

**International Civil Aviation Organization (ICAO) Carbon Offsetting and Reduction
Scheme for International Aviation (CORSA)**

Application Form for Emissions Units Programs

CONTENTS

Section I: About this Assessment

Background

Disclaimer

Section II: Instructions

Submission and contacts

Form basis and cross-references

Form completeness

Form scope

Program revision

“Linked” certification schemes

Disclosure of program application forms

Section III: Application Form

PART 1: General information

PART 2: Program summary

PART 3: Emissions Unit Program Design Elements

PART 4: Carbon Offset Credit Integrity Assessment Criteria

PART 5: Program comments

Section IV: Signature

SECTION I: ABOUT THIS ASSESSMENT

Background

Following the agreement at the 39th Assembly of the International Civil Aviation Organization (ICAO), governments and the aviation industry are getting ready to implement the Carbon Offsetting and Reduction Scheme for International Aviation (CORSA). Together with other mitigation measures, CORSA will help achieve international aviation's aspirational goal of carbon neutral growth from year 2020.

Aeroplane Operators will meet their offsetting requirements under CORSA by purchasing and cancelling CORSA eligible emissions units, which will be determined by the ICAO Council upon recommendations by its Technical Advisory Body (TAB), according to paragraph 20 d) of ICAO Assembly Resolution A39-3.

As an initial step, in November 2017, the ICAO Council provisionally approved CORSA Emissions Unit Eligibility Criteria (EUC). Application of the EUC will serve as the basis for the Council's decisions on CORSA-eligible emissions units.

To make further progress on the application of the EUC, the ICAO Council requested its Committee on Aviation Environmental Protection (CAEP) to informally test emissions unit programs against the EUC. The results and recommendations of the informal testing were provided to the Council, including the recommendation for the EUC to be used by the TAB in this assessment process.

Subsequently, in March 2019, the ICAO Council unanimously approved the EUC for use by the TAB in undertaking its tasks. At the same time, the ICAO Council also approved the 19 members of the TAB and its Terms of Reference (TOR).

ICAO has invited emissions unit programs to apply for the assessment, which will involve collecting information from each program through this program application form.

Through this assessment, the TAB will develop recommendations on the list of eligible emissions unit programs (and potentially project types) for use under the CORSA, which will then be considered by the ICAO Council to make its decision on CORSA eligible emissions units.

This form is accompanied by Appendix A "*Supplementary Information for Assessment of Emissions Unit Programs*", containing the EUC and *Guidelines for Criteria Interpretation*. These EUC and Guidelines are provided to inform programs' completion of this application form, in which they are cross-referenced **by paragraph number**.

Program responses to this application form will serve as the primary basis for the assessment. Such assessment may involve e.g. clarification questions, an in-person interview, and a completeness check of the application, as further requested. Programs which are invited for an in-person interview will receive advance notice of the time and date of the interview.

The working language of the assessment process is English. If the program documents and information are not published in English, the program should fully describe in English (rather than summarize) this information in the fields provided in this form, and in response to any additional questions. Translation services are not available for this process. Those programs that need to translate documents prior to submission may contact the ICAO Secretariat regarding accommodation.

Disclaimer: The information contained in the application, and any supporting evidence or clarification provided by the applicant including information designated as “business confidential” by the applicant, will be provided to the members of the TAB to properly assess the Program and make recommendations to the ICAO Council. The application and such other evidence or clarification will be made publicly available on the ICAO CORSIA website for the public to provide comments, except for information which the applicant designates as “business confidential”. The applicant shall bear all expenses related to the collection of information for the preparation of the application, preparation and submission of the application to the ICAO Secretariat and provision of any subsequent clarification sought by the Secretariat and/or the members of the TAB. Under no circumstances shall ICAO be responsible for the reimbursement of such or any other expenses borne by the applicant in this regard, or any loss or damages that the applicant may incur in relation to the assessment and outcome of this process.

SECTION II: INSTRUCTIONS

Submission and contacts

A Program is invited to complete and submit the form, and any accompanying evidence, through the ICAO CORSIA website no later than close of business on **12 July 2019**. Within seven business days of receiving this form, the Secretariat will notify the Program that its form was received.

If the Program has questions regarding the completion of this form, please contact ICAO Secretariat via email: officeenv@icao.int. Programs will be informed, in a timely manner, of clarifications provided by ICAO to any other program.

Form basis and cross-references

Questions in this form are derived from the criteria and guidelines introduced in Section I (above). To help inform the Program's completion of this form, each question includes the paragraph number for its corresponding criterion or guideline that can be found in Appendix A "*Supplementary Information for Assessment of Emissions Unit Programs*".

Form completeness

The Program is strongly encouraged to respond to all questions in this application form. If any question(s) in this form does not apply to the Program, please briefly explain the exception.

Where "evidence" is requested, programs are encouraged to substantiate their responses in any one of these ways (in order of preference):

- web-links to supporting documentation included along with the written summary response; with instructions for finding the relevant information within the linked source, if necessary;
- copying/pasting information directly into this form (no character limits) along with the written summary response;
- attaching supporting documentation to this form at the time of submission, with instructions for finding the relevant information within the attached document(s);

Please note that written summary responses are encouraged—supporting documentation should not be considered as an alternative.

To help manage file size, the Programs should limit supporting documentation to that which directly substantiates the Program's statements in this form.

Form scope

The Program may elect to submit for analysis all or only a portion of the activities supported by the Program.

In the template provided by Appendix B "Program Scope Information Request", the Program should clearly identify and submit along with this form information on the following:

- a) activities that the Program submits for analysis by describing them in this form;
- b) activities that the Program does not wish to submit for analysis, and so are not described in this form;

c) identification details (e.g., methodology date, version) for activities described in this form.

Information provided under “c” should allow for the unambiguous identification of all methodologies/protocols that the Program has approved for use as of the date of submission of this form.

Program revision

Where the Program has any immediate plans to revise the Program (e.g., its policies, procedures, measures) to enhance consistency with a given criterion or guideline, provide the following information in response to the relevant form question(s):

- Proposed revision(s);
- Process and proposed timeline to develop and implement the proposed revision(s);
- Process and timeline for external communication and implementation of the revision(s).

“Linked” certification schemes

This application form should be completed and submitted exclusively on behalf of the Program that was invited to participate in the assessment.

Some programs may supplement their standards by collaborating with other schemes that certify, e.g., the social or ecological “co-benefits” of mitigation. The Program can reflect a linked scheme’s procedures in responses to this form, where this is seen as enhancing—i.e. going “above and beyond”—the Program’s own procedures.

For example, the Program may describe how a linked scheme audits sustainable development outcomes; but is not expected to report the linked scheme’s board members or staff persons.

Programs should clearly identify any information provided in this form that pertains to a linked certification scheme and/or only applies when a linked certification scheme is used.

Disclosure of program application forms

Applications and other information submitted by emissions unit programs will be publicly available on the ICAO CORSIA website, except for materials which the applicants designate as business confidential.

The public will be invited to submit comments on the programs applications including regarding their consistency with the emissions units criteria (EUC), through the ICAO CORSIA website, for consideration by the TAB following its initial assessment of program applications.

