases where screening identifies multiple risks of Moderate significance, users may need to decide to categorize the policies, measures or sub-project activities as High Risk given the cumulative nature of the risks and/or the complexity of assessing and managing a wide range of risks.

Based on the above, **Table 10** reflects the risks identified through the screening of the policies and measures included in Suriname's National REDD+ Strategy and the results of the SESA, identifies the risk level (category), and further explains those risks, how existing PLRs impact them, and proposes mitigation measures. Based on the results of the risk screening and as indicated in the table below, **the policies and measures proposed in the National Strategy are categorized as High Risk.**

As a consequence of the results of the SESA and the risk categorization, the following frameworks have been developed as Annexes to the present ESMF:

- **An Indigenous and Tribal Peoples Planning Framework (Annex 3);**
- **A Livelihood Action Framework (Annex 4); and**
- **A Cultural Heritage Management Framework (Annex 5).**

It should be noted that Table 10 is an extended version of the same table included in the SESA report. It was further elaborated using additional information on existing PLRs together with UNDP SES requirements.

Table 10: Identified risks and their risk level, existing PLRs addressing the risks, gaps in PLRs and mitigation measures

General mitigation measures applicable to all of the risks assessed below				
<p>All risks identified below will be substantially mitigated by one or more of the following measures:</p> <ol style="list-style-type: none"> <li>1. multi-stakeholder participation in project governance, capacity building workshops and initiatives (see e.g. priority 3, coordination, communication and engagement);</li> <li>2. heightened stakeholder engagement (regular exchanges and meetings, communication campaigns, and good faith consultations and where applicable, free prior and informed consent (FPIC) as reflected respectively in the Stakeholder Engagement Framework (Annex 6) and Indigenous and Tribal Peoples Framework (Annex 3) and several measures included in the Action Matrix, e.g. priority 1, FPIC);</li> <li>3. the implementation of a robust and participatory REDD+ social and environmental impact assessment and monitoring mechanism that links directly to the SIS (see ESMF chapters 5 and 8);</li> <li>4. the completion and availability of a grievance redress mechanism (GRM) for REDD+ Implementation (see Action Matrix priority 2 and chapter 7); and</li> <li>5. a sufficient budget to carry out each of these activities (see chapter 11 and requirements for content of topical management frameworks in chapter 5 and annexes).</li> </ol> <p>Additionally, <b>as generally applicable</b></p> <ul style="list-style-type: none"> <li>▪ All risks will be viewed through the lens of the gender equity approach and all mitigation measures implemented with a view to promoting gender equality and women’s empowerment. (see Action Matrix priority 4 gender specific processes and chapter 5)</li> <li>▪ Future projects or investments to implement the PAMs will need to undertake detailed screenings (SESP) and eventual social and environmental assessments of their own to review potential for the risks outlined herein and determine the additional management plans that will need to be developed where required/triggered, in line with SES, and then, an associated budget must be included for those additional screenings, assessments and management plans. (see chapter 5 and indicative outlines for topical management plans)</li> </ul>				
Risk and Risk Level <sup>33</sup>	Safeguards triggered			
1. Adverse effects on livelihoods - reduced income opportunities	UNDP SES	WB	Cancun	GCF
	UNDP SES #6, #7	OP 4.10, OP 4.12	c, e	PS5 PS7
Explanation and existing PLRs	Conclusions and mitigation measures			
Based on the Act on Regional Bodies (Wet RO, S.B.1989 no.44). art. 51, resort and district plans must be made with participation of the communities. These Plans are	There is no legislation in place that specifically addresses adverse effects on livelihoods, however, existing PLRs and the integral development plan provide the security to ITPs to participate in the			

<sup>33</sup>Risks should be identified and quantified as if no mitigation or management measures were to be put in place (UNDP SESP, para. 33).

<p>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 district ordinances (Districtsverordeningen) for each district 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>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>future planning for their area (ressort/district level), management of district funds, provision of basic utilities (water and energy) and support of alternative livelihoods and therefore provide opportunities to enhance their income opportunities.</p> <p>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 support existing, alternative and additional sustainable livelihoods are included under Policy line 1.B.</p> <p>See also the related risk #11 and its associated mitigation measures.</p>			
<p><b>Risk and Risk Level</b></p>	<p><b>Safeguards triggered</b></p>			
<p><b>2. Adverse effects on livelihoods - unsustainable resource use, pollution</b></p>	<p><b>UNDP SES</b></p>	<p><b>WB</b></p>	<p><b>Cancun</b></p>	<p><b>GCF</b></p>
	<p>UNDP SES #6, #7</p>	<p>OP 4.10, OP 4.36</p>	<p>E</p>	<p>PS4</p>
<p><b>Explanation and existing PLRs</b></p> <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 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><b>Conclusions and mitigation measures</b></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 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 Framework Act 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 4. Promotion of Sustainable Forest Management (SFM) should be able to address this.</p>			

Risk and Risk Level	Safeguards triggered			
<b>3. Adverse effects on livelihoods - traditional activities</b> <b>(MODERATE TO HIGH)</b>	UNDP SES	WB	Cancun	GCF
	UNDP SES #5 and #6	OP 4.10	C	PS7
Explanation and existing PLRs	Conclusions and mitigation measures			
<p>A number of PAMs can have positive effects on livelihoods and traditional activities. However, if carried out inconsistent with Applicable Law or otherwise not adequately, adverse impacts can occur. For instance, PAM 3.A.4 aims to “Follow a prior step to establish a code of conduct on how to take into account land rights before implementing new development or REDD+ activities in the vicinity of ITPs’ communities”. Depending on if ITPs first have their legal personality recognized, or depending on how this guidance is written, traditional activities will be protected well, or limited and leave ITPs with no legal remedy. Where PAM 4.A.1 calls for increasing the coverage of protected areas, the accompanying management plans can facilitate or impede traditional activities depending on who is consulted or what rights they are deemed to have.</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 number 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 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. Several mitigation measures have thus been included in the extended action matrix, e.g. referring to</p> <ul style="list-style-type: none"> <li>▪ Consultation with affected populations and respect of the findings of the three binding rulings of the IA Court in the revision of existing law (see SESA Action Matrix priority 3, communication, coordination and engagement)</li> <li>▪ Discussion forums, capacity meetings and stakeholder engagements that seek to learn about traditional practices and benefit from traditional knowledge that already promote sustainable land use planning, harvesting, and forest management efforts (see SESA Action Matrix, priority 5).</li> <li>▪ Documentation of customary rights and traditional activities and livelihoods in the context of consultation and FPIC processes with affected communities to inform the revision of existing legislation, the adoption of new legislation, and respect for traditional activities in relevant REDD+ programming and activities. (See SESA Action Matrix priority 1 ITP rights).</li> <li>▪ Per UNDP SES #6, all adverse impacts to ITPs traditional livelihoods and rights to lands, resources and territories will be subject to FPIC. (See SESA Action Matrix, priority 1 FPIC)</li> <li>▪ Where restrictions on traditional activities may result in an economic displacement of the affected peoples, see risk 11 which among others, requires the development of a <i>Livelihood Action Plan</i> consistent with the UNDP SES and Applicable Law. (See SESA Action Matrix priority 3 monitoring and control and chapter 5.5.2)</li> <li>▪ Any agreements or contracts entered into with ITPs (PAM 3.A.4) will have express terms related to the protection or agreed upon restrictions on livelihoods (previously subject to FPIC). (See SESA Action Matrix priority 1 ITP rights)</li> </ul>			

Risk and Risk Level	Safeguards triggered			
<b>4. Conflicts (MODERATE TO HIGH)</b>	<b>UNDP SES</b>	<b>WB</b>	<b>Cancun</b>	<b>GCF</b>
	UNDP SES #6; Stakeholder Engage- ment & Response Mechanism	(OP 4.12)	b	(PS5)
Explanation and existing PLRs	Conclusions and mitigation measures			
<p>Several activities could result in disputes among those with overlapping claims of ownership and use rights (including disputes among local governance bodies (cantons, parochial units, the governance structures of ITP), among private individuals and ITP collectives, etc.</p> <p>In such cases, there is the possibility to go to the domestic court if a breach of law can be identified and if the affected parties have the right to sue (i.e. standing, or “legal personality”). However, only legal entities (natural persons or legal persons) can file law cases in Suriname.</p> <p>Beside the domestic 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>(Risks of Violence are being dealt with by the Police, based on the Criminal Act and the Police Criminal Act.)</p>	<p>ITPs do not have legal personality as of yet and thus do not have the right to sue at the domestic court, even though the IA Court declared this was a violation of the State’s duties under the American Convention on Human Rights.</p> <p>Coverage of the risk by existing PLRs therefore is limited due to the restrictions regarding legal entities, which makes it difficult for a community to file a case. Moreover, communities have limited capacities and financial means to follow through with a court case or make use of the SAI. There is the IA Court, which can be and has been appealed to in case of conflicts over land and resources, but this is not a viable mechanism since first domestic remedies must be shown to be exhausted, or exceptions must be met, and one must first go through the Inter-American <i>Commission</i> on Human Rights. Getting to the IA Court can take a decade, so it is not an effective mechanism to address adverse impacts of REDD+ implementation where immediate, reasonable change is sought.</p> <p>The conclusion is that if REDD+ PAM implementation was to lead to conflicts within or between local communities, there are no PLRs in place to deal with this and to provide access to forum for resolution, including declarations of violations and a just and fair remedy. Arguably, the lack of a law that clearly defines and recognizes the property rights of ITPs also limits the ITPs capacity to bring a grievance based on a violation of rights.</p> <p>Consequently, a number of mitigation measures are needed to address the risk:</p> <ul style="list-style-type: none"> <li>▪ There will be facilitated spaces for capacity building and dialogues among stakeholders to work through differences, educate each other about their respective concerns and the rights of their fellow stakeholders under Applicable Law. (See SESA Action Matrix priority 2, conflict resolution)</li> </ul>			

	<ul style="list-style-type: none"> <li>▪ A Grievance Redress Mechanism (GRM) for REDD+ programming is finalized in accordance with the conclusions, recommendations and work plan identified in the “<i>Development of a REDD+ Grievance Mechanism for Suriname Final Design Report</i>” (Government of Suriname 2019b) (see SESA Action Matrix priority 2 conflict resolution and chapter 7)</li> <li>▪ There will be culturally appropriate awareness campaigns with potentially affected stakeholders on availability and ways to access the GRM. (See SESA Action Matrix priority 2 conflict resolution)</li> </ul>			
Risk and Risk Level	Safeguards triggered			
<b>5. Contradicting legislation - context: poor fine-tuning in the process of recognizing ITP rights</b>  <b>(HIGH)</b>	UNDP SES	WB	Cancun	GCF
	UNDP Principle 1; UNDP SES #6; Stakeholder Engagement & Response Mechanism	(OP 4.10)	a, b, c	/
Explanation and existing PLRs	Conclusions and mitigation measures			
<p>There are some initiatives started by the Government and by Parliament, including various initiatives begun pursuant to efforts to comply with the rulings of the IA Court. None have yet produced a comprehensive law, administrative measure or other mechanism on the rights of ITPs or initiated a comprehensive review of existing legislation to make reforms toward harmonization and compliance with Applicable Law.</p> <p>Inconsistencies in the law can inhibit REDD+ success and infringe on ITP rights if not recognized. For instance, as the Land Study explained, the Mining Act states that natural resources below the ground belong to the State while in “[i]n contrast, the Civil Code states that the ownership of the land is associated with ownership of other natural resources, which could include trees.”</p>	<p><i>There is no comprehensive law in Suriname that recognizes the rights of indigenous and tribal peoples.</i></p> <p>Discussions involving ITP stakeholders around the Nature Conservation Act or the previously described Bill on the issuance of land entitled "Protected Village Areas" (see this column under risk 2. Adverse effects on livelihoods - unsustainable resource use, pollution), even PAM 3.C.2 around the review and update of the Mining Decree, may help to provide some of the required protections, address inconsistencies and improve fine-tuning in the process of recognizing ITP rights.</p> <p>These reforms may be a start, but it is not likely that they will sufficiently address the risk of contradicting legislation in the process of recognizing ITP rights. In order to ensure alignment with the UNDP SES, additional mitigation measures are therefore needed:</p> <ul style="list-style-type: none"> <li>▪ REDD+ activities must comply with the United Nations Declaration on the Rights of Indigenous Peoples. Where there is an absence of legal norms to protect ITPs, UNDRIP can fill these gaps and</li> </ul>			

	<p>will be referred to as a baseline. (See SESA Action Matrix priority 1 ITP rights, also the screening of activities against the additional screening questions in Annex 1 covers this point)</p> <ul style="list-style-type: none"> <li>▪ Define a process for recognizing the collective lands, resources and territories of ITPs. (See SESA Action Matrix priority 1 ITP rights)</li> <li>▪ Support (define as necessary) processes to achieve full recognition of legal personality of indigenous peoples. (See SESA Action Matrix priority 1 ITP rights)</li> <li>▪ Finalize an FPIC protocol for application across REDD+ programming consistent with the UNDP SES as well as the UN-REDD Guidelines on FPIC. This will enhance the support already contemplated for individual ITP community FPIC protocols. (See SESA Action Matrix, priority 1 FPIC)</li> <li>▪ Encourage and support multi-stakeholder forums that permit capacity building around the existing national framework and applicable international law, and facilitate the review of the existing national norms and proposed reforms as needed. (See SESA Action Matrix priority 5 capacity building)</li> <li>▪ The reviews and potential reforms to the national legal framework related to protected areas and conservation will need to be conducted consistent with the binding judgement of IA Court in the <i>Kaliña and Lokono Case</i> which specifically affirms ITP rights in the context of conservation initiatives and establishment of protected areas. (See SESA Action Matrix priority 3 coordination, communication and engagement)</li> <li>▪ The Indigenous and Tribal Peoples Planning Framework will be implemented and <i>Indigenous Peoples and Tribal Peoples Plans</i> developed as applicable for REDD+ implementing (sub-)projects consistent with the UNDP SES and Applicable Law (See Annex 3 and ESMF chapter 5.5.1).</li> <li>▪ The Cultural Heritage Management Framework will be implemented and <i>Cultural Heritage Management Plans</i> developed as applicable for REDD+ implementing (sub-projects) consistent with the UNDP SES and Applicable Law (See Annex 5 and ESMF chapter 5.5.1). (see also Risks # 14 &amp; 15, below).</li> <li>▪ For further assessment of REDD+ implementing (sub-) projects, and as necessary, an expert on indigenous peoples and tribal peoples will be hired with knowledge of their rights under</li> </ul>
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	<p>Applicable Law (including as relates to property, governance, cultural heritage and FPIC), and how to conduct stakeholder engagement, consultation and consent processes. (See chapter 5.3)</p> <ul style="list-style-type: none"> <li>Documentation of traditional rights on paper (as a first step towards legal recognition of such traditional rights) could be used as a reference in processes when legislation is amended or adopted to provide a process to recognize ITP rights. Land use maps developed by various ITP communities over the past years, as well as others 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. (See SESA Matrix priority 3, communication, coordination and engagement)</li> </ul>			
<b>Risk and Risk Level</b>	<b>Safeguards triggered</b>			
<b>6. Corruption</b>	<b>UNDP SES</b>	<b>WB</b>	<b>Cancun</b>	<b>GCF</b>
	/	/	B	/
<b>Explanation and existing PLRs</b>	<b>Conclusions and mitigation measures</b>			
<p>On August 31, 2017 the Anti-Corruption Act was approved by Parliament. This law does not only aim 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: <a href="http://www.dna.sr/wetgeving/">http://www.dna.sr/wetgeving/</a>). The official text was not yet available when preparing this report.</p>	<p>Approval of the Anti-Corruption Act has very good potential to address this 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). Several mitigation measures are needed:</p> <ul style="list-style-type: none"> <li>Review and prioritize the REDD+ specific recommendations from Vaidya 2017 by assessing their feasibility and impact and work towards establishment of at least the prioritized ones. (See SESA Matrix Priority 6)</li> <li>Include in all required social and environmental impact assessments and monitoring mechanisms, a requirement to examine evidence of corruption. With stakeholders, develop indicators to effectively assess this. (See chapters 5.4 and 5.5)</li> <li>Take measures to provide training to relevant PMU staff and Government officials engaged in REDD+ activities on matters of corruption (including key elements of the Anti-Corruption Act and UNDP and FCFP standards and policies on the matter). (See Chapter 9)</li> <li>Ensure that the GRM as adopted, and/or other communication mechanisms provide for the reporting (including anonymous reporting if necessary) of suspected corruption. (See chapter 7)</li> </ul>			



Risk and Risk Level	Safeguards triggered			
7. Degradation of biodiversity	UNDP SES	WB	Cancun	GCF
	UNDP SES #1	OP 4.04, OP 4.36	e	PS6
Explanation and existing PLRs	Conclusions and mitigation measures			
<p>At present the aim is to protect forests, avoid conversion and conserve biodiversity. It is possible, however, that newly developed and pending natural resource management strategies, integrated land use plans, sector and local development plans (for example) might encourage activities that could lead to degradation –even if unintended (i.e. such as activities associated with intensification of commodity agriculture that may release pollutants into the environment (use of pesticides) or decisions around the conditions for mining and other extractive industries and forest resource use).</p> <p>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.</p>	<p>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. The following mitigation measures therefore apply:</p> <ul style="list-style-type: none"> <li>▪ Robust assessment and monitoring mechanisms will establish baseline conditions to monitor changes in the ecosystem due to REDD+ implementation (See chapters 5.4, 5.5 and Annex 7)</li> <li>▪ Any pest and/or vector management activities related to REDD+ implementation will be based on integrated pest management approaches and aim to reduce reliance on synthetic chemical pesticides (See chapter 5.1)</li> <li>▪ Discussion forums, capacity meetings and stakeholder engagements that seek to learn about traditional practices and benefit from traditional knowledge that already promote sustainable land use planning, harvesting, and forest management efforts (See SESA Action Matrix priority 5, capacity building).</li> <li>▪ As REDD+ implementation activities become further defined, an SESP will need to be applied and if required, a <i>Biodiversity Action Plan</i> developed in accordance with the UNDP SES and Applicable Law (See chapter 5.5.5 and Annex 7)</li> </ul>			
Risk and Risk Level	Safeguards triggered			
8. Stakeholders lack meaningful and effective participation in the decisions that affect them, including denial of FPIC rights of ITPs  (MODERATE TO HIGH)	UNDP SES	WB	Cancun	GCF
	UNDP SES generally, SES # 6, & sec. on Stakeholder	OP 4.10, OP 4.12	d	PS7

	Engagement & Response Mech.			
Explanation and existing PLRs	Conclusions and mitigation measures			
<p>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.</p> <p>There is no PLR that expressly recognizes FPIC and provides guidelines on how it should be implemented and when.</p>	<p>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.</p> <ul style="list-style-type: none"> <li>▪ Where REDD+ implementation already contemplates working with individual ITP communities to establish their specific FPIC protocols for future engagements with the Government, the development of those protocols and then ALL FPIC processes conducted will be consistent with the <i>UN REDD+ Guidelines on FPIC</i> and UNDP SES #6, para. 9 and its associated guidelines providing: <ul style="list-style-type: none"> <li><i>“Full, effective and meaningful participation: At the earliest stage of Project conceptualization and design, and iteratively throughout implementation and closure, mechanisms will be identified and implemented to guarantee the meaningful, effective and informed participation of indigenous peoples on all matters. Culturally appropriate consultation will be carried out with the objective of achieving agreement and <b>FPIC will be ensured on any matters that may affect the rights and interests, lands, resources, territories (whether titled or untitled to the people in question) and traditional livelihoods of the indigenous peoples concerned.</b>”</i> (See SESA Action Matrix priority 1 FPIC)</li> </ul> </li> <li>▪ Implement and monitor the attached Stakeholder Engagement Framework as well as Stakeholder Engagement Plans as they are developed for REDD+ implementing (sub-) projects (See SESA Action Matrix priority 5 increased information and recognition)</li> <li>▪ When applying a gender approach to the implementation of all mitigation measures, this will include provisions to ensure greater participation and inclusivity of women in all stakeholder events –including consultation and FPIC processes. (See SESA Action Matrix, priority 4 gender specific processes)</li> </ul>			
Risk and Risk Level	Safeguards triggered			

9. Displacement of emissions (MODERATE)	UNDP SES	WB	Cancun	GCF
	/	OP 4.01 (Annex A)	g	/
Explanation and existing PLRs	Conclusions and mitigation measures			
<p>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.</p>	<p>The National REDD+ Strategy to some extent addresses the issue in measure 2.A.2 Preparation and Approval of an Environmental Framework Act with Environmental Impact Assessment procedures as part thereof. The ESMF suggests expanding 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 will 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"> <li>• 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.</li> <li>• 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 exports 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) (See SESA Action Matrix priority 3, monitoring and control).</li> <li>• Improving the forest monitoring system (including through the support of scientific research and education (PAM 4.C) to address degradation will also act as an early warning system (See SESA Action Matrix, priority 3 monitoring and control)</li> </ul>			
Risk and Risk Level	Safeguards triggered			
10. Disrespect of ITP rights to their lands, resources and territories (MODERATE TO HIGH)	UNDP SES	WB	Cancun	GCF
	UNDP SES #6	OP 4.10, OP 4.12	c	PS5 PS7

Explanation and existing PLRs	Conclusions and mitigation measures
<p>A number of PAMs as conducted can adversely impact the rights of ITPs to their traditional lands, resources and territories if those rights are not actually defined and recognized in law such that the rights holders are known. This is important for stakeholder consultation and FPIC processes. Also, it is important to know the scope of their rights (i.e. over what areas of land and over what resources – what are the control and management rights over forests as between ITPs and the government), how do these rights relate to community forest permits, and how are ITP rights protected in the context of increasing protected area coverage or improving forest governance? What are the rights of ITPs to exclude or sue a trespasser intent on deforestation or illegal mining? A number of the PAMs will need to address these and related issues but the absence of national norms that fully clarifies land, resource and territory rights and the processes to secure them weaken the ability to do so adequately and perhaps even consistent with UNDP SES) (i.e. how can REDD+ facilitate integrated land management planning, if it is not clear who holds rights to lands and resources (especially forests) and what is the nature of those rights?).</p> <p>Measure 3.B.5, for instance (“Improve the location and size of community forest permits and forestry concessions through adoption of guidelines on criteria for designation”) is controversial to some who say such permits and concessions are not substitutions for full recognition of the rights of ITPs to the lands, resources and territories they have traditionally used and occupied (beyond what might be covered in a forest permit or concession).</p> <p>There are different sectoral laws that could be progressively interpreted and/or appropriately amended to provide some protections for the property rights of ITPs, especially in the case of potential infringement. Several are listed below. However, these would have to be understood in the context of the binding judgments of the IA Court which have made it clear that the Suriname legal framework does not provide legal recognition or protection of ITPs rights to property. Suriname is under clear orders and the continued supervision of the Inter-American Court of Human Rights (since 2004, <i>Moiwana</i> decision &amp; again in 2008 with the <i>Saramaka</i> decision) to provide an administrative, legislative or other</p>	<p>While several PLRs exist that address the risk, they usually do not include full protection and respect of ITP rights to their lands, resources and territories. Instead, respect of rights is required “as much as possible” or “insofar as not contrary to the general interest”. The reference made to rights to lands, resources and territories in the mining decree is inadequate as this is not a recognition of rights, nor a requirement that ITPs’ property rights be respected, that land tenure security of such peoples and communities first be addressed, nor is there an FPIC requirement. There are thus substantial gaps in existing PLRs and therefore several mitigation measures are needed:</p> <ul style="list-style-type: none"> <li>▪ All project documents must be clear that REDD+ implementation supports Suriname’s efforts to comply with its obligations and does not undermine or otherwise prejudice the rights of ITPs to their lands and resources, and all REDD+ activities must be carried out accordingly (See SESA Action Matrix and chapter 5).</li> <li>▪ Given that without a defined and agreed upon process with the ITPs to recognize their collective property rights – various other REDD+ activities may in development or implementation prejudice the rights of the ITPs to properly secure their land and resource rights, the sequencing of Project activities will ensure that PAM 3.A.1 is completed as a priority, and budget disbursements will be aligned accordingly to facilitate and reward the achievement of this benchmark while withholding funding from other activities that cannot be carried out without clear ITP property rights and legal personality (See SESA Action Matrix, priority 1 ITP rights and legal personality).</li> <li>▪ As indicated above, full protection of ITP rights (including to property) is contingent upon full recognition of their legal personality (without such personality, it is difficult to hold title, enter into contractual obligations, and access judicial remedies in Suriname). As required by UNDP SES #6, para. 7, the sequencing referenced above will take into account the <i>protection of this right under law</i>. Example: A pre-condition to implementing PAM 3.A.4 (<i>Follow a prior step to establish a code of conduct on how to take into account land rights before implementing new development or REDD+ activities in the vicinity of ITPs’ communities</i>), will be the national recognition of ITP legal personality. As pointed out by the Land Study, in the “<i>case of contracting with groups, it is fundamental that there is a legal recognition of the group in the national legislation.</i>” (See SESA Action Matrix, priority 1 ITP rights and legal personality).</li> </ul>

mechanism to delimit, demarcate and title ITP lands, resources and territories in Suriname.

Also, the Land Study required by the Participants Committee (Resolution PC/14/2013/7) issued a number of conclusions noting the insufficiency of the current legal framework and direct connecting the lack of a mechanism to recognize ITP property and the actual lack of land tenure security to be a key factor in ineffective implementation of REDD+ programming and readiness. For instance, the study states *“more secure land tenure situation is an enabling condition for avoiding deforestation and forest degradation”*. More specifically, the study states:

*“Under REDD+, lack of clarity on land tenure and natural resources rights can have serious adverse effects on people, especially forest-dependent people, such as ITPs. For example, where REDD+ PAMs aim to expand or establish protected areas, this may lead to reduced access to land and resources, or even economic or physical displacement. Lack of tenure security can also lead to elite capture of REDD+ benefits, excluding the landless poor and ultimately compromising overall REDD+ results. Lack of clarity regarding land tenure as opposed to carbon tenure can lead to competing claims of stakeholders holding different tenure rights (e.g. customary vs. statutory) over forest land and resources. Such cases can lead to disempowerment of local people, limit local livelihoods and spark conflict, and thus ultimately result in loss of trust and willingness to support REDD+ implementation. Therefore, the failure to secure land tenure rights can not only have a detrimental impact on communities but more generally have “a detrimental impact on REDD+ implementation”.* (Footnotes omitted)

The Land Study goes on to point out the following:

- *“[m]aintaining forests requires that forest inhabitants be able to exclude third parties from logging”* but without legal rights to the land or legal personality to sue others, this is limited.
- where the *Kaliña and Lokono Case* decided by the IA Court of Human Rights affirmed to Suriname that in the establishment of protected areas, ITP collective rights must be weighed, a compatibility reached *“between the safeguarding of protected areas and the adequate use and enjoyment of traditional territories”*,

- As determined by the screening of REDD+ implementing (sub-) projects, develop an *Indigenous and Tribal Peoples Plan* with ITPs, consistent with the UNDP SES and Applicable Law and considering the indicative outline provided in Annex 3 of this ESMF (See chapter 5.5 and especially sub-chapter 5.5.1).

and compensation to ITPs provided where restrictions on their rights are triggered – how can this be done without land tenure security and legal clarity on ITP land rights?

▪ “[a]ccording to national law, rights associated with carbon storage seem to be under the national State. This stems for various reasons, including lack of recognition of land tenure to ITPs, lack of recognition of legal personality of ITP communities, and existing general provisions on natural resources ownership. However, the rulings from the Inter American Court of Human Rights call for shifting the focus of the national legal framework in terms of recognizing ownership of rights to peoples that inhabit forests. Accordingly, such rights should encompass natural resources and land rights.” The suggestion, therefore, is that until the ownership of forests is determined, an effective and comprehensive national REDD+ strategy focusing on protection of forests and carbon storage is somewhat paralyzed.

▪ “[t]he legal personality of such populations as a group or collective is not recognized by the national legal framework (the legal system only recognizes natural or legal persons, including companies and associations). This hinders the recognition of the collective land tenure situation, as well as prevents them from claiming collectively against encroachment by third actors of the lands that they occupy”

Other laws to be reviewed, albeit as currently conceived, not intended to provide the full scope of protection for ITP property rights:

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 (Decree L-1):** “Upon disposing of State land, *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*”. 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. Despite the language quoted, the decree still does not fully meet the standards of the American Convention on Human Rights. Infringements of indigenous and tribal peoples' rights are not permitted simply because an approved development plan exists. There are legal requirements for such infringements of these peoples' and community rights that are not expressed in the law

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 *conduct consultations with the leaders of independent communities*. 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.

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 the use of science and technology in the context of the national development objectives. If this was interpreted consistent with the right to culture in the ICCPR and ICESCR to require delimitation, demarcation and titling of indigenous and tribal lands in Suriname, this would be good. However, there is no evidence of this to date.

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, however, the broad and vague definition of "village" will make the bill difficult to implement to protect the rights of indigenous and tribal peoples if not addressed before adoption.

