

		4.1.3	Documented evidence of planning and monitoring process engaging relevant stakeholders.	<ul style="list-style-type: none"> a. Reports on REDD+ activities, maps of stakeholders. b. Documentation on the proposals of stakeholder engagement planning process. 		
4.2	Applicable at the site level, REDD+ activities include a procedure or mechanisms for resolving grievances and disputes. [SVLK/PHPL: 4.4]	4.2.1	Availability of records of grievances including the resolution processes.	<ul style="list-style-type: none"> a. Documents/ letters reporting the complaints of stakeholder (with emphasis on the availability of grievance mechanism). b. Proof of meetings held to handle the complaints/ photos of the handling of the complaints. c. Official reports on the receipt of complaints. 		
				4.2.2	Documented evidence that a functioning conflict resolution mechanism is in place. [SVLK/PHPL: 4.4]	<ul style="list-style-type: none"> a. SOP(s) for the settlement of complaints/ conflicts. b. Implementation of the SOP(s) on the settlement of complaints/ conflicts. c. Minutes of meeting.
						4.2.3

Safeguards 5. Conservation of Biodiversity, Social and Environmental Services

Principle 5. REDD+ activities will include effective strategies that maintain, conserve or restore biodiversity and ecosystem services for social and environmental benefits.

Criteria	Indicator	Safeguards Implementation Assessment Tools (APPS)			
5.1	REDD+ activities shall include the identification and assessment of the potential impacts of activities on social and environmental services. Assessments shall be designed in accordance with the scale and intensity of the activities. [FSC: Kriteria6.2; AMDAL (Permen LH No.8/2006; Pedoman Penyusunan AMDAL, Lampiran I No.7c point i)]	5.1.1	Availability of reports on impact assessment on social and environmental services. <ul style="list-style-type: none"> a. Environmental Impact Assessment (AMDAL) reports / Environmental Management Plan – Environmental Monitoring Plan (RKL-RPL) reports. b. Table comparing "before and after" implementation of activities. c. Reports on the survey on how REDD+ can improve living standards of the people, by continuing to maintain the sustainability of local forests. d. KLHS reports (according to the scale of activities). 		
		5.1.2	Management & monitoring plan for maintaining social and environmental services is available. [SVLK/PHPL: E3-4-3.5; LEI: E.2.8; FSC: P9 pada HCV] <ul style="list-style-type: none"> a. Reports on the monitoring of social and environmental benefits. b. Reports on the implementation of the mitigation of negative impacts. c. Recommendations and follow-ups of results a. and b. 		
5.2	REDD+ activities shall include an assessment of the impacts on biodiversity and develop a strategy to implement biodiversity management to ensure its conservation and protection. [SVLK/PHPL: E3-4-3.5; LEI: E.2.8; FSC: Prinsip9 pada HCV]	5.2.1	Records of endangered, rare, threatened and endemic species are available. <ul style="list-style-type: none"> a. Biodiversity list. b. Reports on the survey of biodiversity. c. Data on endemic and rare species based on survey results (b). d. Documentation / publications / maps on flora and fauna distribution based on (b). 		
				5.2.2	Availability of biodiversity management plan. Documents on biodiversity management plan.
				5.2.3	Evidence for the consistent implementation of biodiversity management plan. <ul style="list-style-type: none"> a. Periodic reports on the implementation of biodiversity management. b. Documentation on sensitization on the importance of biodiversity. c. Evaluation documents/ reports.

Safeguards 6. Reducing Risk of reversals

Principle 6. REDD+ activities shall seek to reduce risks of reversals through means appropriate to the scale and context, emphasizing sub-national action and national level policy initiatives.

Criteria	Indicator	Safeguards Implementation Assessment Tools (APPS)	
6.1	Depending upon the scale and context, REDD+ activities shall define the risks from internal and external threats to carbon stock and forest maintenance, and develop a mitigation plan to address these.	6.1.1	Availability of a risk assessment for the site or region of REDD+ activity areas, encompassing fire, encroachment, illegal logging, and other external impacts. <ul style="list-style-type: none"> a. Reports on the assessment of risks / threats of illegal logging, forest encroachment, fires and others.
		6.1.2	Availability of a related risk mitigation plan addressing major reversal threats. <ul style="list-style-type: none"> a. Mitigation plan against illegal logging, encroachment, fires, and others. b. Reports on mitigation activities against illegal logging, encroachment, fires, and others.
6.2	REDD+ activities shall include periodical monitoring of threats and implement adaptive management to mitigate reversals.	6.2.1	Availability of annual monitoring report that allows periodic assessment of risks of reversal, and recommends adaptive management steps for mitigation where necessary. <ul style="list-style-type: none"> a. Annual reports on the results of the monitoring of activities to mitigate identified threats. b. Maps on the monitoring of identified threats (time series). c. Evaluation documents/ reports.
		6.2.2	Evidence of active management against reversal threats, aligned to the recommendations arising from annual monitoring. <ul style="list-style-type: none"> a. Adaptation plan according to monitoring results. b. Evaluation documents/ reports.