SECTION III: APPLICATION FORM

PART 1: General information

A. Program Information

Program name:	<input type="text" value="REDD.plus"/>		
Official mailing address	<input type="text" value="1401 Vanderbilt Avenue, Suite 1401, New York, NY 10017"/>		
Telephone #:	<input type="text" value="646-448-6870"/>	Official web address:	<input type="text" value="www.redd.plus"/>

B. Program Administrator Information

Full name and title:	<input type="text" value="Kevin Conrad"/>		
Employer / Company (<i>if not Program</i>):	<input type="text" value="Coalition for Rainforest Nations"/>		
E-mail address:	<input type="text" value="kevin@redd.plus"/>	Telephone #:	<input type="text" value="+1-212-535-2000"/>

C. Program Representative Information (*if different from Program Administrator*)

Full name and title:	<input type="text" value="As above"/>		
Employer / Company (<i>if not Program</i>):	<input type="text"/>		
E-mail address:	<input type="text"/>	Telephone #:	<input type="text"/>

D. Program Senior Staff / Leadership (*e.g., President / CEO, board members*)

List the names and titles of Program's senior staff / leadership, including board members:

See attached.

PART 2: Program summary

Provide a summary description of your program

Overview

REDD.plus is a program designed to engage the private sector, and particularly airlines operating under the CORSIA, in the REDD-plus Mechanism under the United National Framework Convention (UNFCCC) and its Paris Agreement.

REDD.plus provides the necessary infrastructure to ensure comprehensive governance of all emission reductions under the UNFCCC REDD+ Mechanism. *REDD.plus* will also help to facilitate a centralized marketplace where nations, and airlines, can access UNFCCC REDD-plus results for CORSIA compliance.

Specifically, *REDD.plus* will involve only those results, reductions and removals, reviewed under the UNFCCC and posted on the REDD-plus Hub (<https://redd.unfccc.int/info-hub.html>). UNFCCC reviewed results will be serialized and their lifecycle will be tracked. The *REDD.plus Registry*, powered by [IHS Markit](#), will be electronically linked to the *REDD.plus Exchange*, powered by [CBL Markets](#), and all transactions on either platform will be tracked in real time throughout their individual lifecycle.

REDD.plus will provide all the annual reporting to the UNFCCC to fulfill all requirements related to ‘internationally transferred mitigation outcomes (ITMO) under the relevant decisions around transparency, markets based instruments, and corresponding adjustments.

REDD.plus will be managed on a country-level by the REDD+ National Focal Points, as listed and updated on each respective country page as listed on the UNFCCC REDD-plus Web Platform (<https://redd.unfccc.int/submissions.html>).

REDD.plus convenes a Governing Board designed to oversee the operations and regulation functions of the *REDD.plus Registry* and *REDD.plus Exchange*. *REDD.plus* will leverage a Technical Review Board for purposes of reviewing how REDD+ countries are implementing REDD+ decisions and addressing recommendations received under the UNFCCC REDD+ Mechanism.

For clarity, any forestry units generated under voluntary standards, such as the World Bank’s FCPF, VCS, GS, CAR, ACR, Plan Vivo, etc. are **not** REDD+ by definition as they do not fulfill the necessary requirements outlined within relevant UNFCCC decisions. Thus, unless such units have been canceled and exchanged for REDD.plus results units (RRUs) under *REDD.plus* they will effectively be double counted and fail to meet CORSIA environmental safeguards.

REDD Plus (REDD+) under the UNFCCC

Deforestation and forest degradation accounts for approximately 15 percent of global greenhouse gas emissions. The forest sector, and in particular reducing deforestation and forest degradation in developing countries can potentially contribute significantly to mitigation and adaptation to climate change. The forest sector accounts for such a large share of emissions that it is essential to the achievement of a goal of 1.5 or 2°C degrees warming of the atmosphere as indicated by the most recent Intergovernmental Panel on Climate Change (IPCC) findings.

REDD is the acronym for Reducing Emissions from Deforestation and Degradation. The ‘Plus’ refers to additional aspects of forest mitigation – conservation, sustainable management of forests and enhancement of forest carbon stocks. Since 2005, thanks to the efforts of the Coalition for Rainforest Nations, one of the key negotiating groups under the UNFCCC, the latter has acknowledged REDD+ (reducing emissions from deforestation and forest degradation and the role of conservation, sustainable management of forests and enhancement of forest carbon stocks in developing countries) as the acronym for the contribution of the forest sector to the fight against climate change.

REDD+ as the innovative concept introduced by COP13 and crystallized as an implementation mechanism by the Paris Agreement, is one of the pillars of the so-called low-development strategies, especially in rainforest nations, where the forestry sector is one of the building blocks of national economic development. The examples provided by the climate compatible development plans prepared by the Dominican Republic and Papua New Guinea so far show that an approach based on integrating climate change and economic development is possible and can put developing countries in the best position to grow in a sustainable manner and in line with national priorities and circumstances.

Since 2005, negotiations under the UNFCCC are ongoing with the objective to create a mechanism for providing incentives to tropical countries committed to reduce their rates of deforestation, or if they are already low, to conserve and sustainably manage their forests. Those negotiations culminated in a series of COP decision that are nowadays further completed by COP21.

Here below the milestones of the development of REDD+ under the UNFCCC:

- Decision 1/CP.13 (Bali Action Plan): the inclusion of REDD+ within the Bali Action Plan implies both actions and funding must be measurable, reportable and verifiable (MRV); inclusion of forest degradation; consideration of conservation, sustainable management of forests and enhancement of forest carbon stocks; and post-2012 positive incentives for the enhanced implementation of national mitigation strategies;
- Decision 2/CP.13: rules for demonstration projects; national accounting using IPCC Guidelines; concept of measurement, reporting and verifiable independent review; and Consideration of early action;
- Decision 1/CP.15 (Copenhagen Accord): the Copenhagen Accord covers all sectors and specifically recognizes the importance of REDD+; the Accord provides \$30 billion in fast-start funding (2010-12), including \$3.5 billion specifically allocated to REDD+ initiatives;
- Decision 4/CP.15: methodological guidance for REDD+;
- Decision 1/CP.16 (Cancun Agreements): defining the 5 activities and the 3 phases of REDD+ as well as finance for phase 1 and 2 of REDD+ while leaving open for future discussions finance for phase 3 performance base. The Cancun agreements also identified the key elements that Parties should present to start REDD+ implementation on the ground;
 - REDD+ five activities (decision 1/CP.16, paragraph 70):
 - (a) Reducing emissions from deforestation;
 - (b) Reducing emissions from forest degradation;
 - (c) Conservation of forest carbon stocks;
 - (d) Sustainable management of forests;
 - (e) Enhancement of forest carbon stocks
 - REDD+ three phases:
 - 1) development of national strategies or action plans, policies and measures, and capacity-building;
 - 2) implementation of national policies and measures and national strategies or action plans that could involve further capacity-building, technology development

- 3) transfer and results-based demonstration activities, and evolving into results-based actions that should be fully measured, reported and verified
- COP 17, Durban: advancement of phase 3 financing (performance-based activities) for REDD+, where a new market mechanism will be inserted for future definition by 2015; guidance for safeguards information systems;
 - Decision 1/CP.18, Doha: launch of work programme on ways and means to transfer payments for results-based actions; ways to incentivize non-carbon benefits; and ways to improve the coordination of results-based finance;
 - COP19, Warsaw: adoption of the Warsaw REDD+ Framework, a package of decisions on REDD+ finance, institutional arrangements and methodological guidance allowing for immediate implementation of REDD+ activities in developing nations – subject to the necessary finance and capacity building.
 - COP 20, Decision 1/CP20: Lima Call for Climate Action. The Lima (COP20) Conference was quite significant as it is meant to build the momentum for further discussions in Paris (COP21) to reach a global climate agreement and forestry sector was part of mitigation sectors.
 - COP 21, Decision 1/CP.21, Adoption of the Paris Agreement having Article 5 referring explicitly to REDD+; Decision 16/CP.21, Alternative policy approaches, such as joint mitigation and adaptation approaches for the integral and sustainable management of forests; Decision 17/CP.21, 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; Decision 18/CP.21, Methodological issues related to non-carbon benefits resulting from the implementation of the activities referred to in decision 1/CP.16, paragraph 70

The Warsaw Framework for REDD+ is a package of seven COP decisions on REDD+ finance, institutional arrangements and methodological guidance allowing for immediate implementation of REDD+ activities in developing nations – subject to the necessary finance and capacity building.

