

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

Application Form for Emissions Units Programs

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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:

Official mailing address:

Telephone #: Official web address:

B. Program Administrator Information

Full name and title:

Employer / Company (if not Program):

E-mail address: Telephone #:

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

Full name and title:

Employer / Company (if not Program):

E-mail address: Telephone #:

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:

The World Bank is the Trustee and Secretariat for the FCPF. The FCPF is managed by the Climate Funds Management Unit of the Climate Change Group in the Sustainable Development Practice Group of the World Bank. Mr. Juergen Voegelé is the Senior Director of the Climate Change Group; and Ms. Laura Tuck is the Vice President of the Sustainable Development Practice Group.

The FCPF is a partnership that administers a capacity-building trust fund (Readiness Fund) and a results-based payment trust fund (Carbon Fund) to address 'Reduced Emissions from Deforestation and Forest Degradation', forest carbon stock conservation, the sustainable management of forests, and the enhancement of forest carbon stocks (REDD+). The FCPF is governed through three governing bodies, the Participants Assembly, the Participants Committee and the Carbon Fund Participants. The Participants Assembly, the highest-level governance body of the FCPF, meets annually, oversees the operation of the partnership and is made-up of representatives from all 64 participants of the FCPF (61 of which are countries), including 47 REDD+ host countries (REDD+ Countries) and 17 financial contributors-. The Participants Committee oversees the operation of the Readiness Fund and includes representatives from 14 REDD+ Countries and 14 financial contributors to the Readiness Fund. The Carbon Fund Participants are representatives of the financial contributors to the Carbon Fund and make decisions on behalf of the Carbon Fund. There are official and unofficial (non-voting) observers to all three governance bodies, including international organizations, non-governmental organizations, (northern and southern) civil society organizations, indigenous peoples and private sector representatives.

PART 2: Program summary

Provide a summary description of your program

The FCPF is a multi-stakeholder partnership focused on providing finance to build REDD+ capacity in countries (Readiness Fund) and makes payments for verified emission reductions (ERs) generated under REDD+ emission reduction programs in countries (Carbon Fund).

The Carbon Fund is a results-based payment trust fund to make payments for verified and transferred ERs to provide long term sustainability in financing forest conservation. The Carbon Fund proposes to issue verified and certified ER units generated under REDD+ ER programs with a portion of verified ERs to be purchased by the World Bank, as trustee of the Carbon Fund, on behalf of Carbon Fund Participants and the remaining ERs to be used by REDD+ Countries to meet their other mitigation commitments, including offset programs such as CORSIA.

The REDD+ ER programs under the Carbon Fund are implemented at sub-national and national scales (in contrast to the REDD+ projects implemented thus far on a small scale). The scale of implementation of REDD+ ER programs is several times of the scale of traditional individual projects. In 2013, the Carbon Fund adopted a Methodological Framework (FCPF MF) setting out a range of requirements for development of sub-national and national REDD+ ER programs under the Carbon Fund in developing countries that have demonstrated readiness under the Readiness Fund to implement REDD+ activities at scale. The FCPF MF sets the basis for the REDD+ ER programs to generate verifiable and certifiable ERs that comply with the FCPF MF on carbon accounting, safeguards, ER title transfer, and double counting.

The validation of REDD+ ER programs under the Carbon Fund is conducted through a Technical Assessment (TA) by an independent Technical Advisory Panel (TAP) comprising members selected from a roster of independent experts, applying auditing practices following a risk-based approach to assess conformity of the REDD+ ER programs with the FCMF MF.

The verification of ERs generated under REDD+ ER programs is expected to be conducted by independent entities accredited for the purpose per the ISO 14065 and ISO 14064-3 following the FCPF Carbon Fund Verification Guidelines.

The FCPF administers a centralized registry and issues *ex post* verified and certified ER units generated under the REDD+ ER programs. The issued units will be assigned unique serial numbers to facilitate their tracking and transfer. A record of issued ER units will be reflected in the FCPF registry and national registries of programs. The FCPF registry has policies and procedures in development to ensure no double-issuance, double-use, double-claiming and double-selling of ERs.

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:

In June 2012, through Resolution PC/12/2012/3, the Participants Committee of the FCPF adopted a set of guiding principles for the development of a methodological framework for the Carbon Fund. In compliance with these guiding principles, a multi-stakeholder working group under the auspices of the Carbon Fund (including the FMT, Carbon Fund Participants, REDD+ Countries and observer groups) developed a single methodology, the FCPF Carbon Fund Methodological Framework (FCPF MF). In December 2013, the FCPF MF was adopted by the Carbon Fund through Resolution CFM/8/2013/1 and was revised in June 2016 through Resolution CFM/14/2016/4.

The Carbon Fund may refine the FCPF MF from time to time through a Carbon Fund resolution approved by Carbon Fund Participants after the first ER-Program Idea Notes and REDD+ ER programs proceed and lessons are learned, or as new guidance on REDD+ is provided by the UNFCCC.