**Risk and Risk Level**

**Safeguards triggered**

11. Forced eviction and/or displacement (LOW)	UNDP SES	WB	Cancun	GCF
	UNDP SES #5	OP 4.12	C	PS5 PS7
Explanation and existing PLRs	Conclusions and mitigation measures			
<p>REDD+ implementation in Suriname does not intend to lead to forced eviction or physical displacement.</p> <p>The Land Study required by the Participants Committee (Resolution PC/14/2013/7), however, concluded that <i>“If not substantially ameliorated, the current land tenure situation in the country could mean that the implementation of REDD+ initiatives put current forest-dwellers at risk of formal or informal eviction from the lands that they inhabit.”</i></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 natural resources in order to apply them to the needs of the economic, social and cultural development of Suriname.</p> <p>UNDRIP, Arts. 2(c) and 10, which are applicable to REDD+ implementation, refer to the forcible removal of ITPs from their lands or territories and state that “No relocation shall take place without the free, prior and informed consent of the</p>	<p>Existing PLRs to some extent address the risk of forced eviction and the risk is overall considered to be very low. 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 physical displacement. Access to a grievance redress mechanism would also be helpful. In addition:</p> <ul style="list-style-type: none"> <li>▪ As activities become further defined, an SESP will need to be applied and if required, a <i>Resettlement Action Plan</i> developed in accordance with the UNDP SES and Applicable Law (an indicative outline for this plan is available in the Annex 8 to this ESMF) (See chapter 5 and especially sub-chapter 5.5.6).</li> </ul>			



indigenous peoples concerned and after agreement on just and fair compensation and, where possible, with the option of return”.				
<b>Risk and Risk Level</b>	<b>Safeguards triggered</b>			
<b>12. Illegal activities</b>	<b>UNDP SES</b>	<b>WB</b>	<b>Cancun</b>	<b>GCF</b>
	/	/	B	/
<b>Explanation and existing PLRs</b>	<b>Conclusions and mitigation measures</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.	<p>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.</p> <ul style="list-style-type: none"> <li>▪ Mechanism to report illegal activity will be clarified and made known to all stakeholders (i.e. through the GRM, a communication system, the PMU, a government body, and/or other multi-stakeholder bodies). If necessary, anonymous reporting will be provided for to encourage reporting and discourage retaliatory actions (See ESMF chapter 7).</li> <li>▪ Monitoring mechanisms will include indicators that will identify where illegal activities may be occurring and the social and environmental impacts of these activities (See ESMF chapters 5.5 and 7).</li> <li>▪ Emphasis will be placed on increasing land tenure security for ITPs and others in areas where forest resources are to be protected. This provides them with a legal basis to exclude trespassers and bring legal actions against illegal actors, and a vested interest in protecting the lands from illegal use (See SESA Action Matrix, priority 1 ITP rights and legal recognition)</li> <li>▪ A plan will be in place for increased capacity to regulatory agencies and departments that are mandated by law to carry out their monitoring and enforcement duties (See SESA Action Matrix, priority 3).</li> </ul>			
<b>Risk and Risk Level</b>	<b>Safeguards triggered</b>			
	<b>UNDP SES</b>	<b>WB</b>	<b>Cancun</b>	<b>GCF</b>

<b>13. Inequality – income and benefit sharing</b>	UNDP SES #6 and 7	(not explicitly covered)	(b), (e) (not explicitly covered)	(PS2)
<b>Explanation and existing PLRs</b>	<b>Conclusions and mitigation measures</b>			
<p>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.</p> <p>The Land Study concluded that “Lack of tenure security can also lead to elite capture of REDD+ benefits, excluding the landless poor and ultimately compromising overall REDD+ results”.</p> <p>A REDD+ Benefit Sharing Mechanism has not yet been developed in Suriname as yet.</p>	<p>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. In addition:</p> <ul style="list-style-type: none"> <li>▪ Equitable benefit sharing can be best achieved with transparency, regular stakeholder engagement, and where ITPs are involved, through good faith FPIC processes where benefits to be shared are reflected in the final outcome agreements. The SESA Action Matrix and requirements regarding stakeholder engagement and FPIC assure this.</li> <li>▪ Land tenure security will be viewed as a means to ensure greater equitable benefit sharing. Therefore, land tenure security is to be prioritized, as can be seen under priority 1 ITP rights and legal personality of Action Matrix.</li> </ul>			
<b>Risk and Risk Level</b>	<b>Safeguards triggered</b>			
<b>14. Loss of cultural heritage (tangible and intangible)</b>	<b>UNDP SES</b>	<b>WB</b>	<b>Cancun</b>	<b>GCF</b>
<b>(MODERATE TO HIGH)</b>	UNDP SES #4 and #6	OP 4.11 (restricted to physical)	c	PS7 PS8
<b>Explanation and existing PLRs</b>	<b>Conclusions and mitigation measures</b>			
<p>Current PAM activities, including for instance, those targeted at increasing the coverage of conservation areas, reconducting the process toward legal recognition of land rights, and increasing the proportion and size of areas under controlled forest management - depending on how they are carried out - can positively or adversely impact cultural heritage.</p> <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</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.</p> <ul style="list-style-type: none"> <li>▪ Mapping of physical cultural resources could help ensure that their location can be more easily taken into consideration in land use planning and restrictions on access and use precluded to the extent possible. The process for mapping of such resources when activities in specific areas are defined, can be accounted for in the Indigenous and Tribal Peoples Plan as well as the Cultural</li> </ul>			

<p>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, and 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 entitled to a site/field must tolerate that the State or persons in the interest of archaeological research, perform measurements or excavations. If 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> <p>UNDRIP, applicable to REDD+ programming, also protects ITPs rights to their cultural heritage (tangible and intangible), see Arts. 11, 12 &amp; 31.</p>	<p>Heritage Management Plan (indicative outlines included in Annexes 3 and 5) (see SESA Action Matrix, priority 6)</p> <ul style="list-style-type: none"> <li>▪ For intangible cultural heritage documenting traditional knowledge, uses, stories, craft skills, etc. would represent the equivalent to mapping of physical cultural heritage (see SESA Action Matrix, priority 6).</li> <li>▪ Implementation practices will expressly observe that infringements on cultural heritage (tangible and intangible) would be subject to FPIC (see chapter 5.5.3 and Annex 5).</li> <li>▪ As determined by the screening of REDD+ implementing (sub-) projects, develop a <i>Cultural Heritage Management Plan</i> consistent with the UNDP SES and Applicable Law (see also chapter 5.5.3 and Annex 5 to this ESMF).</li> <li>▪ Include cultural heritage impacts within the context of assessment and monitoring exercises (see chapter 5).</li> <li>▪ See also Risk #15 below and its corresponding mitigation measures.</li> </ul>			
<b>Risk and Risk Level</b>	<b>Safeguards triggered</b>			
<b>15. Loss of cultural heritage - intellectual property rights (LOW)</b>	<b>UNDP SES</b>	<b>WB</b>	<b>Cancun</b>	<b>GCF</b>
	UNDP SES #4 and #6	(OP 4.10)	c	PS7 PS8
<b>Explanation and existing PLRs</b>	<b>Conclusions and mitigation measures</b>			

<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. In 2004, a Bill on Industrial Property was submitted to Parliament but never approved.</p> <p>See UNDRIP, Art. 31 affirming that ITPs have the right to maintain, control, protect and develop their intellectual property over such cultural heritage, traditional knowledge, and traditional cultural expressions; see also Art. 11 requiring FPIC before using or otherwise infringing on cultural heritage (including physical properties and intellectual property)</p>	<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.</p> <ul style="list-style-type: none"> <li>▪ Final FPIC protocols applicable to REDD+ programming will recognize FPIC is required where cultural heritage (tangible or intangible) is to be taken, appropriated, infringed upon, used commercially, etc.) (see SESA Action Matrix, priority 1, FPIC)</li> <li>▪ PAMs targeted at improving forest governance and management will encourage discussions about ITP traditional knowledge and practices that can be incorporated into strategies and resource management plans to better reach the REDD+ implementation goals and objectives. (See SESA Action Matrix, priority 3 coordination, communication and engagement)</li> <li>▪ As determined by the screening of REDD+ implementing (sub-) projects, develop a <i>Cultural Heritage Management Plan</i> consistent with the UNDP SES and Applicable Law (see also chapter 5.5.3 and Annex 5 to this ESMF).</li> <li>▪ See also mitigation measures above related to Risk #14.</li> </ul>			
<p><b>Risk and Risk Level</b></p>	<p><b>Safeguards triggered</b></p>			
<p><b>16. Pollution</b></p>	<p><b>UNDP SES</b></p>	<p><b>WB</b></p>	<p><b>Cancun</b></p>	<p><b>GCF</b></p>
	<p>UNDP SES #7</p>	<p>OP 4.01</p>	<p>e</p>	<p>PS3</p>
<p><b>Explanation and existing PLRs</b></p> <p>Activities in REDD+ implementation – for example, support of non-timber forest products for commerce, or support toward specific agricultural practices - can lead to practices that can pollute if not regulated well (for instance, ensuring against use of pesticides).</p> <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><b>Conclusions and mitigation measures</b></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. These measures will be duly implemented and properly financed. In addition:</p> <ul style="list-style-type: none"> <li>▪ In any new project, in line with relevant safeguards and EIA guidelines (see ESMF), pollution control and management need to be considered from the start (see chapter 5.1 and subsequent chapters).</li> </ul>			

<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>The Environmental Framework Act that was adopted by Parliament in 2020 provides for pollution control.</p>	<ul style="list-style-type: none"> <li>▪ The robust assessment and monitoring mechanisms will establish baseline conditions to monitor changes in the ecosystem due to pollution from activities (all risks are monitored, see chapter 5).</li> </ul>			
<p><b>Risk and Risk Level</b></p>	<p><b>Safeguards triggered</b></p>			
<p><b>17. Reduced access to resources</b> - economic or occupational displacement <b>(MODERATE TO HIGH)</b></p>	<p><b>UNDP SES</b></p>	<p><b>WB</b></p>	<p><b>Cancun</b></p>	<p><b>GCF</b></p>
	<p>UNDP SES #5 and #6</p>	<p>OP 4.10, OP 4.12</p>	<p>c</p>	<p>PS5 PS7</p>
<p><b>Explanation and existing PLRs</b></p>	<p><b>Conclusions and mitigation measures</b></p>			
<p>The UNDP SES, does preclude “economic and occupational displacement” (“i.e., loss of assets or access to assets that leads to loss of income sources or means of livelihood) as a result of project-related land or resource acquisition or restrictions on land use or access to resources (including through Project externalities such as pollution and impacts to biodiversity or ecosystem services) that people depend on for physical, economic, social, cultural, or spiritual well-being.”</p> <p>It is possible that REDD+ implementation may trigger this UNDP SES safeguard. Some REDD+ activities may place restrictions on existing and future natural resource uses. Although restrictions resulting in economic displacements are not envisioned, this could happen, especially for poorer and marginalized individuals and collectives who may not have resources to change their current practices and resource uses or whose livelihoods, and their physical and cultural survival is deemed connected to those resources, or where the peoples in question did not fully understand the natural resource use limitations to which they were agreeing.</p> <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</p>	<p>The PLRs together with measures included in the National REDD+ Strategy promoting engagement of stakeholders in the revision of legal instruments, adoption of new legislation (for instance, around the rights of ITPs) and documentation of traditional rights to be used as a reference in such processes (see SESA Action Matrix) will help to mitigate this risk. In addition:</p> <ul style="list-style-type: none"> <li>▪ The Livelihood Action Framework will be implemented (see Annex 4).</li> <li>▪ Affected stakeholder access to a GRM in the event of reduced access to resources is necessary (see SESA Action Matrix, priority 2 and chapter 7)</li> <li>▪ Actions to revise or adopt new laws, and mechanisms to implement REDD+ activities will be informed by the fact that where there is an infringement (restriction/limitation) on the rights of ITPs to their property (including access to and use of resources), such infringements can trigger rights to compensation and they can only occur where due process is available, agreements on benefit sharing are reached, an independent social and environmental assessment is first undertaken, and good faith consultations are conducted (in certain cases, FPIC will be required). These conditions are further outlined in the <i>Saramaka Case</i>. (See chapter 5.3 and several measures included in the SESA Action Matrix)</li> </ul>			

<p>the guarantee of freedom and justice and the participation of everyone in the economic, social and cultural development and progress.</p> <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 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>	<ul style="list-style-type: none"> <li>Where REDD+ implementation could result in economic or occupational displacement (such as through protected area management plans, the terms of a community forest permit, legal reform to the mining law, or other land management or forest governance program), related activities will be the subject of extensive consultations with the potential affected communities. During these good faith consultations ITP use and access rights will be discussed, and the ITPs' current and future uses of their lands and resources will be shared and documented with a view to protection. If restrictions are to occur, FPIC is secured and documented (with the conditions associated with the restriction - i.e. benefit sharing, compensation for the infringement, dispute resolution if breaches by either party, alternative livelihood options provided, etc.). (See chapter 5.3 and several measures included in the SESA Action Matrix)</li> </ul>			
<p><b>Risk and Risk Level</b></p>	<p><b>Safeguards triggered</b></p>			
<p><b>18. Risk of reversal</b></p> <p><b>HIGH</b></p>	<p><b>UNDP SES</b></p>	<p><b>WB</b></p>	<p><b>Cancun</b></p>	<p><b>GCF</b></p>
	<p>/</p>	<p>OP 4.01, OP 4.04, OP 4.36</p>	<p>f</p>	<p>/</p>
<p><b>Explanation and existing PLRs</b></p>	<p><b>Conclusions and mitigation measures</b></p>			
<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 will help detect reversals and allow for adjustment in REDD+ management accordingly.</p> <ul style="list-style-type: none"> <li>The SESA Action Matrix under priority 3 institutional and governance strengthening specifically recommends to review the needs for monitoring and control beyond forest monitoring. It emphasizes the need to incorporate provisions to help track the risks of reversal and displacement of emissions in the NFMS, also as a contribution to Suriname's SIS.</li> <li>Capacity building and resource assistance may be needed to ensure that non-governmental stakeholders can fulfill any commitments they might assume as partners with the Government in the REDD+ efforts to sustainably develop and protect forests. (This will also avoid stakeholder</li> </ul>			

	<p>disenchantment with participating in the arrangements) (see SESA Action Matrix, priority 3 monitoring and control)</p> <ul style="list-style-type: none"> <li>▪ Where reforestation or other conservation arrangements are to be designed and involving various proprietors, national oversight is needed to ensure that all who may be promised a benefit, incentive, or other support receive it equitably (this will help them maintain interest in participating). (See SESA Action Matrix, priority 1 REDD+ benefit sharing)</li> <li>▪ Law enforcement will be included in capacity building and training and support for forest governance so that it can better enforce uncontrolled logging and other illegal activities (see SESA Action Matrix, priority 3 capacity needs.)</li> <li>▪ See also related Risks #5, 10, 11, 14 and 15 and the mitigation measures there.</li> </ul>			
<b>Risk and Risk Level</b>	<b>Safeguards triggered</b>			
<b>19. Unsustainable resource use - wood waste</b>	<b>UNDP SES</b>	<b>WB</b>	<b>Cancun</b>	<b>GCF</b>
	UNDP SES #8	OP 4.36	e	PS3
<b>Explanation and existing PLRs</b>	<b>Conclusions and mitigation measures</b>			
<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>			
<b>Risk and Risk Level</b>	<b>Safeguards triggered</b>			
<b>20. Unsustainable resource use - overexploitation of NTFPs</b>	<b>UNDP SES</b>	<b>WB</b>	<b>Cancun</b>	<b>GCF</b>
	(UNDP SES #1)	(OP 4.36)	e	PS6

Explanation and existing PLRs	Conclusions and mitigation measures			
Based on the Forestry Act, the Minister is authorized to issue licenses for NTFP under special conditions.	<ul style="list-style-type: none"> <li>▪ Projects promoting the use of NTFPs will 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 to ensure this is done. SBB will develop conditions for sustainable harvesting of NTFPs.</li> </ul>			
Risk and Risk Level	Safeguards triggered			
21. Unsustainable resource use - tourism	UNDP SES	WB	Cancun	GCF
	(UNDP SES #1)	OP 4.04	e	PS6
Explanation and existing PLRs	Conclusions and mitigation measures			
<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>	<ul style="list-style-type: none"> <li>▪ In the absence of more detailed information on the contents of the Tourism Act, it is suggested that projects promoting nature tourism will be monitored, also after intervention by external actors ends, in order to identify potentially negative impacts at an early stage. Regulations for sustainable nature tourism will be developed and implemented.</li> </ul>			



### **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 six 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 empowerment 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.

It should be noted that the following Table 11 is an extended version of the Action Matrix included in the SESA Report, due to the incorporation of additional information on existing PLRs and UNDP SES requirements into Table 10 of the present ESMF.

Table 11: Action matrix summarizing SESA recommendations, including measures to promote benefits and address anticipated social and environmental risks and impacts

<b>Priority 1</b> <b>Clarification of topics currently unclear and causing mistrust or confusion</b> <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 (including the UNDP SES #6 requirement that all adverse impacts to ITPs traditional livelihoods and rights to lands, resources and territories will be	Official government position in written form publicly available  Communication plan developed and implementation started  A process for recognizing the collective lands, resources and territories of ITPs has been defined.	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 consistent with Applicable Law and 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.
REDD+ benefit sharing			Develop “REDD+ benefits tracker” to communicate monetary and other benefits obtained and how they get used (e.g. website), for increased transparency and to allow for national oversight to ensure that all who have a right to	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+	There is a shared understanding of REDD+ benefits and how they are being equitably shared in Suriname. Stakeholders are confident that they receive the agreed benefits. Expectations are managed

	subject to FPIC <sup>34</sup> ). At national level, develop communication plan to inform ITPs and other relevant stakeholders accordingly.		receive a benefit, incentive, or other support receive it equitably.		safeguards Summary of Information to be submitted to UNFCCC. Number of complaints regarding benefits agreed but not received.	regarding limitations to monetary benefits from REDD+.
FPIC	Document customary rights and traditional activities and livelihoods in the context of consultation and FPIC processes together with affected communities to inform the revision of existing legislation, the adoption of new legislation, and respect for traditional activities in relevant REDD+ programming and activities. Ensure that any agreements or contracts entered into with ITPs (PAM		Develop and implement official guidelines/protocol for seeking and obtaining FPIC, in line with UN-REDD+ Guidelines on FPIC and UNDP SES #4 and #6 requirements. Build capacity amongst agencies that will have to follow the guidelines	Number of cases where FPIC was sought and obtained or refused across sectors (relevant information for the SIS and Summary of Information)	FPIC guidelines/protocol consistent with Applicable Law and UNDP SES #6 requirements 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 and legal personality			Customary rights and traditional activities are documented and used as reference in processes to amend legislation and adopt new laws. Existing land use maps are used in addition. Agreements or contracts entered into with ITPs (PAM 3.A.4) have express terms related to the protection or agreed upon restrictions on livelihoods (previously subject to FPIC). Any and all REDD+ activity has been checked for consistency with UNDRIP.	Number of documented customary rights and traditional activities across the country. (relevant information for the SIS and Summary of Information) Percentage of agreements or contracts entered into with ITPs that have express terms related to the protection or agreed upon restrictions on livelihoods (previously subject to	The legal personality, collective property and traditional rights get legally recognized, which is reflected in the amended legislation and new law(s) This legal recognition is communicated to all relevant stakeholders.	ITPs feel empowered and more secure regarding their legal personality, rights to (collective) land, resources and territories as they are now reflected in national norms. They trust that their rights will be respected by all relevant stakeholders, all activities are in line with UNDRIP and they have written proof of express terms related to the protection or agreed upon restrictions on livelihoods (previously subject to FPIC) where agreements or contracts have been signed.

<sup>34</sup> This could be the case, for example, where management plans for protected areas are elaborated. These should then be elaborated together with affected ITPs. Any restrictions on access to resources, livelihoods and traditional activities should be expressly agreed to (FPIC), and consistent with Applicable Law, compensation will be awarded to ITPs where infringement of property rights occurs.

	<p>3.A.4) will have express terms related to the protection or agreed upon restrictions on livelihoods (previously subject to FPIC).</p> <p>Ensure that REDD+ activities comply with UNDRIP. Where there is an absence of legal norms to protect ITPs, UNDRIP can fill these gaps and will be referred to as a baseline.</p> <p>Support (define as necessary) processes to achieve full recognition of legal personality of indigenous peoples.</p> <p>Prioritize securing the legal personality and collective property rights of ITPs and ensure budget disbursements are aligned accordingly to facilitate and reward the</p>		<p>Process for recognizing the legal personality and collective property rights of ITPs is underway and completed already in some places.</p>	<p>FPIC) and are aligned with UNDRIP.</p> <p>Progress with implementation of process to recognize legal personality and collective property rights.</p>		
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	achievement of this benchmark while withholding funding from other activities that cannot be carried out without clear ITP property rights and legal personality.					
<p><b>Priority 2</b></p> <p><i>Resolution of existing conflicts over land use and concessions</i></p> <p><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></p>						
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 currently existing conflicts over the use of land (overlaps, encroachment). Review options for resolution of conflicts at local level (within and between	Government position exists and is publicly available. It is reviewed for consistency with Applicable Law and reconciled as needed.  Communication and action plan exist, detailing how the	Implement culturally appropriate communication and action plan, start awareness raising, capacity building and dialogues as needed, including on access and use of the GRM.  Implement finalized GRM.	Number of conflicts resolved (e.g. where concessions were issued too close to villages)  Number of dialogues and/or capacity building events organized and conducted.	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. Spaces for dialogues help deal with further disagreements. Where conflicts still occur, they will be addressed through the finalized Grievance Redress Mechanism.

	<p>communities). Develop communication and action plan to resolve these conflicts. Organize facilitated spaces for capacity building and dialogues among stakeholders to work through differences, educate each other about their respective concerns and the rights of their fellow stakeholders. Finalize GRM in accordance with the conclusions, recommendations and work plan identified in the “Development of a REDD+ Grievance Mechanism for Suriname Final Design Report”.</p>	<p>government will approach the resolution of these conflicts. Spaces for capacity building and dialogue have been created. Finalization of GRM is underway.</p>				
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**Priority 3**

***Institutional and governance strengthening***

*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.*

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	<p>Conduct an institutional REDD+ implementation needs assessment, looking at required functions, tasks and existing capacities.</p> <p>Provide capacity building and training on law enforcement, esp. regarding uncontrolled logging and other illegal activities.</p>	<p>Published result of the assessment, identifying relevant gaps in terms of (a) knowledge and skills, (b) staffing and thus (c) financial resources.</p> <p>Published action matrix to fill gaps, including possible funding sources.</p> <p>Number of capacity building and training events on law enforcement.</p>	<p>Implement action matrix. Apply adaptive management approach, i.e. where new requirements emerge, include them in the action matrix and address them accordingly.</p>	<p>Progress report showing which gaps have been addressed and how.</p>	<p>Review the match between the existing capacities and capacity needs over time and review and revise the action plan accordingly.</p>	<p>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 that important tasks can be continued.</p> <p>There is higher capacity and knowledge on law enforcement, esp. regarding uncontrolled logging and other illegal activities.</p>
Monitoring and control (forest monitoring and beyond)	<p>Review the needs for monitoring and control beyond forest monitoring, i.e. including REDD+ implementation monitoring and generic monitoring of adherence to PLRs. Special attention should be paid to monitoring the sustainability of</p>	<p>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.</p>	<p>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.</p>	<p>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</p>	<p>Re-assess match between monitoring needs and capacities to be able to adjust to changes in needs.</p> <p>Produce report showing progress made and how the monitoring data helps assess progress with REDD+ implementation (link with SIS).</p>	<p>There is clarity regarding the needs for monitoring and control and capacities have been enhanced, including by involving local communities in monitoring.</p> <p>Long-term sustainability of REDD+ implementation can be observed and management adjusted where monitoring detects issues that could hinder achievement of agreed objectives.</p> <p>Application of sustainable use</p>

	<p>alternative livelihood options and demand and supply of wood and wood products at national level.</p> <p>Ensure monitoring of implementation of ESMF (incl. annexed frameworks) as well as of implementation of topical management plans that get developed for REDD+ (sub-) projects.</p> <p>Incorporate provisions to help track the risks of reversal and displacement of emissions in the NFMS, as contribution to the SIS.</p>	<p>including the role of ITPs in monitoring), financing options and action plan.</p>		<p>applied.</p>		<p>regulations ensure that alternative livelihood options will continue to benefit ITPs.</p> <p>The risks of reversal and displacement of emissions can be tracked as a direct input into the SIS.</p>
<p>Coordination, communication and engagement</p>	<p>Foster multi-stakeholder participation in project governance, capacity building workshops and initiatives</p>	<p>Project governance documentation includes description how stakeholders' voices are considered, how they can participate and how traditional</p>	<p>Apply both regulation for communication of PLR changes and REDD+ community engagement strategy.</p> <p>Invite stakeholders to participate in project governance.</p> <p>Consult with affected populations</p>	<p>Number of PLR changes successfully communicated and number of legal revision procedures completed involving ITPs.</p> <p>Number of PLR changes</p>	<p>Communication regulations officially acknowledged and applied.</p> <p>PLR reviews continue using REDD+ community engagement strategy, documented traditional</p>	<p>The combination of clear communication and enhanced monitoring and control reduces the risk that new or amended PLRs do not get adhered to.</p> <p>ITPs do no longer worry that they will feel hurried to agree to legal</p>



	<p>Establish provisions for transparent communication of changes in PLRs as part of REDD+ implementation to all stakeholders.</p> <p>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 is appropriate, provides sufficient time for consideration of proposals, and that documented traditional rights and land use maps are used in legal revision processes and traditional knowledge in the development of strategies and resource management plans.</p>	<p>rights and knowledge are used in legal revisions and in the development of strategies and resource use plans.</p> <p>Official regulation is in place for communication of PLR changes to all stakeholders, including in the interior.</p> <p>REDD+ community strategy appropriately reflects culture and gender aspects.</p>	<p>and respect the findings of the three binding rulings of the IA Court in the revision of existing law.</p> <p>Use documented traditional rights and land use maps in legal revision processes and traditional knowledge in the development of strategies and resource use plans.</p>	<p>where documented traditional rights and/or land use maps have been used.</p> <p>Number of complaints raised in this context.</p> <p>Progress made with implementation of the binding rulings of the IA Court.</p>	<p>rights, land use maps and traditional knowledge and respect the findings of the rulings of the IA court.</p> <p>Stakeholders can participate in project governance.</p>	<p>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, and they can participate in project governance.</p>
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	Ensure that reviews and potential reforms to the national legal framework related to protected areas and conservation are conducted consistent with the binding judgement of IA Court in the Kaliña and Lokono Case.					
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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. Strengthening of gender inclusive REDD+ implementation is also in line with Suriname’s commitment to the Convention on the Elimination of all Forms of Discrimination against Women (CEDAW).*

<b>Priority reform area</b>	<b>Short term actions (1-2 years)</b>	<b>Short term monitorable outcomes</b>	<b>Medium-term actions (3-5 years)</b>	<b>Medium-term monitorable outcomes</b>	<b>Long-term actions (&gt; 5 years)</b>	<b>Final outcomes</b>
Gender specific capacity building and education	Continue capacity building on gender inclusiveness at government level, involving both men and women; Foster gender literacy education;	Gender capacity building and literacy education plan established.	Implement gender capacity and literacy education plan.	Number of capacity building events realized, number or participants and W:M ratio. Number of gender literacy education events realized and number of participants.	Review capacity building and education needs based on holistic update of gender issues and acknowledgement of their importance in REDD+ implementation	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. Women feel more empowered to

	Encourage engagement of traditional authorities in the above.			Presence of traditional authorities. (information may be of interest to the SIS)		engage in decision-making and their voice is heard and appreciated.
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. Ensure greater participation and inclusivity of women in all	Gender tools have been developed for specific REDD+ implementation processes. Participation of women in stakeholder events has noticeably increased.	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). Efforts are made to maintain a high level of participation and inclusivity of women in all stakeholder events.	Number of times gender tools have been used. Amount of funding allocated to gender specific activities under REDD+ implementation. Relation between male and female presence at stakeholder events, and observations regarding active participation. (All 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. Ways to maintain a high level of participation and inclusivity of women in stakeholder events are reviewed and adjusted in line with experience.	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. Women feel empowered as REDD+ stakeholders whose voices are heard and taken into account.

	stakeholder events –including consultation and FPIC processes.					
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## Priority 5

### *Local-level empowerment 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.*

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	Incorporated into REDD+ community engagement strategy, plan for discussion forums, capacity meetings and stakeholder engagements that seek to learn about  - Obtaining rights to land and autonomous management of land;  - Sustainable resource use, less harmful methods	REDD+ community engagement strategy includes discussion forums, capacity building plans and other initiatives exists and is publicly available, several initiatives have 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.	REDD+ PAMs implementation continues and capacity building is completed.  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).	Land rights of ITPs are clarified and ITPs confident in the ownership and management of their own land, including the sustainable use of resources from their land.  Traditional practices and traditional knowledge are taken into account and respected in legal revisions and development of PA management plans and land and resource use plans.  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>in the logging and mining sector and agroforestry;</p> <ul style="list-style-type: none"> <li>- Traditional practices and benefits from traditional knowledge that already promote sustainable land use planning, harvesting, and forest management effort</li> <li>- Starting and managing local businesses (entrepreneurship);</li> <li>- The existing national and international legal framework<sup>35</sup></li> <li>- Policy development and legal document revision;</li> <li>- Monitoring and protected area management</li> </ul>					<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>
Increased information and	Ensure implementation of	Progress reports on implementation of	Continued implementation and monitoring, adjustments of	Progress reports on implementation of	Continued implementation and monitoring,	Local level stakeholders are informed about progress with

<sup>35</sup> This topic will be informed by the PLR analysis done as part of the SESA as well as the “Review of the land tenure and natural resources legal framework” (Land Study already completed).

recognition	<p>Indigenous and Tribal Peoples Framework, Cultural Heritage Management Framework and Stakeholder Engagement Framework and communicate progress.</p> <p>Ensure implementation of REDD+ implementing (sub-) projects annexed plans, including Indigenous and Tribal Peoples Plan, Cultural Heritage Management Plan and Stakeholder Engagement Plan</p>	measures included in frameworks and plans, communicated to local stakeholders in a culturally appropriate manner.	frameworks and plans as necessary.	<p>measures included in frameworks and plans, communicated to local stakeholders in a culturally appropriate manner.</p> <p>Number of complaints on failure to implement any part of the frameworks and plans.</p>	<p>adjustments of frameworks and plans as necessary.</p> <p>Number of complaints concluded.</p>	<p>implementation of frameworks and/or plans and know where they can raise concerns regarding failure to implement measures included in those. They feel assured that REDD+ implementation promotes their rights and considers their interests.</p>
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**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.

Assessment of content of the Anti-Corruption Bill against REDD+ specific recommendations from the Corruption Risk Assessment and adjustment of the Bill, if needed. Revision and prioritization of the REDD+ specific recommendations from Vaidya 2017 through and assessment of their feasibility and impact and work towards establishment of at least the prioritized ones.

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. (relevant information for the SIS and Summary of Information)

Mapping of physical cultural resources to help ensure that their location can be more easily taken into consideration in land use planning and restrictions on access and use precluded to the extent possible. The process for mapping of such resources when activities in specific areas are defined, can be accounted for in the Indigenous and Tribal Peoples Plan as well as the Cultural Heritage Management Plan.

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, which include plantations, should be consulted in this process.

## 5. Framework for implementing PAMs

Suriname’s National REDD+ Strategy consists of Policies and Measures but does not yet specify detailed activities as well as where and how they will be implemented. In addition to the mitigation measures identified to avoid or at least minimize and manage the identified risks, the present framework for the implementation of PAMs needs to be applied.

The following sub-chapters shall be used prior to and during implementation of REDD+ PAMs by the REDD+ (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 sub-chapters below.

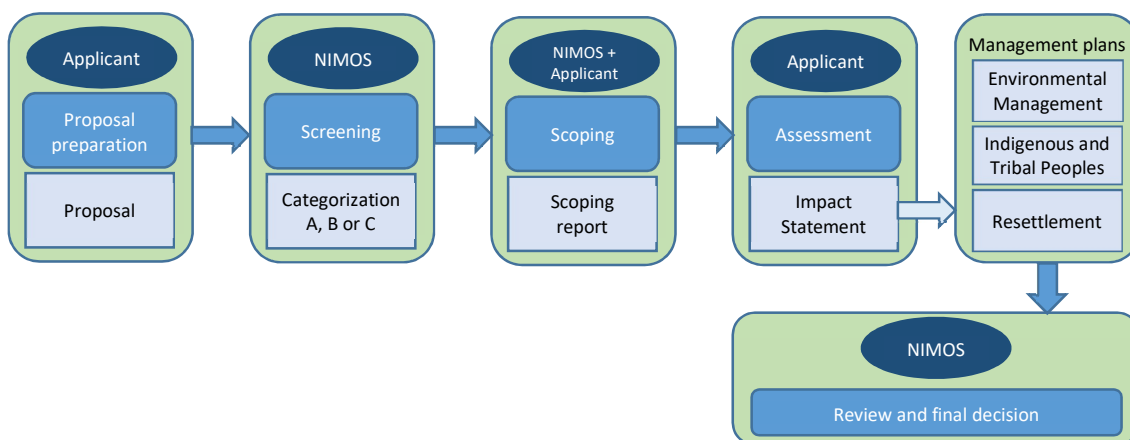


Figure 2: Step-wise process for managing social and environmental benefits and risks in REDD+ implementing (sub-) projects (dark blue = suggested responsible entity, mid-blue = step in the process, light blue = outputs)

The following arrangements for PAMs implementation have been developed in consideration of the UNDP SES, 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 refer 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)

To the extent possible, the following sub-chapters 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+<sup>36</sup>.

Elements that play a role in all of the management plans that may be necessary at a later stage (e.g. Indigenous and Tribal Peoples Plan), i.e. ways to promote benefits, mitigation measures, stakeholder engagement, monitoring and evaluation and dispute resolution, are addressed in separate sub-chapters.

## 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. 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.

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<sup>36</sup> 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 3 of the present ESMF called “Social and Environmental Screening Procedure Categories”.

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 examples for mitigation measures included in Annex 2.

Local community consultation reports (see Annex B of SESA report) 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 (chapter 4.3), is recommended to ensure coverage of gender-specific issues.

Any pest and/or vector management activities related to REDD+ implementation will need to be based on integrated pest management approaches and aim to reduce reliance on synthetic chemical pesticides. Pollution control and management will need to be considered from the start.

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. Chapters 5.5.4 and 6 on stakeholder engagement as well as the Stakeholder Engagement Framework in Annex 6 should also be considered.

Chapter 8 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.

As mentioned above, this ESMF has been drafted with the aim of providing a risk assessment and set of mitigation measures that should capture most if not all of the risks that might accompany the known PAMs and any decisions around converting those PAMs into activities for implementation making those activities more precise and distilling them down to their implementation modalities. However, as new activities are fully specified in the future, the UNDP SESP will still need to be applied to these activities. That is, each new activity will need to be run through the risk screening process per the UNDP SESP. The questions listed in Annex 1 of the SESP (Social and Environmental Screening Template) provide the baseline for the initial screening of all social and environmental risks as against the UNDP SES. These can be supplemented, where consistent, with the screening questions in NIMOS (2009, Annex 1) and NIMOS (2005a, Appendix 2), each having a focus on environmental impacts (see Annex 1 to this ESMF).

Depending on the outcome of the screening process, proposals will fall into one of three categories (low, medium and high-risk projects), see Box 3 below.

<b>Low Risk (NIMOS Category C)</b>	REDD+ interventions that include activities with minimal or no risks of adverse social or environmental impacts.
<b>Moderate Risk (NIMOS Category B)</b>	REDD+ interventions that include activities with potential adverse social and environmental risks and impacts, that are limited in scale, can be identified with a reasonable degree of certainty, and can be addressed through application of standard best practice, mitigation measures and stakeholder engagement during Project implementation. Moderate Risk activities may include physical interventions (e.g. buildings, roads, protected areas, often referred to as “downstream” activities) as well as planning support, policy advice, and capacity building (often referred to as “upstream” activities) which may present risks that are predominantly indirect, long-term or difficult to identify.
<b>High Risk (NIMOS Category A)</b>	REDD+ interventions with activities – either “upstream” or “downstream” – with potential significant and/or irreversible adverse social and environmental risks and impacts, or which raise significant concerns among potentially affected communities and individuals as expressed during the stakeholder engagement process. High Risk activities may involve significant impacts on physical, biological, ecosystem, socio-economic, or cultural resources. Such impacts may more specifically involve a range of human rights, gender, and/or environmental sustainability issues.