Parties are therefore required to take further action to guarantee full implementation of REDD+ in line with the decisions highlighted here below. However, all aspects of the Warsaw Framework for REDD+ need to be monitored and further defined to allow for the necessary scaling up of financial and technical support.

In sum, the Warsaw Framework for REDD+ provides for:

- A forest reference emission level and/or forest reference level – The benchmark against which performance in reducing deforestation and forest degradation or conserving forests will be measured.
- Modalities for measuring, reporting and verifying (MRV) – a system for national level accounting of carbon loss or storage, reporting to the UNFCCC, and independent third-party verification of results.
- A safeguards information system – how environmental, governance and social safeguards are being addressed and respected.
- An information hub on the REDD+ web platform of the UNFCCC website containing the following country information:
 - the results for each relevant period expressed in tonnes of carbon dioxide equivalent per year;
 - the assessed forest reference emission level(s) and/or forest reference level(s); expressed in tonnes of carbon dioxide equivalent per year;
 - The summary of information on how safeguards are being addressed and respected;
 - A link to the REDD+ national strategy or action plan;
 - Information on the national forest monitoring system.

- A decision on the coordination of support for REDD+ establishing an Annual Meeting of REDD+ national entities and/or focal points with the view to:
 - Identify and consider possible needs and gaps in coordination of support
 - Provide information and any recommendations to improve the effectiveness of finance, including results-based finance, technology and capacity-building for developing country Parties when implementing the REDD+ activities
 - Provide information and recommendations on improving the effectiveness of finance to entities including bilateral, multilateral and private sector entities that finance and implement REDD+ activities;
 - Encourage other entities providing support for REDD+ activities and elements, to enhance efficiency and coordination and to seek consistency with the operating entities of the financial mechanism of the Convention

Paris Agreement

With the adoption of the Paris Agreement by the twenty-first Conference of the Parties (COP21) to the United Nations Framework Convention on Climate Change (UNFCCC) the new international climate change regime for the post-2020 period is a reality and it is based on the fight against climate change and promote adaptation, resilience and low carbon development are set, at least in broad terms.

The Paris Agreement recognizes both low-carbon development plans and the fight against deforestation and forest degradation under the REDD+ mechanism, as defined in Article 5, as two key mechanisms to combat climate change. With the agreement on all the methodological and technical rules on REDD+ under the UNFCCC and the explicit recognition of this mechanism in the Paris Agreement, rainforest nations are now ready to start implementation.

In 2010 in Cancun COP16 decided that a low-carbon development plan or strategy is indispensable to sustainable development and that “addressing climate change requires a paradigm shift towards low-carbon society that offers substantial opportunities and ensures continued high growth and sustainable development, based on innovative technologies and more sustainable production and consumption and lifestyles, while ensuring a just transition of the workforce that creates decent work and quality jobs” (decision 1/CP.16, paragraph 10).

PART 3: Emissions Unit Program Design Elements

Note—where “evidence” is requested in *Part 3* and *Part 4*, the Program should provide web links to documentation. If that is not possible, then the program may provide responses in the text boxes provided and/or attached supporting documentation, as recommended in “SECTION II: INSTRUCTIONS—*Form Completeness*”.

Note—“*Paragraph X.X*” in this form refers to corresponding paragraph(s) in Appendix A “*Supplementary Information for Assessment of Emissions Unit Programs*”.

Note—Where the Program has any immediate plans to revise the Program (e.g., its policies, procedures, measures) to enhance consistency with a given criterion or guideline, provide the following information in response to the relevant form question(s):

- Proposed revision(s);
- Process and proposed timeline to develop and implement the proposed revision(s);
- Process and timeline for external communication and implementation of the revision(s).

3.1. Clear methodologies and protocols, and their development process

Summarize the Program's processes for developing and approving methodologies, including the timing and process for revision of existing methodologies:

The methodologies and methodological guidance that developing countries will apply when implementing REDD+ are in the 16 UNFCCC COP decisions that constitute the REDD-plus framework, including the Warsaw Framework for REDD-plus and hence developed by the Parties to the UNFCCC. This REDD-plus framework provides methodological guidance for the 4 elements that the Cancun Agreement [Decision 2/CP.16] requires developing countries to have in place in order to implement REDD-plus; namely a National Strategy or Action Plan, National Forest Monitoring System, Safeguard Information Systems and Forest Reference Emissions Level or Forest Reference Levels.

The methodological guidance for the 4 elements require that developing countries implementing REDD-plus use the most recent Intergovernmental Panel on Climate Change (IPCC) guidance and guidelines, as adopted or encouraged by the UNFCCC's Conference of the Parties, as appropriate, as a basis for estimating anthropogenic forest-related GHG emissions by sources and removals by sinks, forest carbon stocks and forest area changes [Decision 4/CP.15]; that is to say the timing and process for revising these guidance and guidelines will depend on the IPCC, and any ensuing decision by the COP to adopt them or recommend their use.

The other methodological guidance and guidelines can also be found in these UNFCCC COP decisions:

1. National Strategy or Action Plan

1/CP.16

15/CP.19 [insert link]

2. NFMS

12/CP.17

12/CP.19 [insert link]

3. SIS

4/CP.15

11/CP.19; and [insert link to url]

4. FREL/FRL

4/CP.15,

12/CP.17

13/CP.19 & its Annex [insert link to url]

Since REDD-plus framework is governed by an intergovernmental process, all proposals to revise or update the methodological guidance and guidelines will have to be negotiated and adopted by the Parties to the UNFCCC. Per the UNFCCC's procedure, any initiative to revise the methodological guidance and guidelines in the existing REDD-plus framework, will have to be placed on the COP's agenda by a Party or group of Parties. It will then be assigned to the relevant subsidiary body for consideration, usually with a mandate to provide recommendations to the COP for adoption by a certain date.

Provide *evidence¹ of the public availability* of a) the Program’s current processes for developing methodologies and protocols and b) the methodologies / protocols themselves: (*Paragraph 2.1*)

As explained above, the *REDD.plus* program will only serialize the reviewed/verified results posted on the UNFCCC REDD-plus Hub and make them available to airlines that need them for CORSIA compliance. All the current methodologies, modalities and procedures that apply to REDD+ are reflected in the 16 REDD+ COP decisions of the UNFCCC and publicly available on the UNFCCC’s website.

1. National Strategy or Action Plan

1/CP.16
15/CP.19 [insert link]

2. NFMS

12.CP/17
12/CP.19 [insert link]

3. SIS

4/CP.15
11/CP.19; and [insert link to url]

4. FREL/FRL

4/CP.15,
12.CP/17
13/CP.19 & its Annex [insert link to url]

5. MRV

14/CP.19
Etc

3.2. Scope considerations

SECTION II: Application Form Scope includes questions related to this criterion. No additional information is requested here.