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*)

The latest version of the FCPF MF approved through Resolution CFM/14/2016/4 in June 2016 is available in English, Spanish and French at this link.

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

Guidelines and guidance notes on application of the FCPF MF are approved by the Carbon Fund on a periodic basis. The latest guidelines and guidance notes on the application of FCPF MF is available at the link below.

<https://www.forestcarbonpartnership.org/guidelines-and-templates>

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*”.

3.2. 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? YES
- b) related to the duration and renewal of crediting periods? YES
- c) for unit discounting (*if any*)? 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:

- a) Procedures for ER unit issuance and retirement/cancellation will be developed by the World Bank, acting as trustee of the Carbon Fund, under the FCPF Charter (Section 14.2 (c)). In accordance with this authority, a registry for managing issuance and transfer of verified and certified ERs generated under REDD+ ER programs is being designed.
- b) Procedures related to the duration and renewal of crediting periods will be adopted following the same authority under the FCPF Charter. The term of the Carbon Fund is currently scheduled to terminate on 31 December 2025 (Section 22.1 (b) of the FCPF Charter). In the event of becoming an eligible Program under CORSIA, the Carbon Fund is expected to be extended by the Carbon Fund Participants (Section 23.2 (b) of the FCPF Charter) to allow the Carbon Fund to continue to issue verified and certified ER units generated under its REDD+ ER program portfolio. The renewal of crediting periods under the Carbon Fund is expected to be addressed through the extension of the term.
- c) There is no discounting of ER units in the Carbon Fund although an ER program buffer is maintained to manage uncertainty and reversal risks associated with each REDD+ ER program.

3.4 Identification and Tracking

Does the Program utilize an electronic registry or registries? (*Paragraph 2.4.2*) 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 Carbon Fund plans to use an electronic FCPF registry and proposes to administer its registry. The FCPF registry is in development and is expected to be operational by 30 November 2019. The registry will be made public after it becomes operational.

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

- a) have the capability to designate the ICAO eligibility status of particular units? (*Paragraph 2.4.3*) 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*) YES
- c) identify unit status, including retirement / cancellation, and issuance status? (*Paragraph 2.4.5*) YES
- d) assign unique serial numbers to issued units? (*Paragraphs 2.4 (b) and 2.4.5*) 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*) YES

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

The FCPF registry is in development per the Business Requirements Document adopted for the purpose is capable to designate the ICAO eligible units, identify unit status from issuance, retirement and cancellation, uniquely serialize units, designate a country's origin and vintage and track and transfer of unit ownership from issuance to cancellation/retirement accounts. The registry procedures are expected to ensure traceability, transparency, efficiency, environmental Integrity and compliance requirements.

a) The registry can designate the status of issued ER units associated with FCPF, national agencies and other entities that access the registry.

b) The work flow of registry can track emission reduction units across multiple accounts such as recording, issuance, tradable, retirement, reversal and cancellation accounts.

c) The FCPF registry work flow is capable of identifying units at each stage from recording to retirement and cancellation.

d) The FCPF registry serializes issued ER units to provide identity using a unique alphanumeric code following the data exchange protocol that complies with ITL requirements.

e) The serialization protocol is dynamic to capture a unit's origin in terms of country, sector, year of verification and issuance (vintage) and other features that reflects uniqueness of units recorded in the registry and facilitate issuance of uniquely identifiable units that can be reported, transacted and tracked across accounts.

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

The FCPF registry confirms with the data exchange standard of the International Transaction Log (ITL) under the UNFCCC.

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*) YES

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

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

As part of registry development, FCPF will adopt policies and procedures to enable the Carbon Fund to avoid conflicts of interests in the provision of registry services.

Are provisions in place...

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

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

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

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:

The FCPF registry in development per the Business Requirements Document adopted for the purpose proposes to implement policies and procedures covering the following aspects and comprehensive provisions for compliance with registry security requirements.

- a) Multi-layered screening of requests for registry access and to different registry accounts
- b) Protocols restricting access to registered and verified accounts to registered entities to access accounts based on specific access criteria.
- c) Procedures for periodic audits and reporting of the registry's compliance with security requirements.

3.5 Legal nature and transfer of units

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

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

The Carbon Fund requires REDD+ ER programs to demonstrate their ability to transfer title (i.e. legal and beneficial ownership) to ERs in accordance with the requirements of the FCPF MF. If this ability cannot be demonstrated to the Carbon Fund in full or in part the World Bank, as trustee of the Carbon Fund, may reject the transfer of ERs and payment for all or part of the verified ERs. Under the ERPA itself the Seller will be required to transfer title to ERs to the Carbon Fund. The link to the Note on the Ability of Program Entity to Transfer Title to ERs is presented below.

https://www.forestcarbonpartnership.org/system/files/documents/Transfer+of+Title_1.pdf

The note highlights the procedures to be followed by the REDD+ ER programs to demonstrate its ability to transfer title to ERs to the Carbon Fund; and procedures related to transfer of title for other purposes including CORSIA are proposed to be developed.