Where the SESP screenings are undertaken and they identify potential social and environmental risks that could be categorized as High Risk, these (sub-) project components will be redesigned to eliminate and/or minimize such risks. (Sub-) Project components that may still present High Risks (NIMOS category A) after redesign will be excluded from the project. The SESP, the ESMF, ESMP and other management plans will also be updated if there are any significant changes in the project’s design or context that may materially change its social and environmental risk profile and consequently the mitigation measures and action plans to address them.

Also, because the REDD+ project subject to this ESMF has a number of PAMs whose underlying activities and sub-projects are yet to be defined, it is recommended that a reasonable budget is allocated for supplementary environmental and social assessment and SESP work that may be required (each tailored narrowly to address only the new activities that cannot be said to already be covered by, and addressed by the existing ESIA, ESMF and various management plans).

### 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.

Following the screening, the SESP, paragraphs 43-55, then indicate what level of additional social and environmental assessments may be required. Not every REDD+ implementing (sub-) project may require a full Environmental and Social Impact Assessment (ESIA), but depending on identified risks and their significance, a limited ESIA with specific focus on certain topics may be sufficient. However, (sub-) project proposals cannot proceed until necessary additional social and environmental assessment has been conducted and, if warranted, appropriate management measures are in place.

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.

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 assessment in the assessment phase.

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;
  - location of ITP villages, land or territories;
  - specific wildlife, aquatic or other habitats to be examined;
  - specific social aspects to be further assessed;
  - 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 (e.g. regarding stakeholder engagement, indigenous and tribal peoples and their rights, FPIC, cultural heritage, etc.);
4. a requirement that the competent authorities of other involved sectors be appropriately consulted;
5. specific public consultation requirements.

The TORs should also determine which types of additional management plans will be needed, such as an Indigenous and Tribal Peoples Plan, a Livelihood Action Plan and/or a Resettlement Plan.

Certain UNDP SES requirements are considered of great importance in determining the needs and depths of additional assessments:

- Where there is an infringement (restriction/limitation) on the rights of ITPs to their property (including access to and use of resources), such infringements can trigger rights to compensation and they can only occur where due process is available, agreements on benefit sharing are reached, an independent social and environmental assessment is first undertaken, and good faith consultations are conducted (in certain cases, FPIC will be required). These conditions are further outlined in the Saramaka Case.
- Where REDD+ implementation could result in economic or occupational displacement (such as through protected area management plans, the terms of a community forest permit, legal reform to the mining law, or other land management or forest governance program), related activities will be the subject of extensive consultations with the potential affected communities. During these good faith consultations, ITP use and access rights will be discussed, and the ITPs' current and future uses of their lands and resources will be shared and documented with a view to protection. If restrictions are to occur, FPIC is secured and documented (with the conditions associated with the restriction - i.e. benefit sharing, compensation for the infringement, dispute resolution if breaches by either party, alternative livelihood options provided, etc.)

#### **5.4. Environmental and Social Assessment**

The NIMOS ESIA 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. Due to the importance of social aspects under the UNDP SES and 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. Table 12 below provides an indicative, non-comprehensive

list of issues related to each UNDP Principle and Standard that may need to be considered when undertaking either targeted or full social and environmental assessment (adapted from UNDP 2020).

Table 12: SES Principles and Standards and social and environmental assessment

<b>Principle 1. Human Rights</b>
<p>Assess potential adverse impacts regarding inter alia:</p> <ul style="list-style-type: none"> <li>● enjoyment of human rights (civil, political, economic, social or cultural)</li> <li>● inequitable or discriminatory impacts on affected populations</li> <li>● discriminatory effects on persons with disabilities</li> <li>● restrictions of access and availability to resources and basic services</li> <li>● exacerbation of conflicts or risk of violence</li> </ul>
<b>Principle 2. Gender Equality and Women’s Empowerment</b>
<p>Assess potential adverse impacts on gender equality and/or situation of women and girls, including inter alia:</p> <ul style="list-style-type: none"> <li>● gender disaggregated analysis of men’s and women’s status, roles, needs, division of labour in relation to the project</li> <li>● potential restrictions on women’s access to or control over resources (e.g. benefits/services, land, market access)</li> <li>● meaningful participation of women in project decision making</li> <li>● risks of gender-based violence (GBV)</li> </ul>
<b>Principle 3. Sustainability and Resilience</b>
<p>Encompassed by issues to be assessed under Project-level Standards</p>
<b>Principle 4. Accountability</b>
<p>Assess potential adverse impacts regarding inter alia:</p> <ul style="list-style-type: none"> <li>● exclusion of stakeholders, particularly marginalized groups</li> <li>● grievances or objections from potentially affected stakeholders</li> <li>● risk of retaliation or reprisals against stakeholders who express concerns or grievances</li> </ul> <p>Assess potential for corruption<sup>37</sup></p>
<b>Standard 1. Biodiversity Conservation and Sustainable Natural Resource Management</b>
<p>Assess direct, indirect, and cumulative impacts on natural resources, biodiversity and ecosystem services in project’s area of influence, considering inter alia:</p> <ul style="list-style-type: none"> <li>● risks of habitat and species loss (incl. risks to endangered species), degradation and fragmentation of natural habitats and protected areas, invasive alien species, overexploitation, water resources and hydrological changes, nutrient loading, biosafety, pollution, and differing values (e.g. social, cultural, economic) attached to biodiversity/ecosystem services by affected communities</li> <li>● impacts across potentially affected landscapes or seascapes</li> </ul>
<b>Standard 2: Climate Change Mitigation and Adaptation</b>
<p>This will examine inter alia:</p>

<sup>37</sup> This has been added by the author as per UNDP recommendation.

<ul style="list-style-type: none"> <li>● viability or sustainability of project outcomes due to potential climate change impacts and disaster risks (risks to the project)</li> <li>● increased exposure to climate change impacts and disaster risks, incl. unintended or unforeseen increases in vulnerability (risks from the project)</li> <li>● potential project-related increases in emissions that may exacerbate climate change impacts, such as GHG and black carbon emissions</li> <li>● differentiated impacts of climate change impacts and disasters (e.g. social, gender, age)</li> </ul>
<p><b>Standard 3. Community Health, Safety and Working Conditions</b></p>
<p>Evaluate the risks and potential impacts related to, inter alia:</p> <ul style="list-style-type: none"> <li>● safety of affected communities during project design, construction, operation, and decommissioning</li> <li>● infrastructure safety as well as traffic and road safety</li> <li>● community exposure to disease</li> <li>● influx of project labour</li> <li>● security-related issues, including use of security personnel</li> </ul>
<p><b>Standard 4. Cultural Heritage</b></p>
<p>Evaluate the risks to, and potential impacts on, inter alia:</p> <ul style="list-style-type: none"> <li>● tangible forms of cultural heritage (e.g. objects, sites, structures, natural features)</li> <li>● intangible forms of cultural heritage (e.g. practices, representations, expressions, knowledge, skills and related instruments)</li> </ul>
<p><b>Standard 5. Displacement and Resettlement</b></p>
<p>Evaluate the risks and potential impacts of project-related land acquisition and/or access restrictions to:</p> <ul style="list-style-type: none"> <li>● people and communities subject to physical displacement and resettlement</li> <li>● people and communities subject to economic displacement</li> </ul>
<p><b>Standard 6. Indigenous Peoples</b></p>
<p>Evaluate the risks to, and potential impacts on, inter alia:</p> <ul style="list-style-type: none"> <li>● human rights, lands, territories, natural resources, traditional livelihoods, tangible and intangible cultural heritage (incl. knowledge and practices) of indigenous peoples</li> </ul>
<p><b>Standard 7. Pollution Prevention and Resource Efficiency</b></p>
<p>Evaluate the risks and potential impacts related to inter alia:</p> <ul style="list-style-type: none"> <li>● routine or accidental release of pollutants</li> <li>● wastes and hazardous materials</li> <li>● pesticide use and management</li> <li>● resource use (e.g. land, energy, water, other inputs) in order to improve efficiency</li> </ul>

Additional content could also 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 also chapter 6 on stakeholder engagement and Annex 6).

According to NIMOS the result of an ESIA is an Environmental Impact Statement (EIS), based on which an Environmental and Social Management Plan (ESMP) gets developed. In order to decrease effort at sub-project level, it is suggested to skip the step of developing an EIS and instead directly develop an Environmental and Social Management Plan (ESMP) as well as additional management plans as needed according to UNDP (see subsequent chapter).

## 5.5. Development of Environmental and Social Management Plan and potential annexes

Following the assessment, the (sub-) project proposal would need to be updated and an Environmental and Social Management Plan (ESMP) would be submitted to the Project Board (or PAC) for review (See UNDP SES Guidance on Assessment and Management). The ESMP specifies mitigation measures, and potentially includes other relevant management plans required by the UNDP SES as annexes. In the case of Suriname's REDD+ project, based on the results of the SESA process, these additional required management plans will for certain REDD+ implementing (sub-) projects likely include: An Indigenous and Tribal Peoples Plan, Livelihoods Action Plan, a Cultural Heritage Management Plan, and/or a Stakeholder Engagement Plan. In certain cases, as noted above, as project activities are further defined and an SESP screening process so indicates, additional management plans may need to be developed, such as a Biodiversity Action Plan and Resettlement Plan (referenced above in Table 10). Further description of those management plans can be found below.

The following box presents an indicative outline of an ESMP<sup>38</sup>.

### Box 4: Indicative outline of an ESMP

An ESMP may be prepared as part of the Environmental and Social Impact Assessment (ESIA) or as a stand-alone document.<sup>39</sup> The content of the ESMP should address the following sections:

- (1) Mitigation:** Identifies measures and actions in accordance with the mitigation hierarchy that avoid, or if avoidance not possible, reduce potentially significant adverse social and environmental impacts to acceptable levels. Specifically, the ESMP: (a) identifies and summarizes all anticipated significant adverse social and environmental impacts; (b) describes – with technical details – each mitigation measure, including the type of impact to which it relates and the conditions under which it is required (e.g., continuously or in the event of contingencies), together with designs, equipment descriptions, and operating procedures, as appropriate; (c) estimates any potential social and environmental impacts of these measures and any residual impacts following mitigation; and (d) takes into account, and is consistent with, other required mitigation plans (e.g. for displacement, indigenous peoples).
- (2) Monitoring:** Identifies monitoring objectives and specifies the type of monitoring, with linkages to the impacts assessed in the environmental and social assessment and the mitigation measures described in the ESMP. Specifically, the monitoring section of the ESMP provides (a) a specific description, and technical details, of monitoring measures, including the parameters to be measured, methods to be used, sampling locations, frequency of measurements,

<sup>38</sup> Derived from UNDP Guidelines and Templates, see

[https://info.undp.org/sites/bpps/SES\\_Toolkit/SES%20Document%20Library/Social%20and%20Environmental%20Standards/Indicative%20Outline%20of%20an%20ESMP.docx](https://info.undp.org/sites/bpps/SES_Toolkit/SES%20Document%20Library/Social%20and%20Environmental%20Standards/Indicative%20Outline%20of%20an%20ESMP.docx)

<sup>39</sup> This may be particularly relevant where contractors are being engaged to carry out the project, or parts thereof, and the ESMP sets out the requirements to be followed by contractors. In this case the ESMP should be incorporated as part of the contract with the contractor, together with appropriate monitoring and enforcement provisions.

detection limits (where appropriate), and definition of thresholds that will signal the need for corrective actions; and (b) monitoring and reporting procedures to (i) ensure early detection of conditions that necessitate particular mitigation measures, and (ii) furnish information on the progress and results of mitigation. Evidence of corruption and illegal activities should also be monitored<sup>40</sup>.

- (3) Capacity development and training:** To support timely and effective implementation of social and environmental project components and mitigation measures, the ESMP draws on the environmental and social assessment of the existence, role, and capability of responsible parties on site or at the agency and ministry level. Specifically, the ESMP provides a description of institutional arrangements, identifying which party is responsible for carrying out the mitigation and monitoring measures (e.g. for operation, supervision, enforcement, monitoring of implementation, remedial action, financing, reporting, and staff training). Where support for strengthening social and environmental management capability is identified, ESMP recommends the establishment or expansion of the parties responsible, the training of staff and any additional measures that may be necessary to support implementation of mitigation measures and any other recommendations of the environmental and social assessment.
- (4) Stakeholder Engagement:** Outlines plan to engage in meaningful, effective and informed consultations with affected stakeholders. Includes information on (a) means used to inform and involve affected people in the assessment process; (b) summary of stakeholder engagement plan for meaningful, effective consultations during project implementation, including identification of milestones for consultations, information disclosure, and periodic reporting on progress on project implementation; and (c) description of effective processes for receiving and addressing stakeholder concerns and grievances regarding the project's social and environmental performance.
- (5) Implementation action plan (schedule and cost estimates):** For all four above aspects (mitigation, monitoring, capacity development, and stakeholder engagement), ESMP provides (a) an implementation schedule for measures that must be carried out as part of the project, showing phasing and coordination with overall project implementation plans; and (b) the capital and recurrent cost estimates and sources of funds for implementing the ESMP. These figures are also integrated into the total project cost tables. Each of the measures and actions to be implemented will be clearly specified and the costs of so doing will be integrated into the project's overall planning, design, budget, and implementation.

Mitigation measures should be included in the ESMP for each potential risk that was identified during the limited or full ESIA, independently from the (sub-) project category. 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

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<sup>40</sup> This last point has been added by the author to align with UNDP recommendations.



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 mitigation measure should have clear and measurable indicators attached to them to allow for monitoring and evaluation of REDD+ implementing (sub-) projects over time. Indicators are also recommended where (sub-) projects are promoting different benefits, as this will help evaluate and communicate benefits generated by REDD+.

### 5.5.1. 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.

According to UNDP SES #6 (*Indigenous Peoples*), where the required social and environmental assessment (see pp. 19-23 of the SESP) confirms potential impacts on ITPs especially potential impacts on the rights, lands, resources or territories of indigenous peoples, applicants are requested to develop an Indigenous Peoples Plan (better to be called an "Indigenous and Tribal Peoples Plan" for Suriname). Per the UNDP SES, the plan should be based on the conducted social and environmental assessment, elaborated "in accordance with the effective and meaningful participation of indigenous peoples...integrated into the design and implementation of the Project, have a level of detail proportional to the complexity of the nature and scale of the proposed Project and its potential impacts on indigenous peoples and their lands, resources and territories."

Considering the above, the content of the ITP Plan should at least address those elements described in the indicative outline provided in the Indigenous and Tribal Peoples Planning Framework in Annex 3 to this ESMF.

### 5.5.2. Livelihood Action Plan

Observing the above, it is also the case that Some of the PAMs included in the National REDD+ Strategy of Suriname may entail risks that would trigger what the UNDP SES #5 refers to as an "economic and occupational displacement" meaning:

(i.e., loss of assets or access to assets that leads to loss of income sources or means of livelihood) as a result of Project-related land or resource acquisition or restrictions on land use or access to resources (including through Project externalities such as pollution and impacts to biodiversity or ecosystem services) that people depend on for physical, economic, social, cultural, or spiritual well-being.

In accordance with the UNDP SES #5 (*Resettlement and Displacement*), prior to economic and or occupational displacement (including situations in which access to resources is restricted but no

physical relocation is necessary), a Livelihood Action Plan is required that ensures the objectives listed at paragraph 10 of SES #5 and at a minimum, covers the elements provided for in the indicative outline for Livelihood Action Plans included in the Livelihood Action Framework in Annex 4 to this ESMF.

### 5.5.3. Cultural Heritage Management Plan

UNDP SES #4 (Cultural Heritage) has the objective to (i) protect and manage Cultural Heritage; (ii) conserve Cultural Heritage and avoid its alteration, damage or removal; and (iii) promote the equitable sharing of benefits from the use of Cultural Heritage. Its main requirements focus on avoidance, mitigation, engagement of experts to help with identification and protection, conditional utilization of cultural heritage, the application of chance find procedures, and the application of clear conditions for the removal of cultural heritage if found during the implementation of REDD+ activities.

Where the screening and/or assessment of REDD+ implementing (sub-) projects concludes that there are risks related to cultural heritage, a Cultural Heritage Management Plan may need to be developed. In doing so, it should be noted that infringements on cultural heritage (tangible and intangible) would be subject to FPIC.

Further guidance on the elaboration of a Cultural Heritage Management Plan can be found at <http://pubdocs.worldbank.org/en/743151530217186766/ESF-GN8-June-2018.pdf> (See p 18, Appendix 1). The Cultural Heritage Plan may also include the elements provided in the Cultural Heritage Management Framework included in Annex 5.

### 5.5.4. Stakeholder Engagement Plan

Regardless of potential impacts to the meaningful and effective participation of stakeholders, the UNDP SES requires that a Stakeholder Engagement Plan will be developed for all Programmes and Projects. The plan is “scaled to reflect the nature of the activity and its potential impacts (e.g. from relatively simple measures for Programmes/or Projects with few if any social and environmental risks to comprehensive plans for High Risk activities with potentially significant adverse risks and impacts)”. In collaboration with stakeholders and building upon the stakeholder mappings and processes already completed in the preparation of the REDD+ PRODOC, R-PP, and National REDD+ Strategy, a Stakeholder Engagement Framework was developed as part of the present ESMF. It also describes the elements that Stakeholder Engagement Plans developed for REDD+ implementing (sub-) projects should at least address (see Annex 6 to this ESMF).

### 5.5.5. Biodiversity Action Plan

UNDP SES #1 (Biodiversity Conservation and Sustainable Natural Resource Management) will be applied when project activities (i) are located in modified, natural, and critical habitats; and/or (ii) potentially impact or are dependent on the ecosystem services of modified, natural, or critical habitats; and/or (iii) include production of living natural resources (e.g. agriculture, animal husbandry, fisheries, forestry). A number of the PAMs could trigger this standard especially as the sub-project activities are further defined. If their activities will pose adverse impacts to critical habitats, the standard #1 requires that “a robust, appropriately designed, and long-term Biodiversity Action Plan is in place to achieve net gains of those biodiversity values for which the critical habitat was designated.”

**At present, the full risks to biodiversity are not known yet, and a Biodiversity Action Plan is not yet required.** Such a plan may be implicated by future REDD+ activities once they are defined and developed. In such cases, application of the SESP will determine if the plan is triggered. If so, the Plan should at least address those elements described in the indicative outline provided in the Annex 7 to this ESMF.

#### 5.5.6. Resettlement Action Plan

As emphasized earlier, the REDD+ implementation project that is the subject of this ESMF does not intend to lead to forced eviction or physical displacement of ITPs. If a REDD+ intervention includes any activities that do raise the potential of a physical resettlement, all activities should cease and IF the resettlement is lawful, before the physical resettlement takes place, a participatory process needs to be conducted with affected stakeholders to elaborate a *Resettlement Action Plan*.

If the affected groups are indigenous or tribal peoples, UNDP SES #6, paragraph 8 provides that: “[n]o Project supported by UNDP will result in the forcible removal of indigenous peoples from their lands and territories. No relocation of indigenous peoples will take place without the free, prior and informed consent (FPIC) of the indigenous peoples concerned and only after agreement on just and fair compensation and, where possible, with the option of return.”

**At present, the risks of forced displacement are low and a Resettlement Plan is not implicated.** If future activities are defined and the applied SESP indicate a moderate to high risk of such displacement, a Resettlement Action Plan should be developed in accordance with UNDP SES #5 (Displacement and Resettlement) and its associated guidelines and addressing at least those elements provided in the indicative outline for a Resettlement Action Plan provided in the Annex 8 to this ESMF.

### 5.6. 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.

Low risk (NIMOS Category C) projects can get approved based on their initial proposal, if complete, or after revision and additional provision of missing information. Medium risk (NIMOS Category B) projects need to complete the additional steps decided during the scoping phase and submission of the ESMPs and annexes relevant for the respective (sub-) projects. As stated in chapter 5.2, there should be no high risk (sub-) projects, as they would have been excluded in the screening stage.

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. Stakeholder engagement

Stakeholder engagement in REDD+ readiness and implementation is indispensable for REDD+ to succeed. The UNDP SES (*Stakeholder Engagement and Response Mechanisms*) and FCPF and UN-REDD guidelines on stakeholder engagement are therefore considered as FCPF requirements (FCPF and UN-

REDD 2012) and requirements arising from UNDP's role as administrator. Box 5 summarizes their underlying principles. A Stakeholder Engagement Framework has been developed and can be found in Annex 6. It includes an indicative outline for a Stakeholder Engagement Plan, which will likely need to be developed for REDD+ (sub-) projects (see chapter 5.5.4).

*Box 5: Principles underlying the FCPF/UN-REDD Guidelines on Stakeholder Engagement in REDD+ (FCPF and UN-REDD 2012) and the right of stakeholders to meaningful and effective participation as required by UNDP SES*

- 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 are iterative in nature; they 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, including management responses to stakeholder inputs, and a report on the outcome of the consultations that is publicly disclosed in a culturally appropriate form, including language;
- i. Consultations are free of external manipulation, interference, coercion, and intimidation;
- j. Consultations are Gender and age-inclusive and responsive;
- k. They are culturally appropriate and tailored to the language preferences and decision-making processes of each identified stakeholder group, including disadvantaged or marginalized groups;
- l. Consultations are based on prior and timely disclosure of accessible, understandable, relevant and adequate information, including draft documents and plans;
- m. Consultations addresses social and environmental risks and adverse impacts, and the proposed measures and actions to address these;
- n. They seek to empower stakeholders, particularly marginalized groups, and enable the incorporation of all relevant views of affected people and other stakeholders into decision-making processes, such as Project goals and design, mitigation measures, the sharing of development benefits and opportunities, and implementation issues; and
- o. They are consistent with the States' duties and obligations under international law.

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, e.g. in the scoping phase, including to provide recommendations for the subsequent assessment.

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.

Project reporting should include a description of stakeholder engagement activities conducted and present the results obtained. The same results should be reflected in the respective 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 UNDP SES requirements on stakeholder engagement, including its associated guidance, and be further informed by 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 where consistent with Applicable Law. 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 the objectives of REDD+ implementing (sub-) projects as well as of REDD+ as a whole.

## 7. Dispute resolution

**Per the UNDP SES applicable to this REDD+ implementation, moderate to high risk projects require the availability of a project-level grievance redress mechanism (GRM). This is in addition to the UNDP [Stakeholder Response Mechanism](#) and [Compliance Review](#) which will be available to project stakeholders in Suriname as a supplemental means of redress for concerns that have not been resolved through standard project management procedures. Consequently, a GRM is required for this project.**

During the design and implementation of any project, a person or group of people may perceive or experience potential harm, directly or indirectly due to the project activities. The grievances that may arise can be related to social issues such as eligibility criteria and entitlements, disruption of services, temporary or permanent loss of livelihoods, impacts overall to human rights, and other social and cultural issues. Grievances may also be related to environmental issues such as excessive dust generation, damages to infrastructure due to construction related vibrations or transportation of raw material, noise, traffic congestions, decrease in quality or quantity of private/ public surface/ ground water resources during irrigation rehabilitation, damage to home gardens and agricultural lands, etc.

Should such a situation arise, there must be a mechanism through which affected parties can resolve such issues with the project personnel in an efficient, unbiased, transparent, timely and cost-effective manner. To achieve this objective, a GRM is required for this project.

At present, 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).

In January 2019, the Government of Suriname published a Final Design Report for the Development of a REDD+ Grievance Mechanism for Suriname (Government of Suriname 2019b). The report is based on an initial design mission in July 2018, during which the consultants discussed the GRM with REDD+ stakeholders representing government ministries and agencies, indigenous and tribal peoples, NGOs

and business. It is also based on review of relevant documents. The goals of the mission were to: clarify the purpose of the REDD+ grievance redress mechanism (GRM); review and clarify the kinds of grievances and disputes that the GRM might need to address; and consider what design and institutional form for the GRM might be most effective for grievance redress.

The report presents the following points:

1. The rationale for a REDD+ grievance redress mechanism (GRM) for Suriname, and principles to guide its design
2. The types of grievances and disputes among forest stakeholders that currently exist in Suriname, and are likely to be relevant to REDD+
3. Current practices for managing and resolving those grievances and disputes, and the strengths and weaknesses of current practices
4. An initial outline of the potential mandate, design and operation of a REDD+ GRM, building on current strengths and addressing some weaknesses
5. Significant risks to the effectiveness of a REDD+ GRM, and ways to mitigate them
6. A draft work plan for further development of the GRM

As recommended in Table 10 as a mitigation measure, the report will be the basis for finalizing the REDD+ programme GRM. Specific care should be taken to ensure the GRM as adopted, and/or other communication mechanisms provide for the reporting of suspected corruption as well as illegal activities and that anonymous reporting is a possibility to encourage reporting and discourage retaliatory actions. These specifics should be clearly communicated to all stakeholders.

## **8. Monitoring and evaluation of ESMF implementation**

In line with UNDP policies and standards, monitoring is considered a standard element of all REDD+ implementing (sub-) projects, independently of their allocated screening category, and will also be required where REDD+ implementation is happening outside of (sub-) projects (e.g. where PAMs refer to the revision of legal instruments, this is a national level process that is unlikely to happen through (sub-) projects). The table below provides a summary of specific measures related to implementation of the ESMF requirements for monitoring ESMF implementation, gathering monitoring information and analyzing it through the REDD+ Safeguards Information System (SIS), and using that information to effectuate operational changes in the project as deemed necessary to avoid and mitigate social and environmental harms while also enhancing benefits and opportunities for the environment and well-being of Suriname's people. Suriname's SIS was completed at the end of 2019.

Table 13: Summary of ESMF Implementation Activities for purposes of Monitoring and Evaluation

Monitoring Activity	Purpose	Frequency	Expected Action	Roles and Responsibilities
<b>Track progress of ESMF implementation</b>	Application of ESMF mitigation measures and evaluation of reports from monitoring of implementation of (sub-) project ESMPs, as well as any required changes to ESMF, will be monitored and with results reported to Project Board on bi-annual basis (recall material changes to ESMF and project plans need Project Board approval).	Quarterly, or in the frequency required for each measure.	Slower than expected progress will be addressed by project management.	Collection of data will be ascribed to various stakeholder groups and NIMOS. NIMOS will integrate the mitigation measures into the overall monitoring and reporting framework of the project.
<b>Implementation of (sub-) project ESMPs and annexed plans based on their screening and full or limited ESIA</b>	Permanent and participatory implementation and monitoring of social and environmental impacts and mitigation measures, in accordance with REDD+ implementing (sub-) project ESMPs and annexed plans	Continuous	Implementation of ESMPs; participatory monitoring of ESIA findings and the mitigation measures of management plans (i.e. identifying and aligning indicators, monitoring potential impacts and risks)	NIMOS will be responsible for the implementation of the mitigation measures in conjunction with stakeholders in various parts of the project. Reporting to the UNFCCC will be done by NIMOS and reporting on consistency with safeguards to GCF will be done by the UNDP.
<b>Learning</b>	Knowledge, good practices and lessons learned regarding social and environmental risk management will be captured regularly, as well as actively sourced from other projects and partners and integrated back into the project.	At least annually	Relevant lessons are captured by the project team and used to inform management decisions.	NIMOS including sub-national and local partners. The GRM which tracks grievances and forecast risks and areas of concern will also play a role.
<b>Annual Project Quality Assurance</b>	The quality of the project will be assessed against UNDP's quality standards to identify project strengths and weaknesses and to inform management decision making to improve the project.	Annually	Areas of strength and weakness will be reviewed by project management and used to inform decisions to improve project performance. Project Board oversight and instruction expected.	UNDP.
<b>Review and adapt activities</b>	Internal review of data and evidence from all monitoring actions to	At least annually	Performance data, risks, lessons and quality will be	NIMOS, UNDP and all members of the Project Board.

<b>and approach as necessary</b>	inform decision making. There will be elaboration of a detailed and clear mechanism regarding the collection of social and environmental impacts, the gathering and analyzing of such data, sharing across institutions and with stakeholders, and responding timely to the need for project changes.		discussed by NIMOS, UNDP and Project board and used to make course corrections.	
<b>Project Report</b>	As part of progress report to be presented to the Project Board and key stakeholders, analysis, updating and recommendations for risk management will be included.	Annually, and at the end of the project (final report)		NIMOS
<b>Project Review</b>	The project's governance mechanism (i.e., project board) will hold regular project reviews during which an updated analysis of risks and recommended risk mitigation measures will be discussed.	At least annually	Any risks and/ or impacts that are not adequately addressed by national mechanisms or project team will be discussed in Project Board. Instructions and recommendations will be made.	NIMOS (UNDP as Project Assurance entity).
<b>Safeguards Information System (SIS)</b>	Feed into and strengthen the SIS (mechanisms for how REDD+ safeguards are addressed and respected during project implementation, in order to comply with the requirement of the Warsaw framework on REDD+).	Continuously	The information on how REDD+ safeguards are addressed and respected during project implementation will be available online: <a href="http://sis.surinamredd.org/">http://sis.surinamredd.org/</a> and further alignments between ESMF and the SIS may be possible in the future.	NIMOS at the National Level with support from UNDP as required and data gathered by the stakeholders.
<b>Summary of Information to the UNFCCC on how safeguards are addressed and respected</b>	Summarize for the UNFCCC, how the REDD+ safeguards have been and are being addressed and respected during project implementation, prior to seeking REDD+ RBP.	Summary of information (Sol) as part of the National Communication on every 4 years; encouraged to submit the Sol more	Elaboration of the summary of information, once every 4 years, in the National Communication. Direct submission of the Summary of Information to the UNFCCC REDD+ platform on more	NIMOS at the National Level with support of the UNDP as required.



		frequently (every 2 years) directly to the UNFCCC REDD+ platform.	frequent basis (every 2 years) is encouraged.	
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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 chapter 12 on alignment and synergies with the safeguards Information System).

## 9. 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 11), and (b) implementation of the Framework for implementing PAMs (chapter 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 14: Suggested responsibilities of different institutions in each phase during REDD+ (sub-) project application<sup>41</sup>

Phase	Entity	Task
Proposal preparation	Executive Coordinating Office (NIMOS/National Environmental Authority)	<ul style="list-style-type: none"> <li>- Receive project proposals from PAMs implementing actors and coordinate with NIMOS (ESA Office) to assess and advice on E&amp;S safeguards</li> <li>- Inform the applicant about the REDD+ registry, providing information on the context of the proposed project</li> </ul>
	Executive Coordinating Office (NIMOS/National Environmental Authority)	<ul style="list-style-type: none"> <li>- Receive project proposals (via Executive Coordinating Office) to advice on safeguards</li> <li>- Inform and guide the implementing actors in the required information for the project proposal and ESMF procedures</li> </ul>

<sup>41</sup> Since NIMOS is currently in the process of transitioning to the National Environmental Authority, these suggested responsibilities should be considered preliminary.

