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Subsidiary Body for Scientific and Technological Advice

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Agenda item 6

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 types of information from systems for providing information on how the safeguards are being addressed and respected and that may be provided by developing country Parties

Submissions from Parties and admitted observer organizations

Addendum

1. In addition to the seven submissions from Parties contained in document FCCC/SBSTA/2014/MISC.7, two further submissions have been received.
2. In accordance with the procedure for miscellaneous documents, these submissions are attached and reproduced* in the language in which they were received and without formal editing.¹

* These submission have been electronically imported in order to make them available on electronic systems, including the World Wide Web. The secretariat has made every effort to ensure the correct reproduction of the texts 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.7/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.

II. Type of Information from SIS-REDD+ that would be helpful and may be provided by developing country Parties

Learning from almost three years of SIS-REDD+ development and about one year of operationalization, Indonesia views that the type of information from SIS-REDD+ that would be helpful and may be provided by developing country is qualitative and as appropriate quantitative information, which may include the following information :

- a. Description of national REDD+ related policies and/or programmes and/or activities. This description may include policies, regulations, procedures and national standards, and any other instruments existing in the country that are relevant to and support the REDD+ safeguards,
- b. Design of the system. The design of the safeguards information system may include a description of the institutional and governance frameworks that are used by the country to ensure that the safeguards are addressed and respected,

- c. Description of processes in developing the system, including stakeholder participation. The description of process is important to demonstrate in how far this process is transparent and enables the system to track the implementation of the safeguards (how the safeguards are being addressed and respected),
- d. Description of implementation approaches on how safeguards are addressed and respected. This description may include the development of principles, criteria, and indicators in the safeguards implementation provision system, and how these principles, criteria, and indicators are used to access the safeguards implementation,
- e. Plan for improvement. Based on experience and lessons gained during the implementation of safeguards and operationalization of SIS-REDD+, the provision of information through SIS-REDD+ can be the basis for determining the steps necessary for improvement. Improvement maybe needed especially for the full implementation of REDD+, where there will be result based payment,
- f. Other information that the country consider necessary.

Indonesia recognizes the need to ensure transparency, consistency, comprehensiveness, and effectiveness when informing on how all safeguards are addressed and respected, through National Communication, UNFCCC REDD+ web-platform, and SIS-REDD+. The SIS-REDD+ web platform is one of the possible forms which could be used to make the information on how the safeguards are addressed and respected available transparently to the global communities. However, Indonesia also recognizes that addressing and respecting safeguards in REDD+ implementation are influenced by national circumstances, policies, capacities and capabilities, including resources' needs and availability. Indonesia views that drawing lessons learned from experiences in developing and operationalizing SIS-REDD+ is therefore crucial for assessing and improving the extent to which the SIS-REDD+ can inform in a transparent, consistent, comprehensive and effective way on how all safeguards are being addressed and respected.

Paper no. 2: Japan

Views on the type of information from systems for providing information on how the safeguards are being addressed and respected

Basic perspectives

- As stated in the previous submissions by Japan (such as the “Submission on 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” of September 15, 2011), “systems for providing information on how the safeguards are being addressed and respected” (hereinafter referred to as ‘SIS’) can have a role in not only enhancing transparency, and improving and facilitating the activities related to the safeguards, but also in promoting better commitment to the safeguards hence it will increase trustful implementation of REDD+ activities.
- The information provided from the SIS should be on how each of the seven safeguards referred to in Decision 1/CP.16, Appendix I, paragraph 21 (hereinafter referred to as ‘REDD+ safeguards’) is being addressed and respected in the implementation process of REDD+ activities.
- Currently, there is no decision on a specific guidance concerning the types of information included in the summary of information on how all the safeguards are being addressed and respected, which each REDD+ country is required to report (Decision 12/CP.19, paragraph 1). When undertaking results-based payments, it is important to ensure that the REDD+ actions have been carried out in compliance with the REDD+ safeguards. A guideline indicating the standards about the types of information which each reporting body can refer to could be beneficial to reduce unnecessary workload and worries of the REDD+ countries. Such guideline could also secure temporal comparability for each country to self-check their improvements over time.
- When informing on how all REDD+ safeguards are addressed and respected, it is necessary to ensure transparency, consistency, comprehensiveness and effectiveness (Decision 12/CP.17, paragraph 6), so an additional guidance should be useful. The additional guidance should include a template form (i.e., a preparation tool to be used in information provision) on each REDD+ safeguard which REDD+ countries can use in providing information.

