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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

Views on experiences and lessons learned from the development of systems for providing information on how all the safeguards are being addressed and respected and the challenges faced in developing such systems

Submissions from developing country Parties

Addendum

1. In addition to the six submissions contained in document FCCC/SBSTA/2014/MISC.6, one further submission was received on 25 November 2014 from Indonesia.
2. In accordance with the procedure for miscellaneous documents, this submission is attached and reproduced* in the language in which it was received and without formal editing.¹

* This submission has been electronically imported in order to make it available on electronic systems, including the World Wide Web. The secretariat has made every effort to ensure the correct reproduction of the text as submitted.

¹ Also available at

<<http://www4.unfccc.int/submissions/SitePages/sessions.aspx?showOnlyCurrentCalls=1&populateData=1&expectedsubmissionfrom=Parties&focalBodies=SBSTA>>.

FCCC/SBSTA/2014/MISC.6/Add.1

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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 (REDD+) in developing countries (issues relating to safeguards)

BACKGROUND

Subsidiary Body for Scientific and Technological Advice at thirty-eighth session invited:

1. developing country Parties to submit to the secretariat, by 24 September 2014, their views on experiences and lessons learned from their development of systems for providing information on how all the safeguards are being addressed and respected and the challenges they face in developing such systems,
2. parties and admitted observer organizations to submit to the secretariat, by 24 September 2014, their views on the type of information from systems for providing information on how the safeguards are being addressed and respected that would be helpful and that may be provided by developing country Parties.

I. Experiences, lessons learned, and challenges in the development of Safeguards Information System (SIS)-REDD+ and National Safeguards System for REDD+ (PRISAI)

A. Safeguards Information System (SIS)-REDD+

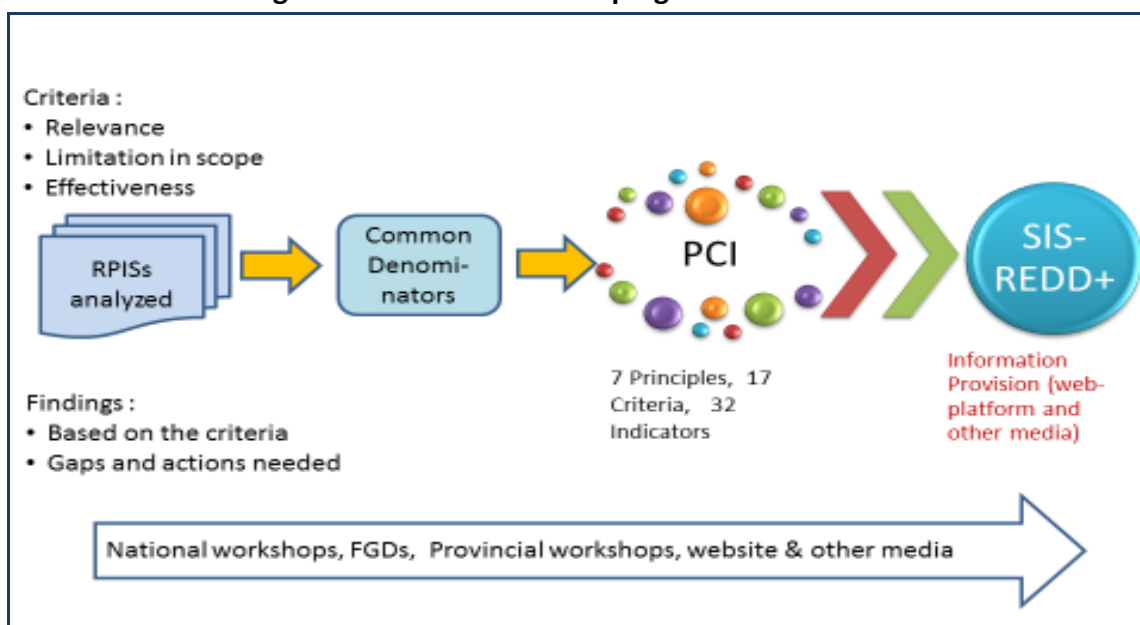
Indonesia started the development process of SIS-REDD+ in early 2011, by translating the seven REDD+ safeguards from COP16 Decision, into the national context. During the translation process, it became clear that REDD+ safeguards are nothing new for Indonesian sustainable forest management. Indonesia, through Ministry of Forestry embarked on a multi-stakeholder process to assess and analyze various existing mandatory and voluntary policies and regulations. The criteria used in the assessment were:

- a. **Relevance** to COP-16 safeguards for REDD+ activities, particularly on technical feasibility/implementability; potential of effectiveness under ideal conditions; current practices relating to implementation and effectiveness;
- b. **Limitations in scope** of instruments; and
- c. **Effectiveness** of instruments at different scales and contexts.

The SIS-REDD+ Indonesia was designed using the following principles: simplicity, completeness, accessibility, and accountability. The assessment and analysis process of the existing instruments, which resulted in the initial Principles, Criteria and Indicators (PCI) framework, was conducted through the following steps:

1. Identifying and prioritizing elements contained in existing instruments relevant to safeguards as defined by the COP-16 Decision;
2. Identifying clusters of elements or "common denominators";
3. Linking the emerging element clusters to safeguards in COP16 Decision; and
4. Mapping elements into a Principles, Criteria and Indicators (PCI) framework and referencing back the PCI to the original instruments.

Figure 1 : Process of developing PCI for SIS-REDD+



The 7 Principles, 17 Criteria, and 32 Indicators were further interpreted and translated into concrete practical assessment tools to assess the conformity of safeguards implementation with the PCI. These assessment tools systematically guide REDD+ implementers to do self-assessment and so provide information of REDD+ safeguards implementation based on the PCI, and so facilitate implementers' active participation in the SIS-REDD+.

The development of PCI through translating the Cancun safeguards into the Indonesian national context was done in parallel with the process of developing the safeguards information system, institutional arrangements and information flow for SIS-REDD+.

The institutional arrangement for the SIS-REDD+ was designed based on institutional structures of the autonomous governance system (from sub national to national level), operating through phased-based approach, while maintaining consistency with the COP-guidance for SIS-REDD+. The institutional arrangement clearly determines the task, function, and responsibilities of government institutions and other actors involved at national and sub-national levels.

Indonesia's experiences have shown that the development of SIS-REDD+ has provided a valuable opportunity to understand the progress of REDD+ implementation in the country, to identify obstacles early on, and to explore possibilities for improvement in the future. Development of SIS-REDD+, including formulation of PCI for SIS-REDD+ and tools to assess safeguards implementation based on the existing system, taking into account policy and other relevant instruments, as well as setting institutional arrangements and information flow for SIS, were proven to be valuable means for capacity building through "learning by doing" processes.

A country-led development of the system through multi-stakeholder processes, supported by relevant experts and, in collaboration with international partners, has proven to be an effective and acceptable approach for broader groups of REDD+ actors in Indonesia. The involvement of multi-stakeholders in the iterative process of SIS development promotes transparency and participation and increases the confidence of the diverse actors. It is crucial to involve multi-stakeholders from the beginning of system development up to operationalization, even though it may demand for significant time, commitment, and resources. Such an involvement will create a sense of ownership and acceptance, and ensure that the outputs fit within the national and sub-national contexts and can be applied effectively.

Indonesia learned that a web-based SIS-REDD+ can be one of possible, effective and appropriate media for providing information on REDD+ safeguards implementation. Following the formulation of PCI, safeguards implementation assessment tools, and setting up the institutional arrangement and information flow to SIS-REDD+, Indonesia has taken a further step and developed a web-based SIS-REDD+ or "a SIS-REDD+ web platform", which is currently available in Bahasa Indonesia version (www.sisredd.dephut.go.id). The English version will later be available. The establishment of the web platform marked the start of operationalization of the early version of SIS-REDD+ Indonesia. The web-platform consists of two parts, namely: a SIS-REDD+ database to collect, compile and manage the data and information on REDD+ safeguards implementation, provided by REDD+ activities in the country; and a SIS-REDD+ web platform for displaying the information on safeguards implementation. The early version of SIS-REDD+ and its web-platform were designed in such a way to allow improvement overtime whenever needed and more resources available.