	Implementing actors	<ul style="list-style-type: none"> <li>- Assess potential safeguard issues in an early stage</li> <li>- Describe these potential issues in a (sub-) project proposal</li> <li>- In support of that, conduct stakeholder consultations</li> </ul>
	Other entities: <ul style="list-style-type: none"> <li>- Min-GBB (SBB, GLIS), Min-NH (GMD), Min-LVV, Min-OW, Min-ROS (DC), Min- EZ</li> <li>- MGC, RAC</li> </ul>	<ul style="list-style-type: none"> <li>- 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)</li> <li>- Upon consultation by implementing actors, provide information on potential risks and benefits</li> </ul>
Screening	Executive Coordinating Office (NIMOS/National Environmental Authority)	<ul style="list-style-type: none"> <li>- If needed, request additional information</li> <li>- If possible, visit to location for better understanding of context</li> <li>- Determine type of environmental and social assessment the project proposals are subject to</li> <li>- Inform Executive Coordinating Office and the implementing actors of the decision and advise them in the follow-up process</li> </ul>
	Implementing actors	<ul style="list-style-type: none"> <li>- If needed and requested by NIMOS (ESA Office), provide additional information (e.g. timeline for planned activities)</li> </ul>
	Other entities: <ul style="list-style-type: none"> <li>- Min-GBB (SBB, GLIS), Min-NH (GMD), Min-LVV, Min-OW, Min-ROS (DC), Min- EZ</li> <li>- MGC, RAC</li> </ul>	<ul style="list-style-type: none"> <li>- If needed and requested by NIMOS (ESA Office), verify information from project proposal</li> </ul>
Scoping	Executive Coordinating Office (NIMOS/National Environmental Authority)	<ul style="list-style-type: none"> <li>- Inform and guide the implementing actors in scoping guidelines</li> </ul>
	Implementing actors	<ul style="list-style-type: none"> <li>- Prepare a TOR for the social and environmental assessment in line with the scoping guidelines</li> <li>- Prepare a Scoping Report</li> </ul>
	Other entities: <ul style="list-style-type: none"> <li>- Min-GBB (SBB, GLIS), Min-NH (GMD), Min-LVV, Min-OW, Min-ROS (DC), Min- EZ</li> <li>- MGC, RAC</li> </ul>	<ul style="list-style-type: none"> <li>- Give relevant (topic and location specific) advice to NIMOS (ESA Office) in informing and guiding actors in scoping guidelines (e.g. on resettlement)</li> </ul>

	Executive Coordinating Office (NIMOS/National Environmental Authority)	- Approves the TOR and the party to execute the TOR
Assessment	Executive Coordinating Office (NIMOS/National Environmental Authority)	- Visit to location for better understanding of context when relevant
	Implementing actors	- 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-GBB (SBB, GLIS), Min-NH (GMD), Min-LVV, Min-OW, Min-ROS (DC), Min- EZ - MGC, RAC	- Participate in engagement activities
Review and final decision	Executive Coordinating Office (NIMOS/National Environmental Authority)	- Update the REDD+ Registry with approved projects related to REDD+ activities. - Coordinate public disclosure, including disclosure to potentially affected ITPs where applicable, and manage feedback.
	Executive Coordinating Office (NIMOS/National Environmental Authority)	- 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	- 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: - Min-GBB (SBB, GLIS), Min-NH (GMD), Min-LVV,	- Act as multidisciplinary team to support NIMOS (ESA Office) in review process, if applicable and upon request

	Min-OW, Min-ROS (DC), Min- EZ - MGC, RAC	- Provide specific feedback to implementing actors
Implementation and monitoring	Executive Coordinating Office (NIMOS/National Environmental Authority)	- Check periodically if ESMPs and annexed plans (e.g. ITP Plan, Stakeholder Engagement Plan, Resettlement Plan) are implemented as stated, or for low risk (NIMOS category C) projects whether implementation follows action plan included in the proposal - Provide Executive Coordinating Office with periodic updates
	Implementing actors	- Implement ESMPs and annexed plans (e.g. ITP Plan, Stakeholder Engagement Plan, Resettlement Plan), or for low risk (NIMOS category C) projects action plan included in project proposal, and report on implementation
	Other entities: - Min-GBB (SBB, GLIS), Min-NH (GMD), Min-LVV, Min-OW, Min-ROS (DC), Min- EZ - MGC, RAC	- Provide feedback on the implementation of ESMPs and annexed plans (e.g. ITP Plan, Stakeholder Engagement Plan, Resettlement Plan), or for low risk (NIMOS 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 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 and its 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);
- Training to relevant NIMOS staff and Government officials engaged in REDD+ activities on matters of corruption (including key elements of the Anti-Corruption Act and UNDP and FCFP standards and policies on the matter);
- 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.

## 10. 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 contain 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. All this is again reflected in the attached Stakeholder Engagement Framework (Annex 6).

Overall, for each and any of these interactions with stakeholders, and specifically with ITPs, it is recommended to refer to the UNDP SES #6 (Indigenous Peoples) and the Policy Delivery and Accountability subsection "Stakeholder Engagement and Response Mechanism" and their respective guidelines, as well as 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 community engagement strategy that is to be developed under measure 2.A.3 of the National REDD+ Strategy.

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.

## 11. 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, should be developed once specifics of the (sub-) project 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 Suriname’s Environmental Framework Act.

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.

## 12. Alignment and synergies with the Safeguards Information System

Conducting a Strategic Environmental and Social Assessment (SESA) and producing an Environmental and Social Management Framework in line with the UNDP SES and overall UNDP social and environmental policies and standards is the approach of the UNDP 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.

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

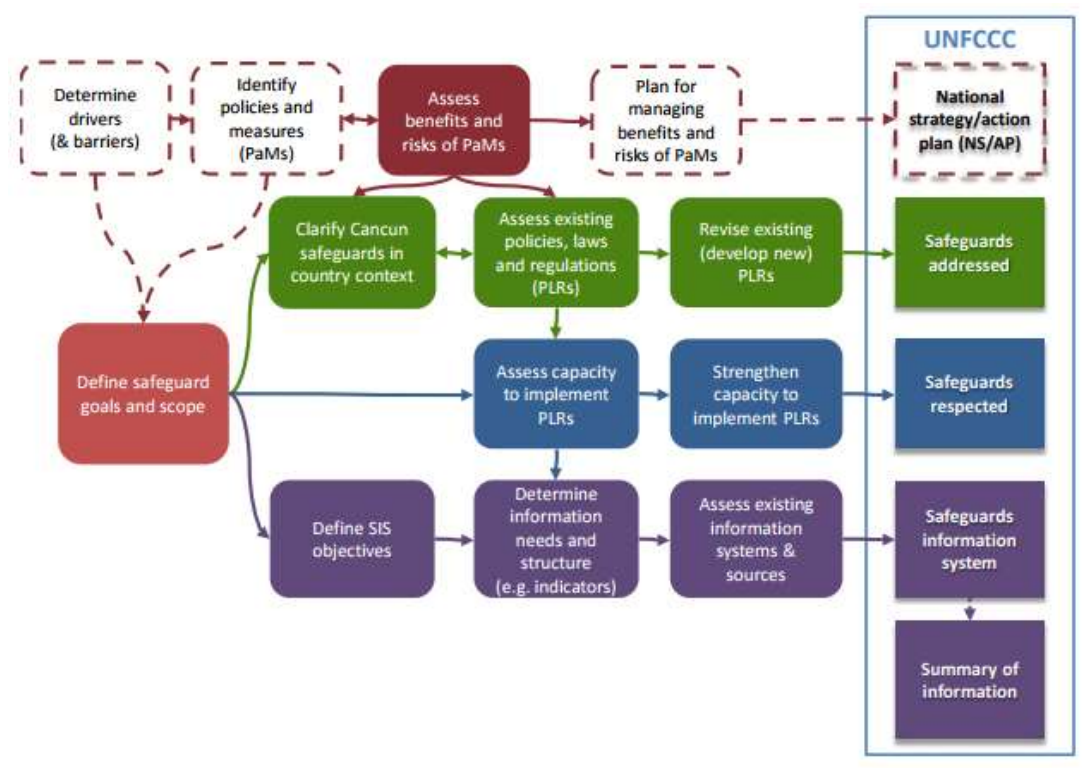


Figure 2: Generic framework for country approaches to safeguards, showing links with national strategy/action plan process (Source: UN-REDD Programme 2015)

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's SIS was developed in a highly participatory process in the course of 2019. Mitigation measures and provisions for (sub-) project implementation of REDD+ presented in the present ESMF were used to identify suitable information for inclusion in the SIS. This turned out particularly useful in the identification of information to report about the extent to which safeguards are "respected" in REDD+ implementation in Suriname. Existing national information and data usually poses two specific challenges when it comes to its suitability to report about the extent to which safeguards are respected in a country's REDD+ Safeguards Information System: 1) it is not explicitly REDD+ relevant; and 2) it may not be directly relevant to the identified risks in a safeguards context. As ESMF+ implementation starts alongside REDD+ implementation, information that is specific to REDD+ and directly relevant in the context of identified risks and safeguards will be generated and thus both the above challenges will be overcome. This information will then feed into and further inform Suriname's SIS.

### **13. 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. Suriname's Environmental Framework Act includes requirements for Environmental Impact Assessment. 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 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, it should be noted that questions regarding consistency of (sub-) projects with objectives of national PLRs and international conventions have not yet been added. For REDD+ implementation, including these questions should not be necessary, since all the PAMs included in the National REDD+ 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 15 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 sub-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 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.

Table 15: 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/ Standard
<b>Could the (sub-) project:</b>			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	
Lead to adverse impacts on enjoyment of the human rights (civil, political, economic, social or cultural) of the affected population and particularly of marginalized groups?				P.1.1
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
Pose potential risks to community health and safety due to the transport, storage, and use and/or disposal of hazardous or dangerous materials (e.g. explosives, fuel and other chemicals during construction and operation)?				S.3.2
Result in potential increased health risks (e.g. from water-borne or other vector-borne diseases or communicable infections such as HIV/AIDS)?				S.3.6
Pose potential risks and vulnerabilities related to occupational health and safety due to physical, chemical, biological, and radiological hazards during Project construction, operation, or decommissioning?				S.3.7

Involvement support for employment or livelihoods that may fail to comply with national and international labor standards (i.e. principles and standards of ILO fundamental conventions)?				S.3.8
Engage security personnel that may pose a potential risk to health and safety of communities and/or individuals (e.g. due to a lack of adequate training or accountability)?				S.3.9
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
Have local communities or individuals raised human rights concerns regarding the Project during the stakeholder engagement process?				P.1.7
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	
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	
Would elements of sub-project construction, operation, or decommissioning pose potential safety risks to local communities?				S.3.1
Does the sub-project involve large-scale infrastructure development (e.g. dams, roads, buildings)?				S.3.3
Would failure of structural elements of the Project pose risks to communities? (e.g. collapse of buildings or infrastructure)				S.3.4

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	
<b>Could the (sub-) project:</b>				
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, S.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	S.6.2
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	S.5.1, S.5.3, S.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	S.5.2
Adversely affect the development priorities of indigenous peoples and/or local communities as defined by them?			c	S.6.7

Affect the traditional livelihoods, physical and cultural survival of indigenous peoples and/or local communities?			c	S.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	S.4.2, S.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	S.4.1
Affect land tenure arrangements and/or community-based property rights/customary rights to land, territories and/or resources?			c	S.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
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	
Have women's groups/leaders raised gender equality concerns regarding the sub-project during the stakeholder engagement?				P.2.3
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	S.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	S.1.1, S.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	S.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	S.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	S.1.3
Pose risks to biodiversity and ecosystem services outside forests, through afforestation in areas of conservation importance?			e	
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	S.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)				S.1.10
Could the (sub-) project be vulnerable to:				
Climate change (e.g. more frequent drought, flooding)?			f	S.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	
Earthquakes, subsidence, landslides, erosion, flooding or extreme climatic conditions (e.g. storms)?			f	S.3.5
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?				S.1.11
Would the project result in secondary or consequential development activities which could lead to adverse social and environmental effects, or				P.1.11

would it generate cumulative impacts with other known existing or planned activities in the area?				
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	
Could the (sub-) project				
Potentially result in the release of pollutants to the environment due to routine or non-routine circumstances with the potential for adverse local, regional, and/or transboundary impacts?				S.7.1
Potentially result in the generation of waste (both hazardous and non-hazardous)?				S.7.2
Potentially involve the manufacture, trade, release, and/ or use of hazardous chemicals and/or materials? Does the Project propose use of chemicals or materials subject to international bans or phase-outs? <i>For example, DDT, PCBs and other chemicals listed in international conventions such as the Stockholm Conventions on Persistent Organic Pollutants or the Montreal Protocol</i>				S.7.3

Involvement of pesticides that may have a negative effect on the environment or human health?				S.7.4
Inclusion of activities that require significant consumption of raw materials, energy, and/or water?				S.7.5

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

Table 156: 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"> <li>● At national level, prioritizing REDD+ actions in areas of high biodiversity;</li> <li>● Developing premiums within incentive measures for biodiversity benefits;</li> <li>● Conserving large areas of primary intact forest.</li> </ul>	<ul style="list-style-type: none"> <li>● Percentage of high biodiversity areas where REDD+ actions are implemented (separately by action);</li> <li>● Premiums in place and paid;</li> <li>● Percentage of primary intact forest conserved.</li> </ul>
(3) Forest conservation	Reduced access to resources	<ul style="list-style-type: none"> <li>● Involve ITPs in revision of nature conservation legislation, considering traditional activities and special allowances for ITPs;</li> <li>● Promote alternative livelihoods to reduce dependency on forest resources</li> </ul>	<ul style="list-style-type: none"> <li>● Number of ITP representatives engaging in the revision process of PLRs;</li> <li>● Content of revised PLRs with regards to ITPs customary rights to resources;</li> <li>● Trend in dependency on forest resources.</li> </ul>
(4) Sustainable Management of Forests	<ul style="list-style-type: none"> <li>● Potential encroachment in intact forest, resulting in biodiversity loss;</li> </ul>	<ul style="list-style-type: none"> <li>● Prioritize sustainable management in areas that are already subject to intensive</li> </ul>	<ul style="list-style-type: none"> <li>● Location and size of forest areas under sustainable management as compared to</li> </ul>

	<ul style="list-style-type: none"> <li>● Loss of livelihood opportunities where ITPs do not have the means to change to sustainable management practices</li> </ul>	<p>land use and are of high biodiversity values;</p> <ul style="list-style-type: none"> <li>● Minimize use in primary forests and intact forests of high biodiversity value;</li> <li>● Apply best practice guidelines for sustainable management of forests including reduced impact logging;</li> <li>● Support ITPs' change to more sustainable forest management through, e.g. micro-credits or subsidies.</li> </ul>	<p>primary and intact forests of high biodiversity value;</p> <ul style="list-style-type: none"> <li>● Number of villages that have adopted best practice for sustainable management of forests.</li> </ul>
(5) Afforestation and Reforestation	<ul style="list-style-type: none"> <li>● Introduction of invasive and alien species;</li> <li>● Introduction of genetically modified trees;</li> <li>● Replacement of non-forest habitats of high biodiversity value by forest plantations;</li> <li>● Changes in water flow regimes, potentially affecting people and biodiversity.</li> </ul>	<ul style="list-style-type: none"> <li>● Apply best practices for reforestation (e.g. native species, mixed plantations);</li> <li>● Prevent replacement of intact forest and non-forest native ecosystems by forest plantations;</li> <li>● Locate reforestation in such a way as to enhance landscape connectivity and reduce edge effects on remaining forest patches;</li> <li>● Develop premiums within incentive measures for biodiversity benefits.</li> </ul>	<ul style="list-style-type: none"> <li>● Percentage of plantation area using native and mixed species;</li> <li>● Percentage overlap between plantations and intact forest and non-forest native ecosystems;</li> <li>● Use connectivity index to measure increase in connectivity over time;</li> <li>● Premiums accessed and disbursed for biodiversity benefits in this context.</li> </ul>

Additional and more specific activities that may get implemented under REDD+			
Possible activities	Examples for potential impacts	Example mitigation measures	Example indicators
Implementation of sustainable cropland management (including soil conservation, conservation tillage, fallows, etc.)	<ul style="list-style-type: none"> <li>● Expansion of cropland into native habitats;</li> <li>● Possible increased use of herbicides associated with conservation tillage.</li> </ul>	<ul style="list-style-type: none"> <li>● Promote sustainable cropland management as part of broader landscape level planning that includes conservation of remaining native ecosystems and restoration, as appropriate;</li> <li>● Consider traditional and local knowledge;</li> <li>● Provide capacity building and information on appropriate sustainable cropland management.</li> </ul>	<ul style="list-style-type: none"> <li>● Percentage overlap between areas under sustainable cropland management and native habitats;</li> <li>● Amount and intensity of herbicide use by hectare of cropland under sustainable cropland management;</li> <li>● Number of capacity building sessions conducted on the topic.</li> </ul>
Implementation of agroforestry systems on existing croplands or grazing lands	<ul style="list-style-type: none"> <li>● Introduction of invasive and alien species;</li> <li>● Encroachment into native ecosystems.</li> </ul>	<ul style="list-style-type: none"> <li>● Promote agroforestry as part of broader landscape level planning that includes conservation of remaining native ecosystems and restoration, as appropriate;</li> <li>● Consider traditional and local knowledge;</li> <li>● Provide capacity building and information on appropriate agroforestry systems;</li> </ul>	<ul style="list-style-type: none"> <li>● Percentage overlap between agroforestry areas and native habitats;</li> <li>● Number of capacity building sessions conducted on the topic.</li> </ul>

		<ul style="list-style-type: none"> <li>● Provide appropriate credit to apply best practices.</li> </ul>	
<p>Conservation and restoration of peatlands and other wetlands, including mangroves</p>	<ul style="list-style-type: none"> <li>● Increased methane emissions if restoration is done inappropriately;</li> <li>● Reduced access to resources following establishment of protected areas.</li> </ul>	<ul style="list-style-type: none"> <li>● Prioritize restoration of wetlands of high biodiversity;</li> <li>● Restore and maintain landscape connectivity;</li> <li>● Maintain natural water flow regimes;</li> <li>● Encourage regeneration of – or replant – native mangrove trees;</li> <li>● Consult ITPs, considering their customary rights to access and dependency on wetland resources, to determine appropriate land and resource management regimes;</li> <li>● Consider compensation and/or avoidance mechanisms to minimize crop loss and conflict.</li> </ul>	<ul style="list-style-type: none"> <li>● Hectares of wetland under conservation and restoration;</li> <li>● Connectivity index;</li> <li>● Species used for restoration;</li> <li>● FPIC obtained from ITPs.</li> </ul>



<p>Biofuels</p>	<ul style="list-style-type: none"> <li>● Conversion and fragmentation of natural ecosystems resulting in biodiversity loss;</li> <li>● Introduction of invasive species;</li> <li>● Intensification of pesticide and fertilizer use and irrigation;</li> <li>● Contamination of water reserves;</li> <li>● Changes in water flow.</li> </ul>	<ul style="list-style-type: none"> <li>● Prevent replacement of intact forests and other native ecosystems by biofuel crops;</li> <li>● Minimize encroachment of biofuels into intact ecosystems of high biodiversity value;</li> <li>● Plant biofuel crops on already degraded lands;</li> <li>● Apply best practice and standards for biofuels;</li> <li>● Use native species where possible.</li> </ul>	<ul style="list-style-type: none"> <li>● Location and size and of areas used for biofuel crops in relation to intact and native ecosystems;</li> <li>● Area under biofuel crop production that meets best practice and standards;</li> <li>● Species used for biofuel crops and their spread beyond biofuel crop areas in case invasive species are used.</li> </ul>
<p>Construction of basic infrastructure (e.g. shelters, trails)</p>	<ul style="list-style-type: none"> <li>● Minor, short-term potential impacts on already disturbed and small areas of vegetation – mainly due to soil excavation, dust and noise</li> </ul>	<ul style="list-style-type: none"> <li>● Consult local communities to determine appropriate siting of infrastructure to minimize impacts</li> <li>● Ensure trails are ‘fit-for-purpose,’ restricting width to the needs of foot patrols or tourists. In areas where trail bikes are used, the means of controlling access will be instituted.</li> <li>● Obtain any permits required by national and local regulations prior to construction</li> <li>● Choose most appropriate timing for construction to avoid or minimize impacts</li> </ul>	<ul style="list-style-type: none"> <li>● Incidental take of species is recorded (indicator species identified and monitored)</li> <li>● Communities’ free, prior and informed consent is recorded</li> <li>● Debris does not litter the site</li> </ul>

		<ul style="list-style-type: none"> <li>● Infrastructure will be designed in accordance with local traditions, local architecture, and good environmental practices</li> <li>● Appropriate management and disposal of waste and debris</li> </ul>	
Reintroduction of captive-bred threatened species	<ul style="list-style-type: none"> <li>● Introduction of disease into the wild</li> </ul>	<ul style="list-style-type: none"> <li>● Undertake health checks prior to release</li> <li>● System for avoiding and mitigating disease outbreaks</li> </ul>	<ul style="list-style-type: none"> <li>● Monitor introductions and disease outbreaks</li> </ul>
Increase in recreational use of protected areas	<ul style="list-style-type: none"> <li>● Impact on habitat and wildlife through increased noise and disturbance, waste,</li> <li>● accidental fires, harvesting of rare species or natural resources</li> <li>● Lack of maintenance of trails leading to erosion on slopes</li> <li>● Social impacts on local communities</li> </ul>	<ul style="list-style-type: none"> <li>● Support training and TA to develop skills for effective tourism management</li> <li>● Promulgate rules and guidelines for visitors</li> <li>● Provide waste and toilet facilities</li> </ul>	<ul style="list-style-type: none"> <li>● Monitoring number of tourists</li> <li>● Monitor habitat disturbance</li> <li>● Communities free, prior and informed consent is recorded</li> </ul>
Fire suppression	<ul style="list-style-type: none"> <li>● Impact on fire-dependent ecosystems</li> </ul>	<ul style="list-style-type: none"> <li>● Perform prescribed burns to nurture fire-dependent species</li> </ul>	<ul style="list-style-type: none"> <li>● Monitor fire-dependent indicator species response</li> </ul>
Removal of invasive alien species	<ul style="list-style-type: none"> <li>● Native species accidentally removed</li> </ul>	<ul style="list-style-type: none"> <li>● Provide training on IAS and native species differentiation</li> </ul>	<ul style="list-style-type: none"> <li>● Monitor native indicator species for ecosystem response</li> </ul>

		<ul style="list-style-type: none"><li>● Isolate native species through demarcation</li></ul>	
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## Annex 3. Indigenous and Tribal Peoples Planning Framework

### 1. Introduction

The Republic of Suriname is outstanding in its high percentage forest cover, amounting to 93% of its terrestrial area. Deforestation to date has been very limited, qualifying it as a High Forest cover Low Deforestation (HFLD) country. REDD+, the international mechanism incentivizing actions that are Reducing Emissions from Deforestation and forest Degradation, conservation of forest carbon stocks, sustainable management of forests and forest carbon stock enhancement, can help maintain Suriname's high forest cover into the future by addressing the different drivers of both deforestation and forest degradation.

Suriname's National REDD+ Strategy was developed over a period of 10 months in a highly consultative process and involved all relevant REDD+ stakeholders, as described in the SESA report. The resulting strategy consists of a set of 46 REDD+ Measures (PAMs), organized along 4 Strategic lines and 13 Policy lines, 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:

- C. Multilateral 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.*
- D. Support existing, alternative and additional sustainable livelihoods and diversification of the economy.  
*Measure 1.B.1: Promotion of non-timber forest products (NTFP) with a view to providing alternative livelihoods to forest dependent communities.*  
*Measure 1.B.2: Promotion of nature and ecotourism 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 actors, and at the same time increasing the ability of the government to properly manage, control and monitor its resources.*

Policy lines:

- E. Advance participation of different stakeholders.
  - Measure 2.A.1: Improvement planning process.*
  - Measure 2.A.2: Preparation and Approval of an Environmental Framework Act 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 Indigenous and Tribal Peoples (ITPs) in forest governance.*
- F. 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.*
- G. Forest and environmental laws and regulations.
  - 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 Framework Act.*
  - Measure 2.C.4: Revision of the nature conservation law.*
- H. 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 favour 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:

- E. Land Tenure
  - Measure 3.A.1: Support the process towards the legal recognition of land tenure rights of indigenous and 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.*
  - Measure 3.A.3: Make information on traditional land ownership publicly available in a central registry.*

*Measure 3.A.4: Follow a prior step to establish a code of conduct on how to take into account land rights before implementing new development or REDD+ activities in the vicinity of ITPs' communities.*

F. Land use planning

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

*Measure 3.B.2: Strengthen and streamline 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 designated 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 RGB 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.*

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

*Measure 3.C.1: Adopt the Draft Environmental Framework Act 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 Initiative (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.*

H. Participatory community development

*Measure 3.D.1: Promote democratic management of community forests/HKV's 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 well-being as well as in economic diversification.*

Policy lines:

D. 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.*

E. Rehabilitation and reforestation of degraded and deforested areas

*Measure 4.B.1: Rehabilitation of mangrove areas.*

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

*Measure 4.B.3: Rehabilitation of degraded forest areas*

F. Scientific research and education on forest management

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

*Measure 4.C.2: Education on forest management*

About 10% of the Suriname's population, mainly indigenous and tribal peoples (ITPs), live in the country's forests and depend directly on the forest and its resources for their living (NH and SBB 2006). Implementation of Suriname's National REDD+ Strategy has great potential to create benefits to forest-dependent people, i.e. to Suriname's Indigenous and Tribal Peoples (ITPs), but the SESA process also identified certain risks for ITPs. Based on these findings, it was concluded that an Indigenous and Tribal Peoples Planning Framework needs to be annexed to the country's ESMF for REDD+ implementation.

## 2. Suriname's Indigenous and Tribal Peoples

These about 62,000 ITPs are distributed across ten (10) communities, four (4) of which are of indigenous and six (6) of tribal origin (Smith 2016, see below table) with similar, yet each their own culture and customs. Because of the geographical spread of the communities and characteristics of a certain area, each community can experience particular challenges and opportunities with regard to social-economic development and maintaining ecological integrity.

*Table 16: Indigenous and tribal communities of the Republic of Suriname (adapted from Smith 2016, Ministerie voor Regionale Ontwikkeling 2014), their geographic distribution and villages consulted as part of the development of the National REDD+ Vision and Strategy*

Community	Villages	Estimated Population	Origin	Location & accessibility	Villages consulted (with place where consultation took place in bold)
Kaliña	39	2,500	Indigenous	Spread over various villages, including mixed villages, in the savanna areas in the old coastal plain. Mostly accessible by road.	Langamankondre, Christiaankondre, <b>Erowarte</b> , Pierrekondre, Bigiston
Lokono		3,500	Indigenous		<b>Matta</b> , Cabendadorp, Hollandse Kamp, Witsanti. <b>Apoera</b> , Section, Washabo. Marijkedorp, Alfonsdorp

Trio	9	1,500	Indigenous	Southern to South-Western Suriname, spread over the southern part of the Sipaliwini district. Accessible by airplane.	<b>Kwamalasamutu</b>
Wayana	6	650	Indigenous	Spread over the (east) Southern part of the Sipaliwini district, along the Tapanhony and Lawa Rivers. Accessible by airplane.	<b>Apetina</b>
Saramaka	60 <sup>42</sup> 24	25,000	Tribal	Area of the Upper-Suriname River, accessible by road and boat.  Brownsweag area and along the Afobaka road in the Brokopondo district. Accessible by road.	1) Bataaliba area: <b>Bekiokondre</b> , Banavookondre, Pikinpada, Baikutu, Duwatra. 2) Langu area: Kajana, Ligorio, Begoon, <b>Deboo</b> , Stonuku, Godowatra. 3) <b>Pikinslee</b>
Paramaka	13	4,000	Tribal	Along the upper-Marowijne River, bordering French Guiana. Accessible by road and boat.	Pikintabiki, <b>Langatabiki</b> , Nason, Sebedoe.
Aukaners/ Ndyuka <sup>43</sup>	29 35	20,000	Tribal	Tapanahony River area, bordering French Guiana. Coastal plain of Northern Marowijne. Accessible by road and boat.	<b>Diitabiki</b> , Poeketi, Jawsa, Pikinkondre, Benanoë, Mainsi, Tabiki, Loabi, Adaisekondre, Malobie, Fandaakie, Mooitakie, Godoholo, Kisai, Granbori, Pipakondee, Sanbendoemie, Polokaba, Klementi.

<sup>42</sup> According to Ministerie voor Regionale Ontwikkeling (2014) there are 60 Saramaka villages in the Sipaliwini district (Upper Suriname River area) and 24 in the Brokopondo district. The consultations conducted as part of the present study focused on the Upper-Suriname River area (the lower of the two pink polygons in the subsequent map).

<sup>43</sup> Aukaners and Ndyuka are two equally valid names referring to the same tribe. The document will from here on use the name "Ndyuka".



Matawai	20	3,000	Tribal	Along the Upper Saramacca River. Accessible by road and boat.	<b>Pusugrunu</b> , Pieti, Padua, Wanhati, Betel, Sukibaka
Kwinti	2	500	Tribal	Upper Coppename River. Accessible by road and boat.	<b>Witagron</b> , Kaaimanston
Aluku	3	1,500	Tribal	Along the Lawa River, bordering French Guiana. Accessible by airplane and boat.	<b>Cottica aan de Lawa</b> , Boniville.

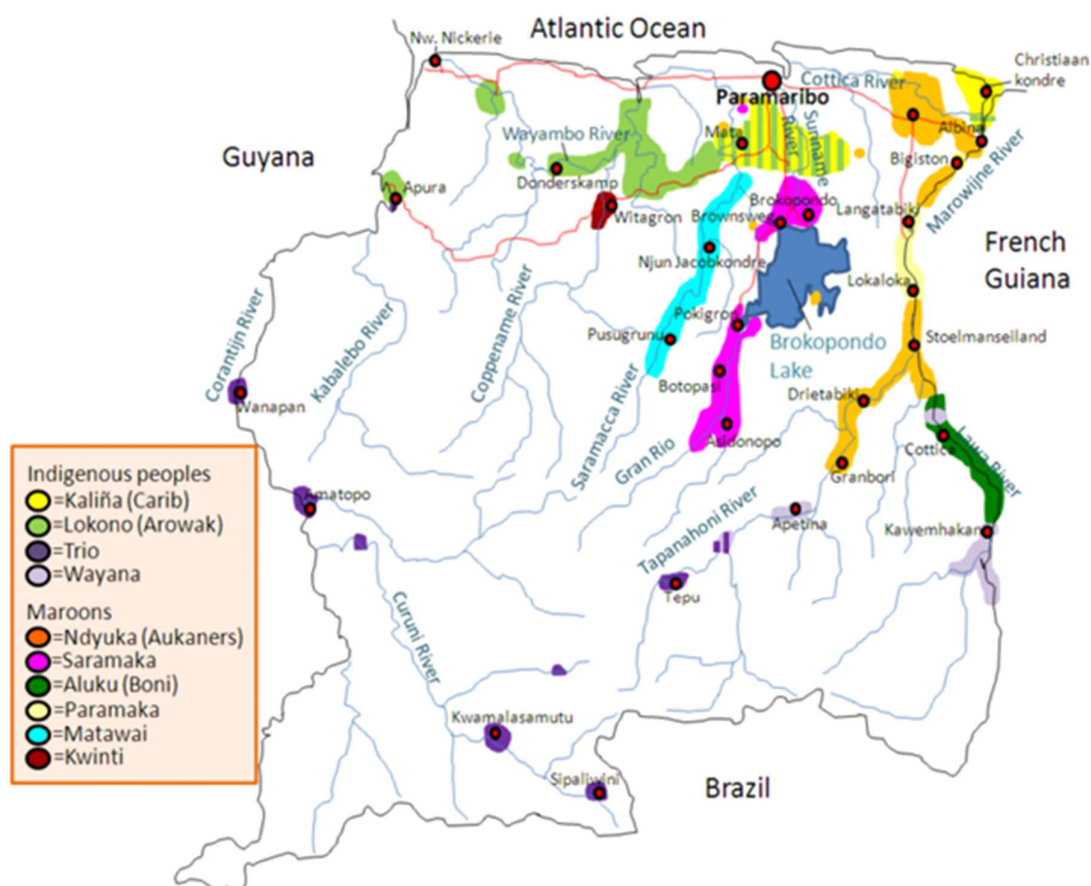


Figure 3: Distribution of Indigenous and Tribal Peoples in Suriname (Source: The Amazon Conservation Team 2010)

The following descriptions of Suriname’s forest-dependent communities are derived from the community consultation reports prepared by Tropenbos International Suriname as part of Suriname’s SESA process. They mainly apply to the villages that were included in the consultations and will refer

to the villages where consultations took place instead of the communities where generalization may otherwise be misleading.

A number of **Kaliña** villages, namely Bigiston, Pierrekondre, Tapuhuku, Erowarte, Langamankondre and Christiaankondre are located close to or along the lower Marowijne River on the border with French Guiana, together with two Lokono villages, i.e. Marijkedorp and Alfonsdorp. The area can be characterized as coastal, with large swamp areas and some savanna forests. Only Marijkedorp and Alfonsdorp have community forest concessions. Community members depend very much on the forest for cultivation of agricultural crops and collecting firewood. The swamp areas and river play an important role for fishing, except for Alfonsdorp, which is situated in the savanna. Logging of timber for self-sufficiency and hunting are done occasionally. The villages of Christiaankondre and Langamankondre depend on the nesting sea turtles for tourism purposes and generating an income. Bigiston, Langamankondre and Christiaankondre do not have access to day and night electricity and running water.

The **Lokono** indigenous communities in the Western part of the Para district (Witsanti, Cabendadorp, Hollandse Kamp, Matta, where the consultation was conducted) are located about 1-1.5 hours from the capital Paramaribo, living mainly in villages along or just off the district roads. This area is characterized mainly by savanna forest, swamp/creek forest and white sands. Because several of the villages are located along or near main roads, in particular the road to the airport, they enjoy day and night electricity and running water and are relatively modernized compared to other indigenous villages that are less accessible. Despite modernization and accessibility, cultural and traditional values play a major role in the villages. Local people depend largely on agricultural plots, timber and firewood, fish and game. Agricultural products are an important source of income.