3.3. Offset credit issuance and retirement procedures

Are procedures in place... (*Paragraph 2.3*)

- | | |
|--|-------|
| a) for unit issuance and retirement / cancellation? | X YES |
| b) related to the duration and renewal of crediting periods? | X YES |
| c) for unit discounting (<i>if any</i>)? | X YES |

Provide evidence of the relevant policies and procedures related to a) through c) (*if any*, in the case of “c”), including their availability to the public:

The REDD. Plus Registry maintains thorough operational procedures related to the management of projects and units throughout a credit’s entire lifecycle. Information on the rules governing the registry are available here: <https://cdn.ihs.com/www/pdf/MER-Terms-and-Conditions-Account-Guidelines.pdf>. Registry Operational procedures are agreed between the registry and the standard, so are not made available to the public.

¹ For this and subsequent “evidence” requests, evidence should be provided in the text box (e.g., web links to documentation), and/or in attachments, as recommended in “SECTION II: INSTRUCTIONS—*Form Completeness*”.

3.4 Identification and Tracking

Does the Program utilize an electronic registry or registries? (*Paragraph 2.4.2*) X YES

Provide web link(s) to the Program registry(ies) and indicate whether the registry is administered by the Program or outsourced to a third party (*Paragraph 2.4 (e)*):

The REDD.plus Registry is a third-party hosted registry available at the following link:

<https://ihsmarkit.com/products/environmental-registry.html>.

Do / does the Program registry / registries...:

a) have the capability to designate the ICAO eligibility status of particular units? (*Paragraph 2.4.3*) X YES

b) identify and facilitate tracking and transfer of unit ownership/holding from issuance to cancellation/retirement? (*Paragraphs 2.4 (d) and 2.4.4*) X YES

c) identify unit status, including retirement / cancellation, and issuance status? (*Paragraph 2.4.4*) X YES

d) assign unique serial numbers to issued units? (*Paragraphs 2.4 (b) and 2.4.5*) X YES

e) identify in serialization, or designate on a public platform, each unique unit's country and sector of origin, and vintage year? (*Paragraph 2.4.5*) X YES

Summarize and provide evidence of the relevant policies and procedures related to a) through e), including their availability to the public:

The REDD.plus Registry hosted by IHS Markit features the ability to designate appropriate market eligibility of individual units. It is built upon a workflow engine which allows for units to proceed through a range of status changes. These status changes include transfers from one account to another, and through the credit lifecycle including from pending issuance through retired or cancelled. The REDD.plus Registry also assigns unique serial numbers to issued units. The IHS Markit Registry public view is visible here: <https://bit.ly/2NIF6xf>. As is evident on the site, certain details related to projects and units are publicly visible, including country, project type/sector, and vintage year. Launch plans are underway for a standalone, branded public view page for the REDD.plus Registry.

Describe the role of the Registry and processes that govern credit issuance, serialization, transfer and retirement. Also elaborate how the registry and standard are able to delineate CORSIA eligible units based on the TAB's review process for methodologies. This last point is targeted to programmes such as the CDM and VCS that have projects from various methodologies.

Might not hurt to mention the importance of forests for mitigation, and removal of CO₂ in order to achieve the goals of the Paris Agreement. Airlines have long had an affinity for forests, and this TAB review process is looking for confirmation that REDD+ can provide sufficient emission reductions for the industry to purchase and that these emission reductions are guaranteed, permanent and importantly protected against double counting. This submission will succeed if CFRN is able to add supporting documentation to support these key points.

List any/all international data exchange standards to which the Program's registry(ies) conform:
(Paragraph 2.4 (f))

IHS Markit, as an information services firm, is already connected with the largest financial institutions, trading platforms, exchanges, and clearing and settlement systems globally for a number of our products. Registry connectivity is the basis of the IHS Markit Registry system upon which the REDD.plus Registry is built.

X YES

Are policies in place to prevent the Program registry administrators from having financial, commercial or fiduciary conflicts of interest in the governance or provision of registry services? (Paragraph 2.4.6)

To address and isolate such conflicts, should they arise? (Paragraph 2.4.6)

X YES

Summarize and provide evidence of the relevant policies and procedures, including their availability to the public:

The terms and conditions governing the REDD.plus Registry are available at the following link: <https://cdn.ihs.com/www/pdf/MER-Terms-and-Conditions-Account-Guidelines.pdf>.

Additionally, information on IHS Markit's governance and code of conduct is available here: <http://investor.ihsmarkit.com/phoenix.zhtml?c=188457&p=irol-govhighlights>

Are provisions in place...

a) ensuring the screening of requests for registry accounts? (Paragraph 2.4.7)

X YES

b) restricting the Program registry (or registries) accounts to registered businesses and individuals? (Paragraph 2.4.7)

X YES

c) ensuring the periodic audit or evaluation of registry compliance with security provisions? (Paragraph 2.4.8)

X YES

Summarize registry security provisions, including related to a) through c); and provide evidence of the relevant policies and procedures, including their availability to the public:

Due to confidentiality concerns, REDD.plus and IHS Markit do not disclose security provisions beyond those outlined in the Registry's terms and conditions:

<https://cdn.ihs.com/www/pdf/MER-Terms-and-Conditions-Account-Guidelines.pdf>.

3.5 Legal nature and transfer of units

Does the Program define and ensure the underlying attributes and property aspects of a unit? X YES
(Paragraph 2.5)

Summarize and provide evidence of the relevant policies and procedures, including their availability to the public:

REDD.plus and IHS Markit's policies regarding legal title to units is outlined in our terms and conditions: <https://cdn.ihs.com/www/pdf/MER-Terms-and-Conditions-Account-Guidelines.pdf>.

Information regarding registration of projects and issuance of units is disclosed on a project-by-project basis on the IHS Markit Registry public view: <https://bit.ly/2NIF6xf>

3.6 Validation and verification procedures

Are standards and procedures in place for... (Paragraph 2.6)

a) validation and verification processes? X YES

b) validator and verifier accreditation? X YES

Provide evidence of the relevant policies and procedures related to a) and b), including their availability to the public:

The REDD+ framework sets out a number of validation and verification procedures for the elements that Parties must develop and implement and the results that would be produced. Information.

Technical Assessment of FREL/FRL

Decision 12/CP.17 and its Annex, sets out the modalities for the submission of a proposed FREL/FRL by a developing country that includes the information it should contain to allow for a technical assessment of the data, methodology and procedures used in constructing the reference level.

The guidelines and procedures for the technical assessment of submissions from developing country Parties on forest reference emission levels and/or forest reference levels are contained in decision 13/CP.19 and its annex. Each submission is technically assessed by an assessment team in accordance with the procedures and time frames established in these guidelines. The technical assessment process is conducted once a year and is coordinated by the secretariat.

MRV of Results

Parties seeking to obtain and receive payments for results-based actions are required to submit through the technical annex of their BUR data and information used in the estimation of anthropogenic forest-related emissions by sources and removals by sinks, forest carbon stocks, and forest carbon stock and forest-area changes [14/CP.19 para 6 & 7]. Results for each relevant period should be expressed in tonnes of CO₂e per year. The modalities for MRV should be consistent with the MRV of NAMAs [14/CP.19 para 1]. Technical team of experts that will do technical analysis [2/CP.17, annex iv p4] along with 2 LULUCF experts will analyse technical analysis and produce a technical report referred to in decision 14/CP.19 para 14 containing the technical annex, the technical analysis, areas for technical improvement and any comments or responses received from the developing country Party.

Decision 14/CP.19 [hyperlink] further envisages the possibility that additional specific modalities for verification of results-based actions that are eligible for appropriate market-based approaches that are consistent with relevant decisions of the COP, could be developed by the Conference of the Parties.