3.6 Validation and verification procedures

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

a) validation and verification processes? YES

b) validator and verifier accreditation? YES

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

a) The validation of REDD+ ER programs under the Carbon Fund is organized through a Technical Assessment (TA) conducted by a Technical Advisory Panel (TAP), which applies auditing practices based on a risk-based approach to prioritize the areas perceived high to low risk of material misstatements in that order. The risk-based approach is also implemented by other carbon offset standards such as American Carbon Registry and Climate Action Reserve.

The TA process involves 3 phases. The first phase covers preparation of an assessment plan, proposed agenda for assessment and list of findings based on the review of draft ER Program Document (ER PD) and supporting documentation prior to the country visit. The second phase involves a TAP visit to the ER program area in the relevant REDD+ Country. Based on the findings of the TAP country visit, the REDD+ Country is expected to revise its draft ER PD by responding to issues noted during the TAP country visit and submit an advanced draft ERPD to the TAP for assessment. The TAP prepares an assessment report based on the review of the advanced draft ERPD. If requested by the TAP, the REDD+ Country further modifies the advanced draft ERPD in response to the TAP findings and issues the final ERPD. The third phase includes final assessment based on the final version of ERPD.

The key documents for validation of REDD+ ER programs – FCPF Technical Assessment Guidelines; Emission Reductions Program Document Template; and the TAP Reporting Template are available at this link. <https://www.forestcarbonpartnership.org/guidelines-and-templates>

The verification of ERs generated under the REDD+ ER programs is expected to be carried out per the Verification Guidelines by the independent entities accredited to conduct verifications of ERs under REDD+ ER programs (Independent Reviewer) following standard auditing practices and a risk-based approach. Verifications include assessment of the reported ERs. As part of the first verification, Independent Reviewers are expected to re-assess the baseline (i.e. reference level) to confirm that it is free of material omissions, errors and misstatements and assess any technical corrections (improvements of methods and data) made to the baseline. Verifications are to be conducted in accordance with the procedures of ISO 14064-3.

Verifications under the FCPF will include two phases - desk review of documentation and a country visit of Independent Reviewer following a verification and sampling plan. Upon completion of verification, the Independent Reviewer is expected to issue a list of findings to be addressed by the ER program participants and to revise the ER Monitoring Report. The Independent Reviewer will prepare a draft Verification Report that will be subject to a Technical Review, upon which, Independent Reviewer will issue a final Verification Report.

All requirements related to verification are presented in the Verification Guidelines to be made public by 30 September 2019.

b) Validations of REDD+ ER programs are conducted by the Technical Advisory Panel (TAP) that conducts Technical Assessment with reference to the FCPF MF under the oversight of the FCPF Facility Management Team (FMT). The TAP includes 4-5 independent experts identified from a roster of experts with appropriate experience, competencies and cross-disciplinary expertise covering national policies, carbon accounting, safeguards, legal and remote sensing aspects to assess different components of a REDD+ ER program. TAP members are selected by the FMT based on their competences and absence of conflict of interest, and their services are governed by World Bank contractual standards and conditions.

Verifications of ERs are conducted by Independent Reviewers who, according to the draft Verification Guidelines, “shall be accredited under ISO 14065 for scope ISO 14064-2, specifically for Land Use and Forestry and the FCPF Carbon Fund, by an accreditation body that is a member of the International Accreditation Forum”.

Independent Reviewers are also required to have specific technical competences that enable them to conduct verifications of large-scale jurisdictional REDD Programs. According to the draft Verification Guidelines “the verification team collectively shall have the skills and competences - expertise in forests in REDD+ Countries; expertise in carbon accounting; AND expertise in jurisdictional assessments”.

Consultations are underway with American National Standard Institute (ANSI) to be the first Accredited Body to provide accreditation services for verifications under the FCPF Carbon Fund.

Independent Reviewers, upon completion of the requirements, will have to be approved by the FCPF Participants Committee in accordance to the FCPF Charter

<http://www.forestcarbonpartnership.org/system/files/documents/FCPF%20Charter%20-%2011-23-15%20clean.pdf#page=11>

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*)

Provide evidence that this information is available to the public:

YES

The Carbon Fund of the FCPF is administered by the World Bank on behalf of the Carbon Fund Participants; in its capacity as Facility Management Team of the FCPF and as trustee of the Carbon Fund. The Charter, Procedures, resolutions, program and meeting documents of the Carbon Fund and Readiness Fund, are publicly disclosed for transparency and knowledge sharing at this link: www.forestcarbonpartnership.com

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

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

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?