The mainly **Lokono** indigenous community of West Suriname (living in the villages of Apoera, Section and Washabo) lives in a rich forest area about 9-10 hours driving from Paramaribo and about 2-4 hours by boat from the Nickerie district to the south. The situation in the villages, especially in Apoera, reflects what remains from the 'West Suriname Plan'. Because part of this plan was implemented over the years, the villages have day and night electricity and the area is subject to a certain level of modernization. Although certain foodstuffs are brought in from Nickerie, community members depend on the forest area for their agricultural crops and firewood, and use their surroundings for fishing and hunting. Timber is mostly used for construction purposes. The community, in particular the women, heavily depend on fruits and nuts for income generation, especially the carapa nuts from which they produce carapa oil. Some community members may also find employment with timber or quarry companies in the area.

The indigenous people of the **Trio** live widely dispersed in the southern half of the country. Their living area comprises eight villages: Sipaliwini, Alalapadu, Kwamalasamutu, Kuruni, Kasuelen, Amotopo, Lucie and Wanapan. Historically, the Trio community lived in only a couple of villages, but later moved to build new settlements by order of the previous Chief due to population growth and associated pressures. For example, the villages of Kwamalasamutu and Sipaliwini were built by community members who left from Alalapadu. The villages are mostly very remote and difficult to reach. This remoteness often translates into less or no concessions or extractive activities in the area, together with high dependency on ecosystem services and food insecurity, as in Kwamalasamutu for example. Here, cassava is the most important agricultural crop and many people fish on a daily basis. In times when there is not enough food because of small harvests and insect plagues, the government has been known to fly in food packages. Kwamalasamutu is also home to some of the well-known traditional medicine men in Suriname and known for its ancient stone drawings.

The **Wayana** indigenous people live in several villages and settlements along the rivers Lawa and Tapanahony, including the villages of Apetina, Palumeu, Kawemhakan and the settlements of Tutu kampu, Halala kampu, Akani kampu and Maripahpan. They have their own language and are comparably remote and difficult to reach. Apetina, for instance, which is located along the Upper

Tapanahony River, can only be reached by an airplane charter or by boat from Albina (about two days on the river). In the Wayana living area there are no commercial extractive activities, with the exception of the village Kawemhakan, which is located relatively far away in a different watershed along the Lawa River. Consequently, forests are largely undisturbed and only used by the Wayana for subsistence. The Wayana community in Apetina and nearby settlements are directly dependent on everything that the forest provides them. The community gets their food from the agricultural plots, river and forest. They also use fiber (plant material) to make everyday items such as baskets, household items to make cassava products and to make roofing material. Wood is used mainly for boats and construction of houses or other smaller projects. The community also makes crafts and cultural items from non-timber forest products. Furthermore, there are traditional medicine men in the community.

The territory of the **Ndyuka** tribal community comprises more than 60 villages. They are located along the Marowijne River, which forms part of the border with French Guiana, along the Tapanahony River before it meets the Marowijne River and further inland in the Cottica river area nearing the coast. Only few villages of the Ndyuka are accessible by road, most require a boat trip or can be reached by airplane. Local communities depend on the forest area mainly for food security in terms of crops, fruit and game, and practice fishing in the rivers. Small-scale gold mining is taking place in parts of the Ndyuka territory, for example in the Sela kreek, a branch of the Tapahony River. While these extractive activities provide work to some of the local community members in the surroundings of Diitabiki, where otherwise employment opportunities are very scarce, they also negatively affect water quality and ecosystem-based sources of income. Local community members not involved in gold mining depend on produce from their plots or non-timber forest products (NTFPs), or hold a government-paid job, e.g. for the ministry of education (e.g. teacher, concierge) or the ministry of regional development (e.g. cleaning of terrain). Lack of formal recognition of land tenure rights is considered one of the main issues in the area, leading to insecurity over the availability of forest resources for future generations.

The **Saramaka** tribal community is distributed across the Brownsveg area, along the Afobaka road in the Brokopondo district and in the Upper-Suriname River area. The tribal community in the Upper-Suriname River area, where the consultation took place, can be characterized by their relatively well-conserved traditional lifestyles and culture compared to other tribal communities. Saramaka communities depend heavily on ecosystem services for the provision of food, energy, housing and means of transport: agricultural crops, fish, fruits, wild meat, fibers (plant materials for thatching and making household items), timber and firewood. Additionally, cultural ecosystem services are also important for cultural traditions or sacred places. Depending on the ease of accessibility, i.e. the distance to the local harbor that connects to the Paramaribo-Atjoni road, some villages might depend less on ecosystem services and buy certain products from the local store. Timber is an important ecosystem service for income as it is used to build boats and to make crafts. Selling of fish and game also provides an income for those who 'hustle', i.e. try to earn a modest income through a variety of small jobs. Agricultural crops also provide a source of income, but a sales market is often lacking. While the area is popular for tourism, the product supply chain has much room for improvement in order to generate an income for a broader group of community members (e.g. selling of agricultural crops, crafts, NTFPs, local guides). Currently, only selected individuals who e.g. own a lodge or have arrangements for transport of tourists earn an income in the sector.

The **Aluku** tribal community lives in a remote area on both the French and Surinamese sides of the Lawa River, one of the border-rivers with French Guiana. The Aluku are descendants of Boni and his people known for their fight for freedom from slavery. Historically all of the Aluku originate from Suriname. The area is not accessible by roads from the capital cities. The only way to access the area from the Surinamese side is by boat from Albina (1-2 days) or by airplane. Of all villages only Cottica aan de Lawa is located on the Surinamese side. There is a line flight to Cottica aan de Lawa, with which people can receive packages from the city, but mostly the local community depends on agriculture

plots, fruits, fish and wild meat for food. Cottica aan de Lawa has about 850 inhabitants. However, not all are permanently in the village, because of limited facilities and destruction during the civil war. Many people have either moved to the French side or to Paramaribo.

The living area of the **Paramaka** lies within the Greenstone Belt, along the Upper-Marowijne River, bordering French Guiana. The community lives in 11 villages, namely Akati, Pikin tabiki, Bonidoro, Badaatabiki, Nason, Tabiki ede, Pakira Tabiki, Skin Tabiki, Atemsa, Langatabiki and Loka Loka. The villages of the Paramaka are accessible by road from Moengo southwards and then by boat. There is no public transport, and the nearest town is Moengo. The area mainly consists of dry highland forest and lies downstream of the Aucaners, Aluku and Wayana communities. Local communities depend on the forest area mainly for food security in terms of crops, fish, fruit and game. Because of its location, there are extensive gold mining activities in the area, both on small scale by local community members and Brazilians and on a larger scale by the Newmont mining company. Furthermore, the area is also known for its timber exploitation. Community members in this area are involved in gold mining activities, partially because there are no alternatives. Some respondents are also working in construction, boat transport (which is quite busy in the area because of the gold mining activities) and government-paid jobs. Many that are not involved in gold mining depend on produce from their plots or fruits from the forest to sell in French Guiana or in Paramaribo. The men also sell fish and game to earn an income. Furthermore, people strongly depend on pension and government social support.

The **Matawai** tribal community is spread across 18 villages along the Saramacca river, according to the village list from the Ministry of Regional Development (Ministerie voor Regionale Ontwikkeling 2014). Downstream there are eight Matawai villages and upstream, where the consultation took place, ten villages, namely Pusugrunu, Betel, Pijeti, Piniël, Boslanti, Tevreden, Soekibaka, Vertrouw, Padua and Wanhati. The upstream area has only recently become accessible by road and thanks to low population pressure and the absence of large logging or mining concessions in the direct vicinity is thus still relatively pristine. Downstream small-scale gold mining activities are taking place (near the village of Nw. Jacobkondre). Many community members have left the area to live elsewhere. Those that have remained still engage in traditional activities such as shifting cultivation, fishing, hunting and collecting firewood. Government-paid jobs play a major role in the area, followed by government social support as a source of income.

The tribal community of the **Kwinti** live in an area that is known for its rich biodiversity and is located within the Central Suriname Nature Reserve, about 5 hours driving from Paramaribo. Large part of the Kwinti population has left the two tribal villages of Witagron and Kaaimanston, presumably to live in or closer to Paramaribo, but the small population that does live there depends on ecosystem services for their food and energy provision and construction materials: agricultural crops, fish, fruits, wild meat, firewood and timber, some of which they derive from their community forests. Tourists often stop at Witagron before heading to the Raleigh Falls lodge within the Reserve or heading further westward. Local boatmen earn an income from the Foundation for Nature Conservation Suriname (within the Ministry of Land Policy and Forest Management) by transporting tourists to Raleigh Falls. There are some private logging concessions in the area encroaching the villages. Despite logging activities and the areas' popularity for recreational hunters, the availability of wild meat, timber, fish and other NTFP's is not considered to severely decrease. An important issue is however the lack of employment opportunities for young people leading to migration out of the area.

### 3. Legal framework regarding the rights of Suriname's ITPs

Suriname is a signatory to several international conventions that encompass the safeguarding of the rights of the country's ITPs (table 18).

*Table 17: International conventions in the context of ITP rights signed by Suriname*

International Convention	Brief description
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<p>American Convention on Human Rights (<i>including the jurisdiction of the Inter-American Court on Human Rights (IA Court) binding and applicable specifically to Suriname</i>)</p>	<p>Three IA Court rulings have been issued to date collectively finding violations of the rights of indigenous and tribal peoples in Suriname and ordering the State to (i) provide a mechanisms to delimit, demarcate and grant collective titles over ITPs lands in accordance with the norms, values and customs of the affected peoples; (ii) abstain from further acts (such as establishment of protected areas or granting of new concessions) until delimitation, demarcation, and titling has been completed, unless the State obtains the free, informed and prior consent of the peoples in question; and (iii) provide for the recognition of the legal (juridical) personality of ITPs in Suriname. The IA Court further affirmed that rights to be recognized should not limit to <i>land ownership</i> 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’. (<i>Moiwana Case, Saramaka Case and Lokono Kaliña Case</i>).</p> <p>Recognizing that these orders are legal obligations on Suriname, in 2013 FCPF Resolution PC/14/2013/7 “Suriname’s Readiness Preparation Proposal”, the Participants Committee decided that Suriname needed to submit a “revised R-PP (Revised R-PP) to the FMT, reflecting the key issues in the summary report prepared by the FMT included in the annex to this resolution” (the report is attached to this ESMF as Annex 9. Among others, the report required:</p> <ul style="list-style-type: none"> <li>▪ The inclusion in the new R-PP of a “revised process to collaboratively design, together with indigenous and tribal peoples representatives: (a) a plan for their ongoing consultation and participation ensuring that sufficient budget is allocated for implementation of this plan; and (b) a budget line in the Project Document budget to support activities identified, managed and implemented by indigenous and tribal peoples representatives”;</li> <li>▪ R-PP revisions that “reflect that the Saramaka Judgment of the Inter-American Court of Human Rights and indigenous and tribal peoples rights have implications for REDD+ in Suriname. UNDP, during its due diligence, will commission a review to evaluate these implications, and incorporate its recommendations in the Project Document in collaboration with the government and indigenous and tribal peoples representatives”; and</li> <li>▪ Revision of “the proposed options for a grievance redress mechanism that includes prompt effective remedies with possibility of appeal, in line with the draft UNDP/WB Guidelines on Grievance Mechanisms...”</li> </ul>
<p>International Covenant on Civil and Political Rights (ICCPR)</p>	<p>Multilateral treaty with 117 parties as of 2017. Adopted by the UN General Assembly in 1966. The ICCPR obligates State parties to respect, promote and protect a range of basic human rights, such as: the right to life and human dignity; gender equality; minority rights; freedom of speech, assembly, and association; religious freedom and privacy; equality before the law; freedom from torture, ill-treatment, and arbitrary detention; and the right to a fair trial. The ICCPR is part</p>

	of the International Bill of Human Rights. The UN Committee on Human Rights, charged with monitoring State compliance to the Convention. The UN Human Rights Council responsible for promoting and protecting human rights throughout the world has expressed its concern for Suriname’s failure to implement the IA Court orders related to ITP rights to property recognition. <sup>44</sup>
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.
International Convention on the Elimination of all Forms of Racial Discrimination	Multilateral treaty with 179 parties as of 2018. Adopted by the UN General Assembly in 1965. Commits parties to eliminate racial discrimination and promote understanding among all races. The UN Committee on the Elimination of Racial Discrimination charged with monitoring State compliance to the Convention, has communicated to Suriname stating that “the Committee is concerned at the nonexistence of specific legislative framework to guarantee the realization of the collective rights of indigenous and tribal peoples: and expressing its profound concern over “ <i>ongoing delays in compliance of the most crucial aspects of the [Inter-American] court judgment, in particular, concerning the recognition of communal and self-determination rights of the Saramaka people</i> ” <sup>45</sup> .
United Nations Declaration on the Rights of Indigenous Peoples (UNDRIP)	UNDRIP was adopted by the General Assembly in September 2007, by a majority of 144 states in favor (including Suriname). UNDRIP is a compilation of the rights of ITPs already affirmed in treaties and conventions binding on most States of the world. All States endorsing UNDRIP agreed “ <i>promote respect for and full application of the provisions of this Declaration and follow up the effectiveness of this Declaration.</i> ” (Art. 42). Additionally, UNDP SES #6 (Indigenous Peoples), paragraph 4 states that “ <i>UNDP will not participate in a Project that violates the human rights of indigenous peoples as affirmed by Applicable Law and the United Nations Declaration on the Rights of Indigenous Peoples (UNDRIP).</i> ”
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.

Regarding national legislation, the following PLRs provide some protection for ITPs:

<sup>44</sup> UN Doc. A/HRC/18/12/Add.1, at para. 13 (recording Suriname’s explicit statement that the specific recommendations calling on it to comply with and execute the judgment of the IA Court in *Saramaka Case* “cannot be supported,” referring to recommendations 73.11, 73.52-73.57). See also UN Doc. A/HRC/WG.6/11/SUR/1, 16 February 2011 para. 67.

<sup>45</sup> Communication of the UNCERD to Suriname (Early Warning and Urgent Action procedures) (9 March 2012); UNCERD, Concluding observations: Suriname, CERD/C/SUR/CO/12, 13 March 2009, at para. 12.

Table 18: National policies, laws and regulations and how they cover ITP rights

PLR	Content relevant to ITP rights
Constitution	<p>States 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 the use of science and technology in the context of the national development objectives.</p> <p>Also 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>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>
Districts ordinances (Districtsverordeningen) for each district to develop a district fund.	The district ordinances provide security to ITPs to participate in the planning for their area (ressort/district level) and therefore provide opportunities to enhance their income opportunities.
Forest Management Act	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.
Planning act	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.
Decree on Land Policy Principles (Decreet L-1)	States that “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.

<p>"Protection village areas" Bill (currently at Parliament, amendment of the L-Decree)</p>	<p>The Bill provides for zones (10km areas) around the villages where it is prohibited to issue rights to third 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>
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A more detailed revision of PLRs against the requirements of the UNDP SES and the Cancun Safeguards was conducted for the development of Suriname's Safeguards Information System (SIS) and can be found on the SIS portal: <http://sis.surinameredd.org/>



## 5. ITP risks and mitigation measures

The following table presents only those risks and mitigation measures identified to fall under UNDP SES #6 and does not include the ones on economic displacement, which are dealt with in the Livelihood Action Framework (Annex 4), and under cultural heritage, which are dealt with under the Cultural Heritage Framework (Annex 5).

Table 19: Risks and mitigation measures in the context of UNDP SES #6

General mitigation measures applicable to all of the risks assessed below				
<p>All risks identified below will be substantially mitigated by one or more of the following measures:</p> <ol style="list-style-type: none"> <li>6. multi-stakeholder participation in project governance, capacity building workshops and initiatives (see e.g. priority 3, coordination, communication and engagement);</li> <li>7. heightened stakeholder engagement (regular exchanges and meetings, communication campaigns, and good faith consultations and where applicable, free prior and informed consent (FPIC) as reflected respectively in the Stakeholder Engagement Framework (Annex 6) and Indigenous and Tribal Peoples Framework (Annex 3) and several measures included in the Action Matrix, e.g. priority 1, FPIC);</li> <li>8. the implementation of a robust and participatory REDD+ social and environmental impact assessment and monitoring mechanism that links directly to the SIS (see ESMF chapters 5 and 8);</li> <li>9. the completion and availability of a grievance redress mechanism (GRM) for REDD+ Implementation (see Action Matrix priority 2 and chapter 7); and</li> <li>10. a sufficient budget to carry out each of these activities (see chapter 11 and requirements for content of topical management frameworks in chapter 5 and annexes).</li> </ol> <p>Additionally, <b>as generally applicable</b></p> <ul style="list-style-type: none"> <li>▪ All risks will be viewed through the lens of the gender equity approach and all mitigation measures implemented with a view to promoting gender equality and women’s empowerment. (see Action Matrix priority 4 gender specific processes and chapter 5)</li> <li>▪ Future projects or investments to implement the PAMs will need to undertake detailed screenings (SESP) and eventual social and environmental assessments of their own to review potential for the risks outlined herein and determine the additional management plans that will need to be developed where required/triggered, in line with SES, and then, an associated budget must be included for those additional screenings, assessments and management plans. (see chapter 5 and indicative outlines for topical management plans)</li> </ul>				
Risk and Risk Level <sup>46</sup>	Safeguards triggered			
1. Adverse effects on livelihoods - reduced income opportunities	UNDP SES	WB	Cancun	GCF
	UNDP SES #6, #7	OP 4.10, OP 4.12	c, e	PS5 PS7

<sup>46</sup>Risks should be identified and quantified as if no mitigation or management measures were to be put in place (UNDP SESP, para. 33).

Explanation and existing PLRs	Conclusions and mitigation measures			
<p>Based on the Act on Regional Bodies (Wet RO, S.B.1989 no.44). art. 51, resort 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 district ordinances (Districtsverordeningen) for each district 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>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>There is no legislation in place that specifically addresses adverse effects on livelihoods, however, existing PLRs and the integral development plan provide the security to ITPs to participate in the future planning for their area (ressort/district level), management of district funds, provision of basic utilities (water and energy) and support of alternative livelihoods and therefore provide opportunities to enhance their income opportunities.</p> <p>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 support existing, alternative and additional sustainable livelihoods are included under Policy line 1.B.</p> <p>See also the related risk #11 and its associated mitigation measures.</p>			
Risk and Risk Level	Safeguards triggered			
<p><b>2. Adverse effects on livelihoods - unsustainable resource use, pollution</b></p>	UNDP SES	WB	Cancun	GCF
	UNDP SES #6, #7	OP 4.10, OP 4.36	E	PS4
Explanation and existing PLRs	Conclusions and mitigation measures			
<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 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</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 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 Framework Act 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</p>			

context of a development plan, it will only be approved in consultation and after approval by the community.	wood waste, measures included under Strategic line 2. Forest governance, policy line 4. Promotion of Sustainable Forest Management (SFM) should be able to address this.			
<b>Risk and Risk Level</b>	<b>Safeguards triggered</b>			
<b>3. Adverse effects on livelihoods - traditional activities (MODERATE TO HIGH)</b>	<b>UNDP SES</b>	<b>WB</b>	<b>Cancun</b>	<b>GCF</b>
	UNDP SES #5 and #6	OP 4.10	C	PS7
<b>Explanation and existing PLRs</b>	<b>Conclusions and mitigation measures</b>			
<p>A number of PAMs can have positive effects on livelihoods and traditional activities. However, if carried out inconsistent with Applicable Law or otherwise not adequately, adverse impacts can occur. For instance, PAM 3.A.4 aims to “Follow a prior step to establish a code of conduct on how to take into account land rights before implementing new development or REDD+ activities in the vicinity of ITPs’ communities”. Depending on if ITPs first have their legal personality recognized, or depending on how this guidance is written, traditional activities will be protected well, or limited and leave ITPs with no legal remedy. Where PAM 4.A.1 calls for increasing the coverage of protected areas, the accompanying management plans can facilitate or impede traditional activities depending on who is consulted or what rights they are deemed to have.</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 number 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 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. Several mitigation measures have thus been included in the extended action matrix, e.g. referring to</p> <ul style="list-style-type: none"> <li>▪ Consultation with affected populations and respect of the findings of the three binding rulings of the IA Court in the revision of existing law (see SESA Action Matrix priority 3, communication, coordination and engagement)</li> <li>▪ Discussion forums, capacity meetings and stakeholder engagements that seek to learn about traditional practices and benefit from traditional knowledge that already promote sustainable land use planning, harvesting, and forest management efforts (see SESA Action Matrix, priority 5).</li> <li>▪ Documentation of customary rights and traditional activities and livelihoods in the context of consultation and FPIC processes with affected communities to inform the revision of existing legislation, the adoption of new legislation, and respect for traditional activities in relevant REDD+ programming and activities. (See SESA Action Matrix priority 1 ITP rights).</li> <li>▪ Per UNDP SES #6, all adverse impacts to ITPs traditional livelihoods and rights to lands, resources and territories will be subject to FPIC. (See SESA Action Matrix, priority 1 FPIC)</li> <li>▪ Where restrictions on traditional activities may result in an economic displacement of the affected peoples, see risk 11 which among others, requires the development of a <i>Livelihood Action Plan</i> consistent with the UNDP SES and Applicable Law. (See SESA Action Matrix priority 3 monitoring and control and chapter 5.5.2)</li> </ul>			

	<ul style="list-style-type: none"> <li>Any agreements or contracts entered into with ITPs (PAM 3.A.4) will have express terms related to the protection or agreed upon restrictions on livelihoods (previously subject to FPIC). (See SESA Action Matrix priority 1 ITP rights)</li> </ul>			
<b>Risk and Risk Level</b>	<b>Safeguards triggered</b>			
<b>4. Conflicts (MODERATE TO HIGH)</b>	<b>UNDP SES</b>	<b>WB</b>	<b>Cancun</b>	<b>GCF</b>
	UNDP SES #6; Stakeholder Engagement & Response Mechanism	(OP 4.12)	b	(PS5)
<b>Explanation and existing PLRs</b>	<b>Conclusions and mitigation measures</b>			
<p>Several activities could result in disputes among those with overlapping claims of ownership and use rights (including disputes among local governance bodies (cantons, parochial units, the governance structures of ITP), among private individuals and ITP collectives, etc.</p> <p>In such cases, there is the possibility to go to the domestic court if a breach of law can be identified and if the affected parties have the right to sue (i.e. standing, or “legal personality”). However, only legal entities (natural persons or legal persons) can file law cases in Suriname.</p> <p>Beside the domestic 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>(Risks of Violence are being dealt with by the Police, based on the Criminal Act and the Police Criminal Act.)</p>	<p>ITPs do not have legal personality as of yet and thus do not have the right to sue at the domestic court, even though the IA Court declared this was a violation of the State’s duties under the American Convention on Human Rights.</p> <p>Coverage of the risk by existing PLRs therefore is limited due to the restrictions regarding legal entities, which makes it difficult for a community to file a case. Moreover, communities have limited capacities and financial means to follow through with a court case or make use of the SAI. There is the IA Court, which can be and has been appealed to in case of conflicts over land and resources, but this is not a viable mechanism since first domestic remedies must be shown to be exhausted, or exceptions must be met, and one must first go through the Inter-American <i>Commission</i> on Human Rights. Getting to the IA Court can take a decade, so it is not an effective mechanism to address adverse impacts of REDD+ implementation where immediate, reasonable change is sought.</p> <p>The conclusion is that if REDD+ PAM implementation was to lead to conflicts within or between local communities, there are no PLRs in place to deal with this and to provide access to forum for resolution, including declarations of violations and a just and fair remedy. Arguably, the lack of a law that clearly defines and recognizes the property rights of ITPs also limits the ITPs capacity to bring a grievance based on a violation of rights.</p> <p>Consequently, a number of mitigation measures are needed to address the risk:</p>			

	<ul style="list-style-type: none"> <li>▪ There will be facilitated spaces for capacity building and dialogues among stakeholders to work through differences, educate each other about their respective concerns and the rights of their fellow stakeholders under Applicable Law. (See SESA Action Matrix priority 2, conflict resolution)</li> <li>▪ A Grievance Redress Mechanism (GRM) for REDD+ programming is finalized in accordance with the conclusions, recommendations and work plan identified in the “<i>Development of a REDD+ Grievance Mechanism for Suriname Final Design Report</i>” (Government of Suriname 2019b) (see SESA Action Matrix priority 2 conflict resolution and chapter 7)</li> <li>▪ There will be culturally appropriate awareness campaigns with potentially affected stakeholders on availability and ways to access the GRM. (See SESA Action Matrix priority 2 conflict resolution)</li> </ul>			
<b>Risk and Risk Level</b>	<b>Safeguards triggered</b>			
<b>5. Contradicting legislation - context: poor fine-tuning in the process of recognizing ITP rights</b>  <b>(HIGH)</b>	<b>UNDP SES</b>	<b>WB</b>	<b>Cancun</b>	<b>GCF</b>
	UNDP Principle 1; UNDP SES #6; Stakeholder Engagement & Response Mechanism	(OP 4.10)	a, b, c	/
<b>Explanation and existing PLRs</b>	<b>Conclusions and mitigation measures</b>			
<p>There are some initiatives started by the Government and by Parliament, including various initiatives begun pursuant to efforts to comply with the rulings of the IA Court. None have yet produced a comprehensive law, administrative measure or other mechanism on the rights of ITPs or initiated a comprehensive review of existing legislation to make reforms toward harmonization and compliance with Applicable Law.</p> <p>Inconsistencies in the law can inhibit REDD+ success and infringe on ITP rights if not recognized. For instance, as the Land Study explained, the Mining Act states that natural resources below the ground belong to the State while in “[i]n contrast, the Civil Code states that the ownership of the land is associated with ownership of other natural resources, which could include trees.”</p>	<p><i>There is no comprehensive law in Suriname that recognizes the rights of indigenous and tribal peoples.</i></p> <p>Discussions involving ITP stakeholders around the Nature Conservation Act or the previously described Bill on the issuance of land entitled "Protected Village Areas" (see this column under risk 2. Adverse effects on livelihoods - unsustainable resource use, pollution), even PAM 3.C.2 around the review and update of the Mining Decree, may help to provide some of the required protections, address inconsistencies and improve fine-tuning in the process of recognizing ITP rights.</p>			

	<p>These reforms may be a start, but it is not likely that they will sufficiently address the risk of contradicting legislation in the process of recognizing ITP rights. In order to ensure alignment with the UNDP SES, additional mitigation measures are therefore needed:</p> <ul style="list-style-type: none"> <li>▪ REDD+ activities must comply with the United Nations Declaration on the Rights of Indigenous Peoples. Where there is an absence of legal norms to protect ITPs, UNDRIP can fill these gaps and will be referred to as a baseline. (See SESA Action Matrix priority 1 ITP rights, also the screening of activities against the additional screening questions in Annex 1 covers this point)</li> <li>▪ Define a process for recognizing the collective lands, resources and territories of ITPs. (See SESA Action Matrix priority 1 ITP rights)</li> <li>▪ Support (define as necessary) processes to achieve full recognition of legal personality of indigenous peoples. (See SESA Action Matrix priority 1 ITP rights)</li> <li>▪ Finalize an FPIC protocol for application across REDD+ programming consistent with the UNDP SES as well as the UN-REDD Guidelines on FPIC. This will enhance the support already contemplated for individual ITP community FPIC protocols. (See SESA Action Matrix, priority 1 FPIC)</li> <li>▪ Encourage and support multi-stakeholder forums that permit capacity building around the existing national framework and applicable international law, and facilitate the review of the existing national norms and proposed reforms as needed. (See SESA Action Matrix priority 5 capacity building)</li> <li>▪ The reviews and potential reforms to the national legal framework related to protected areas and conservation will need to be conducted consistent with the binding judgement of IA Court in the <i>Kaliña and Lokono Case</i> which specifically affirms ITP rights in the context of conservation initiatives and establishment of protected areas. (See SESA Action Matrix priority 3 coordination, communication and engagement)</li> <li>▪ The Indigenous and Tribal Peoples Planning Framework will be implemented and <i>Indigenous Peoples and Tribal Peoples Plans</i> developed as applicable for REDD+ implementing (sub-)projects consistent with the UNDP SES and Applicable Law (See Annex 3 and ESMF chapter 5.5.1).</li> <li>▪ The Cultural Heritage Management Framework will be implemented and <i>Cultural Heritage Management Plans</i> developed as applicable for REDD+ implementing (sub-projects) consistent</li> </ul>
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	<p>with the UNDP SES and Applicable Law (See Annex 5 and ESMF chapter 5.5.1). (see also Risks # 14 &amp; 15, below).</p> <ul style="list-style-type: none"> <li>▪ For further assessment of REDD+ implementing (sub-) projects, and as necessary, an expert on indigenous peoples and tribal peoples will be hired with knowledge of their rights under Applicable Law (including as relates to property, governance, cultural heritage and FPIC), and how to conduct stakeholder engagement, consultation and consent processes. (See chapter 5.3)</li> <li>▪ Documentation of traditional rights on paper (as a first step towards legal recognition of such traditional rights) could be used as a reference in processes when legislation is amended or adopted to provide a process to recognize ITP rights. Land use maps developed by various ITP communities over the past years, as well as others 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. (See SESA Matrix priority 3, communication, coordination and engagement)</li> </ul>			
<p><b>8. Stakeholders lack meaningful and effective participation in the decisions that affect them, including denial of FPIC rights of ITPs</b> <b>(MODERATE TO HIGH)</b></p>	<p><b>UNDP SES</b></p>	<p><b>WB</b></p>	<p><b>Cancun</b></p>	<p><b>GCF</b></p>
	<p>UNDP SES generally, SES # 6, &amp; sec. on Stakeholder Engagement &amp; Response Mech.</p>	<p>OP 4.10, OP 4.12</p>	<p>d</p>	<p>PS7</p>
<p><b>Explanation and existing PLRs</b></p>	<p><b>Conclusions and mitigation measures</b></p>			
<p>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.</p> <p>There is no PLR that expressly recognizes FPIC and provides guidelines on how it should be implemented and when.</p>	<p>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.</p> <ul style="list-style-type: none"> <li>▪ Where REDD+ implementation already contemplates working with individual ITP communities to establish their specific FPIC protocols for future engagements with the Government, the development of those protocols and then ALL FPIC processes conducted will be consistent with the <i>UN REDD+ Guidelines on FPIC</i> and UNDP SES #6, para. 9 and its associated guidelines providing:</li> </ul>			

	<p><i>“Full, effective and meaningful participation: At the earliest stage of Project conceptualization and design, and iteratively throughout implementation and closure, mechanisms will be identified and implemented to guarantee the meaningful, effective and informed participation of indigenous peoples on all matters. Culturally appropriate consultation will be carried out with the objective of achieving agreement and <b>FPIC will be ensured on any matters that may affect the rights and interests, lands, resources, territories (whether titled or untitled to the people in question) and traditional livelihoods of the indigenous peoples concerned.</b>”</i> (See SESA Action Matrix priority 1 FPIC)</p> <ul style="list-style-type: none"> <li>▪ Implement and monitor the attached Stakeholder Engagement Framework as well as Stakeholder Engagement Plans as they are developed for REDD+ implementing (sub-) projects (See SESA Action Matrix priority 5 increased information and recognition)</li> <li>▪ When applying a gender approach to the implementation of all mitigation measures, this will include provisions to ensure greater participation and inclusivity of women in all stakeholder events –including consultation and FPIC processes. (See SESA Action Matrix, priority 4 gender specific processes)</li> </ul>			
Risk and Risk Level	Safeguards triggered			
<b>10. Disrespect of ITP rights to their lands, resources and territories (MODERATE TO HIGH)</b>	<b>UNDP SES</b>	<b>WB</b>	<b>Cancun</b>	<b>GCF</b>
	UNDP SES #6	OP 4.10, OP 4.12	c	PS5 PS7
<b>Explanation and existing PLRs</b>	<b>Conclusions and mitigation measures</b>			
<p>A number of PAMs as conducted can adversely impact the rights of ITPs to their traditional lands, resources and territories if those rights are not actually defined and recognized in law such that the rights holders are known. This is important for stakeholder consultation and FPIC processes. Also, it is important to know the scope of their rights (i.e. over what areas of land and over what resources – what are the control and management rights over forests as between ITPs and the government), how do these rights relate to community forest permits, and how are ITP rights protected in the context of increasing protected area coverage or improving forest governance? What are the rights of ITPs to exclude or sue a</p>	<p>While several PLRs exist that address the risk, they usually do not include full protection and respect of ITP rights to their lands, resources and territories. Instead, respect of rights is required “as much as possible” or “insofar as not contrary to the general interest”. The reference made to rights to lands, resources and territories in the mining decree is inadequate as this is not a recognition of rights, nor a requirement that ITPs’ property rights be respected, that land tenure security of such peoples and communities first be addressed, nor is there an FPIC requirement. There are thus substantial gaps in existing PLRs and therefore several mitigation measures are needed:</p>			



trespasser intent on deforestation or illegal mining? A number of the PAMs will need to address these and related issues but the absence of national norms that fully clarifies land, resource and territory rights and the processes to secure them weaken the ability to do so adequately and perhaps even consistent with UNDP SES) (i.e. how can REDD+ facilitate integrated land management planning, if it is not clear who holds rights to lands and resources (especially forests) and what is the nature of those rights?).