Template forms

- The safeguard activities undertaken will vary significantly depending on natural, social, political, economic and cultural environments of each country. Considering the diversity of the REDD+ countries, the template form to be developed should have flexibility to cover the various safeguard activities, and should be supportive and helpful for REDD+ countries when reporting the safeguard information.

¹ When undertaking the activities referred to in paragraph 70 of this decision, the following safeguards should be promoted and supported: (a) That actions complement or are consistent with the objectives of national forest programmes and relevant international conventions and agreements; (b) Transparent and effective national forest governance structures, taking into account national legislation and sovereignty; (c) Respect for the knowledge and rights of indigenous peoples and members of local communities, by taking into account relevant international obligations, national circumstances and laws, and noting that the United Nations General Assembly has adopted the United Nations Declaration on the Rights of Indigenous Peoples; (d) The full and effective participation of relevant stakeholders, in particular indigenous peoples and local communities, in the actions referred to in paragraphs 70 and 72 of this decision; (e) That actions are consistent with the conservation of natural forests and biological diversity, ensuring that the actions referred to in paragraph 70 of this decision are not used for the conversion of natural forests, but are instead used to incentivize the protection and conservation of natural forests and their ecosystem services, and to enhance other social and environmental benefits; (f) Actions to address the risks of reversals; (g) Actions to reduce displacement of emissions.

Examples of the type of information

- The types of information provided in the SIS can be a combination of qualitative and quantitative information, and process² (indicated by open circle: ○) and status³ information (indicated by filled circle: ●).
- Examples of the type of information are as follows;

Decision 1/CP.16, Appendix I, Paragraph 2	Type of information (Examples)
(a)	<ul style="list-style-type: none"> ● National forest programmes, international conventions and agreements (formal title, adopted and ratified year, purposes, etc.) and other policies related to REDD+ including national legislations, policies and strategies. ○ Progress of actions toward complementing or ensuring consistency with the objectives of the above programmes, conventions, agreements and policies. ○ Progress of the actual enforcement of the above programmes, conventions, agreements and policies. ● Plans to develop new programmes and policies, to review existing programmes, policies and to ratify additional conventions/agreements for the implementation of REDD+ activities. ○ Progress of the above developments, reviews and ratifications.
(b)	<ul style="list-style-type: none"> ● Institutional arrangements of REDD+ and their relation to the existing national forest governance structures. (Examples include the governmental organization laws and/or organizational charts along with description of the roles and responsibilities of each organization and/or decision-making and reporting processes. ○ Progress of implementation of actions to promote transparent and effective national forest governance (strengthening relations with the relevant organizations, contribution to achieving goals of relevant forest policies and strategies, promotion of information disclosure, etc.). ○ Progress of establishment of institutional arrangements of REDD+ in compliance with the above legal systems to support transparent and effective national forest governance structures.

² Information on the process of implementation of safeguards with respect to the Decision 1/CP.16, Appendix I, paragraph 2. It should be a description of the progress of how the safeguards are respected and implemented, for example, the steps taken (and planned to be taken) to protect the rights and knowledge of indigenous peoples and members of local communities.

³ Information on the status of safeguards with respect to the Decision 1/CP.16, Appendix I, paragraph 2. Examples include the adoption and ratification of international conventions national laws and strategies, and geographical location and area of protected natural forests, etc related to REDD+ safeguards.

	<ul style="list-style-type: none"> ● Plans to review forest governance structures for transparent and effective implementation of REDD+ activities. ○ Progress of review and development of the forest governance structures toward transparent and effective implementation of the REDD+ activities.
(c)	<ul style="list-style-type: none"> ● Relevant international obligations ratified, and national policies including legislations, strategies and measures to respect the knowledge and rights of indigenous peoples and members of local communities. (title, year of development, content of regulations, etc.). ○ Progress of the on the ground application of the above legal systems. ○ Possible impacts on indigenous peoples and members of local communities associated with the implementation of REDD+ programmes. ○ Progress of development of measures to avoid and reduce negative impacts on indigenous peoples and members of local communities (securing prior consensus, utilization of customary law and system for resolution of grievances and disputes, etc.). ○ Progress of implementation of actions of the above measures. ● Plans to ratify relevant international obligations and/or to review existing national policies including legislations, strategies, and guidelines to respect and address the knowledge and rights of indigenous peoples and members of local communities in REDD+ activities. ○ Progress of the ratification, review and development of the above.
(d)	<ul style="list-style-type: none"> ○ Information on stakeholders planned to be involved in REDD+ activities (especially, indigenous peoples and members of local communities). ● Laws, institutions and guidelines in relation to the mechanism of joint fund management and sharing of benefits with indigenous peoples and local communities. ● Laws, policies and guidelines to ensure the full and effective participation of all other stakeholders. ○ Progress of on the ground application of the laws, policies, guidelines and measures to ensure the full and effective participation of relevant stakeholders especially indigenous people and members of local communities and development of the new laws, policies, guidelines and measures including implementation of capability development, establishment of joint council and ensuring access to information, grievance mechanisms etc.. ○ Progress of establishment and implementation of actions toward implementation, operation and compliance of the above legal systems.
(e)	<ul style="list-style-type: none"> ● Legal systems, policies, programmes and guidelines in relation to the