Safeguards 7. Reduction of Emission Displacement

Principle 7. Recognising that monitoring and reduction of emissions displacement is the responsibility of sub-national (FMU, District, Province) and national government, REDD+ activities shall include strategies to reduce displacement of emissions and support sub-national and national monitoring.

Criteria	Indicator	Safeguards Implementation Assessment Tools (APPS)	
7.1	Appropriate to scale and context, REDD+ activities shall include a strategy to reduce emissions displacement within the national boundary.	7.1.1	Availability of assessment documentation and analysis on the types of emission displacement that are likely to occur outside REDD+ activities within the national boundary. <ul style="list-style-type: none"> a. Baseline pertaining to areas that are allowed/ not allowed to be converted. b. Assessment of changes in land use and causes of deforestation and forest degradation. c. Risk assessment reports / reports on emission displacement threats beyond the limit of REDD+ activities.
		7.1.2	Availability of a documented strategy for emission reductions, under realistic scenarios, that avoid emissions displacement outside areas of REDD+ activities within the national boundary. <ul style="list-style-type: none"> a. Referring to 1.2.1. a,b,c,d: Documents on Reference Emission Level/ Reference Level (REL/RL) and targets to reduce or prevent emission or increase carbon stock. b. Planning documents in addressing the displacement of emission based on 7.1.1 c.
7.2	Appropriate to scale and context, periodic monitoring of forest-related emissions and carbon stock changes in the area of REDD+ activities shall be implemented, and should include monitoring of efforts and results in reducing emission displacement.	7.2.1	Availability of an annual monitoring report on forest-related emissions and carbon stocks changes, for the area of REDD+ activities and emission displacement reduced outside area of REDD+ activities within the national boundary. <ul style="list-style-type: none"> a. Documents on National and Sub-National Forest Monitoring Systems. b. [Green House Gas] Measurement, Reporting and Verification (MRV) Documents. c. Analysis of MRV results which address emission displacement.



**DIRECTORATE OF CLIMATE CHANGE MITIGATION
DIRECTORATE GENERAL OF CLIMATE CHANGE
MINISTRY OF ENVIRONMENT AND FORESTRY**

Manggala Wanabakti Building, Block IV, 6th floor Wing A
Jl. Jend. Gatot Subroto, Senayan - Jakarta 10270, Indonesia
Telp/Fax: +62 21 5746722
Email : subditredd@gmail.com
Website : <http://sisredd.menlhk.go.id>
<http://ditjenppi.menlhk.go.id>



PRINCIPLE, CRITERIA, INDICATORS AND ASSESSMENT TOOLS

for a System
for Providing Information on REDD+ Safeguards
Implementation (SIS-REDD+) in Indonesia



FOREST
CARBON
PARTNERSHIP

giz
german
Cooperation

COP-16 in Cancun requested Parties undertaking REDD+ activities to develop a system for providing information on how the safeguards (Annex I of COP-16 on outcome of the AWG-LCA) are being addressed in REDD+ implementation. The safeguards (together with guidance) for REDD+ implementation as in the Annex 1 of COP-16 Decision on outcome of the AWG-LCA, are conceptually logical but practically challenging, and so, it is necessary to translate the safeguards to enable Indonesia effectively implement them within the context of national legislation and circumstances. In response to this mandate, Indonesia, coordinated by **the Centre for Standardization and Environment, Ministry of Forestry**, has developed a System for providing information on how safeguards are addressed and respected in REDD+ implementation.

7 PRINCIPLES OF REDD+ SAFEGUARDS (CANCUN AGREEMENT -COP 16, DECISION 1/CP.16)

1. Actions complement or are consistent with the objectives of national forest programmes and relevant international conventions and agreements;
2. Transparent and effective national forest governance structures, taking into account national legislation and sovereignty;
3. 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;
4. 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;
5. Actions are consistent with the conservation of natural forests and biological diversity, ensuring that the actions referred to in paragraph 70 of the 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;
6. Actions to address the risks of reversals;
7. Actions to reduce displacement of emissions.