Similar to the phased approaches applied for REDD+, the development of SIS-REDD+ also uses a stepwise process in the assessment on how the Cancun safeguards are addressed and respected in REDD+ implementation in Indonesia. The current early version of SIS-REDD+ and its web-platform

for example, as well as the existing assessment tools for REDD+ implementers were designed in such way to allow improvements whenever needed or more resources become available in the future, for instance, for REDD+ implementation which involve payment for result-based actions. Therefore, in the current early stage of SIS-REDD+ operationalization, two approaches are used : (a) At the national level SIS-REDD+, REDD+ pilot project/activities implementers report directly to the national SIS-REDD+ data management unit (Ministry of Environment and Forestry), using a “self-assessment approach to safeguards implementation” (b) At the sub-national level, Indonesia has just started to exercise and test the SIS-REDD+ mechanism in two provinces (Jambi Province and East Kalimantan Province), to see the possibility to link the system at the national level to existing forest-related information systems in the two provinces.

The following are the experiences and lessons learned from SIS-REDD+ development and operationalization in Indonesia:

National level:

- The availability of safeguards related information in forestry sector varies according to the nature of safeguards, principles and levels of implementation. For example, social safeguards are more available at the site or local level than governance safeguards.
- Different actors hold different responsibilities in ensuring that certain kinds of safeguards are in place. While REDD+ implementers are responsible in implementing social and environmental safeguards, their adherence to governance safeguards is determined by the policy frameworks established by other actors, such as the national and sub-national governments.
- The status of SIS-REDD+ and its management institutions should be established formally and legally, with a strong umbrella regulation, to provide the authority of the bodies to collect data and ensure that sufficient resources and infrastructure will be made available.
- SIS-REDD+ can be used to bridge safeguards interest at the international level with the local/national level by internalizing global guidance in existing systems and mechanisms in Indonesia. SIS-REDD+ can also use the existing processes in Indonesia to boost the negotiation and implementation at international level.
- Global institutions and donors that have or are currently developing their own safeguards frameworks would benefit from aligning them with those developed by REDD+ countries to ease implementation. Such international frameworks should also be relatively general to accommodate the wide differences of contexts and conditions between REDD+ implementing countries.

- SIS-REDD+ as a systematic framework to collect and provide information has the potential to assist other frameworks, in gathering the documents and data that they need, thereby boosting efficiency.

Sub national level:

- A formal institution is necessary to serve as a permanent role as SIS-REDD+ manager at sub national levels to ensure clear distribution of responsibilities and the sustainability of information system. The formal institution does not need to be a new institution, but could utilize existing agencies and strengthen their capacity.
- Human resources capacity and infrastructure vary widely at sub-national levels, and in general should be improved to allow effective data collection and reporting. This applies both for the data managers at the sub-national level, who are responsible to consolidate and verify data, as well as REDD+ implementers at site level, who are expected to supply the information and necessary documents.

Along with the operationalization of the early version of SIS-REDD+, keeping the system operational will be very challenging. Managing the data-base and the web-platform of SIS-REDD+ will require passion, dedication and sufficient resources including human resources. In particular with regard to operationalization at the sub national level (province/district), the challenge will be also to strengthen capacities and to ensure commitment of assigned responsible local institutions.

B. National Safeguards System for REDD+ (PRISAI)

Parallel to the development of SIS-REDD+, the Government of Indonesia, through REDD+ Task Force, has developed a jurisdiction and project-based safeguards as an early initiative to form a national REDD+ safeguards mechanism, known as **PRISAI (Prinsip Kriteria, Indikator Safeguards Indonesia)**. It has been consulted through series of public consultations, FGDs and informal discussions in many forum. All of the public inputs have been considered properly. Each draft, from the first version, 0.1 to 3.1, has been circulated back to the stakeholders to let them know the status of their input in the draft. Currently, the 3.1 version has been publicly announced in the REDD+ Agency's website: <http://www.reddplus.go.id/pustaka/dokumen/kelembagaan-dan-sistem/instrumen-pendanaan>.