	<p>conservation of natural forests and biological diversity, ratification of the relevant conventions (Convention on International Trade in Endangered Species of Wild Fauna and Flora (CITES), Convention on Biological Diversity (CBD), etc.), and status of adoption of international criteria and indicators of sustainable management of forests (title, year of development, purpose, content of regulations, etc.).</p> <ul style="list-style-type: none"> ● Geographical location and area of protected natural forests under the government policies (including legislation and strategies). ● Biological diversity and ecosystem services to be addressed, respected and enhanced when REDD+ programmes are implemented. ○ Information indicating that major ecosystem services of forests are fully recognized and received. ○ Progress of establishment and implementation of actions toward ensuring consistency of the above legal systems, policies, programmes and guidelines, etc. ○ Progress of establishment of measures to avoid and reduce negative impacts on biological diversity and main ecosystem services (such as implementation of monitoring for local communities). ○ Progress of implementation of actions toward the above measures. ● Plans to develop new legal systems, strategies and guidelines related, and review the relevant legal systems, strategies and guidelines for the implementation of REDD+. ● Progress of the review and of the development above. ○ Progress of implementation of actions toward implementation and compliance of the above legal systems.
(f)	<ul style="list-style-type: none"> ● Laws and guidelines on buffer approach or insurances to address the risks of reversals, including measures to prevent reversals. ● Laws, legislations and guidelines on forest carbon monitoring. ○ Status of linkage of MRV reporting (referred to in Decision 14/CP.19). ○ Progress of on the ground application of the policies and measures to prevent reversals.
(g)	<ul style="list-style-type: none"> ● Laws and guidelines on buffer approach or insurances to address the risks of displacement, including measures to prevent displacement. ● Laws, legislations and guidelines on forest carbon monitoring. ○ Status of linkage of MRV reporting (referred to in Decision 14/CP.19). ○ Progress of on the ground application of the policies and measures to prevent displacement.

How to provide information using the template

- REDD+ safeguard policies and the information system should be built based on existing national policies and measures according to the national circumstances of each REDD+ country. REDD+ countries should report their progress towards fully addressing and respecting the REDD+ safeguards, based on current legal systems and their enforcement status and by taking enough time to comply with national public hearing systems. Pursuing radical reform of national systems may not produce sustainable outcomes. As each REDD+ country is at a different phase of REDD+ readiness, some countries might not be able to fully address and respect all the seven safeguards and achieve results within a short period of time. Therefore, countries should be allowed to take a phased approach upon provision of safeguard information as follows; 1) recognize challenges while identifying current situations, 2) plan actions toward resolving challenges, 3) implement the actions, and 4) verify the progress of actions and address further improvements as appropriate. The SIS and the types of information provided should focus on “the process” of these actions and give consideration to promote their continuous improvement.
 - To develop the template form which focuses on the process and promote continuous improvement of the actions, the following points are suggested:
 - It is desirable that “Current situations /challenges”, ”Planned Actions”, ”Progress” and “Next Steps” of the above information will be filled in the template in a narrative form.
 - To assess the “Progress” of safeguard implementation, for instance, filling in a five-phased progress level for each item (1: Significant progress, 2: Progressing well, further development required; 3: Further development required; 4: Not yet demonstrating progress; 5: Not applicable), or something similar, could also be considered in order to ensure transparency and consistency.
 - Knowledge and lessons learned have been accumulated from advanced activities in several countries, such as trials referring to the UN-REDD SEPC and other voluntary project-level REDD+ initiatives (e.g., VCS, CCBA Standard, Plan Vivo, etc.). When considering SIS and the types of information provided, such knowledge and lessons learned should also be taken into account.
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