Other Information to be Uploaded on Information-Hub

Decision 9/CP.19 lists the information that Parties must submit to be posted on the Information Hub. These include:

- i. a link to the national strategy or action plan that the Cancun Agreements require developing country Party implementing REDD+ to develop; and
- ii. information on the national forest monitoring system that is consistent with the guidelines set out in the technical annex referred to in decision 14/CP.19
- iii. the most recent summary of information on how the REDD+ safeguards are being addressed and respected info on NFMS (see 14/CP.19)

3.7 Program governance

Does the Program publicly disclose who is responsible for the administration of the Program, and how decisions are made? (*Paragraph 2.7*) YES

Provide evidence that this information is available to the public:

REDD+ mechanism is defined and designed by UNFCCC COP decisions and as such administered by the Parties that have ratified that Convention. COP decisions providing guidance for REDD+ implementation are:

- [Decision 1/CP.13, Bali Action Plan](#)
- [Decision 2/CP.13, Reducing emissions from deforestation in developing countries: approaches to stimulate action](#)
- [Decision 2/CP.15, Copenhagen Accord](#)
- [Decision 4/CP.15, Methodological Guidance for REDD+](#)
- [Decision 1/CP.16, The Cancun Agreements: Outcome of the work of the Ad Hoc Working Group on Long-term Cooperative Action under the Convention](#)
- [Decision 2/CP.17, Outcome of the work of the Ad Hoc Working Group on Long-term Cooperative Action under the Convention](#)
- [Decision 12/CP.17, Guidance on systems for providing information on how safeguards are addressed and respected and modalities relating to forest reference emission levels and forest reference levels as referred to in decision 1/CP.16](#)
- [Decision 16/CP.17, Research dialogue on developments in research activities relevant to the needs of the Convention](#)
- [Decision 1/CP.18, Agreed outcome pursuant to the Bali Action Plan](#)
- [Decision 9/CP.19, Work programme on results-based finance to progress the full implementation of the activities referred to in decision 1/CP.16, paragraph 70](#)
- [Decision 10/CP.19, Coordination of support for the implementation of activities in relation to mitigation actions in the forest sector by developing countries, including institutional arrangements](#)
- [Decision 11/CP.19, Modalities for national forest monitoring systems](#)
- [Decision 12/CP.19, The timing and the frequency of presentations of the summary of information on how all the safeguards referred to in decision 1/CP.16, appendix I, are being addressed and respected](#)
- [Decision 13/CP.19, Guidelines and procedures for the technical assessment of submissions from Parties on proposed forest reference emission levels and/or forest reference levels](#)
- [Decision 14/CP.19, Modalities for measuring, reporting and verifying](#)
- [Decision 15/CP.19, Addressing the drivers of deforestation and forest degradation](#)
- [Decision 1/CP.20, Lima Call for Climate Action](#)
- [Decision 1/CP.21, Adoption of the Paris Agreement](#)
- [Decision 16/CP.21, Alternative policy approaches, such as joint mitigation and adaptation approaches for the integral and sustainable management of forests](#)
- [Decision 17/CP.21, 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](#)
- [Decision 18/CP.21, Methodological issues related to non-carbon benefits resulting from the implementation of the activities referred to in decision 1/CP.16, paragraph 70](#)

Can the Program demonstrate that it has... (*Paragraph 2.7.2*)

a) been continuously governed and operational for at least the last two years? X YES

b) a plan for the long-term administration of multi-decadal program elements which includes possible responses to the dissolution of the Program in its current form? X YES

Provide evidence of the relevant policies and procedures related to a) and b):

The REDD+ programme is based on a set of COP decisions that were adopted in the period from 2007 to 2015.

The REDD+ programme is voluntary and as such it does not have a sunset close. It is included in Article 5 of the Paris Agreement, an international treaty entered into force in 2016 that will last indefinitely, unless otherwise decided by the Parties to it.

Are policies in place to prevent the Program staff, board members, and management from having financial, commercial or fiduciary conflicts of interest in the governance or provision of program services? (*Paragraph 2.7.3*) X YES

To address and isolate such conflicts, should they arise? (*Paragraph 2.7.3*) X YES

Summarize and provide evidence of the relevant policies and procedures:

The UNFCCC requires such mechanisms as part of National Safeguard Systems.

If applicable, can the Program demonstrate up-to-date professional liability insurance policy of at least USD\$5M? (*Paragraph 2.7.4*) X YES

Provide evidence of such coverage:

Currently being updated.

3.8 Transparency and public participation provisions

Does the Program publicly disclose (*Paragraph 2.6*)

a) what information is captured and made available to different stakeholders? X YES

b) its local stakeholder consultation requirements (if applicable)? X YES

c) its public comments provisions and requirements, and how they are considered (if applicable)? X YES

Provide evidence of the public availability of items a) through c):

The REDD + programme is based on a set of safeguards requirements as inscribed in decision 1/CP.16, Annex I, 'Guidance and safeguards for policy approaches and positive incentives on issues relating to reducing emissions from deforestation and forest degradation in developing countries; and the role of conservation, sustainable management of forests and enhancement of forest carbon stocks in developing countries' as indicated here below.

1. The activities referred to in paragraph 70 of this decision 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 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;

2. 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;
- (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;
- (f) Actions to address the risks of reversals;
- (g) Actions to reduce displacement of emissions

In addition to this international guidance on safeguards the REDD+ programme is run by national governments and as such national legislation and rules about consultation and participation of stakeholders apply as appropriate.

Does the Program conduct public comment periods?

XYES

Provide evidence of the relevant policies and procedures:

The UNFCCC REDD+ Mechanism has been developed over 15 years involving 192 nations and has incorporated international input from relevant stakeholders over that timeframe.

3.9 Safeguards system

Are safeguards in place to address environmental and social risks? (*Paragraph 2.9*)

X YES

Summarize and provide evidence of the relevant policies and procedures, including their availability to the public:

The REDD + programme is based on a set of safeguards requirements as inscribed in decision 1/CP.16, Annex I, 'Guidance and safeguards for policy approaches and positive incentives on issues relating to reducing emissions from deforestation and forest degradation in developing countries; and the role of conservation, sustainable management of forests and enhancement of forest carbon stocks in developing countries' as indicated here below.

1. The activities referred to in paragraph 70 of this decision 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 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;

2. 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;
- (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;
- (f) Actions to address the risks of reversals;
- (g) Actions to reduce displacement of emissions

3.10 Sustainable development criteria

Does the Program publicly disclose sustainable development criteria used (*if any*), and provisions for monitoring, reporting and verification in accordance with these criteria? (*Paragraph 2.10*)

Provide evidence of the public availability of any relevant policies and procedures:

The principle of sustainable development is promoted under the REDD+ programme through the list of safeguards included in decision 1/CP.16, Annex I, ‘Guidance and safeguards for policy approaches and positive incentives on issues relating to reducing emissions from deforestation and forest degradation in developing countries; and the role of conservation, sustainable management of forests and enhancement of forest carbon stocks in developing countries’ as indicated here below.

1. The activities referred to in paragraph 70 of this decision 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 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;

In addition the REDD+ programme is governed by decision 14/CP.19 on Modalities for measuring, reporting and verifying. In order to obtain and receive results-based finance for results from the implementation of REDD+ activities, developing country Parties should have the following in place:

- A national strategy or action plan
- An assessed forest reference emission level and/or forest reference level
- A national forest monitoring system
- A system for providing information on how the safeguards are being addressed and respected
- And the results-based actions should also be fully measured, reported and verified (MRV).

The MRV for REDD+ activities is a two-step process: first, there is a technical assessment of the proposed [forest reference emission level and/or forest reference level](#) (FREL). Second, the actual results compared to the assessed FREL are submitted in a technical annex to the [biennial update report](#) of a developing country Party seeking to obtain and receive payments for results-based actions, and these results undergo a separate technical analysis.