YES

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

a) The FCPF was launched at the UNFCCC Conference of the Parties (COP) in December 2007 in Bali and has been operational since then. The information on the meetings of the FCPF Participant Assembly and Participant Committee; and the Carbon Fund is available here:

<https://www.forestcarbonpartnership.org/meetings-0> and resolutions adopted are available at the link here.

<https://www.forestcarbonpartnership.org/resolutions>

b) Section 22.1 (b) of the FCPF Charter specifies that the Carbon Fund Participants may extend the Carbon Fund prior to 31 December 2025, the currently scheduled end of the term of the Carbon Fund in the FCPF Charter.

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*)

YES

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

YES

Summarize and provide evidence of the relevant policies and procedures:

The FCPF Charter presents the policies and procedures for addressing conflicts of interest of the Participants Committee of the Readiness Fund and Carbon Fund Participants of the Carbon Fund (board members and management). Section 11.6 of the FCPF Charter specifies procedures for disclosing the conflicts of interest of the Participant Committee; and Section 8.3 of the FCPF Charter specifies procedures to disclose the conflicts of interests of the Carbon Fund Participants to the FMT and their recusal from the decisions of the Readiness Fund and Carbon Fund, respectively.

The World Bank in its role as FMT manages the FCPF a trust fund of the World Bank; and in its capacity as trustee of the Carbon Fund manages the day-to-day operations of the Carbon Fund. The World Bank Operational Policy (OP) 14.40 specifies policy, administration, implementation, reporting, auditing, and evaluation and conflicts of interest relating to management of trust funds. The Paragraph 3(c) of OP 14.40 clarifies the responsibilities, risks and management of conflicts of interest of a trust fund. OP 14.40 is available at this link.

<https://ispan.worldbank.org/sites/ppf3/PPFDocuments/090224b08231c123.pdf>

The World Bank Procedure 14.40 sets out the requirements related to the independent evaluation of trust funds (paragraph 19) available at this link.

<https://ispan.worldbank.org/sites/ppf3/PPFDocuments/090224b082fb3261.pdf>

The conduct of the FMT and World Bank operational units are also covered by the Bank staff accountability mechanisms – namely the Ethics and Business Conduct and Integrity units.

Under Staff Rule 3.0 adopted in 2009, the **Ethics and Business Conduct Vice Presidency (EBC)** commits to integrity, impartiality and independence of the World Bank work. EBC promotes the development and application of the highest ethical standards by staff members in the performance of their duties. The Chief Ethics Officer reports directly to the President of the WBG in close coordination with the WBG's Managing Director and Chief Administrative Officer. The procedures of the EBC are available at this link.

https://www.worldbank.org/en/about/unit/ethics_and_business_conduct

The **Integrity Vice Presidency (INT)** is an independent unit within the World Bank Group that investigates and pursues sanctions related to allegations of fraud and corruption in World Bank Group-financed operations. The INT supports business units of the World Bank Group and external stakeholders to mitigate fraud and corruption risks and provides guidance to business processes and fiduciary controls to ensure the integrity of World Bank operations. The procedures of the Inspection Panel are available at this link.

<http://www.worldbank.org/en/about/unit/integrity-vice-presidency>

Additionally, the trust fund management units associated with the management of FCPF, and the Global Practice units that assist countries in preparing and implementing FCPF programs are organized under separate reporting and accountability structures of the World Bank to ensure clear separation of the trustee roles from the operational roles.

The members of the governance bodies of the FCPF (the equivalent of board members) are expected to comply with the Conflicts of Interest clauses of the FCPF Charter for Carbon Fund Participants (Section 8.3) and for the Participants Committee (Section 11.6).

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

Provide evidence of such coverage:

The World Bank is the Trustee of the Carbon Fund of the FCPF and has aggregate professional liability insurance coverage exceeding USD 5 million.

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? YES

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

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

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

a) FCPF has transparent processes at the fund level and at a REDD+ ER program level on access to information.

i) One of the objectives of the FCPF is knowledge dissemination (Section 2.1 (d) of the FCPF Charter) and the information shared through the FCPF website: <https://www.forestcarbonpartnership.org/>

ii) FCPF has Disclosure Requirements for documents under the Readiness Fund and the Carbon Fund. These are available on the website at the following links.

<https://www.forestcarbonpartnership.org/sites/fcp/files/Documents/PDF/Aug2012/Attachment%203%20Disclosure%20Guidance%208-9-2012.pdf> and

https://www.forestcarbonpartnership.org/sites/fcp/files/2016/May/CF14%20a%20Disclosure%20Guidance%20for%20the%20Carbon%20Fund_rev_Jun%202016.pdf

iii) At the program level, the Carbon Fund requires that a Readiness Package Assessment be endorsed by the FCPF Participants Committee prior to submission of an Emission Reductions Program Document (ERPD) to the Carbon Fund. The Readiness Assessment includes a national multi-stakeholder self-assessment performed by the REDD Country Participants. The Readiness Package Assessment Framework adopted by the Participants Committee is available at this link.