During the two years of 2011 – 2012, a multi-stakeholders process has been carried out to facilitate the the development of this REDD+ safeguards information system, through identification of elements of existing instruments of relevance to 7 (seven) REDD+ safeguards in accordance with the Cancun Agreement as follow :

Safeguards 1. Legal compliance and consistency with national forest programs			
Principle 1. REDD+ activities shall comply with government regulations and nationally ratified international conventions/agreements and shall be consistent with the objectives of national forest programs. [PHPL/SVLK: Prasyarat 1.1 – 1.5; LEI: Prasyarat II.1-II.3; FSC: Prinsip 1; Permenhut No.8/2010].			
Criteria	Indicator	Safeguards Implementation Assessment Tools (APPS)	
1.1 REDD+ activities shall be coordinated/ governed/ managed under the authority of the appropriate sub-national or national institution and, where appropriate, under a legal entity incorporated under Indonesian laws and regulations. [PHPL/SVLK: Prasyarat 1.1 – 1.5; LEI: Prasyarat II.1-II.3].	1.1.1 The availability of legal and administrative documents that evidence clear authority for the REDD+ activities, aligned to the scale and context of implementation.	a. Documents on the legal status of REDD+ implementer/ entity.	b. Legal documents (e.g. decree) as the basis for implementation of activities.
	1.2 REDD+ activities at sub-national and national levels shall comply with the applicable laws and international conventions ratified by Indonesia. [PHPL/SVLK: Prasyarat 1.1 – 1.5; LEI: Prasyarat II.1-II.3; FSC: Prinsip 1].	1.2.1 The availability of planning documents, procedures and periodical reports on the implementation of relevant government regulations.	
1.3 REDD+ activities are in line with the objectives of national forest programs as described in the long-term strategic planning of the Indonesian forestry sector. [Permenhut No.49/2011 on long term planning of the Indonesian Forestry Sector for 2011-2030 and the prevailing RENSTRA of the Ministry of Forestry].	1.2.2 The availability of reports on the implementation of international conventions/ agreement.	c. Documents on development planning.	d. Workplans and their safeguards.
		e. Standard Operating Procedures.	f. Reports: types and period.
1.3 REDD+ activities at the sub-national level are aligned with and support objectives prioritised in the long-term strategic plan of the Indonesian forestry sector.	1.3.1 REDD+ activities at the sub-national level are aligned with and support objectives prioritised in the long-term strategic plan of the Indonesian forestry sector.	a. Reports on activities relevant to international conventions / agreements issues.	b. Reports on activities relevant to International Conventions/Agreements at provincial/ district levels.
		Reports on REDD+ activities which show their relevance to/ support the objectives of the Strategic Plan and other plans in the forestry sector.	

Safeguards 2. Transparency and effectiveness of national forest governance			
Principle 2. REDD+ activities at all scales and contexts shall contribute to transparent and effective forest governance in accordance with national sovereignty.			
Criteria	Indicator	Safeguards Implementation Assessment Tools (APPS)	
2.1 Appropriate to the scale and context of REDD+ activities, institutional arrangements support communication between stakeholders for effective monitoring of implementation of good governance principles. [site level: PHPL/SVLK: Prasyarat 1.2; LEI: Prasyarat 1.1-1.5].	2.1.1 Clear statement of policy on information disclosure by the entity responsible for REDD+ activities, appropriate to the scale and context of implementation.	a. Whether or not there is a policy for providing the public with information on REDD+ implementation.	b. Several examples of the implementation of the policy in a.
	2.1.2 Clear statement outlining the organization structure, tasks and functions of the entity responsible for REDD+ activities, appropriate to the scale and context of implementation.	Information about the structure of the administering body responsible for REDD+ and its main duty and functions is available to the public.	
2.2 The entity responsible for REDD+ activities shall publicize commitment not to offer or accept bribes in money or any other form of corruption [FSC: Criteria 1.7], and shall comply with Indonesia's anticorruption legislation [Anti-corruption Law No. 31/1999; Anti-corruption convention PBB, ratified by Indonesia with Law UU 7/2006; Permenhut No. 67/2011; Instruksi Menteri Kehutanan, 2012; Pakta Integritas].	2.2.1 Clear policy statement on anti corruption.	Written anti-corruption commitment is made available to the public.	