The LULUCF experts undertaking the technical analysis check whether data and information provided in the technical annex is transparent, consistent, complete and accurate; consistent with the assessed FREL and guidelines for technical annexes with REDD+ results; and that results are accurate, to the extent possible.

In this context, the COP affirmed that the progression of developing country Parties towards results-based actions occurs in the context of the provision of adequate and predictable support for all phases of REDD+ implementation. The COP also reaffirmed that results-based finance provided to developing country Parties for the full implementation of REDD+ may come from a variety of sources, public and private, bilateral and multilateral, including alternative sources.

Entities financing REDD+, including the Green Climate Fund in a key role, are encouraged to collectively channel adequate and predictable results-based finance in a fair and balanced manner, taking into account different policy approaches, for the implementation of REDD+. Entities financing REDD+ are also encouraged to work with a view to increasing the number of countries that are in a position to obtain and receive payments for results-based actions.

3.11 Avoidance of double counting, issuance and claiming

SECTION III, Part 4.7—Are only counted once towards a mitigation obligation includes questions related to this criterion. No additional information is requested here.

PART 4: Carbon Offset Credit Integrity Assessment Criteria

Note—Where the Program has any immediate plans to revise the Program (e.g., its policies, procedures, measures) to enhance consistency with a given criterion or guideline, provide the following information in response to the relevant form question(s):

- Proposed revision(s);
- Process and proposed timeline to develop and implement the proposed revision(s);
- Process and timeline for external communication and implementation of the revision(s).

4.1 Are additional

What is the threshold for over-issuance risk beyond which the Program provisions or measures require a response? (*Quantify if possible*)

On country by country basis, upon recommendation of the Technical Advisory Board

Is additionality and baseline-setting assessed by an accredited and independent third-party verification entity, and reviewed by the Program? (*Paragraph 3.1*) X YES

Summarize and provide evidence of the relevant policies and procedures, including their availability to the public:

Covered under the UNFCCC REDD+ Mechanism.

X YES

Does the Program utilize one or more of the methods cited in Paragraph 3.1.2, which can be applied at the project- and/or program-level? (*Paragraphs 3.1.2 - 3.1.3*)

Summarize and provide evidence of the relevant policies and procedures, including listing and describing any/all analysis / test types that the Program permits for use:

Covered under the UNFCCC REDD+ Mechanism

X YES

If the Program designates certain activities as automatically additional (e.g., through a “positive list” of eligible project types), does the Program provide clear evidence on how the activity was determined to be additional? (*Paragraph 3.1*)

Summarize and provide evidence of the availability to the public of relevant policies and procedures, including the criteria used to determine additionality:

Covered under the UNFCCC REDD+ Mechanism

Describe how the procedures described in this section provide a reasonable assurance that the mitigation would not have occurred in the absence of the offset program: (*Paragraph 3.1*)

Covered under the UNFCCC REDD+ Mechanism

4.2 Are based on a realistic and credible baseline

Are procedures in place to issue emissions units against realistic, defensible, and conservative baseline estimations of emissions? (*Paragraph 3.2*) X YES

Summarize and provide evidence of the relevant policies and procedures, including that baselines and underlying assumptions are publicly disclosed:

FREL and FRL under the REDD+ programme are subject to a technical assessment and review based on the following :

The technical assessment of the data, methodologies, and procedures used by the developing country Party under assessment in the construction of its forest reference emission level and/or forest reference level in accordance with decision 12/CP.17, chapter II, and its annex, will assess the following:

- (a) The extent to which the forest reference emission level and/or forest reference level maintains consistency with corresponding anthropogenic forest-related greenhouse gas emissions by sources and removals by sinks as contained in the national greenhouse gas inventories;
- (b) How historical data have been taken into account in the establishment of the forest reference emission level and/or forest reference level;
- (c) The extent to which the information provided was transparent, complete, consistent and accurate, including methodological information, description of data sets, approaches, methods, models, if applicable, and assumptions used and whether the forest reference emission levels and/or forest reference levels are national or cover less than the entire national territory of forest area;
- (d) Whether a description of relevant policies and plans has been provided, as appropriate;
- (e) If applicable, whether descriptions of changes to previously submitted forest reference emission levels and/or forest reference levels have been provided, taking into account the stepwise approach;
- (f) Pools and gases, and activities included in the forest reference emission level and/or forest reference level, and justification of why omitted pools and/or activities were deemed not significant;
- (g) Whether the definition of forest used in the construction of the forest reference emission level and/or forest reference level has been provided and, if it is different from the one used in the national greenhouse gas inventory or from the one reported to other international organizations, why and how the definition used was chosen;
- (h) Whether assumptions about future changes to domestic policies have been included in the construction of the forest reference emission level and/or forest reference level;
- (i) The extent to which the forest reference emission level and/or forest reference level value is consistent with the information and descriptions provided by the Party.

Are procedures in place to ensure that methods of developing baselines, including modelling, benchmarking or the use of historical data, use assumptions, methodologies, and values do not over-estimate mitigation from an activity? (*Paragraph 3.2.2*) X YES

Summarize and provide evidence of the relevant policies and procedures:

See above

Are procedures in place for activities to respond, as appropriate, to changing baseline conditions that were not expected at the time of registration? (*Paragraph 3.2.3*). Summarize and provide evidence of the relevant policies and procedures:

See above

4.3 Are quantified, monitored, reported, and verified

Are procedures in place to ensure that...

a) emissions units are based on accurate measurements and valid quantification methods/protocols? (*Paragraph 3.3*)

b) validation occurs prior to or in tandem with verification? (*Paragraph 3.3.2*) N/A

c) results of validation and verification are made publicly available? (*Paragraph 3.3.2*) X YES

d) monitoring, measuring, and reporting of both activities and the resulting mitigation is conducted at specified intervals throughout the duration of the crediting period? (*Paragraph 3.3*) YES

e) mitigation is measured and verified by an accredited and independent third-party verification entity? (*Paragraph 3.3*) YES

f) *ex-post* verification of mitigation is required in advance of issuance of emissions units? YES

Summarize and provide evidence of the relevant policies and procedures related to a) through f): REDD+ MRV is regulated by decision 14/CP.19 on Measuring, Reporting and Verifying as described here below:

1. Decides that measuring, reporting and verifying anthropogenic forest-related emissions by sources and removals by sinks, forest carbon stocks, and forest carbon stock and forest-area changes resulting from the implementation of the activities referred to in decision 1/CP.16, paragraph 70, taking into account paragraph 71(b) and (c) of that decision, is to be consistent with the methodological guidance provided in decision 4/CP.15, and any guidance on the measurement, reporting and verification of nationally appropriate mitigation actions by developing country Parties as agreed by the Conference of the Parties, and in accordance with any future relevant decisions of the Conference of the Parties;

3. Decides that the data and information used by Parties in the estimation of anthropogenic forest-related emissions by sources and removals by sinks, forest carbon stocks, and forest carbon stock and forest-area changes, as appropriate to the activities referred to in decision 1/CP.16, paragraph 70, undertaken by Parties, should be transparent, and consistent over time and with the established forest reference emission levels and/or forest reference levels in accordance with decision 1/CP.16, paragraph 71(b) and (c) and chapter II of decision 12/CP.17;

5. Encourages Parties to improve the data and methodologies used over time, while maintaining consistency with the established or, as appropriate, updated, forest reference emission levels and/or forest reference levels in accordance with decision 1/CP.16, paragraph 71(b) and (c); 11. Further decides that, as part of the technical analysis referred to in decision 2/CP.17, annex IV, paragraph 4, the technical team of experts shall analyse the extent to which:

(a) There is consistency in methodologies, definitions, comprehensiveness and the information provided between the assessed reference level and the results of the implementation of the activities referred to in decision 1/CP.16, paragraph 70;

(b) The data and information provided in the technical annex is transparent, consistent, complete and accurate;

(c) The data and information provided in the technical annex is consistent with the guidelines referred to in paragraph 9 above;

(d) The results are accurate, to the extent possible;

Annex

Guidelines for elements to be included in the technical annex referred to in decision 14/CP.19, paragraph 7

1. Summary information from the final report containing each corresponding assessed forest reference emission level and/or forest reference level, which includes:

- (a) The assessed forest reference emission level and/or forest reference level expressed in tonnes of carbon dioxide equivalent per year (CO₂ eq);
- (b) The activity or activities referred to in decision 1/CP.16, paragraph 70, included in the forest reference emission level and/or forest reference level;
- (c) The territorial forest area covered;
- (d) The date of the forest reference emission level and/or forest reference level submission and the date of the final technical assessment report;
- (e) The period (in years) of the assessed forest reference emission level and/or forest reference level.

2. Results in tonnes of CO₂ eq per year, consistent with the assessed forest reference emission level and/or forest reference level.

3. Demonstration that the methodologies used to produce the results referred to in paragraph 2 above are consistent with those used to establish the assessed forest reference emission level and/or forest reference level.

4. A description of national forest monitoring systems and the institutional roles and responsibilities for measuring, reporting and verifying the results.

5. Necessary information that allows for the reconstruction of the results.

6. A description of how the elements contained in decision 4/CP.15, paragraph 1(c) and (d), have been taken into account.

Are provisions in place... (*Paragraph 3.3.3*)

a) to manage and/or prevent conflicts of interest between accredited third-party(ies) performing the validation and/or verification procedures, and the Program and the activities it supports?

b) requiring accredited third-party(ies) to disclose any conflict of interest?

X YES

c) to address and isolate such conflicts, should they arise?

X YES

Summarize and provide evidence of the relevant policies and procedures:

Please refer to UNFCCC Safeguard decisions and relevant national systems

Are procedures in place requiring that renewal of any activity at the end of its crediting period includes a reevaluation and update of baseline? (*Paragraph 3.3.4*) X YES

Are procedures in place to transparently identify units that are issued *ex-ante* and thus ineligible for use in the CORSIA? (Paragraph 3.3.5)

Provide evidence of the relevant policies and procedures:

The UNFCCC only considers ex-post credits under the REDD+ Mechanism.

4.4 Have a clear and transparent chain of custody

SECTION III, Part 3.4—Identification and tracking includes questions related to this criterion. No additional information is requested here.

4.5 Represent permanent emissions reductions

List any emissions sectors (if possible, activity types) supported by the Program that present a potential risk of reversal of emissions reductions, avoidance, or carbon sequestration:

Decision 1/CP.16, Appendix I Guidance and safeguards for policy approaches and positive incentives on issues relating to reducing emissions from deforestation and forest degradation in developing countries; and the role of conservation, sustainable management of forests and enhancement of forest carbon stocks in developing countries indicates the following safeguards for risks of reversals and displacement of emissions:

(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;¹

(f) Actions to address the risks of reversals;

What is the minimum scale of reversal for which the Program provisions or measure require a response? (Quantify if possible)

Reversals of all scales must be included in national scale GHG inventories and reported biennially.

For sectors/activity types identified in the first question in this section, are procedures / provisions in place to require and support these activities to...

- a) undertake a risk assessment that accounts for, *inter alia*, any potential causes, relative scale, and relative likelihood of reversals? (Paragraph 3.5.2) XYES
- b) monitor identified risks of reversals? (Paragraph 3.5.3) XYES
- c) mitigate identified risks of reversals? (Paragraph 3.5.3) XYES
- d) ensure full compensation for material reversals of mitigation issued as emissions units and used toward offsetting obligations under the CORSIA? (Paragraph 3.5.4) XYES

Summarize and provide evidence of the relevant policies and procedures related to a) through d):

See above

Are provisions in place that... (Paragraph 3.5.5)

- a) confer liability on the activity proponent to monitor, mitigate, and respond to reversals in a manner mandated in the Program procedures? XYES
- b) require activity proponents, upon being made aware of a material reversal event, to notify the Program within a specified number of days? N/A
- c) confer responsibility to the Program to, upon such notification, ensure and confirm that such reversals are fully compensated in a manner mandated in the Program procedures? XYES

Summarize and provide evidence of the relevant policies and procedures related to a) through c):

See above

Does the Program have the capability to ensure that any emissions units which compensate for the material reversal of mitigation issued as emissions units and used toward offsetting obligations under the CORSIA are fully eligible for use under the CORSIA? (Paragraph 3.5.6) X YES

Summarize and provide evidence of the relevant policies and procedures:

See above

Would the Program be willing and able, upon request, to demonstrate that its permanence provisions can fully compensate for the reversal of mitigation issued as emissions units and used under the CORSIA? (Paragraph 3.5.7) X YES

4.6 Assess and mitigate against potential increase in emissions elsewhere

List any emissions sectors (if possible, activity types) supported by the Program that present a potential risk of material emissions leakage:

None

Are measures in place to assess and mitigate incidences of material leakage of emissions that may result from the implementation of an offset project or program? (*Paragraph 3.6*) X YES

Summarize and provide evidence of the relevant policies and procedures:

The UNFCCC REDD+ Mechanism requires national scale reporting, GHG Inventories, and Forest (Emission) Reference Levels.

Are provisions in place requiring activities that pose a risk of leakage when implemented at the project-level to be implemented at a national level, or on an interim basis on a subnational level, in order to mitigate the risk of leakage? (*Paragraph 3.6.2*) X YES

Summarize and provide evidence of the relevant policies and procedures:

N/A. Credits are only issued in the context of National systems for monitoring and measurement.

Are procedures in place requiring activities to monitor identified leakage? (*Paragraph 3.6.3*) X YES

Summarize and provide evidence of the relevant policies and procedures:

The UNFCCC REDD+ Mechanism requires national scale reporting, GHG Inventories, and Forest (Emission) Reference Levels.

Are procedures in place requiring activities to deduct from their accounting emissions from any identified leakage that reduces the mitigation benefits of the activities? (*Paragraph 3.6.4*) X YES

Summarize and provide evidence of the relevant policies and procedures:

The UNFCCC REDD+ Mechanism Safeguard Information Systems account for such issues.

4.7 Are only counted once towards a mitigation obligation

Are measures in place to avoid the following, as defined in the corresponding Paragraphs, particularly with respect to registry-related protocols and/or oversight?

a) double-issuance? (*Paragraphs 3.7.1 and 3.7.5*) X YES

b) double-use? (*Paragraphs 3.7.2 and 3.7.6*) X YES

c) double-selling? (*Paragraph 3.7.7*) X YES

Summarize and provide evidence of the relevant policies and procedures related to a) through c):

The REDD.plus Registry uses a combination of technological features and operational policies and procedures in order to reduce the risk of double-issuance, double-use, and double-selling.

Are measures in place (or *would the Program be willing and able to put in place measures*) to avoid double-claiming as defined in *Paragraph 3.7.3*? X YES

As resolved as in *Paragraphs 3.7.8 – 3.7.9*? X YES

Summarize and provide evidence of any relevant policies and procedures:

REDD.plus requires 100% of units nation-wide to be included and tracked throughout their respective lifecycles.