Measure 3.B.5, for instance (“Improve the location and size of community forest permits and forestry concessions through adoption of guidelines on criteria for designation”) is controversial to some who say such permits and concessions are not substitutions for full recognition of the rights of ITPs to the lands, resources and territories they have traditionally used and occupied (beyond what might be covered in a forest permit or concession).

There are different sectoral laws that could be progressively interpreted and/or appropriately amended to provide some protections for the property rights of ITPs, especially in the case of potential infringement. Several are listed below. However, these would have to be understood in the context of the binding judgments of the IA Court which have made it clear that the Suriname legal framework does not provide legal recognition or protection of ITPs rights to property. Suriname is under clear orders and the continued supervision of the Inter-American Court of Human Rights (since 2004, *Moiwana* decision & again in 2008 with the *Saramaka* decision) to provide an administrative, legislative or other mechanism to delimit, demarcate and title ITP lands, resources and territories in Suriname.

Also, the Land Study required by the Participants Committee (Resolution PC/14/2013/7) issued a number of conclusions noting the insufficiency of the current legal framework and direct connecting the lack of a mechanism to recognize ITP property and the actual lack of land tenure security to be a key factor in ineffective implementation of REDD+ programming and readiness. For instance, the study states “*more secure land tenure situation is an enabling condition for avoiding deforestation and forest degradation*”. More specifically, the study states:

*“Under REDD+, lack of clarity on land tenure and natural resources rights can have serious adverse effects on people, especially forest-dependent people, such as ITPs.*

- All project documents must be clear that REDD+ implementation supports Suriname’s efforts to comply with its obligations and does not undermine or otherwise prejudice the rights of ITPs to their lands and resources, and all REDD+ activities must be carried out accordingly (See SESA Action Matrix and chapter 5).

- Given that without a defined and agreed upon process with the ITPs to recognize their collective property rights – various other REDD+ activities may in development or implementation prejudice the rights of the ITPs to properly secure their land and resource rights, the sequencing of Project activities will ensure that PAM 3.A.1 is completed as a priority, and budget disbursements will be aligned accordingly to facilitate and reward the achievement of this benchmark while withholding funding from other activities that cannot be carried out without clear ITP property rights and legal personality (See SESA Action Matrix, priority 1 ITP rights and legal personality).

- As indicated above, full protection of ITP rights (including to property) is contingent upon full recognition of their legal personality (without such personality, it is difficult to hold title, enter into contractual obligations, and access judicial remedies in Suriname). As required by UNDP SES #6, para. 7, the sequencing referenced above will take into account the *protection of this right under law*. Example: A pre-condition to implementing PAM 3.A.4 (*Follow a prior step to establish a code of conduct on how to take into account land rights before implementing new development or REDD+ activities in the vicinity of ITPs’ communities*), will be the national recognition of ITP legal personality. As pointed out by the Land Study, in the “*case of contracting with groups, it is fundamental that there is a legal recognition of the group in the national legislation.*” (See SESA Action Matrix, priority 1 ITP rights and legal personality).

- As determined by the screening of REDD+ implementing (sub-) projects, develop an *Indigenous and Tribal Peoples Plan* with ITPs, consistent with the UNDP SES and Applicable Law and considering the indicative outline provided in Annex 3 of this ESMF (See chapter 5.5 and especially sub-chapter 5.5.1).

*For example, where REDD+ PAMs aim to expand or establish protected areas, this may lead to reduced access to land and resources, or even economic or physical displacement. Lack of tenure security can also lead to elite capture of REDD+ benefits, excluding the landless poor and ultimately compromising overall REDD+ results. Lack of clarity regarding land tenure as opposed to carbon tenure can lead to competing claims of stakeholders holding different tenure rights (e.g. customary vs. statutory) over forest land and resources. Such cases can lead to disempowerment of local people, limit local livelihoods and spark conflict, and thus ultimately result in loss of trust and willingness to support REDD+ implementation. Therefore, the failure to secure land tenure rights can not only have a detrimental impact on communities but more generally have “a detrimental impact on REDD+ implementation”. (Footnotes omitted)*

The Land Study goes on to point out the following:

- *“[m]aintaining forests requires that forest inhabitants be able to exclude third parties from logging” but without legal rights to the land or legal personality to sue others, this is limited.*
- *where the *Kaliña and Lokono Case* decided by the IA Court of Human Rights affirmed to Suriname that in the establishment of protected areas, ITP collective rights must be weighed, a compatibility reached “between the safeguarding of protected areas and the adequate use and enjoyment of traditional territories”, and compensation to ITPs provided where restrictions on their rights are triggered – how can this be done without land tenure security and legal clarity on ITP land rights?*
- *“[a]ccording to national law, rights associated with carbon storage seem to be under the national State. This stems for various reasons, including lack of recognition of land tenure to ITPs, lack of recognition of legal personality of ITP communities, and existing general provisions on natural resources ownership. However, the rulings from the Inter American Court of Human Rights call for shifting the focus of the national legal framework in terms of recognizing ownership of rights to peoples that inhabit forests. Accordingly, such rights should encompass natural resources and land rights.”* The suggestion, therefore, is that until the ownership of forests is determined, an effective and comprehensive

national REDD+ strategy focusing on protection of forests and carbon storage is somewhat paralyzed.

- “[t]he legal personality of such populations as a group or collective is not recognized by the national legal framework (the legal system only recognizes natural or legal persons, including companies and associations). This hinders the recognition of the collective land tenure situation, as well as prevents them from claiming collectively against encroachment by third actors of the lands that they occupy”

Other laws to be reviewed, albeit as currently conceived, not intended to provide the full scope of protection for ITP property rights:

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 (Decree L-1):** “Upon disposing of State land, *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*”. 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. Despite the language quoted, the decree still does not fully meet the standards of the American Convention on Human Rights. Infringements of indigenous and tribal peoples’ rights are not permitted simply because an approved development plan exists. There are legal requirements for such infringements of these peoples’ and community rights that are not expressed in the law

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

<p>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.</p> <p>4. The only reference to ITPs in the <b>Mining Decree</b> 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> <p>It is also expressly stated in the <b>Constitution</b> 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 the use of science and technology in the context of the national development objectives. If this was interpreted consistent with the right to culture in the ICCPR and ICESCR to require delimitation, demarcation and titling of indigenous and tribal lands in Suriname, this would be good. However, there is no evidence of this to date.</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, however, the broad and vague definition of “village” will make the bill difficult to implement to protect the rights of indigenous and tribal peoples if not addressed before adoption.</p>				
<p><b>13. Inequality – income and benefit sharing</b></p>	<p><b>UNDP SES</b></p>	<p><b>WB</b></p>	<p><b>Cancun</b></p>	<p><b>GCF</b></p>
	<p>UNDP SES #6 and 7</p>	<p>(not explicitly covered)</p>	<p>(b), (e) (not explicitly covered)</p>	<p>(PS2)</p>
<p><b>Explanation and existing PLRs</b></p>	<p><b>Conclusions and mitigation measures</b></p>			
<p>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.</p> <p>The Land Study concluded that “Lack of tenure security can also lead to elite capture of REDD+ benefits, excluding the landless poor and ultimately compromising overall REDD+ results”.</p>	<p>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. In addition:</p> <ul style="list-style-type: none"> <li>▪ Equitable benefit sharing can be best achieved with transparency, regular stakeholder engagement, and where ITPs are involved, through good faith FPIC processes where benefits to</li> </ul>			

A REDD+ Benefit Sharing Mechanism has not yet been developed in Suriname as yet.

be shared are reflected in the final outcome agreements. The SESA Action Matrix and requirements regarding stakeholder engagement and FPIC assure this.

- Land tenure security will be viewed as a means to ensure greater equitable benefit sharing. Therefore, land tenure security is to be prioritized, as can be seen under priority 1 ITP rights and legal personality of Action Matrix.

## **5. Procedures to follow for development and implementation of REDD+ (sub-) projects**

Chapter 5 of the ESMF explains in detail all the steps that need to be taken in the development of REDD+ implementing (sub-) projects. The following is a short summary of where these steps are or particular relevance for the consideration of UNDP SES 6 on Indigenous Peoples:

1. The proposal preparation step (chapter 5.1) already requests to include the location of intended activities in relation to the location of ITPs in or near the sites in focus, names of communities and numbers of people possible affected (positively or negatively), benefits and risks, information on how local conditions, priorities and needs are being taken into consideration and issues and concerns addressed by the planned activities, including gender-specific issues, as well as stakeholder consultation before, during and subsequent to implementation (including FPIC).
2. The screening (chapter 5.2) allocates a risk category and decides whether further assessment is needed, including where ITPs are concerned.
3. The scoping (chapter 5.3) confirms the focus and depth of additional assessment needed, including where ITPs are concerned.
4. For the assessment, chapter 5.4 specifies that, where ITPs are concerned, additional assessments need to evaluate the risks to, and potential impacts on, inter alia: human rights, lands, territories, natural resources, traditional livelihoods, tangible and intangible cultural heritage (incl. knowledge and practices) of indigenous peoples. It is also requested that any additional assessments involving ITP consultation are conducted in a culturally appropriate and gender-sensitive manner.
5. In the development of the ESMP resulting from additional assessment, chapter 5.5 specifies that, where a (sub-) project may affect ITPs, the development of an ITP Plan may be needed. The following is an indicative outline of such an ITP Plan, as requested by UNDP.

In addition to the above, it should be noted that where there is an infringement (restriction/limitation) on the rights of ITPs to their property (including access to and use of resources), such infringements can trigger rights to compensation and they can only occur where due process is available, agreements on benefit sharing are reached, an independent social and environmental assessment is first undertaken, and good faith consultations are conducted (in certain cases, FPIC will be required). These conditions are further outlined in the Saramaka Case.

**Box 6: Indicative Outline for an Indigenous and Tribal Peoples Plan**

Please refer to the [UNDP SES Guidance Note: Standard 6: Indigenous Peoples](#) for additional information. The reference therein is to an Indigenous Peoples Plan, but for purposes of Suriname, it can be called an Indigenous and Tribal Peoples Plan (*ITP Plan*)

If the proposed Project may affect the rights, lands, resources or territories of indigenous peoples, an "Indigenous Peoples and Tribal Plan" (*ITP Plan*) needs to be elaborated and included in the Project documentation. The *ITP Plan* is to be elaborated and implemented in a manner consistent with the UNDP Social and Environmental Standards and have a level of detail proportional to the complexity of the nature and scale of the proposed Project and its potential impacts on indigenous peoples and their lands, resources and territories. With the effective and meaningful participation of the affected peoples, the *ITP Plan* shall be elaborated and contain provisions addressing, at a minimum, the substantive aspects of the following outline:

- A. Executive Summary of the Indigenous Peoples Plan: Concisely describes the critical facts, significant findings, and recommended actions
- B. Description of the Project: General description of the project, the project area, and components/activities that may lead to impacts on indigenous peoples
- C. Description of Indigenous Peoples: A description of affected indigenous people(s) and their locations, including:
  - i. description of the community or communities constituting the affected peoples (e.g. names, ethnicities, dialects, estimated numbers, etc.);
  - ii. description of the resources, lands and territories to be affected and the affected peoples connections/ relationship with those resources, lands, and territories; and
  - iii. an identification of any vulnerable groups within the affected peoples (e.g. uncontacted and voluntary isolated peoples, women and girls, the disabled and elderly, others).
- D. Summary of Substantive Rights and Legal Framework: A description of the substantive rights of indigenous peoples and the applicable legal framework, including:
  - i. An analysis of applicable domestic and international laws affirming and protecting the rights of indigenous peoples (include general assessment of government implementation of the same).
  - ii. Analysis as to whether the Project involves activities that are contingent on establishing legally recognized rights to lands, resources, or territories that indigenous peoples have traditionally owned, occupied or otherwise used or acquired. Where such contingency exists (see Standard 6 Guidance Note, sections 6 & 7), include:
    - a. identification of the steps and associated timetable for achieving legal recognition of such ownership, occupation, or usage with the support of the relevant authority, including the manner in which delimitation, demarcation, and titling shall respect the customs, traditions, norms, values, land tenure systems and effective and meaningful participation of the affected peoples, with legal recognition granted to titles with the full, free prior and informed consent of the affected peoples; and
    - b. list of the activities that are prohibited until the delimitation, demarcation and titling is completed.

- iii. Analysis whether the Project involves activities that are contingent on the recognition of the juridical personality of the affected Indigenous Peoples. Where such contingency exists (see Standard 6 Guidance Note, section 7):
  - a. identification of the steps and associated timetables for achieving such recognition with the support of the relevant authority, with the full and effective participation and consent of affected indigenous peoples; and
  - b. list of the activities that are prohibited until the recognition is achieved.
- E. Summary of Social and Environmental Assessment and Mitigation Measures
  - i. A summary of the findings and recommendations of the required prior social and environmental impact studies (e.g. limited assessment, ESIA, SESA, as applicable) – specifically those related to indigenous peoples, their rights, lands, resources and territories. This should include the manner in which the affected indigenous peoples participated in such study and their views on the participation mechanisms, the findings and recommendations.
  - ii. Where potential risks and adverse impacts to indigenous peoples, their lands, resources and territories are identified, the details and associated timelines for the planned measures to avoid, minimize, mitigate, or compensate for these adverse effects. Identification of special measures to promote and protect the rights and interests of the indigenous peoples including compliance with the affected peoples’ internal norms and customs.
  - iii. If the Project will result in the relocation of indigenous peoples from their lands and territories, a description of the consultation and FPIC process leading to the resulting agreement on relocation and just and fair compensation, including the possibility of return.
  - iv. A description of measures to protect traditional knowledge and cultural heritage in the event that the Project will result in the documentation and/or use and appropriation of such knowledge and heritage of the indigenous peoples and the steps to ensure FPIC before doing so.
- F. Participation, Consultation, and FPIC Processes
  - i. A summary of results of the culturally appropriate consultation and, where required, FPIC processes undertaken with the affected peoples’ which led to the indigenous peoples’ support for the Project.
  - ii. A description of the mechanisms to conduct iterative consultation and consent processes throughout implementation of the Project. Identify particular Project activities and circumstances that shall require consultation and FPIC (consistent with section 4 of the Standard 6 Guidance Note).
- G. Appropriate Benefits: An identification of the measures to be taken to ensure that indigenous peoples receive equitable social and economic benefits that are culturally appropriate, including a description of the consultation and consent processes that lead to the determined benefit sharing arrangements.
- H. Capacity support
  - i. Description of Project activities aimed at increasing capacity within the government and/or the affected indigenous peoples, and facilitating exchanges, awareness, and cooperation between the two.



<ul style="list-style-type: none"> <li>ii. Description of measures to support social, legal, technical capabilities of indigenous peoples’ organizations in the project area to enable them to better represent the affected indigenous peoples more effectively</li> <li>iii. Where appropriate and requested, description of steps to support technical and legal capabilities of relevant government institutions to strengthen compliance with the country’s duties and obligations under international law with respect to the rights of indigenous peoples.</li> </ul> <p>I. Grievance Redress: A description of the procedures available to address grievances brought by the affected indigenous peoples arising from Project implementation, including the remedies available, how the grievance mechanisms take into account indigenous peoples' customary laws and dispute resolution processes, as well as the effective capacity of indigenous peoples under national laws to denounce violations and secure remedies for the same in domestic courts and administrative processes.</p> <p>J. Monitoring, Reporting, Evaluation</p> <ul style="list-style-type: none"> <li>i. Mechanisms and benchmarks appropriate to the Project for transparent, participatory joint monitoring, evaluating, and reporting, including a description of how the affected indigenous peoples are involved.</li> <li>ii. Define the mechanisms put in place to allow for periodic review and revision of the <b>ITP Plan</b> in the event that new Project circumstances warrant modifications developed through consultation and consent processes with the affected indigenous peoples.</li> </ul> <p>K. Institutional Arrangements: Describes institutional arrangement responsibilities and mechanisms for carrying out the measures contained in the <b>ITP Plan</b>, including participatory mechanisms of affected indigenous peoples. Describes role of independent, impartial entities to audit, conduct social and environmental assessments as required, and/or to conduct oversight of the project.</p> <p>L. Budget and Financing: An appropriately costed plan, with itemized budget sufficient to satisfactorily undertake the activities described.</p> <p><b>Note:</b> The <b>ITP Plan</b> will be implemented as part of Project implementation. However, in no case shall Project activities that may adversely affect indigenous peoples – including the existence, value, use or enjoyment of their lands, resources or territories – take place before the corresponding activities in the <b>ITP Plan</b> are implemented. The relationship between the implementation of specific <b>ITP Plan</b> measures and the permitted commencement of distinct Project activities shall be detailed within the <b>ITP Plan</b> to allow for transparent benchmarks and accountability.</p> <p>Where other Project documents already develop and address issues listed in the above sections, citation to the relevant document(s) shall suffice.</p>
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**5. Participation, Consultations and FPIC Processes**

The development of Suriname’s SESA and ESMF was a highly participatory process, consisting of three main elements as shown in the following table, all of which included representatives of ITPs.

*Table 20: Participatory elements of Suriname's SESA process*

<b>Participatory element 1: First National Workshop</b>
<b>Time:</b> May 2017

<b>Participants:</b> Up to 120 (some variation on day 1 and 2) from all relevant REDD+ stakeholder groups		
<b>Topics</b>	<b>Rationale for inclusion of topics</b>	<b>Methodology for information collection</b>
<i>Issues in and beyond the forest sector</i>	<ul style="list-style-type: none"> <li>• To foster understanding of entry point for REDD+;</li> <li>• To identify issues of importance for benefit and risk assessment;</li> <li>• To identify issues to get potentially addressed by REDD+ PAMs (direct link with NS development).</li> </ul>	<i>Plenary presentation followed by plenary discussion. Further use of identified issues in group work on an ideal future under REDD+ (see next line).</i>
<i>An ideal future for forests and forest-dependent communities under REDD+</i>	<ul style="list-style-type: none"> <li>• To understand REDD+ priorities (i.e. desired benefits) of various stakeholders (direct link with REDD+ vision development).</li> </ul>	<i>Group work, each group developed their own ideal future, a combined result was presented back in plenary.</i>
<i>REDD+ enabling conditions</i>	<ul style="list-style-type: none"> <li>• To understand the status of conditions that can help or hinder successful REDD+ implementation (link with NS development)</li> </ul>	<i>Semi-structured questionnaire (closed questions with space for comments)</i>
<i>Benefits and risks of REDD+ PAMs</i>	<ul style="list-style-type: none"> <li>• To gain an initial understanding of benefits stakeholders are most interested in and risks they are most concerned about (link with NS development, e.g. for refinement of PAMs)</li> </ul>	<i>Of all preliminary PAMs, a sub-set of more tangible ones was selected and introduced to workshop participants. Then group work using guiding questions to identify benefits and risks for each of the PAMs. Reporting back in plenary and plenary discussion.</i>
<i>Gender</i>	<ul style="list-style-type: none"> <li>• To establish a baseline for specific consideration of gender-related issues of importance for the development of the REDD+ vision, NS and SESA</li> </ul>	<i>Semi-structured questionnaire (closed questions with space for comments)</i>
<b>Participatory element 2: Indigenous and Tribal Community Consultations</b>		
<b>Time:</b> May – August 2017		
<b>Participants:</b> On average 30 participants per consultation, 11 locations (all 10 tribes)		

<b>Topics</b>	<b>Rationale for inclusion of topics</b>	<b>Methodology for information collection</b>
<i>Preferred and plausible future for the community area</i>	<ul style="list-style-type: none"> <li>• <i>To understand community (local) development aspirations and the links with forest use, and identify existing problems within the community.</i></li> <li>• <i>To integrate the findings, where possible, with the National REDD+ Vision and Strategy</i></li> </ul>	<p><i>Focus groups: Men, Women, Youth</i></p> <ul style="list-style-type: none"> <li>• <i>Drawing a vision</i></li> <li>• <i>Plenary presentation and discussion</i></li> </ul>
<i>Ecosystem service importance, availability trends and causes.</i>	<ul style="list-style-type: none"> <li>• <i>To understand the interdependence between communities and their living area, and identify social and environmental issues.</i></li> </ul>	<p><i>Plenary discussion based on participatory research tools:</i></p> <ul style="list-style-type: none"> <li>• <i>In-Out diagram for identification of important ecosystem services</i></li> <li>• <i>Trend analysis and discussion on availability - 30y, -10, 0,+10 years and causes</i></li> <li>• <i>Administered surveys</i></li> </ul>
<i>Perception of drivers of deforestation, forest degradation and barriers to sustainable forest use.</i>	<ul style="list-style-type: none"> <li>• <i>To gain better understanding of direct and underlying drivers of deforestation, forest degradation and barriers to sustainable forest use, including geographical, socially or culturally-linked differences.</i></li> <li>• <i>To gain additional information regarding social and environmental issues.</i></li> </ul>	<p><b>Focus groups:</b> <i>Men, Women and plenary presentations</i></p> <ul style="list-style-type: none"> <li>• <i>Discussion and listing/drawing</i></li> <li>• <i>Pebble Distribution Method for prioritization</i></li> <li>• <i>Administered surveys</i></li> </ul>
<i>Perception of how PAM's will affect community livelihoods and living area.</i>	<ul style="list-style-type: none"> <li>• <i>To have a general understanding of the suitability of the PAMs for a specific area and how they may or may not address priority Drivers of Deforestation and Forest Degradation and Barriers to REDD+ Activities (DDFDB+).</i></li> </ul>	<p><b>Focus group:</b> <i>Men, Women and plenary presentations</i></p> <ul style="list-style-type: none"> <li>• <i>Mix &amp; match PAMs to identified DDFDB+, social and environmental issues</i></li> <li>• <i>Discussion and listing of effect on livelihood</i></li> </ul>

<i>Potential risks and benefits associated with PAMs</i>	<ul style="list-style-type: none"> <li>• <i>To gain insight into potential benefits of the National REDD+ Strategy and potential risks to address.</i></li> <li>• <i>To gain an initial understanding of perceived enabling conditions for successful implementation of PAMs</i></li> </ul>	<i>Focus group: Men, women</i> <ul style="list-style-type: none"> <li>• <i>Discussion with prompting questions</i></li> <li>• <i>Plenary presentations</i></li> </ul>
<b>Participatory element 3: Second National Workshop</b>		
<b>Participants:</b> <i>The same participants that attended the first national workshop will be invited to the second</i>		
<b>Topics</b>	<b>Rationale for inclusion of topics</b>	<b>Methodology for information collection</b>
<i>Presentation of National REDD+ Strategy</i>	<i>To present both the National REDD+ Strategy and the SESA findings/ESMF and discuss their content, relevance and feasibility</i>	<ul style="list-style-type: none"> <li>• <i>Presentation and plenary discussion</i></li> <li>• <i>Potentially discussion of specific aspects in smaller groups</i></li> </ul>
<i>Presentation of main findings from SESA process and ESMF</i>		

The schedule of community consultations can be found in Annex 2 of the SESA Report. As is shown there, a total of 456 ITP members took part in the community consultations (element 2 in the above tables), thereof 195 female and 261 male members, and 219 ITP members participated in the survey, thereof 115 female and 104 male members.

Since a lot of detail about what kinds of activities will be implemented as part of REDD+ implementation in Suriname, as well as where and how they will be implemented, are still lacking (therefore an ESMF and an ITP Framework were produced as a result of the SESA, rather than an ESMP and an ITP Plan), it would have been too early to seek FPIC from ITPs as part of the SESA process. However, the content of the SESA Action Matrix together with ESMF chapter 5 make it very clear what the requirements are regarding the development and use of FPIC protocols. Equally, these elements of the ESMF include numerous requirements regarding future and continuous consultation and information disclosure.

For further information on stakeholder engagement, please refer to chapters 6, 10 and the Stakeholder Engagement Framework (Annex 6) of the present document.

## **6. Appropriate Benefits to ITPs**

The SESA process identified a number of social and environmental benefits that REDD+ implementation in Suriname may generate, see chapter 4.1 of the ESMF, and the Action Matrix refers to the importance of promoting and communicating REDD+ benefits.

In chapter 5, which deals with the procedures to follow for development and implementation of REDD+ implementing (sub-) projects, it is requested that project proposals already include information on likely benefits of planned activities and on how local conditions, priorities and needs are being taken into consideration and issues and concerns addressed by the planned activities. The need for culturally appropriate consultation during additional assessments is also expressed. Finally, chapter 5.5 recommends that indicators are being developed not only to monitor the mitigation measures identified for the risks and impacts of planned activities but also for the benefits the planned (sub-) projects set out to achieve.

## **7. Grievance Redress**

Please refer to the SESA Action Matrix as well as chapter 7 of the ESMF for further information.

## **8. Institutional arrangements**

Please refer to chapter 9 of the ESMF for further information.

## **9. Monitoring and reporting**

Every ITP Plan of REDD+ implementing (sub-) projects should include indicators to monitor implementation of identified mitigation measures. This information should feed into overall programme monitoring as described in chapters 8 and 10 of the ESMF.

## **10. Budget and Financing**

The costs of implementing mitigation measures included in Indigenous and Tribal Peoples Plans of REDD+ (sub-) projects that aim at avoiding or at least minimizing and managing risks to ITPs will need to be borne by each individual REDD+ implementing (sub-) project. Please refer to chapter 11 of the ESMF for further information.

## Annex 4: Livelihood Action Framework

### 1. Introduction

The Republic of Suriname is outstanding in its high percentage forest cover, amounting to 93% of its terrestrial area. Deforestation to date has been very limited, qualifying it as a High Forest cover Low Deforestation (HFLD) country. REDD+, the international mechanism incentivizing actions that are Reducing Emissions from Deforestation and forest Degradation, conservation of forest carbon stocks, sustainable management of forests and forest carbon stock enhancement, can help maintain Suriname's high forest cover into the future by addressing the different drivers of both deforestation and forest degradation.

About 10% of the Suriname's population, mainly indigenous and tribal peoples (ITPs), live in the country's forests and depend directly on the forest and its resources for their living (NH and SBB 2006). Implementation of Suriname's National REDD+ Strategy has great potential to create benefits to forest-dependent people, but the SESA process also identified certain risks, some of which in the context of adverse effects on livelihoods and on explicitly on reduced access to resources, which could lead to economic displacement. Based on these findings, it was concluded that a Livelihood Action Framework needs to be annexed to the country's ESMF for REDD+ implementation.

### 2. Project Description

Suriname's National REDD+ Strategy was developed over a period of 10 months in a highly consultative process and involved all relevant REDD+ stakeholders, as described in the SESA report. The resulting strategy consists of a set of 46 REDD+ Measures (PAMs), organized along 4 Strategic lines and 13 Policy lines, 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:

- E. Multilateral 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.*
- F. Support existing, alternative and additional sustainable livelihoods and diversification of the economy.  
*Measure 1.B.1: Promotion of non-timber forest products (NTFP) with a view to providing alternative livelihoods to forest dependent communities.*  
*Measure 1.B.2: Promotion of nature and ecotourism 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 actors, and at the same time increasing the ability of the government to properly manage, control and monitor its resources.*

### Policy lines:

- I. Advance participation of different stakeholders.
  - Measure 2.A.1: Improvement planning process.*
  - Measure 2.A.2: Preparation and Approval of an Environmental Framework Act 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 Indigenous and Tribal Peoples (ITPs) in forest governance.*
- J. 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.*
- K. Forest and environmental laws and regulations.
  - 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 Framework Act.*
  - Measure 2.C.4: Revision of the nature conservation law.*
- L. 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 favour 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:

I. Land Tenure

*Measure 3.A.1: Support the process towards the legal recognition of land tenure rights of indigenous and 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.*

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

*Measure 3.A.4: Follow a prior step to establish a code of conduct on how to take into account land rights before implementing new development or REDD+ activities in the vicinity of ITPs' communities.*

J. Land use planning

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

*Measure 3.B.2: Strengthen and streamline 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 designated 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 RGB 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.*

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

*Measure 3.C.1: Adopt the Draft Environmental Framework Act 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 Initiative (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.*

L. Participatory community development

*Measure 3.D.1: Promote democratic management of community forests/HKV's 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 well-being as well as in economic diversification.*



Policy lines:

- G. 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.*
  
- H. Rehabilitation and reforestation of degraded and deforested areas
  - Measure 4.B.1: Rehabilitation of mangrove areas.*
  - Measure 4.B.2: Reforestation of abandoned mine sites.*
  - Measure 4.B.3: Rehabilitation of degraded forest areas*
  
- I. Scientific research and education on forest management
  - Measure 4.C.1: Research in forest monitoring and management encouraged and research institutions strengthened.*
  - Measure 4.C.2: Education on forest management*

### 3. Legal framework regarding access restrictions and economic displacement

There are no international legal frameworks that specifically address the topics of access restrictions and economic displacement, however, for international conventions that protect ITP rights please refer to chapter 3 of Annex 3: International and Tribal Peoples Planning Framework. Additional PLRs addressing risks in the context of adverse effects on livelihoods and access restrictions are summarized in the following table<sup>47</sup>.

*Table 21: Suriname's legal framework regarding access restrictions and economic displacement*

Legal instrument	Content
Constitution	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.
Decree Principles Land Policy (Decreet biginselen grondbeleid, S.B. 1983 no. 103)	States that "The customary rights of Maroons and Indigenous Peoples living in tribal societies on use of domain land will be respected as long as these rights do not conflict with the national interest." (Art. 4, subsection 1)
Forest Management Law	Defines communal forest (gemeenschapsbos), i.e. forest areas surrounding communal land that have been assigned to the Indigenous and Tribal Peoples living in the villages and which can be used to provide for themselves as well as for the purpose of, for example, commercial logging and agriculture.

<sup>47</sup> Information in this table was derived from a PLR analysis conducted as part of the development of Suriname's SIS, accessible at: <http://sis.surinameredd.org/>

	Recognizes the existence of a system of traditional rights among Indigenous and Tribal Peoples. It provides that the customary rights of the Indigenous and Tribal Peoples in their villages and on their vegetable gardens have to be respected 'as much as possible.' However, neither the Forest Management Law nor the legal framework defines the term "customary rights".
Decree on the Issuance of State-owned Land (S.B. 1982 no. 11 as lastly amended by S.B. 2003 no. 7)	The Minister of Land Policy and Forest Management is responsible to see to it that the customary rights of the Indigenous and Tribal Peoples are respected as much as possible in the context of a rational forest management. The President is responsible to decide on applications of violations of customary rights of Indigenous and Tribal Peoples under the Forest Management Law.
Inter-American Court on Human Rights	Concluded that "the State must have adequate mechanisms to implement those criteria (effective participation, access and use of their traditional territories, the possibility of obtaining benefits from conservation) as a means of guaranteeing the right 60 to a dignified life and to cultural identity to the Indigenous and Tribal Peoples in relation to the protection of the natural resources in their traditional territories".

Overall, while national PLRs cover the topic of expropriation and physical displacement, coverage of economic displacement seems limited.

#### 4. Livelihood risks and mitigation measures

Please note that the following table shows only those risks referring to economic displacement under UNDP SES #5.