<https://www.forestcarbonpartnership.org/sites/fcp/files/Final%20Resolution%201%20R-Package%20Assessment%20Framework.pdf>.

iv) Safeguard Plans are required for each REDD+ ER program as per the requirements of Sections 4 and 5 of the FCPF MF and World Bank operational policies.

b) Local stakeholder consultations are integral to the sustainable program design, and compliance with social and environmental safeguards and benefit sharing mechanism are requirements of the FCPF MF that need to be complied by all FCPF REDD+ ER programs.

c) Public comment provisions - During the Technical Assessment of REDD+ ER programs, the advanced draft ERPD as well as the final ERPD is made publicly available. Individual REDD+ Countries and ER programs may have their own public comment provisions. The REDD+ ER programs are approved at the CF meeting taking into consideration the findings of TAP in the Technical Assessment report relating to validation of the REDD+ ER programs. Observers to the Carbon Fund, including representatives of northern CSOs and Southern CSOs, Indigenous Peoples, private sector, UNFCCC, UN-REDD and an International Organizations represented at the Carbon fund meeting, may also provide comments.

Does the Program conduct public comment periods?

YES

Provide evidence of the relevant policies and procedures:

FCPF REDD+ ER programs are expected to seek public comments and feedback throughout the program design and implementation and should have operational feedback and grievance redress mechanism (FGRM). The programs may organize public consultations to disseminate information and seek comments. Should there be any concern or grievance with the REDD+ ER program implementation, the FGRM would be available to respond.

3.9 Safeguards system

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

YES

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

REDD+ ER programs under the Carbon Fund need to comply with the World Bank's Operational Policies and Procedures (Section 3.1 (d) of the FCPF Charter), which include the World Bank's environmental and social safeguards requirements, with broad and systematic coverage of environmental and social risks associated with the REDD+ ER programs.

REDD+ ER programs are subject to the World Bank's new Environmental and Social Framework (ESF). The ESF is available to the public at this link.

<https://www.worldbank.org/en/projects-operations/environmental-and-social-framework>

The Environmental and Social Framework seeks to ensure that the people and the environment are protected from potential adverse impacts through policies that identify, avoid, and minimize harm to people and the environment. The REDD+ countries are expected to address environmental and social risks to ensure compliance with the FCPF MF (Criterion 24).

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*)

YES

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

The FCPF MF, as part of the sustainable program design and implementation, requires that REDD+ ER programs contribute to broader sustainable development. This could include, but is not limited to, improving local livelihoods, building transparent and effective forest governance structures, making progress on securing land tenure and enhancing or maintaining biodiversity and/or other ecosystem services as part of non-carbon benefits. The REDD+ ER Programs are expected to monitor and report on the non-carbon benefits as feasible, taking note of existing and emerging guidance on monitoring of non-carbon benefits by the UNFCCC, CBD, and other relevant platforms.

FCPF is managed as part of the Climate Change Group within the Sustainable Development Practice Group of the World Bank. The programs implemented by World Bank are expected to screen for climate and disaster risks using the Climate and Disaster Risk Screening Tools to help understand short- and long-term climate and disaster risks at an early stage of project design. The tools are intended to inform the need for further consultations, dialogue with local and other experts and analytical work at the project location to strengthen resilience measures in project design.

Additionally, the programs implemented by the World Bank are reviewed on their contribution to sustainable development goals.

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*)

Not Applicable. The FCPF Methodological Framework requires programs to conduct uncertainty assessments and deduct a portion of the generated and verified emission reductions under the REDD+ ER program as uncertainty buffer prior to issuance. The conservative approach to baseline with average annual historical baseline and buffer to account for uncertainty in emission reduction estimation minimizes the over-issuance risk.

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

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

Additionality under the FCPF is factored into the use of a conservative baseline (Reference Level) of GHG emissions and removals for the whole jurisdiction(s) covered by an ER program. FCPF ER Programs cover large jurisdictions between 1.6 and 29.4 million hectares and account for all GHG emissions and removals within the area. Hence, additionality is demonstrated through use of a conservative baseline (Reference level).

Criteria for baseline-setting (Reference Level) are laid out in the Carbon Fund Methodological Framework (section 3, Carbon Accounting) and is a key element of the Carbon Fund Methodological Framework and is assessed by a Technical Advisory Panel (TAP) as part of validation prior to selection of an ER program into the portfolio of the Carbon Fund.

At verification, an accredited entity (Independent Reviewer) will assess the reported GHG emissions and removals against the baseline to verify that the baseline is free of material omissions, errors or misstatements and to assess any technical corrections made to the Reference level to address data gaps and to apply improved methods to minimize uncertainty of the baseline. The verification process adopted by FCPF ensures the confirmation of additionality of the ERs generated by the REDD+ ER program.