PRISAI is the minimum safeguards framework of REDD+. It was formed for two main purposes:

1. To prevent the implementation of REDD+ from social and environmental risks that may damage the spirit of REDD+ as a mechanism with potential to protect the environment and community.

2. To endorse changes in policies concerning natural resources, specifically forests and peat lands, in order to actualize the principles and execution of good governance, principles of human rights, and the spirit of democracy.

To accomplish the objectives above, PRISAI has two main functions:

1. Its operational function, which encompasses PRISAI’s role as a mechanism to screen or examine proposed REDD+ programs and activities.
2. Its strategic function, specifically PRISAI’s role in providing general reports and recommendations to the REDD+ Agency and general public, related to safeguards and the issues it faces in Indonesia. This is used by the REDD+ Agency as their bases in endorsing both changes and formulation of new policies that either hampers or supports the implementation of safeguards in general, and specifically PRISAI

PRISAI was developed based on national needs and consistent with the Cancun Agreement. Hence the ten principles of PRISAI are also related to the seven safeguards of the Cancun Agreement, which can be observed in table 1.

Table 1: Relationship between the Cancun Agreement and PRISAI

No.	UNFCCC – Cancun Agreement	PRISAI Principles
1.	Consistent with the national forestry program goals	– Complements or consistent with the emission reduction target, the related conventions and international agreements
2.	Transparent and effective forestry governance	– Verifies the status of rights to land and territory – Improve forestry governance – Guarantess transparent, accountable and institutionalized information
3.	Respect indigenous and local peoples’ knowledge and rights	– Respect and empower indigenous and local peoples’ knowledge and rights – Benefits from REDD+ are fairly distributed to all relevant right holders and stakeholders.
4.	Full participation of stakeholders	– Full and effective participation of stakeholders and consideration of gender equality

5. Consistent with forest conservation	– Strengthen natural forest conservation, biodiversity, ecosystem service
6. Prevent risk of reversals	– Action to manage risk of reversals
7. Action to reduce displacement of emissions	– Action to reduce displacement of emissions

Guidelines and Instruments

The implementation of PRISAI will be aided by implementation guidelines. These guides will result in certain instruments. In brief, an instrument is a proposed mechanism to guarantee PRISAI indicators are achievable. For instance, Free Prior Informed Consent (FPIC) is an instrument that will be applied to ensure the community takes part in deciding whether or not any proposed development activities are accepted. Additionally, instruments are also used to measure how far an indicator has been achieved in terms of concrete action. PRISAI develops its own or refers to existing instruments to ensure indicators are met.

In addition to PRISAI, a variety of instruments, standards and other safeguards have also been developed, whether by legal mandate or voluntarily, for social and environmental assessments as well as for the evaluation of governance. These instruments are required to help reach the conditions stipulated by PRISAI indicators.

The instruments referred to by PRISAI are classified into two categories; instruments with legal basis in Indonesia, and voluntary instruments. Instruments with legal basis among others are KLHS, Environmental Impact Assessment (EIA) or AMDAL, PHPL or Sustainable Forest Management, and SVLK. Meanwhile, voluntary instruments are REDD+ SES, HCVF, CCBS, Participatory Governance Index (PGI), and FPIC. Both instruments with legal basis and voluntary will be used to function PRISAI as expected above.

PRISAI Implementation

PRISAI is expected to be implemented by all actors involved in the REDD+ activities in Indonesia. However within its implementation mechanism, the safeguards related instruments applied by actors and different levels in capacities between actors are also considered.

A number of REDD+ actors have access to information, resources, and other instruments to implement REDD+ activities. Other actors may have difficulties to participate in REDD+ activities due to limitation in resources, information, and other social and economic difficulties. These differences are addressed through categorization of subjects who implement the safeguards as follows: (1) communities within and around forests, (2) government, (3) private sector, and (4)

NGOs. Furthermore, the implementation of PRISAI also differentiates its treatment on implementing actors based on their capacities.

Similar to operationalization of SIS-REDD+, PRISAI has also at the early stage of its implementation. Some lessons from testing PRISAI at the site (project) level have shown the diversity in understanding on the PRISAI safeguard system. Stepwise approach will allow improvement of PRISAI as well as capacity of REDD+ actors to use PRISAI.