Table 22: Risks and mitigation measures in the context of UNDP SES #5

Risk and Risk Level	Safeguards triggered			
<b>3. Adverse effects on livelihoods - traditional activities</b> <b>(MODERATE TO HIGH)</b>	UNDP SES	WB	Cancun	GCF
	UNDP SES #5 and #6	OP 4.10	C	PS7
Explanation and existing PLRs	Conclusions and mitigation measures			
<p>A number of PAMs can have positive effects on livelihoods and traditional activities. However, if carried out inconsistent with Applicable Law or otherwise not adequately, adverse impacts can occur. For instance, PAM 3.A.4 aims to “Follow a prior step to establish a code of conduct on how to take into account land rights before implementing new development or REDD+ activities in the vicinity of ITPs’ communities”. Depending on if ITPs first have their legal personality recognized, or depending on how this guidance is written, traditional activities will be protected well, or limited and leave ITPs with no legal remedy. Where PAM 4.A.1 calls for increasing the coverage of protected areas, the accompanying management plans can facilitate or impede traditional activities depending on who is consulted or what rights they are deemed to have.</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 number 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 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. Several mitigation measures have thus been included in the extended action matrix, e.g. referring to</p> <ul style="list-style-type: none"> <li>▪ Consultation with affected populations and respect of the findings of the three binding rulings of the IA Court in the revision of existing law (see SESA Action Matrix priority 3, communication, coordination and engagement)</li> <li>▪ Discussion forums, capacity meetings and stakeholder engagements that seek to learn about traditional practices and benefit from traditional knowledge that already promote sustainable land use planning, harvesting, and forest management efforts (see SESA Action Matrix, priority 5).</li> <li>▪ Documentation of customary rights and traditional activities and livelihoods in the context of consultation and FPIC processes with affected communities to inform the revision of existing legislation, the adoption of new legislation, and respect for traditional activities in relevant REDD+ programming and activities. (See SESA Action Matrix priority 1 ITP rights).</li> <li>▪ Per UNDP SES #6, all adverse impacts to ITPs traditional livelihoods and rights to lands, resources and territories will be subject to FPIC. (See SESA Action Matrix, priority 1 FPIC)</li> <li>▪ Where restrictions on traditional activities may result in an economic displacement of the affected peoples, see risk 11 which among others, requires the development of a <i>Livelihood Action Plan</i> consistent with the UNDP SES and Applicable Law. (See SESA Action Matrix priority 3 monitoring and control and chapter 5.5.2)</li> <li>▪ Any agreements or contracts entered into with ITPs (PAM 3.A.4) will have express terms related to the protection or agreed upon restrictions on livelihoods (previously subject to FPIC). (See SESA Action Matrix priority 1 ITP rights)</li> </ul>			

Risk and Risk Level	Safeguards triggered			
<b>17. Reduced access to resources</b> - economic or occupational displacement <b>(MODERATE TO HIGH)</b>	<b>UNDP SES</b>	<b>WB</b>	<b>Cancun</b>	<b>GCF</b>
	UNDP SES #5 and #6	OP 4.10, OP 4.12	c	PS5 PS7
Explanation and existing PLRs	Conclusions and mitigation measures			
<p>The UNDP SES, does preclude “economic and occupational displacement” (“i.e., loss of assets or access to assets that leads to loss of income sources or means of livelihood) as a result of project-related land or resource acquisition or restrictions on land use or access to resources (including through Project externalities such as pollution and impacts to biodiversity or ecosystem services) that people depend on for physical, economic, social, cultural, or spiritual well-being.”</p> <p>It is possible that REDD+ implementation may trigger this UNDP SES safeguard. Some REDD+ activities may place restrictions on existing and future natural resource uses. Although restrictions resulting in economic displacements are not envisioned, this could happen, especially for poorer and marginalized individuals and collectives who may not have resources to change their current practices and resource uses or whose livelihoods, and their physical and cultural survival is deemed connected to those resources, or where the peoples in question did not fully understand the natural resource use limitations to which they were agreeing.</p> <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>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 Forest Service. This leaves the opportunity for the Communities to apply for a permit.</p>	<p>The PLRs together with measures included in the National REDD+ Strategy promoting engagement of stakeholders in the revision of legal instruments, adoption of new legislation (for instance, around the rights of ITPs) and documentation of traditional rights to be used as a reference in such processes (see SESA Action Matrix) will help to mitigate this risk. In addition:</p> <ul style="list-style-type: none"> <li>▪ Affected stakeholder access to a GRM in the event of reduced access to resources is necessary (see SESA Action Matrix, priority 2 and chapter 7)</li> <li>▪ Actions to revise or adopt new laws, and mechanisms to implement REDD+ activities will be informed by the fact that where there is an infringement (restriction/limitation) on the rights of ITPs to their property (including access to and use of resources), such infringements can trigger rights to compensation and they can only occur where due process is available, agreements on benefit sharing are reached, an independent social and environmental assessment is first undertaken, and good faith consultations are conducted (in certain cases, FPIC will be required). These conditions are further outlined in the <i>Saramaka Case</i>. (See chapter 5.3 and several measures included in the SESA Action Matrix)</li> <li>▪ Where REDD+ implementation could result in economic or occupational displacement (such as through protected area management plans, the terms of a community forest permit, legal reform to the mining law, or other land management or forest governance program), related activities will be the subject of extensive consultations with the potential affected communities. During these good faith consultations ITP use and access rights will be discussed, and the ITPs’ current and future uses of their lands and resources will be shared and documented with a view to protection. If restrictions are to occur, FPIC is secured and documented (with the conditions associated with the restriction - i.e. benefit sharing, compensation for the infringement, dispute</li> </ul>			

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.

resolution if breaches by either party, alternative livelihood options provided, etc.). (See chapter 5.3 and several measures included in the SESA Action Matrix)

## 5. Procedures to follow for development and implementation of REDD+ (sub-) projects

Chapter 5 of the ESMF explains in detail all the steps that need to be taken in the development of REDD+ implementing (sub-) projects. The following is a short summary of where these steps are or particular relevance for the consideration of UNDP SES 5 on Displacement and Resettlement:

1. The proposal preparation step (chapter 5.1) already requests to include the location of intended activities in relation to the location of ITPs in or near the sites in focus, names of communities and numbers of people possible affected (positively or negatively), benefits and risks, information on how local conditions, priorities and needs are being taken into consideration and issues and concerns addressed by the planned activities, including gender-specific issues, as well as stakeholder consultation before, during and subsequent to implementation (including FPIC).
2. The screening (chapter 5.2) allocates a risk category and decides whether further assessment is needed, including in the context of access restrictions and economic displacement.
3. The scoping (chapter 5.3) confirms the focus and depth of additional assessment needed, including in the context of access restrictions and economic displacement.
4. For the assessment, chapter 5.4 specifies that in the context of UNDP SES 5 additional assessments need to evaluate the risks and potential impacts of project-related access restrictions to people and communities subject to economic displacement.
5. In the development of the ESMP resulting from additional assessment, chapter 5.5 specifies that, where a (sub-) project may involve access restrictions, the development of a Livelihood Action Plan may be needed. The following is an indicative outline of such plan, as requested by UNDP.

### Box 7: Indicative Outline for Livelihood Action Plan

Please refer to the [UNDP SES Guidance Note: Standard 5: Displacement and Resettlement](#) for additional information.

A Livelihood Action Plan (RAP) details the **procedures** and **actions** that will be undertaken in order to ensure that the capacity, production levels, and standards of living of economically displaced people are improved or at least restored, and that displaced people are compensated adequately. This plan must be developed after it has been determined, following the process outlined in Standard 5, that displacement is unavoidable. The LAP reflects the commitment made by the Implementing Partner and UNDP to affected people and communities to meet obligations arising from economic displacement.

1. Introduction
  - Briefly describe the project and associated facilities (if any)
  - Describe project components requiring economic displacement; land acquisition and resettlement; give overall estimates of land and/or resources to which access has been restricted
  - Provide explanation of how economic displacement is necessary to achieve the project objectives, how the project is in the 'public interest' and how displacement is proportional to project outcomes
2. Minimizing Displacement
  - Describe the justification for the displacement

- Describe efforts and measures to minimize displacement, and expected outcomes of these efforts and measures
  - Describe how requirements of Indigenous Peoples Standard have been addressed if Indigenous Peoples are displaced.
3. Census and Socioeconomic Surveys
- Provide results of the census, assets inventories, natural resource assessments, and socioeconomic surveys and briefly describe how these were performed, i.e., techniques used, individuals interviewed, etc.
  - Identify all people and communities potentially affected by displacement activities and potential impacts to each
4. Legal Framework
- Describe all relevant international, national, local, and community laws and customs that apply to displacement activities, with particular attention to laws and customs relating to tenure rights
  - Describe how free, prior, informed consent was obtained for displacement of indigenous peoples and tribal communities, if applicable
  - Describe project-specific mechanisms to address conflicts
  - Describe entitlement/compensation policies for each type of impact
  - Describe method of valuation used for affected structures, land, trees, and other assets
  - Prepare entitlement matrix, which includes budget and timeframe for payment of entitlements
5. Displacement-related Property
- Describe how affected people have been involved in a participatory process to identify replacement property when they have lost access to property to which they have legitimate rights. Describe the advantages and disadvantages of the properties, including the property chosen.
  - Describe how affected people whose livelihoods are urban-based have been involved in a participatory process to identify livelihood replacement and support opportunities.
  - Describe how affected people whose livelihoods are land-based have been involved in a participatory process to identify lands they can access, including lands with productive potential, locational advantages, and other factors at least equivalent to that being lost.
  - Describe how affected people whose livelihoods are natural resource-based have been involved in a participatory process to identify resources they can access with equivalent livelihood-earning potential and accessibility.
  - Describe how affected people whose access to legally designated parks and protected areas has been restricted have been involved in identifying and choosing measures to mitigate impacts.
  - Describe the feasibility studies conducted to determine the suitability of chosen lands and/or natural resources described above, including natural resource assessments (soils and land use capability, vegetation and livestock carrying capacity, water resource surveys) and environmental and social impact assessments of the sites.
  - Give calculations relating to land and resource availability

- Describe, as relevant, mechanisms for: 1) procuring, 2) developing and 3) allotting displacement property, including the awarding of title or use rights to allotted lands and/or resources. Indicate to whom titles and use rights will be allocated, including by gender.
- Provide detailed description of the arrangements for site development for agriculture, including funding of development costs
- If circumstances made it difficult to provide land or resources as described above, provide evidence of mutual agreement with affected people/communities on alternative measures.

6. Income Restoration

- Are compensation entitlements sufficient to restore and/or improve livelihoods and income streams for each category of impact? Attach independent review of opportunities to restore and improve incomes/livelihoods. What additional economic rehabilitation measures are necessary?
- Briefly spell out the restoration strategies for each category of impact and describe their institutional, financial, and technical aspects
- Describe the process of consultation with affected populations and their participation in finalizing strategies for income restoration
- How do these strategies vary with the area of impact?
- Does income restoration require change in livelihoods, development of alternative farmlands or some other activities that require a substantial amount of training, time for preparation, and implementation?
- How are the risks of impoverishment to be addressed?
- What are the main institutional and other risks for the smooth implementation of the resettlement programs?
- Describe the process for monitoring the effectiveness of the income restoration measures
- Describe any social or community development programs currently operating in or around the project area. If programs exist, do they meet the development priorities of their target communities? Are there opportunities to support new programs or expand existing programs to meet the development priorities of communities in the project area?

7. Institutional Arrangements

- Describe the institution(s) responsible for delivery of each item/activity in the entitlement policy; implementation of income restoration programs; and coordination of the activities associated with and described in the livelihood action plan
- State how coordination issues will be addressed where displacement is spread over a number of jurisdictions or where displacement will be implemented in stages over a long period of time
- Identify the agency that will coordinate all implementing agencies. Does it have the necessary mandate and resources?
- Describe the external (nonproject) institutions involved in the process of income restoration (land development, land allocation, credit, training) and the mechanisms to ensure adequate performance of these institutions
- Discuss institutional capacity for and commitment to displacement



- Describe mechanisms for ensuring independent monitoring, evaluation, and financial audit of the LAP and for ensuring that corrective measures are carried out in a timely fashion
8. Implementation Schedule
- List the chronological steps in implementation of the LAP, including identification of agencies responsible for each activity and with a brief explanation of each activity
  - Prepare a month-by-month implementation schedule of activities to be undertaken as part of resettlement implementation
  - Describe the linkage between resettlement implementation and initiation of civil works for each of the project components
9. Participation and Consultation
- Describe the various stakeholders
  - Describe the process of promoting consultation/participation of affected populations and stakeholders in resettlement preparation and planning
  - Describe the process of involving affected populations and other stakeholders in implementation and monitoring
  - Describe the plan for disseminating LAP information to affected populations and stakeholders, including information about compensation for lost assets, eligibility for compensation, displacement assistance, and grievance redress
10. Grievance Redress
- Describe the step-by-step process for registering and addressing grievances and provide specific details regarding a cost-free process for registering complaints, response time, and communication modes
  - Describe the mechanism for appeal
  - Describe the provisions for approaching civil courts if other options fail
11. Monitoring and Evaluation
- Describe the internal/performance monitoring process. Ensure monitoring program seeks to measure whether displaced enjoy at least a standard of living and access to livelihoods equal to what they enjoyed before displacement
  - Define key monitoring indicators derived from baseline survey. Provide a list of monitoring indicators that will be used for internal monitoring, including number and location of displaced persons
  - Describe institutional (including financial) arrangements
  - Describe frequency of reporting and content for internal monitoring
  - Describe process for integrating feedback from internal monitoring into implementation
  - Define methodology for external monitoring
  - Define key indicators for external monitoring
  - Describe frequency of reporting and content for external monitoring. Ensure monitoring program is regular and ongoing following project completion until durable solutions are reached
  - Describe process for integrating feedback from external monitoring into implementation

- Describe arrangements for final external evaluation
- Describe need for updates to census, assets inventories, resource assessments, and socioeconomic surveys, if necessary, as part of LAP monitoring and evaluation

#### 12. Costs and Budgets

- Provide a clear statement of financial responsibility and authority
- List the sources of funds for displacement and describe the flow of funds
- Ensure that the budget for displacement is sufficient and included in the overall project budget. Include provisions for non-anticipated adverse impacts.
- Identify displacement costs, if any, to be funded by the government and the mechanisms that will be established to ensure coordination of disbursements with the LAP and the project schedule. Prepare estimated budget, by cost and by item, for all displacement costs including planning and implementation, management and administration, monitoring and evaluation, and contingencies
- Describe the specific mechanisms to adjust cost estimates and compensation payments for inflation and currency fluctuations
- Describe the provisions to account for physical and price contingencies
- Describe the financial arrangements for external monitoring and evaluation including the process for awarding and maintenance of contracts for the entire duration of displacement

#### Annexes

- Copies of census and survey instruments, interview formats, and any other research tools
- Information on all public consultation including announcements and schedules of public meetings, meeting minutes, and lists of attendees
- Examples of formats to be used in monitoring and reporting on LAP implementation
- Entitlement matrix
- Evidence of prior informed consent for indigenous peoples and tribal communities

## 6. Participation and Consultation

The development of Suriname's SESA and ESMF was a highly participatory process (for further information, please see the SESA report) and the present Livelihood Action Framework has been derived from this process.

As can be seen from the mitigation measures included in chapter 4 of the present framework, participation and consultation play a major role in mitigating the risks that were identified in the context of livelihood effects of REDD+ implementation.

Further detail on participation and consultation will become available where Livelihood Action Plans are developed for REDD+ implementing (sub-) projects.

## 7. Grievance Redress

Please refer to the SESA Action Matrix as well as chapter 7 of the ESMF for further information.

## **8. Costs and Budget**

The costs of implementing mitigation measures included in the Livelihood Action Plan of REDD+ implementing (sub-) projects that aim at reducing the risk of economic displacement as well as those that aim to restore livelihoods will need to be borne by each individual REDD+ implementing (sub-) project. Please refer to chapter 11 of the ESMF for further information.

## **9. Monitoring**

Every Livelihood Action Plan of REDD+ implementing (sub-) projects should include indicators to monitor implementation of identified mitigation measures. This information should feed into overall programme monitoring as described in chapters 8 and 10 of the ESMF.

## Annex 5: Cultural Heritage Management Framework

### 1. Introduction

Suriname has a multi-ethnic, multi-cultural society, with influences from a spectrum of ancestors of different backgrounds, including Indigenous, Indian (Hindustani), Javanese, Chinese, African, Jewish, and European. Suriname's Indigenous and Tribal Peoples have been living a traditional lifestyle in or near the forest for generations. Conserving cultural heritage under REDD+ is therefore of importance. Suriname's SESA process identified two risks specifically referring to the loss of cultural heritage. It was therefore decided that a Cultural Heritage Management Framework should be attached to the ESMF.

### 2. Requirements regarding cultural heritage and existing PLRs

UNDP SES #4 (Cultural Heritage) has the objective to (i) protect and manage Cultural Heritage; (ii) conserve Cultural Heritage and avoid its alteration, damage or removal; and (iii) promote the equitable sharing of benefits from the use of Cultural Heritage. Its main requirements focus on avoidance, mitigation, engagement of experts to help with identification and protection, conditional utilization of cultural heritage, the application of chance find procedures, and the application of clear conditions for the removal of cultural heritage if found during the implementation of REDD+ activities.

Suriname's existing PLRs to some extent support these objectives (see table 23).

Table 23: Suriname's legal framework regarding cultural heritage

Legal instrument	Content
Constitution	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;
Decree Principles Land Policy (Decreet biginselen grondbeleid, S.B. 1983 no. 103)	States that "The customary rights of Maroons and Indigenous Peoples living in tribal societies on use of domain land will be respected as long as these rights do not conflict with the national interest." (Art. 4, subsection 1)
Monuments law	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 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. 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

Inter-American Court on Human Rights	Concludes that “the State must have adequate mechanisms to implement those criteria (effective participation, access and use of their traditional territories, the possibility of obtaining benefits from conservation) as a means of guaranteeing the right 60 to a dignified life and to cultural identity to the Indigenous and Tribal Peoples in relation to the protection of the natural resources in their traditional territories”
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In addition to the International Covenant on Economic, Social and Cultural Rights 1966 (ICESCR), Suriname is also a member 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 ITP.

**3. Cultural heritage risks and mitigation measures**

Please note that the following table only shows those risks identified to fall under UNDP SES #4 on Cultural Heritage.

Table 24: Risks and mitigation measures in the context of UNDP SES #4

Risk and Risk Level	Safeguards triggered			
<b>14. Loss of cultural heritage (tangible and intangible)</b> <b>(MODERATE TO HIGH)</b>	UNDP SES	WB	Cancun	GCF
	UNDP SES #4 and #6	OP 4.11 (restricted to physical)	c	PS7 PS8
Explanation and existing PLRs	Conclusions and mitigation measures			
<p>Current PAM activities, including for instance, those targeted at increasing the coverage of conservation areas, reconducting the process toward legal recognition of land rights, and increasing the proportion and size of areas under controlled forest management - depending on how they are carried out - can positively or adversely impact cultural heritage.</p> <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, and 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 entitled to a site/field must tolerate that the State or persons in the interest of archaeological research, perform measurements or excavations. If 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>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.</p> <ul style="list-style-type: none"> <li>▪ Mapping of physical cultural resources could help ensure that their location can be more easily taken into consideration in land use planning and restrictions on access and use precluded to the extent possible. The process for mapping of such resources when activities in specific areas are defined, can be accounted for in the Indigenous and Tribal Peoples Plan as well as the Cultural Heritage Management Plan (indicative outlines included in Annexes 3 and 5) (see SESA Action Matrix, priority 6)</li> <li>▪ For intangible cultural heritage documenting traditional knowledge, uses, stories, craft skills, etc. would represent the equivalent to mapping of physical cultural heritage (see SESA Action Matrix, priority 6).</li> <li>▪ Implementation practices will expressly observe that infringements on cultural heritage (tangible and intangible) would be subject to FPIC (see chapter 5.5.3 and Annex 5).</li> <li>▪ As determined by the screening of REDD+ implementing (sub-) projects, develop a <i>Cultural Heritage Management Plan</i> consistent with the UNDP SES and Applicable Law (see also chapter 5.5.3 and Annex 6 to this ESMF).</li> <li>▪ Include cultural heritage impacts within the context of assessment and monitoring exercises (see chapter 5).</li> <li>▪ See also Risk #15 below and its corresponding mitigation measures.</li> </ul>			

<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> <p>UNDRIP, applicable to REDD+ programming, also protects ITPs rights to their cultural heritage (tangible and intangible), see Arts. 11, 12 &amp; 31.</p>				
<p><b>Risk and Risk Level</b></p>	<p><b>Safeguards triggered</b></p>			
<p><b>15. Loss of cultural heritage - intellectual property rights</b> <b>(LOW)</b></p>	<p><b>UNDP SES</b></p>	<p><b>WB</b></p>	<p><b>Cancun</b></p>	<p><b>GCF</b></p>
	<p>UNDP SES #4 and #6</p>	<p>(OP 4.10)</p>	<p>c</p>	<p>PS7 PS8</p>
<p><b>Explanation and existing PLRs</b></p>	<p><b>Conclusions and mitigation measures</b></p>			
<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. In 2004, a Bill on Industrial Property was submitted to Parliament but never approved.</p> <p>See UNDRIP, Art. 31 affirming that ITPs have the right to maintain, control, protect and develop their intellectual property over such cultural heritage, traditional knowledge, and traditional cultural expressions; see also Art. 11 requiring FPIC before using or otherwise infringing on cultural heritage (including physical properties and intellectual property)</p>	<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.</p> <ul style="list-style-type: none"> <li>▪ Final FPIC protocols applicable to REDD+ programming will recognize FPIC is required where cultural heritage (tangible or intangible is to be taken, appropriated, infringed upon, used commercially, etc.) (see SESA Action Matrix, priority 1, FPIC)</li> <li>▪ PAMs targeted at improving forest governance and management will encourage discussions about ITP traditional knowledge and practices that can be incorporated into strategies and resource management plans to better reach the REDD+ implementation goals and objectives. (See SESA Action Matrix, priority 3 coordination, communication and engagement)</li> <li>▪ As determined by the screening of REDD+ implementing (sub-) projects, develop a <i>Cultural Heritage Management Plan</i> consistent with the UNDP SES and Applicable Law (see also chapter 5.5.3 and Annex 5 to this ESMF).</li> <li>▪ See also mitigation measures above related to Risk #14.</li> </ul>			

#### **4. Procedures to follow for development and implementation of REDD+ (sub-) projects**

Chapter 5 of the ESMF explains in detail all the steps that need to be taken in the development of REDD+ implementing (sub-) projects. The following is a short summary of where these steps are or particular relevance for the consideration of UNDP SES 4 on Cultural Heritage:

1. The proposal preparation step (chapter 5.1) already requests to include the location of intended activities in relation to the location of ITPs in or near the sites in focus, names of communities and numbers of people possible affected (positively or negatively), benefits and risks, information on how local conditions, priorities and needs are being taken into consideration and issues and concerns addressed by the planned activities, including gender-specific issues, as well as stakeholder consultation before, during and subsequent to implementation (including FPIC).
2. The screening (chapter 5.2) allocates a risk category and decides whether further assessment is needed, including in the context of cultural heritage.
3. The scoping (chapter 5.3) confirms the focus and depth of additional assessment needed, including in the context of cultural heritage. It also specifies if cultural heritage experts need to be engaged in the assessment.
4. For the assessment, chapter 5.4 specifies that in the context of UNDP SES 5 additional assessments need to evaluate the risks to, and potential impacts on, inter alia:
  - tangible forms of cultural heritage (e.g. objects, sites, structures, natural features)
  - intangible forms of cultural heritage (e.g. practices, representations, expressions, knowledge, skills and related instruments).
5. In the development of the ESMP resulting from additional assessment, chapter 5.5 specifies that, where a (sub-) project may adversely affect cultural heritage, the development of a Cultural Heritage Management Plan may be needed and that infringements on cultural heritage (tangible and intangible) would be subject to FPIC. The following is an indicative outline of such plan, as requested by UNDP.

#### **Box 8: Indicative Outline for a Cultural Heritage Management Plan [not exhaustive]**

Guidance on the elaboration of a Cultural Heritage Management Plan can be found at <http://pubdocs.worldbank.org/en/743151530217186766/ESF-GN8-June-2018.pdf> (See p 18, Appendix 1). The Cultural Heritage Management Plan may also include the elements provided below.

- Measures to respect the cultural identity and the very cultural survival of Indigenous and tribal peoples acknowledging that they are inextricably linked to their access and use to the lands they have traditionally used and occupied;
- Measures to guarantee that where potential adverse impacts on cultural heritage is at issue (including through commercial use of their knowledge, innovations, and practices), FPIC is required;
- Mechanisms to ensure the equitable sharing of benefits with indigenous and tribal peoples where use of their cultural heritage is to occur;
- Mechanisms to help to secure and protect areas of cultural significance (including access to them for the peoples or communities to which they are linked, and maintenance of the integrity of the area);
- Procedures for conducting assessments prior to the commencement of potentially harmful operations, and jointly with the affected Indigenous and tribal peoples to ascertain their



knowledge about sites, areas, knowledge, and practices of cultural significance that may be affected by proposed activities (refer to land tenure and land use study referenced above and their associated annexes);

- Measures in place to avoid and mitigate harms to Indigenous and tribal peoples' cultural identity;
- Measures to ensure that where values are being assigned to lands and natural resources (for a land planning study, national asset inventory, compensation measures, etc.), REDD+ Programming and State PLRs will take into consideration the non-market values attributed to specific lands and resources by Indigenous and tribal peoples (such as cultural, religious, and spiritual values) and the fact that Indigenous and tribal peoples are not homogenous collectives but have members that value and use their lands and resources differently (i.e. men versus women, versus elders, youth, farmers, hunters etc.);
- Defined steps to outline how land use planning and monitoring and verification initiatives will actively involve Indigenous and tribal peoples where their right to culture –including their cultural heritage, can be at risk of adverse harm; and
- Definition and assurances of the application of “chance find” procedures in REDD+ Programming and project implementation --meaning that unanticipated discovery of possible cultural heritage during the course of REDD+ interventions would not be disturbed until an assessment by a competent specialist and the affected peoples/communities is completed and, if needed, mitigation measures are employed.

## **6. Participation and Consultation**

The development of Suriname's SESA and ESMF was a highly participatory process (for further information, please see the SESA report) and the present Cultural Heritage Management Framework has been derived from this process.

As can be seen from the mitigation measures included in section 3 of the present framework, participation and consultation play a major role in mitigating the risks that were identified in the context of cultural heritage risks that could arise from REDD+ implementation. At the SESA stage it was too early to seek FPIC since too many details about what might get implemented where and how were still missing. However, it should be noted that for REDD+ implementing (sub-) projects, infringements on cultural heritage (tangible and intangible) would be subject to FPIC.

Further detail on participation and consultation will become available where Cultural Heritage Management Plans are developed for REDD+ implementing (sub-) projects.

## **7. Grievance Redress**

Please refer to the SESA Action Matrix as well as chapter 7 of the ESMF for further information.

## **8. Costs and Budget**

The costs of implementing mitigation measures included in the Cultural Heritage Management Plans of REDD+ implementing (sub-) projects will need to be borne by each individual REDD+ implementing (sub-) project. Please refer to chapter 11 of the ESMF for further information.

## **9. Monitoring**

Every Cultural Heritage Management Plan of REDD+ implementing (sub-) projects should include indicators to monitor implementation of identified mitigation measures. This information should feed into overall programme monitoring as described in chapters 8 and 10 of the ESMF.

## Annex 6. Stakeholder Engagement Framework

### 1. Introduction

The Republic of Suriname is outstanding in its high percentage forest cover, amounting to 93% of its terrestrial area. Deforestation to date has been very limited, qualifying it as a High Forest cover Low Deforestation (HFLD) country. REDD+, the international mechanism incentivizing actions that are Reducing Emissions from Deforestation and forest Degradation, conservation of forest carbon stocks, sustainable management of forests and forest carbon stock enhancement, can help maintain Suriname's high forest cover into the future by addressing the different drivers of both deforestation and forest degradation.

Stakeholder engagement is crucial for REDD+ design and implementation in Suriname and an in-depth stakeholder mapping process was thus completed at an early stage of REDD+ readiness (see Smith 2016). Many of the risks identified through the SESA process can be mitigated through meaningful engagement of stakeholders and implementation success of the REDD+ strategy will to a substantial part depend on successful engagement and communication. It was therefore decided that a Stakeholder Engagement Framework needs to be attached to this ESMF.

### 2. Stakeholder engagement during the SESA and ESMF development

The development of Suriname's SESA and ESMF was a highly participatory process, consisting of three main elements as shown in the following table, all of which included representatives of ITPs.

Table 25: Participatory elements of Suriname's SESA process

<b>Participatory element 1: First National Workshop</b>		
<b>Time:</b> May 2017		
<b>Participants:</b> Up to 120 (some variation on day 1 and 2) from all relevant REDD+ stakeholder groups		
<b>Topics</b>	<b>Rationale for inclusion of topics</b>	<b>Methodology for information collection</b>
<i>Issues in and beyond the forest sector</i>	<ul style="list-style-type: none"> <li>• To foster understanding of entry point for REDD+;</li> <li>• To identify issues of importance for benefit and risk assessment;</li> <li>• To identify issues to get potentially addressed by REDD+ PAMs (direct link with NS development).</li> </ul>	<i>Plenary presentation followed by plenary discussion. Further use of identified issues in group work on an ideal future under REDD+ (see next line).</i>
<i>An ideal future for forests and forest-dependent communities under REDD+</i>	<ul style="list-style-type: none"> <li>• To understand REDD+ priorities (i.e. desired benefits) of various stakeholders (direct link</li> </ul>	<i>Group work, each group developed their own ideal future, a combined result was presented back in plenary.</i>

	<i>with REDD+ vision development).</i>	
<i>REDD+ enabling conditions</i>	<ul style="list-style-type: none"> <li><i>To understand the status of conditions that can help or hinder successful REDD+ implementation (link with NS development)</i></li> </ul>	<i>Semi-structured questionnaire (closed questions with space for comments)</i>
<i>Benefits and risks of REDD+ PAMs</i>	<ul style="list-style-type: none"> <li><i>To gain an initial understanding of benefits stakeholders are most interested in and risks they are most concerned about (link with NS development, e.g. for refinement of PAMs)</i></li> </ul>	<i>Of all preliminary PAMs, a sub-set of more tangible ones was selected and introduced to workshop participants. Then group work using guiding questions to identify benefits and risks for each of the PAMs. Reporting back in plenary and plenary discussion.</i>
<i>Gender</i>	<ul style="list-style-type: none"> <li><i>To establish a baseline for specific consideration of gender-related issues of importance for the development of the REDD+ vision, NS and SESA</i></li> </ul>	<i>Semi-structured questionnaire (closed questions with space for comments)</i>
<b>Participatory element 2: Indigenous and Tribal Community Consultations</b>		
<b>Time:</b> May – August 2017		
<b>Participants:</b> On average 30 participants per consultation, 11 locations (all 10 tribes)		
<b>Topics</b>	<b>Rationale for inclusion of topics</b>	<b>Methodology for information collection</b>
<i>Preferred and plausible future for the community area</i>	<ul style="list-style-type: none"> <li><i>To understand community (local) development aspirations and the links with forest use, and identify existing problems within the community.</i></li> <li><i>To integrate the findings, where possible, with the National REDD+ Vision and Strategy</i></li> </ul>	<i>Focus groups: Men, Women, Youth</i> <ul style="list-style-type: none"> <li><i>Drawing a vision</i></li> <li><i>Plenary presentation and discussion</i></li> </ul>

<p><i>Ecosystem service importance, availability trends and causes.</i></p>	<ul style="list-style-type: none"> <li>• <i>To understand the interdependence between communities and their living area, and identify social and environmental issues.</i></li> </ul>	<p><i>Plenary discussion based on participatory research tools:</i></p> <ul style="list-style-type: none"> <li>• <i>In-Out diagram for identification of important ecosystem services</i></li> <li>• <i>Trend analysis and discussion on availability - 30y, -10, 0,+10 years and causes</i></li> <li>• <i>Administered surveys</i></li> </ul>
<p><i>Perception of drivers of deforestation, forest degradation and barriers to sustainable forest use.</i></p>	<ul style="list-style-type: none"> <li>• <i>To gain better understanding of direct and underlying drivers of deforestation, forest degradation and barriers to sustainable forest use, including geographical, socially or culturally-linked differences.</i></li> <li>• <i>To gain additional information regarding social and environmental issues.</i></li> </ul>	<p><b>Focus groups:</b> <i>Men, Women and plenary presentations</i></p> <ul style="list-style-type: none"> <li>• <i>Discussion and listing/drawing</i></li> <li>• <i>Pebble Distribution Method for prioritization</i></li> <li>• <i>Administered surveys</i></li> </ul>
<p><i>Perception of how PAM's will affect community livelihoods and living area.</i></p>	<ul style="list-style-type: none"> <li>• <i>To have a general understanding of the suitability of the PAMs for a specific area and how they may or may not address priority Drivers of Deforestation and Forest Degradation and Barriers to REDD+ Activities (DDFDB+).</i></li> </ul>	<p><b>Focus group:</b> <i>Men, Women and plenary presentations</i></p> <ul style="list-style-type: none"> <li>• <i>Mix &amp; match PAMs to identified DDFDB+, social and environmental issues</i></li> <li>• <i>Discussion and listing of effect on livelihood</i></li> </ul>
<p><i>Potential risks and benefits associated with PAMs</i></p>	<ul style="list-style-type: none"> <li>• <i>To gain insight into potential benefits of the National REDD+ Strategy and potential risks to address.</i></li> <li>• <i>To gain an initial understanding of perceived enabling conditions for successful implementation of PAMs</i></li> </ul>	<p><b>Focus group:</b> <i>Men, women</i></p> <ul style="list-style-type: none"> <li>• <i>Discussion with prompting questions</i></li> <li>• <i>Plenary presentations</i></li> </ul>
<p><b>Participatory element 3: Second National Workshop</b></p>		

<b>Participants:</b> <i>The same participants that attended the first national workshop will be invited to the second</i>		
<b>Topics</b>	<b>Rationale for inclusion of topics</b>	<b>Methodology for information collection</b>
<i>Presentation of National REDD+ Strategy</i>	<i>To present both the National REDD+ Strategy and the SESA findings/ESMF and discuss their content, relevance and feasibility</i>	<ul style="list-style-type: none"> <li>• <i>Presentation and plenary discussion</i></li> <li>• <i>Potentially discussion of specific aspects in smaller groups</i></li> </ul>
<i>Presentation of main findings from SESA process and ESMF</i>		

Overall, the SESA process reached out to over 800 stakeholders from a range of different backgrounds, including government, NGO, private sector, academia, civil society organizations, indigenous peoples groups and local community members. The community consultations and surveys covered all ten (10) different communities inhabiting the vast forest areas of Suriname’s interior. The schedule of community consultations can be found in Annex 2 of the SESA Report. As is shown there, a total of 456 ITP members took part in the community consultations (element 2 in the above tables), thereof 195 female and 261 male members, and 219 ITP members participated in the survey, thereof 115 female and 104 male members.