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*) YES

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:

The FCPF MF follows the Warsaw Framework for REDD+ of the UNFCCC in relation to the establishment of baseline (reference level). In accordance with these decisions, reference levels are expressed as tonnes of CO2 equivalent per year for a reference period and thus, reference levels serve as benchmarks for assessing each country's performance in implementing REDD+ activities. The use of benchmarks is consistent with item d of criteria 2.1.2 on additionality tests of Appendix A - supplementary information) for REDD+ ER Programs.

The FCPF MF further clarifies Additionality in the Context and Rationale part of section 3.3 on Reference Levels, which states "Additionality in primarily is addressed through conservative approaches to setting Reference Level (e.g. including existing and clearly funded programs or activities within the Reference Level), rather than through additionality tests often utilized by project-level initiatives, which have proved difficult to operationalize".

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*) YES

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

FCPF utilizes conservative baseline-setting following the requirements of Section 3 of the FCPF MF to demonstrate additionality, which are assessed by the Technical Advisory Panel (TAP) to ensure conformity with the FCPF MF.

The FCPF MF requires the establishment of a conservative reference level that represents what would have occurred in the absence of the program by estimating average annual emissions over a reference period. The second step involves implementation of ‘new or enhanced actions, measures, policy interventions or projects. This ensures that the REDD+ ER program implements new actions that will address the drivers of deforestation and go beyond existing activities. The integrated approach of the FCPF MF to additionality of jurisdictional REDD+ programs is consistent with the provisions of UNFCCC Warsaw Framework for REDD+ and meets the requirements of automatic additionality.

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*)

Section 2 of the FCPF MF requires that REDD+ ER Programs are ambitious, implemented at a jurisdictional scale or programmatic scale and demonstrate the potential the implementation of national REDD+ strategy; and provides assurance that mitigation would not have occurred in the absence of a program implemented through the Carbon Fund.

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*) YES

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

Section 3 of the FCPF MF on Carbon Accounting defines the requirements for baseline (reference level) for emission reduction programs, which publicly disclose information on baseline (reference level) and is assessed by a Technical Advisory Panel as part of REDD+ ER program validation.

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*) YES

Summarize and provide evidence of the relevant policies and procedures:

Section 3 of the FCPF MF on Carbon Accounting clarifies requirements for establishing baselines. Baselines must be based on historical data over a 10 to 15-year period, they must be conservative (e.g. the case of a downward trend must be considered, upward trend is accepted under very restrictive conditions) and they are IPCC compliant. This avoids overestimation of the impact of mitigation interventions.

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*) YES

Summarize and provide evidence of the relevant policies and procedures:

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*) YES

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

c) results of validation and verification are made publicly available? (*Paragraph 3.3.2*) 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? (*Paragraph 3.3*) YES

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

- a) Accurate measurements and valid quantification methods/protocols are covered by Section 3 of the FCPF MF.
- b) Validation of the REDD+ ER program occurs prior to verification. During verification, a re-validation of the baseline is conducted if there are corrections to the baseline (reference level) to confirm that there are no material errors, omissions or misstatements in the baseline.
- c) Technical Assessment Reports (validation) and verification reports are publicly available and uploaded in the Country website: <https://www.forestcarbonpartnership.org/countries>
- d) Intervals are defined as Reporting Periods. The FCPF MF requires that monitoring and reporting occurs at least twice during a minimum 5-year crediting period. Requirements for defining the Reporting Period is provided at this link.
https://www.forestcarbonpartnership.org/system/files/documents/FCPF%20Guidance%20document%20on%20the%20Methodological%20Framework%20number%203_ToCFPs.pdf
- e) Mitigation is verified by an accredited and independent third-party verification entity (Independent Reviewer, the details of verification process are clarified in the Section 3.6 of this form)
- f) The implementation of verification guidelines and registry ensures that ex-post verification of mitigation is undertaken prior to issuance of ER units.

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? YES

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

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

Summarize and provide evidence of the relevant policies and procedures:

a) For validation, TAP members are selected by the Facility Management Team (FMT) of the FCPF based on their competences and confirmation of their absence of Conflicts of Interest. The TAP services are governed by the terms of reference and conditions of the contract for the TAP process.

For verification, the Verification Guidelines require Independent Reviewers to abide by the requirements on impartiality set out in the ISO 14065.

b) To be contracted for validation, TAP members must disclose any conflict of interest. For verification, the Verification Guidelines require that Independent Reviewers disclose their conflict of interest prior to signing the contract.

c) For validation, the FMT does not contract TAP members if they disclose any conflict of interest. For verification, Independent Reviewers are required to comply with the requirements on impartiality set out in ISO14065.

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)

Summarize and provide evidence of the relevant policies and procedures:

The first crediting period of FCPF Carbon Fund is expected to be until the end of 2024. The Carbon Fund Participants are expected to make decisions on the extension of the fund, which is expected to also include procedures for renewal of crediting period.