If no measures are currently in place, describe what measures the Program would consider putting in place in relation to the guidelines in *Paragraphs 3.7.3 and Paragraphs 3.7.8 – 3.7.9*:

Are measures in place (or would the Program be willing and able to put in place measures) to...

- | | |
|---|------|
| a) make publicly available any national government decisions related to accounting for the underlying mitigation associated with units used in ICAO, including the contents of host country attestations described in the criterion guidelines (<i>Paragraph 3.7.10</i>) | XYES |
| b) update information pertaining to host country attestation as often as necessary to avoid double-claiming? (<i>Paragraph 3.7.10</i>) | XYES |
| c) monitor for double-claiming by relevant government agency(ies) that otherwise attested to their intention to not double-claim the mitigation? (<i>Paragraph 3.7.11</i>) | XYES |
| d) report to ICAO's relevant bodies, as requested, performance information related to, <i>inter alia</i> , any material instances of and Program responses to country-level double-claiming; the nature of, and any changes to, the number, scale, and/or scope of host country attestations; any relevant changes to related Program measures? (<i>Paragraph 3.7.12</i>) | XYES |
| e) to compensate for, replace, or otherwise reconcile double-claimed mitigation associated with units used under the CORSIA which the host country's national accounting focal point or designee otherwise attested to its intention to not double-claim? (<i>Paragraph 3.7.13</i>) | XYES |

Summarize and provide evidence of any relevant policies and procedures related to a) through e):

This is potentially the most important differentiator of the UNFCCC REDD+ Mechanism when compared to project-based approaches/programmes. The UNFCCC process is governed by countries and that these emission reductions are governed by countries. The REDD.plus Registry has policies and systems to ensure that there is no double counting, double issuance and cast doubt over project-based standards that require country attestation letters to avoid double counting.

If no measures are currently in place, describe what measures the Program would consider putting in place in relation to the guidelines in *Paragraphs 3.7.10 – 3.7.13*:

Policies and Procedures will be regularly updated related to the REDD.plus Registry and REDD.plus Exchange.

4.8 Do no net harm

- | | |
|---|-------|
| Are procedures in place to ensure that offset projects do not violate local, state/provincial, national or international regulations or obligations? (<i>Paragraph 3.8</i>) | X YES |
|---|-------|

Summarize and provide evidence of the relevant policies and procedures:

Decision 1/CP.16, Appendix I Guidance and safeguards for policy approaches and positive incentives on issues relating to reducing emissions from deforestation and forest degradation in developing countries; and the role of conservation, sustainable management of forests and enhancement of forest carbon stocks in developing countries

1. The activities referred to in paragraph 70 of this decision 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 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;

2. 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;
- (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;¹
- (f) Actions to address the risks of reversals;
- (g) Actions to reduce displacement of emissions.

Provide evidence that the Program complies with social and environmental safeguards: (*Paragraph 3.8*)

Evaluation between CORSIA and UNFCCC REDD+ Mechanism Safeguard Information Systems is ongoing.

Provide evidence of the Program's public disclosure of the institutions, processes, and procedures that are used to implement, monitor, and enforce safeguards to identify, assess and manage environmental and social risks: (*Paragraph 3.8*)

PART 5: Program comments

Are there any additional comments the Program wishes to make to support the information provided in this form?

SECTION IV: SIGNATURE

I certify that I am the administrator or authorized representative (“Program Representative”) of the emissions unit program (“Program”) represented in a) this form, b) evidence accompanying this form, and c) any subsequent oral and/or written correspondence (a-c: “Program Submission”) between the Program and ICAO; and that I am duly authorized to represent the Program in all matters related to ICAO’s analysis of this application form; and that ICAO will be promptly informed of any changes to the contact person(s) or contact information listed in this form.

As the Program Representative, I certify that all information in this form is true, accurate, and complete to the best of my knowledge.

As the Program Representative, I acknowledge that:

the Program’s participation in the assessment does not guarantee, equate to, or prejudice future decisions by Council regarding CORSIA-eligible emissions units; and

the ICAO is not responsible for and shall not be liable for any losses, damages, liabilities, or expenses that the Program may incur arising from or associated with its voluntary participation in the assessment; and

as a condition of participating in the assessment, the Program will not at any point publicly disseminate, communicate, or otherwise disclose the nature, content, or status of communications between the Program and ICAO, and of the assessment process generally, unless the Program has received prior notice from the ICAO Secretariat that such information has been and/or can be publicly disclosed.

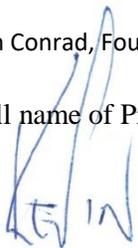
Signed:

Kevin Conrad, Founder and Executive Director

12 July 2019

Full name of Program Representative (*Print*)

Date signed (*Print*)



Program Representative (*Signature*)

(This signature page may be printed, signed, scanned and submitted as a separate file attachment)



ICAO

Program Application Form, Appendix B

Program Scope Information Request

CONTENTS: This document collects information from emissions unit programs pertaining to the following:

- Sheet A) Activities the program describes in this form, which will be assessed by ICAO's body of experts
- Sheet B) Any activities that the program does not wish to submit for assessment
- Sheet C) List of all methodologies / protocols that support activities described under Sheet A

SHEET A: DESCRIBED ACTIVITIES (Here, list activities supported by the program that are described in this form for further assessment)

Sector	Supported activity type(s)	Implementation level(s)	Geography(ies)
Land use, land-use change and forestry activities in developing countries	Reducing emissions from deforestation	National scale	Global - Non-Annex I-only implementation
Land use, land-use change and forestry activities in developing countries	Reducing emissions from forest degradation	National scale	Global - Non-Annex I-only implementation
Land use, land-use change and forestry activities in developing countries	Conservation of forest carbon stocks	National scale	Global - Non-Annex I-only implementation
Land use, land-use change and forestry activities in developing countries	Sustainable management of forests	National scale	Global - Non-Annex I-only implementation
Land use, land-use change and forestry activities in developing countries	Enhancement of forest carbon stocks	National scale	Global - Non-Annex I-only implementation

SHEET B: EXCLUDED ACTIVITIES (Here, list activities supported by the program that are not described in this form for further assessment)

Sector	Supported activity type(s)	Implementation level(s)	Geography(ies)
e.g. Waste, Energy	e.g., Landfill methane capture; Coal mine methane capture;	e.g., Project-level only; Programs of activities; Sector-scale	e.g., Global; Non-Annex I-only; Country X only

SHEET C: METHODOLOGIES / PROTOCOLS LIST (Here, list all methodologies / protocols that support activities described in Sheet A)

Methodology name	Unique Methodology / Protocol Identifier	Applicable methodology version(s)	Date of entry into force of most recent version	Prior versions of the methodology that are credited by the Program (if applicable)	Greenhouse / other gases addressed in methodology	Web link to methodology
Methodological guidance for activities relating to reducing emissions from deforestation and forest degradation and the role of conservation, sustainable management of forests and enhancement of forest carbon stocks in developing countries, decision 4/CP.15 UNFCCC	UNFCCC		2009-2015		CO2, Methane and N2O	https://unfccc.int/resource/docs/2009/cop15/eng/11a01.pdf#page=11
Most recent Intergovernmental Panel on Climate Change guidance and guidelines, as adopted or encouraged by the Conference of the Parties, as appropriate, as a basis for estimating anthropogenic forest-related greenhouse gas emissions by sources and removals by sinks, forest carbon stocks and forest area changes, decision 4/CP.15 UNFCCC	IPCC		2019		CO2, Methane and N2O	https://www.ipcc.ch/report/2019-refinement-to-the-2006-ipcc-guidelines-for-national-greenhouse-gas-inventories/