Safeguards 3. Rights of Indigenous and Local Communities (Masyarakat adat dan masyarakat lokal)			
Principle 3. REDD+ activities shall respect indigenous and local communities' rights through actions appropriate to the scale and context of implementation.			
Criteria	Indicator	Safeguards Implementation Assessment Tools (APPS)	
3.1 REDD+ activities shall include identification of the rights of indigenous and local communities, such as tenure, access to and utilization of forest resources and ecosystem services, with increasing intensity at sub-national and site-level scales. [FSC: Kriteria 3.1; PP 28/2009].	3.1.1 Availability of maps and/ or any related documents of identified indigenous and local communities including their rights in the area of REDD+ activities. [LEI: S1.3].	Reports on the identification of types of rights, and holders of [such] rights (shown in REDD+ working area maps), areas belonging to or under the rights of indigenous peoples and/ or local communities.	
	3.1.2 Availability of work plan or arrangement to accommodate the indigenous and local communities' rights and aspirations in using forest resources. [LEI: P2.9].	Descriptions of point 1.2.1.a which are related to the arrangement for the recognition of rights and aspirations of customary (adat) communities and/ or local communities.	
3.2 Applicable at the site level, REDD+ preparation activities shall include a process to obtain the free, prior, informed consent of affected Indigenous People and local communities before REDD+ activities commence. [SVLK/ PHPL: Prerequisite 1.5; FSC Principle 3 and 4].	3.2.1 Availability of a documented process of consultation that demonstrates effort, appropriate to the scale and intensity of activities, towards obtaining the free, prior and informed consent of indigenous and local communities potentially affected by REDD+ activities. [SVLK/PHPL: Prerequisite 1.5; FSC Principle 3 and 4].	Reports on the implementation of FPIC on activities performed.	
	3.3 REDD+ activities shall contribute to maintaining or enhancing the social economic wellbeing of indigenous and local communities, by sharing benefit fairly with them, including for the future generations. [FSC: Prinsip 4; LEI: S1.3].	3.3.1 Policies, plans and/ or programs do not result in marginalization of certain groups of communities because of limitation of access to and control of natural resources, capital or knowledge. [KLHS/AMDAL: Permen LH 09/2011, KLHS Nilai Keadilan].	Report/ documents which show that there is no discrimination against any groups whatsoever in terms of access to natural resources, capitals and knowledge in REDD+ implementation.
3.3.2 A documented mechanism for fair distribution of benefits among affected indigenous and local communities and demonstrated proof of implementation. [SVLK/PHPL: 4.3].		Documents which provide information on benefit made available for community, such as but not limited to: <ul style="list-style-type: none"> - Capacity building. - Institutional strengthening. - Improvement of natural resources (SDA) economic benefits. - Carbon performance. - Other benefits. 	
3.4 REDD+ activities shall recognize the value of traditional knowledge and compensate for commercial use of such knowledge where appropriate. [FSC: Kriteria 3.6 & 4.8; LEI: S.2.2].	3.4.1 Availability of mechanisms or procedures for compensation of the commercial use of traditional knowledge where appropriate.	Form and amount of compensation for the use of local knowledge, if any, in the implementation of REDD+ activities.	

Safeguards 4. Effectiveness of Stakeholder Participation			
Principle 4. REDD+ activities shall be based on proactive and transparent identification of relevant stakeholders, and the engagement of them in planning and monitoring processes, with an increasing level of intensity from national level to site level scales.			
Criteria	Indicator	Safeguards Implementation Assessment Tools (APPS)	
4.1 The entity responsible for REDD+ activities will coordinate with appropriate authorities to identify relevant stakeholders, will engage these stakeholders in the planning process, and will ensure the process is recognized by stakeholders. [PHPL/SVLK: Prasyarat 1.1; KLHS/ AMDAL: Permen LH 09/2011, Prinsip 6 dalam Partisipasi].	4.1.1 Availability of list of stakeholders engaged.	a. List of attendees (only for the parties). b. List of related parties. c. List of invitees. d. List of visitors.	
	4.1.2 Documented processes of engagement with stakeholders.	a. MoU/ agreement. b. Photographs of activities on the involvement of the parties. c. Minutes of meeting/ MoM. d. Documentation on the activities of stakeholder engagement. e. Reference framework for the process of stakeholder engagement. f. Guidelines (for example: local government regulations/ PERDA on stakeholder engagement).	