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) YES

Provide evidence of the relevant policies and procedures:

Not applicable as FCPF Carbon Fund does not issue units *ex-ante*.

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:

REDD+ ER programs under the FCPF generate ERs that result from activities implemented in the forestry sector. Therefore, there is a potential risk of reversal, mainly in carbon sequestration activities.

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

Any reversal occurring in REDD+ ER programs under the FCPF require a response. According to the FCPF MF (Indicator 21.2), REDD+ ER programs must report to the FCPF on the occurrence of any reversal within 90 calendar days after becoming aware of any reversed emission reductions. In the case of occurrence of a reversal, this will be compensated by the established buffer.

The ER Program Buffer Guidelines require a program-based 'Reversal Buffer' to insure against potential reversals under a given REDD+ ER program; and a program portfolio-based 'Pooled Reversal Buffer' to insure against potential catastrophic/large-scale reversals which exceed the amount of Buffer ERs set aside in the Reversal Buffer.

For sector/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) YES
- b) monitor identified risks of reversals? (Paragraph 3.5.3) YES
- c) mitigate identified risks of reversals? (Paragraph 3.5.3) YES
- 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) YES

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

Accounting for reversals is covered under the FCPF MF (Section 3.6). In the event that a REDD+ Country opts to adopt a Reversal Management Mechanism that is different from the FCPF's ER Program Buffer, REDD+ ER programs are required to set up a mechanism substantially equivalent to the reversal risk mitigation assurance provided by the ER Program Buffer Guidelines, which are available at this link: <https://www.forestcarbonpartnership.org/sites/fcp/files/2015/December/FCPF%20ER%20Program%20Buffer%20Guidelines.pdf>.

The REDD+ ER programs presented to the Carbon Fund have so far all confirmed the use of the Carbon Fund's reversal management mechanism referred in the FCPF MF (i.e. the ER Program Buffer), as specified in the ER Program Buffer Guidelines.

- a) Per Section 6 of the ER Program Buffer Guidelines, the programs are expected to undertake a reversal risk assessment using a Reversal Risk Assessment Tool to assess reversal risk for each of the Risk Factors listed in Table 2, section 6.4 of the ER Program Buffer Guidelines to set aside the Reversal Buffer for each program. The reversal buffer could range between 10% and 40% of the verified and contracted emission reductions depending on the level of risk.
- b) The REDD+ ER programs are expected to monitor the risk factors listed in Table 2, section 6 of the ER Program Buffer Guidelines.
- c) Per Criterion 18 of the FCPF MF, REDD+ ER programs are expected to consider the identified risks in the program design and implement interventions to mitigate the impact of identified risks.
- d) Section 9 of the ER Program Buffer Guidelines presents the procedure to be followed for compensating the reversals using the reversal buffer and pooled reversal buffer.

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

a) confer liability on the activity proponent to monitor, mitigate, and respond to reversals in a manner mandated in the Program procedures? YES

b) require activity proponents, upon being made aware of a material reversal event, to notify the Program within a specified number of days? YES

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?

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

The procedures related to a) through c) are covered in the section 3.6 of the FCPF MF; and the sections 6, 9, 10 and 11 of the ER Program Buffer Guidelines.

b) The REDD+ ER programs should report “to the Carbon Fund within 90 calendar days after becoming aware of any emissions in the Accounting Area or changes in ER Program circumstances that, in the reasonable opinion of the ER Program, could lead to Reversals of previously transferred ERs by the next Monitoring event”.

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*) YES

Summarize and provide evidence of the relevant policies and procedures:

The ER units in the buffer are part of the REDD+ ER program’s verified ERs. The reversal risk management policies and procedures of FCPF are capable of compensating material risks with the implementation of ER Program Buffer Guidelines and ensure meeting the obligations of the REDD+ ER program ER units used as offsets under the CORSIA.

Additionally, FCPF MF includes a requirement for a robust Reversal management mechanism to address the risk of reversal after the end of the first crediting period (Criterion 20)

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*) 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:

REDD+ activities of the forestry sector supported under the REDD+ ER program can have potential risk of leakage.

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*)

Summarize and provide evidence of the relevant policies and procedures:

YES

Section 3.5 of the FCPF MF requires that REDD+ ER programs should be designed to reduce the risk of leakage, e.g., by maintaining the same level of production of commodities under the REDD+ ER program that occurred prior to the Program, and by introducing and supporting alternative sustainable livelihoods in the ER Program.

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*) YES

Summarize and provide evidence of the relevant policies and procedures:

The FCPF MF requires REDD+ ER programs are to be designed and implemented at sub-national and national scales to minimize potential leakage.