Cultural sensitivity and gender issues were taken into special consideration throughout the participatory elements of Suriname’s SESA.

**3. Requirements regarding stakeholder engagement during REDD+ implementation**

According to the UNDP SES Guidance Note on Stakeholder Engagement, the objectives of stakeholder engagement include the following<sup>48</sup>:

- strengthening development results through effective partnerships;
- identifying stakeholder priorities to better tailor project activities, opportunities and benefits;
- identifying potential constraints and conflicts that could affect project effectiveness;
- learning from and incorporating local knowledge to improve project design in order to avoid and mitigate project-related risks and impacts;
- providing a feedback and monitoring mechanism to ensure the project is achieving its intended results, and identifies potential unintended consequences; and
- providing meaningful access to dialogue and decision-making in development processes.

Box 9 summarizes the SES requirements regarding stakeholder engagement that support these key objectives.

**Box 9: Summary of Requirements of Stakeholder Engagement (refer to full text in SES, Policy Delivery Process, paras. 12-20)**

➤ Ensure meaningful, effective, informed participation of stakeholders in the formulation and implementation of UNDP Programmes and Projects, providing stakeholders opportunities to

<sup>48</sup> Available from [UNDP SES Stakeholder Engagement GN\\_Oct2017.pdf](#), chapter 2.2

express their views at all points in the Project decision-making process on matters that affect them (SES, para. 15; SES, Policy Delivery Process (PDP), paras. 12, 14)

- Ensure that stakeholder analysis and engagement are conducted in a gender-responsive, culturally sensitive, nondiscriminatory and inclusive manner, identifying potentially affected vulnerable and marginalized groups and providing them opportunities to participate (SES, PDP, 12).
- Develop appropriately scaled stakeholder engagement plans. The scale and frequency of engagement will reflect the nature of the activity, magnitude of potential risks and adverse impacts, and concerns raised by affected communities (SES, PDP, paras. 13, 15).
- Meaningful, effective and informed consultation processes need to meet specified criteria, including free of intimidation and external manipulation; inclusive; gender and age responsive; culturally appropriate and tailored to language preferences; and based on timely disclosure of accessible information (SES, PDP, para. 14)
- Ensure that stakeholders who may be adversely affected by the project can communicate their concerns and grievances (SES, PDP, paras. 17, 18)
- For projects that affect rights, lands, territories, resources, and traditional livelihoods of indigenous peoples, ensure free, prior informed consent (FPIC) (SES, PDP, para. 16, SES, Standard 6, para. 9)
- Provide ongoing reporting to affected communities and individuals for projects with significant adverse social and environmental impacts (SES, PDP, para. 25)
- Undertake measures to ensure effective stakeholder engagement occurs where conditions for inclusive participation are unfavourable (SES, PDP, para. 12)

To some extent, Suriname's legal framework supports these requirements. At a generic level, it recognizes the right to public participation in decision-making. For example, a key element of the implementation strategy for the National Development Plan 2017-2021 is to enhance participation of stakeholders in policy formulation and implementation. According to the Plan, "the adoption of a new Planning Act and the establishment of new procedures and institutions should enable active participation in both the sectoral and regional planning".

The main policy objective of the National Forest Policy is the participation of ITPs in activities in and around their lands, on the basis of full information and sharing in the benefits and proceeds thereof. However, PLRs do not define a clear process for public authorities to carry out consultations, including the process for addressing inputs received from the consultations.

The NIMOS ESIA Guidelines (NIMOS 2005a) include concrete levels of public participation and address consultation and public participation. With the adoption of the Environmental Framework Law these guidelines will have a legally mandatory basis. The Draft Environmental Impact Assessment (EIA) State Order 2019 also includes a clear process to carry out consultations as well as a process to address inputs received from consultations.

The National REDD+ Strategy includes several measures on engaging ITPs in law- and decision-making processes, clarifying land rights and fostering the principles of FPIC. For example, measure 2.A.2 Preparation and Approval of an Environmental Framework Act with Environmental Impact Assessment procedures as part thereof, measure 2.A.3 Adoption of a community engagement strategy for REDD+ and 2.A.4, which aims at strengthening capacity of Indigenous and Tribal Peoples (ITPs) in forest governance. Other relevant measures in the context are 2.A.3 and 2.B.2. Policy line 3.D Participatory community development also very directly addresses the need for engagement in community development activities under REDD+.

The ESMF in several ways further strengthens existing requirements according to Suriname’s PLRs, including its National REDD+ Strategy. While this is most obvious from the title of Priority 5 of the SESA Action Matrix, “Local-level empowerment as preparation for REDD+ implementation”, engagement activities are included under several other priorities as well. In addition, chapter 5 of the ESMF provides details on engagement during REDD+ (sub-) project development and implementation. Where the procedures prove this necessary, (sub-) projects will need to develop specific Stakeholder Engagement Plan, including indicators to monitor implementation performance over time. The following chapter provides further information on how to develop these specific Stakeholder Engagement Plans.

#### 4. Development of Stakeholder Engagement Plans for REDD+ implementing (sub-) projects

Please refer to the [UNDP SES Guidance Note on Stakeholder Engagement](#) for additional information.

**Appropriately scaled plans.** No one type or format of a stakeholder engagement plan will accommodate all projects. Its content will depend on various factors, including the nature, scale, location, and duration of the project; the diverse interests of stakeholders; the scale of the project’s potential positive and adverse impacts on people and the environment; and the likelihood of grievances.

For a relatively small project with few if any potential adverse social and environmental impacts or initial stakeholder concerns (e.g. Low Risk project, straightforward Moderate Risk project), it is likely that only a “simplified” stakeholder engagement plan would be needed, focusing primarily on initial consultations, information disclosure and periodic reporting (see Table 27). In such cases, the “plan” would be relatively simple and easily described in the body of the Project Document (that is, no separate plan would be needed).

A project with greater complexity and potentially significant adverse social and environmental impacts (complex Moderate Risk project or High-Risk project) should elaborate a more strategic plan. A “comprehensive” plan would outline mechanisms that buttress not just disclosure and good communications, but iterative consultations and possibly consent processes over the course of the social and environmental assessment process, development of mitigation and management plans, monitoring project implementation, and evaluation. A separate, detailed stakeholder engagement plan should be appended to the Project Document (see outline below).

All stakeholder engagement plans – whether simplified or comprehensive (see below) – should address basic minimum criteria. The following checklist (Table 26) will help ensure that the plan addresses key issues and components.

Table 26: Key questions for developing a stakeholder engagement plan<sup>49</sup>

Key questions for developing a stakeholder engagement plan	
Who	<ul style="list-style-type: none"> <li>Which stakeholder groups and individuals are to be engaged based on the stakeholder analysis?</li> <li>Have potentially marginalized groups and individuals been identified among stakeholders?</li> </ul>
Why	<ul style="list-style-type: none"> <li>Why is each stakeholder group participating (e.g. key stakeholder objectives and interests)?</li> </ul>

<sup>49</sup> As modified, see Asian Development Bank (ADB), Strengthening Participation, p. 43.



<i>What</i>	<ul style="list-style-type: none"> <li>• What is the breadth and depth of stakeholder engagement at each stage of the project cycle?</li> <li>• What decisions need to be made through stakeholder engagement?</li> </ul>
<i>How</i>	<ul style="list-style-type: none"> <li>• How will stakeholders be engaged (strategy and methods, including communications)?</li> <li>• Are special measures required to ensure inclusive participation of marginalized or disadvantaged groups?</li> </ul>
<i>When</i>	<ul style="list-style-type: none"> <li>• What is the timeline for engagement activities, and how will they be sequenced, including information disclosure?</li> </ul>
<i>Responsibilities</i>	<ul style="list-style-type: none"> <li>• How have roles and responsibilities for conducting stakeholder engagement been distributed among project partners (e.g. resident mission, executing agency, consultants, NGOs)?</li> <li>• What role will stakeholder representatives play?</li> <li>• Are stakeholder engagement facilitators required?</li> </ul>
<i>Resources</i>	<ul style="list-style-type: none"> <li>• What will the stakeholder engagement plan cost and under what budget?</li> </ul>

Building mutual trust and ensuring meaningful and effective engagement is facilitated by stakeholder ownership of the relevant processes. All efforts should be made to work with the relevant stakeholders to design by mutual agreement the engagement and consultation processes, including mechanisms for inclusiveness, respecting cultural sensitivities, and any required consent processes.<sup>50</sup> Cultural understanding and awareness is central to meaningful stakeholder engagement.

Moreover, a general solicitation of feedback or input cannot be relied upon, nor accepted as the sole method of consultation. Information laden questions presenting various options, the reasons for those options, and their consequences may be a better method in that it presents information in a relationship-building manner, does not assume full stakeholder knowledge of the project plans, and solicits input on specific project instances instead of placing the impetus on the stakeholder to make seemingly high-level suggestions.

Recall that stakeholder engagement may be minimal at certain times and intense at others, depending on the issues and particular project phase. Also, targeted input from select stakeholder groups may be needed at key points in project development and implementation.

As project information changes – perhaps from subsequent risk assessments, the addition of project activities, stakeholder concerns – the stakeholder engagement plan should be reviewed and modified accordingly to ensure its effectiveness in securing meaningful and effect stakeholder participation.

The stakeholder engagement plan should also anticipate if/when professional, neutral facilitators might be needed to lead key engagement activities. For projects where the stakeholder engagement process is likely to be complex or sensitive, social advisors or other expert staff should help design and facilitate the process and assist with participatory methodologies and other specialized techniques.<sup>51</sup>

Grievance redress processes for the project need to be described in the stakeholder engagement plan.

The plan should also outline a reasonable budget for stakeholder engagement activities, including potential support for groups to facilitate their participation where necessary (noting that meeting locations should be as convenient as possible and stakeholder acceptance of such support should not be interpreted as endorsement of the project).

<sup>50</sup> Practical Approaches to Ensuring the Full and Effective Participation of Indigenous Peoples in REDD+ (September 2013), BMZ, FPCP, UN-REDD, p.12.

<sup>51</sup> IFC Stakeholder Engagement, p. 101.

Table 27 below provides a rough outline for a simplified stakeholder engagement plan. Many approaches exist, and this is one example of outlining key elements. It is important to not simply list stakeholders and say they will be consulted, but to identify **why** they are being engaged, **how** engagement will proceed, **who** will do it, **when**, and **how** it will be financed/supported.

Table 27: Rough template of simplified stakeholder engagement plan

Stakeholder Group	Why included (interests)	Participation methods		Timeline	Cost est.
		Method	Responsibility		

Below is an example of elements that should be addressed in a comprehensive stakeholder engagement plan. The scope and level of detail of the plan should be scaled to fit the needs of the project.

**Box 10: Outline of a Comprehensive Stakeholder Engagement Plan<sup>52</sup>**

**Introduction**

- Briefly describe the project including design elements and potential social and environmental issues. Where relevant, include maps of the project site and surrounding area.

**Regulations and Requirements**

- Summarize any legal, regulatory, donor/lender requirements pertaining to stakeholder engagement applicable to the project. This may involve public consultation and disclosure requirements related to the social and environmental assessment process as well as relevant international obligations.

**Summary of any previous stakeholder engagement activities**

- If any stakeholder engagement activities had been undertaken to date, including information disclosure and/or consultation, provide the following details:
  - Type of information disclosed, in what forms and languages (e.g., oral, brochure, reports, posters, radio, etc.), and how it was disseminated
  - Locations and dates of any meetings undertaken to date
  - Individuals, groups, and/or organizations that have been consulted
  - Key issues discussed and key concerns raised
  - Responses to issues raised, including any commitments or follow-up actions
  - Process undertaken for documenting these activities and reporting back to stakeholders

**Project Stakeholders**

- List the key stakeholder groups who will be informed about and engaged in the project (based on stakeholder analysis). These should include persons or groups who:

<sup>52</sup> Outline relies on content provided in IFC, Guidance Note 1: Assessment and Management of Environmental and Social Risks and Impacts (2012), Annex B.

- Are directly and/or indirectly affected by the project
- Have “interests” in the project that determine them as stakeholders
- Have the potential to influence project outcomes or operations
- [Examples of potential stakeholders are beneficiaries and project-affected communities, local organizations, NGOs, and government authorities, indigenous peoples; stakeholders can also include politicians, private sector companies, labor unions, academics, religious groups, national environmental and social public sector agencies, and the media]
- Consider capacities of various stakeholder groups to effectively participate in the stakeholder engagement activities, and include measures to support them where capacity is limited

**Stakeholder Engagement Program**

- Summarize the purpose and goals of the stakeholder engagement program
- Briefly describe what information will be disclosed, in what formats and languages, and the types of methods that will be used to communicate this information to each of the stakeholder groups identified in section 4 above. Methods used may vary according to target audience, for example:
  - Newspapers, posters, radio, television
  - Information centers and exhibitions or other visual displays
  - Brochures, leaflets, posters, non-technical summary documents and reports
- Briefly describe the methods that will be used to engage and/or consult with each of the stakeholder groups identified in section 4. Methods used may vary according to target audience, for example:
  - Interviews with stakeholder representatives and key informants
  - Surveys, polls, and questionnaires
  - Public meetings, workshops, and/or focus groups with specific groups
  - Participatory methods
  - Other traditional mechanisms for consultation and decision-making
- Describe how the views of women and other relevant groups (e.g. minorities, elderly, youth, other marginalized groups) will be taken into account and their participation facilitated
- Where relevant, define activities that require prior consultation and FPIC from indigenous peoples (and refer to Indigenous Peoples Plan and FPIC protocols)
- Outline methods to receive feedback and to ensure ongoing communications with stakeholders (outside of a formal consultation meeting)
- Describe any other engagement activities that will be undertaken, including participatory processes, joint decision-making, and/or partnerships undertaken with local communities, NGOs, or other project stakeholders. Examples include benefit-sharing programs, stakeholder-led initiatives, and training and capacity building/support programs.

**Timetable**

- Provide a schedule outlining dates/periodicity and locations where various stakeholder engagement activities, including consultation, disclosure, and partnerships will take place and the date by which such activities will be undertaken

**Resources and Responsibilities**

Indicate who will be responsible for carrying out the specified stakeholder engagement activities

- Specify the budget and other resources allocated toward these activities

- [For projects with significant potential impacts and multiple stakeholder groups, it is advisable to hire a qualified stakeholder engagement facilitator to undertake all or portions of the stakeholder engagement activities]

#### **Grievance Mechanism**

- Describe the process by which people concerned with or potentially affected by the project can express their grievances for consideration and redress. Who will receive grievances, how and by whom will they be resolved, and how will the response be communicated back to the complainant? (see [Guidance Note on Grievance Redress Mechanisms](#))
- Ensure reference is made to and stakeholders are informed of the availability of UNDP's Accountability Mechanism (Stakeholder Response Mechanism, SRM, and Social and Environmental Compliance Unit, SECU) as additional avenues of grievance redress.

#### **Monitoring and Reporting**

- Describe any plans to involve project stakeholders (including target beneficiaries and project-affected groups) or third-party monitors in the monitoring of project implementation, potential impacts and management/mitigation measures
- Describe how and when the results of stakeholder engagement activities will be reported back to project-affected and broader stakeholder groups. Examples include newsletters/bulletins, social and environmental assessment reports; monitoring reports.

### **5. Grievance Redress**

Please refer to the SESA Action Matrix as well as chapter 7 of the ESMF for further information.

### **6. Costs and Budget**

The costs of implementing mitigation measures included in the Stakeholder Engagement Plans of REDD+ implementing (sub-) projects need to be borne by each individual REDD+ implementing (sub-) project. Please refer to chapter 11 of the ESMF for further information.

### **7. Monitoring**

Every Stakeholder Engagement Plan of REDD+ implementing (sub-) projects should include indicators to monitor implementation of identified mitigation measures. This information should feed into overall programme monitoring as described in chapters 8 and 10 of the ESMF.

## Annex 7: Indicative Outline for a Local Biodiversity Action Plan

Please refer to the [UNDP SES Guidance Note: Standard 1: Biodiversity Conservation and Sustainable Natural Resource Management](#) for additional information.

Where biodiversity values of importance to conservation are associated with a REDD+ implementing subproject or its area of influence, the preparation of a Local Biodiversity Action Plan (LBAP) or Local Biodiversity Management Plan (LBMP) provides a useful means to focus a subproject's mitigation and management strategy. For project activities in critical habitats and protected areas, Standard 1 notes that a BAP (here called LBAP) needs to be in place. For subprojects solely designed to strengthen biodiversity and maintain or restore ecosystems in areas of critical habitat, the project document itself would constitute such a plan. Biodiversity plans are highly encouraged when also operating in natural habitats (or in modified habitats with biodiversity values of importance to conservation).

Targeted biodiversity-related mitigation and management measures may be integrated into more general Environmental and Social Management Plans (ESMPs) or related plans. However, an LBAP or LBMP provides focused attention to actions in ecologically critical areas. An LBAP/LBMP may be included as part of a broader ESMP.

As noted in the Section 2.1 of this guidance note, National Biodiversity Strategies and Action Plans (NBSAP) are the primary instruments for implementing the Convention on Biological Diversity at the national level. An LBAP/LBMP is a more targeted instrument for enhancing and conserving biodiversity and ecosystem services in particular habitats, demonstrated on an appropriate geographic scale. An LBAP/LBMP should seek to achieve net gains to the biodiversity values for which the critical habitat was designated. An LBAP/LBMP is highly context specific.

There is no one widely recognized, cross-sectoral framework for the development of an LBAP/LBMP. Typically, an LBAP will be undertaken to address significant gaps in information for undertaking biodiversity-related actions (such as insufficient baseline data or understanding of key biodiversity values) whereas an LBMP would be developed where adequate information is available for developing appropriate actions.

General elements of an LBAP/LBMP include the following:

**(1) Description of biodiversity context:** Identifies national and/or regional biodiversity context; location of subprojects site/s; relevant physiography; general description of relevant ecosystems, habitats, flora, fauna; priority biodiversity features and components of elevated significance.

**(2) Objectives and targets biodiversity actions and mitigation:** Identifies measures and actions to enhance and conserve biodiversity and/or in accordance with the mitigation hierarchy avoid, minimize, mitigate, potentially significant adverse social and environmental impacts to acceptable levels. Describes – with technical details – each biodiversity-related action/mitigation measure, including the type of issue/impact to which it relates and the conditions under which it is required (e.g., continuously or in the event of contingencies), together with designs, implementation descriptions and operating procedures, as appropriate; takes into account, and is consistent with, other relevant mitigation plans (e.g. indigenous peoples, economic displacement).

**(3) Implementation action plan (schedule and cost estimates):** Outlines an implementation schedule for measures that must be carried out as part of the REDD+ implementing subproject, showing phasing and coordination with overall subproject implementation plans; and the capital and recurrent cost estimates and sources of funds for implementing the LBAP/LBMP. Describes institutional

arrangements, identifying which party is responsible for carrying out the actions/mitigation and monitoring measures.

**(4) Stakeholder Engagement:** Outlines plan to engage in meaningful, effective and informed consultations with relevant stakeholders, including locally affected groups. Includes information on (a) means used to inform and involve affected people and description of effective processes for receiving and addressing stakeholder concerns and grievances regarding the subproject's social and environmental performance.

**(5) Monitoring and reporting:** Identifies monitoring objectives and specifies the type of monitoring, with linkages to the biodiversity actions and mitigation measures. Describes 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. Establishes reporting schedule and format.

## Annex 8: Indicative Outline for a Resettlement Action Plan

Please refer to the [UNDP SES Guidance Note: Standard 5: Displacement and Resettlement](#) for additional information.

A Resettlement Action Plan (RAP) details the **procedures** to be followed and the **actions** to be taken in order to properly resettle and compensate affected people and communities. This plan must be developed after it has been determined, following the process outlined in Standard 5, that displacement and resettlement are unavoidable. The RAP reflects the commitment made by the Implementing Partner and UNDP to affected people and communities to meet obligations arising from resettlement.

1. Introduction
  - Briefly describe the project and associated facilities (if any)
  - Describe project components requiring land acquisition and resettlement; give overall estimates of land acquisition and resettlement
  - Provide explanation of how displacement is necessary to achieve the project objectives, how the project is in the 'public interest' and how displacement is proportional to project outcomes
2. Minimizing Resettlement
  - Describe the justification for the resettlement
  - Describe efforts and measures to minimize displacement, and expected outcomes of these efforts and measures
3. Census and Socioeconomic Surveys
  - Provide results of the census, assets inventories, natural resource assessments, and socioeconomic surveys and briefly describe how these were performed, i.e., techniques used, individuals interviewed, etc.
  - Identify all people and communities potentially affected by displacement activities and potential impacts to each
4. Legal Framework
  - Describe all relevant international, national, local, and community laws and customs that apply to displacement and resettlement activities, with particular attention to laws and customs relating to tenure rights
  - Describe how free, prior, informed consent was obtained for resettlement of indigenous peoples and tribal communities, if applicable
  - Describe project-specific mechanisms to address conflicts
  - Describe entitlement/compensation policies for each type of impact
  - Describe method of valuation used for affected structures, land, trees, and other assets
  - Prepare entitlement matrix, which includes budget and timeframe for payment of entitlements
5. Resettlement Sites and Housing
  - If the project requires relocation, describe how affected people have been involved in a participatory process to identify sites, assess advantages and disadvantages of each site, and select preferred sites. Site selection to be risk-informed (e.g. ensure not subject to higher

- levels of risks from floods, landslides, earthquakes). Describe the options
- If housing must be replaced, describe how affected people have been involved in developing an acceptable strategy for housing replacement and how alternative housing meets adequate housing criteria (including legal security of tenure; availability of services, materials, facilities and infrastructure; affordability; habitability; accessibility; location; cultural adequacy). Describe the specific process of involving affected populations in identifying potential housing sites, assessing advantages and disadvantages, and selecting sites
  - If the project involves allocation of agricultural land or pasture/rangeland, describe how individual households that will be allocated lands have been involved in identifying potential new sites, and how they have explicitly accepted the selected sites
  - Describe the feasibility studies conducted to determine the suitability of the proposed relocation sites and housing, including where relevant natural resource assessments (soils and land use capability, vegetation and livestock carrying capacity, water resource surveys) and environmental and social impact assessments of the sites. Include a description of potential access of affected people to necessary services, shelter, food, water, energy, and sanitation
  - Demonstrate where relevant that the land quality and area are adequate for allocation to all of the people eligible for allocation of agricultural land. Provide data on land quality and capability, productive potential, and quantity
  - Give calculations relating to site requirements and availability
  - Describe mechanisms for: 1) procuring, 2) developing and 3) allotting resettlement sites and housing, including the awarding of title or use rights to allotted lands. Indicate to whom titles and use rights will be allocated, including by gender
  - Provide detailed description of the arrangements where relevant for site development for agriculture, including funding of development costs
6. Income Restoration
- Are compensation entitlements sufficient to restore and/or improve livelihoods and income streams for each category of impact? Attach independent review of opportunities to restore and improve incomes/livelihoods. What additional economic rehabilitation measures are necessary?
  - Briefly spell out the restoration strategies for each category of impact and describe their institutional, financial, and technical aspects
  - Describe the process of consultation with affected populations and their participation in finalizing strategies for income restoration
  - How do these strategies vary with the area of impact?
  - Does income restoration require change in livelihoods, development of alternative farmlands or some other activities that require a substantial amount of training, time for preparation, and implementation?
  - How are the risks of impoverishment to be addressed?
  - What are the main institutional and other risks for the smooth implementation of the resettlement programs?
  - Describe the process for monitoring the effectiveness of the income restoration measures
  - Describe any social or community development programs currently operating in or around the project area. If programs exist, do they meet the development priorities of their target communities? Are there opportunities to support new programs or expand existing programs to meet the development priorities of communities in the project area?
7. Institutional Arrangements
- Describe the institution(s) responsible for delivery of each item/activity in the entitlement



- policy; implementation of income restoration programs; and coordination of the activities associated with and described in the resettlement action plan
- State how coordination issues will be addressed where resettlement is spread over a number of jurisdictions or where resettlement will be implemented in stages over a long period of time
  - Identify the agency that will coordinate all implementing agencies. Does it have the necessary mandate and resources?
  - Describe the external (nonproject) institutions involved in the process of income restoration (land development, land allocation, credit, training) and the mechanisms to ensure adequate performance of these institutions
  - Discuss institutional capacity for and commitment to resettlement
  - Describe mechanisms for ensuring independent monitoring, evaluation, and financial audit of the RAP and for ensuring that corrective measures are carried out in a timely fashion
8. Implementation Schedule
- List the chronological steps in implementation of the RAP, including identification of agencies responsible for each activity and with a brief explanation of each activity
  - Prepare a month-by-month implementation schedule of activities to be undertaken as part of resettlement implementation
  - Describe the linkage between resettlement implementation and initiation of civil works for each of the project components
9. Participation and Consultation
- Describe the various stakeholders
  - Describe the process of promoting consultation/participation of affected populations and stakeholders in resettlement preparation and planning
  - Describe the process of involving affected populations and other stakeholders in implementation and monitoring
  - Describe the plan for disseminating RAP information to affected populations and stakeholders, including information about compensation for lost assets, eligibility for compensation, resettlement assistance, and grievance redress
10. Grievance Redress
- Describe the step-by-step process for registering and addressing grievances and provide specific details regarding a cost-free process for registering complaints, response time, and communication modes
  - Describe the mechanism for appeal
  - Describe the provisions for approaching civil courts if other options fail
11. Monitoring and Evaluation
- Describe the internal/performance monitoring process. Ensure monitoring program seeks to measure whether displaced enjoy at least a standard of living and access to livelihoods equal to what they enjoyed before displacement
  - Define key monitoring indicators derived from baseline survey. Provide a list of monitoring indicators that will be used for internal monitoring, including number and location of displaced/resettled persons
  - Describe institutional (including financial) arrangements
  - Describe frequency of reporting and content for internal monitoring
  - Describe process for integrating feedback from internal monitoring into implementation
  - Define methodology for external monitoring

- Define key indicators for external monitoring
- Describe frequency of reporting and content for external monitoring. Ensure monitoring program is regular and ongoing following project completion until durable solutions are reached
- Describe process for integrating feedback from external monitoring into implementation
- Describe arrangements for final external evaluation
- Describe need for updates to census, assets inventories, resource assessments, and socioeconomic surveys, if necessary, as part of RAP monitoring and evaluation

#### 12. Costs and Budgets

- Provide a clear statement of financial responsibility and authority
- List the sources of funds for resettlement and describe the flow of funds
- Ensure that the budget for resettlement is sufficient and included in the overall project budget. Include provisions for non-anticipated adverse impacts.
- Identify resettlement costs, if any, to be funded by the government and the mechanisms that will be established to ensure coordination of disbursements with the RAP and the project schedule. Prepare estimated budget, by cost and by item, for all resettlement costs including planning and implementation, management and administration, monitoring and evaluation, and contingencies
- Describe the specific mechanisms to adjust cost estimates and compensation payments for inflation and currency fluctuations
- Describe the provisions to account for physical and price contingencies
- Describe the financial arrangements for external monitoring and evaluation including the process for awarding and maintenance of contracts for the entire duration of resettlement

#### Annexes

- Copies of census and survey instruments, interview formats, and any other research tools
- Information on all public consultation including announcements and schedules of public meetings, meeting minutes, and lists of attendees
- Examples of formats to be used in monitoring and reporting on RAP implementation
- Entitlement matrix
- Evidence of prior informed consent for indigenous peoples and tribal communities

## **Annex 9: FCPF Resolution PC/14/2013/7**

### **FOREST CARBON PARTNERSHIP FACILITY (FCPF) FOURTEENTH PARTICIPANTS COMMITTEE MEETING**

**March 19-21, 2013**

**Washington, DC**

**Resolution PC/14/2013/7**

#### **Suriname's Readiness Preparation Proposal**

#### **Whereas:**

1. Suriname submitted a Readiness Preparation Proposal (R-PP) to the Facility Management Team (FMT) in February 2013, which was reviewed by a Technical Advisory Panel (TAP), a working group consisting of Participants Committee (PC) members established for this purpose, and the United Nations Development Programme (UNDP);
2. The PC reviewed the R-PP in accordance with Section 11.1 (b) of the Charter Establishing the FCPF (Charter) at its fourteenth meeting; and
3. The PC acknowledged the extensive efforts made by Suriname, and the high quality of the R-PP.

#### **The Participants Committee,**

1. Decides to allocate funding to Suriname to enable it to move ahead with the preparation for readiness.
2. For this purpose, requests:
  - i. Suriname to submit a revised R-PP (Revised R-PP) to the FMT, reflecting the key issues in the summary report prepared by the FMT included in the annex to this resolution;
  - ii. The FMT, in cooperation with UNDP as necessary, to check on the Revised R-PP for completeness, make it available on the FCPF website and notify the PC of its availability for consideration on a fourteen (14) day no-objection basis in accordance with Article 6 of the FCPF Rules of Procedure;
  - iii. UNDP, as Delivery Partner, will engage with Suriname to complete its due diligence, in particular with regard to the UNDP's policies and procedures and in accordance with the Common Approach, working closely with Suriname, in order to provide a grant of up to US\$ 3.8million, in accordance with Resolutions PC/3/2009/4 and PC/Electronic/2012/1;
  - iv. Suriname to consider the issues identified in the TAP's R-PP assessment as well as those raised by the PC at this meeting during readiness preparation; and
  - v. Suriname to report to the PC on progress made in accordance with Section 6.3 (b) of the Charter and to carry out its responsibilities in accordance with the future agreement between UNDP and Suriname (Project Document).
3. The PC acknowledges that Suriname will require additional financial resources to address the issues raised in the summary report, and encourages donors to support these efforts.

## **Annex: Summary Report Prepared by the FMT**

The PC noted with satisfaction the significant progress made by Suriname in formulating its R-PP, especially in the last six months. The PC also noted that this progress has come as a result of recent concerted efforts to reach out and involve key stakeholders, and to build in-country capacity.

The PC observes, in line with comments made by the TAP and PC reviews, that it is very important to link legal recognition of land and resource rights of the indigenous and tribal peoples to the further development of the REDD+ program in Suriname.

### **Key Issues**

The following are the key issues that Suriname needs to address before entering into a Readiness Preparation Project Document with UNDP:

1. Explore the use of simple indicators to assess forest degradation.
2. Include, in collaboration with indigenous and tribal peoples representatives, in the work plan in component 1.c of the R-PP a process to identify the need for and to provide capacity building in government institutions with respect to indigenous and tribal peoples issues.
3. Revise the R-PP to outline a revised process to collaboratively design, together with indigenous and tribal peoples representatives: (a) a plan for their ongoing consultation and participation ensuring that sufficient budget is allocated for implementation of this plan; and (b) a budget line in the Project Document budget to support activities identified, managed and implemented by indigenous and tribal peoples representatives.
4. Revise the R-PP to reflect that the Saramaka Judgment of the Inter-American Court of Human Rights and indigenous and tribal peoples rights have implications for REDD+ in Suriname. UNDP, during its due diligence, will commission a review to evaluate these implications, and incorporate its recommendations in the Project Document in collaboration with the government and indigenous and tribal peoples representatives.
5. Revise the proposed options for a grievance redress mechanism that includes prompt effective remedies with possibility of appeal, in line with the draft UNDP/WB Guidelines on Grievance Mechanisms. In particular, outline the inclusive process to be undertaken to identify, assess, strengthen and/or establish a grievance mechanism, building on existing systems where feasible.
6. Revise the R-PP text related to the SESA process and the ESMF, in line with the FCPF Common Approach to Environmental and Social Safeguards for Multiple Delivery Partners.
7. Revise the governance section of the R-PP to include a discussion of potential REDD+ anti-corruption measures based on a literature review, and propose a study of feasible mitigation measures during R-PP implementation.