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

Summarize and provide evidence of the relevant policies and procedures:

Leakage associated with projects (which are very small fractions of large-scale programs) could be attributable to the shifts in activities outside project boundaries. However, it is not feasible or practicable to attribute displacement of emissions resulting from REDD activities from large sub-national jurisdictions of the REDD+ ER programs under the FCPF that range between 1.6 and 29.4 million ha (average size of 9.2 million hectares) covering a range of large jurisdictions or ecoregions. Hence, leakage from jurisdictions of large-scale is difficult to monitor in practice. To ensure that leakage from REDD+ ER program jurisdictions is not a risk, the FCPF MF requires the REDD+ ER programs to include leakage mitigation measures in the program design (Section 3.5).

The World Bank's environmental and social safeguards requirements that go beyond the Cancun safeguards also ensure that measures to address leakage risk are in place as part of the program design and monitoring of the implementation of Environmental and Social Framework to actively address the risk of leakage or displacement of activities outside the program area. For these reasons, the FCPF MF requires that the design of REDD+ ER programs include measures against leakage/displacement without the need for active monitoring as the implementation of safeguards is expected to identify and address the leakage risk on a continuous basis. For these reasons, the FCPF MF considers that good program design addresses the leakage/displacement risk as it is infeasible to attribute the leakage associated with sub-national ER programs.

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*) YES

Summarize and provide evidence of the relevant policies and procedures:

Per the FCPF MF, it is not feasible to attribute the leakage associated with sub-national programs. Therefore, no procedures for deduction of emission reductions for leakage have been adopted by the FCPF MF.

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*) YES

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

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

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

FCPF Registry design and issuance procedures to be adopted are expected to avoid the risk of double issuance.

double-use and double-selling as the tracking of units across the various accounts ensures that ERs verified, recorded and issued are not re-issued, used again by any entity again for purposes other than those specified.

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*? YES

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

Summarize and provide evidence of any relevant policies and procedures:

The section 6.2 of FCPF MF on data management and ER transaction registries requires provisions in place to offer assurance against double counting and provide transparency that there is no double claiming of the ERs. The FCPF Registry is expected implement procedures that require national registries linked with FCPF registry and accounting procedures for issued ER units are adopted to prevent the risk of double claiming of emission reduction. The FCPF MF

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*:

The FCPF registry is in development and it is expected to be operational by 30 November 2019.

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 (*Paragraph 3.7.10*) YES
- b) update information pertaining to host country attestation as often as necessary to avoid double-claiming? (*Paragraph 3.7.10*) YES
- c) monitor for double-claiming by relevant government agency(ies) that otherwise attested to their intention to not double-claim the mitigation? (*Paragraph 3.7.11*) YES
- d) report to ICAO's relevant bodies, as requested, performance information related to, *inter alia*, 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? (*Paragraph 3.7.12*) YES
- 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? (*Paragraph 3.7.13*) YES

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

I think we should refer to the Methodological Framework and the General Conditions – there are plenty of requirements on double counting in those two documents.

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*:

The FCPF registry is expected to adopt procedures to avoid double-claiming of ER units.

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? (*Paragraph 3.8*) YES

Summarize and provide evidence of the relevant policies and procedures:

FCPF procedures and requirements of the FCPF MF specified as criteria and indicators (e.g. indicators 28.1, 33.1, 36.1, 36.2) ensure that the REDD+ ER program is designed and implemented in compliance with the national laws and regulation.

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

All programs implemented through the FCPF are required to comply with the World Bank's environmental and social safeguards requirements. All REDD+ ER programs are required to report on their compliance with such requirements and monitor their implementation. To address grievances of stakeholders, REDD+ ER programs are required to operationalize Feedback and Grievance Redress Mechanisms (FGRM) to address grievances in relation to the REDD+ ER program implementation and compliance with the World Bank's environmental and social safeguards requirements.

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*)

FCPF follows the requirements of World Bank Policy on Access to Information on public disclosure of safeguards documents and will disclose documentation relating to the environmental and social risks prior to project appraisal. The objectives and contents of documents, their rationale, arrangements for preparation and implementation are clarified and the details and timing of documents expected to be set out in the Safeguards Plan measures required for all REDD+ ER programs to meet the World Bank's environmental and social safeguards requirements over a specified timeframe and consult with relevant stakeholder. In addition, FCPF Carbon Fund Guidance on Disclosure of Information clarifies the documentation to be disclosed, entity responsible for dissemination, medium and time of disclosure and is available at this link.

https://www.forestcarbonpartnership.org/system/files/documents/CF14%20a%20Disclosure%20Guidance%20for%20the%20Carbon%20Fund_rev_Jun%202016.pdf

PART 5: Program comments

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

REDD+ ER programs supported by the Carbon Fund are designed and implemented over sub-national and national jurisdictions involving large numbers of stakeholders and contributing multiple sustainable development benefits beyond climate change mitigation. The FCPF website provides more information on the REDD+ ER programs than what is presented in this application and can be accessed at this link.
<https://www.forestcarbonpartnership.org/>

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.

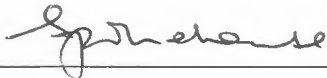
Signed:

SIMON WHITEHOUSE

11 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

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