Safeguards Information System for REDD+ in Indonesia

Moving towards an Operational SIS-REDD+

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List of Acronyms and Terms

AMDAL	Analisis Mengenai Dampak Lingkungan, or Environmental Impact Assessment
APPS	Alat Penilai Pelaksanaan Safeguards, or Safeguards Implementation Assessment Tool
Bappeda	Badan Perencanaan Pembangunan Daerah, or Regional Development Planning Agency
BPIK	Balai Pelayanan Informasi Kehutanan, or Forestry Information Services Agency
BP REDD+	Badan Pengelola REDD+, or REDD+ Agency
COP	Conference of the Parties
DG	Directorate General
DNPI	Dewan Nasional Perubahan Iklim, or National Council for Climate Change
FCPF	Forest Carbon Partnership Facility, a financing arm of the World Bank
FLEGT	Forest Law Enforcement Governance and Trade
FMIS	Forest Management Information System
FORCLIME	Forests and Climate Change Programme, a program under the Deutsche Gesellschaft für Internationale Zusammenarbeit (GIZ)
FPIC	Free, Prior, and Informed Consent
FREL	Forest Reference Emission Level, i.e. the baseline against which changes in emissions will be compared and payments based on
FSC	Forest Stewardship Council, see SFM and HCVF
GIZ	Deutsche Gesellschaft für Internationale Zusammenarbeit
HCV	High Conservation Value, a concept developed by the FSC to describe values considered to be of outstanding significance or critical importance or areas where such values are present
KLHS	Kajian Lingkungan Hidup Strategis, or Strategic Environmental Assessment
KLHK	Kementerian Lingkungan Hidup dan Kehutanan, or Ministry of Environment and Forestry (MoEF)
LEI	Lembaga Ekolabel Indonesia, or Indonesian Ecolabel Institute, see SFM
L/FMP	Lembaga/Forum Multi Pihak, or Multi-Stakeholder Forum/Institution
MoEF	Ministry of Environment and Forestry
MRV	Measuring, Reporting, and Verification
MSF	Multi-Stakeholder Forum
PCI	Principles, Criteria, and Indicators

PDIS Tapak	Smallest REDD+ safeguards information management unit, which includes the REDD+ activity implementer
PGA	Participatory Governance Assessment
PHPL	Pengelolaan Hutan Produksi Lestari, a sustainability management system for all production forest concessions in Indonesia
PPID	Pejabat Pengelola Informasi dan Dokumentasi, or Information and Documentation Management Officer
PRISAI	Prinsip, Kriteria, dan Indikator Safeguards REDD+ Indonesia
PSIS Kab/Prov	Safeguards Information System (SIS) Management Agency at the district or provincial level, also called PSIS Sub-Nas, or management at the sub-national level
PSIS Sub-Nas	See PSIS Kab/Prov
PSIS Nas	SIS Management Agency at the national level
Pustanling	Pusat Standardisasi dan Lingkungan Kementerian Lingkungan Hidup dan Kehutanan, or Centre for Standardisation and Environment at Indonesia's Ministry of Forestry
RAN-GRK	Rencana Aksi Nasional Penurunan Emisi Gas Rumah Kaca, or National Action Plan on Greenhouse Gas Emissions
SBSTA	Subsidiary Body for Scientific and Technological Advice
SEA	Strategic Environmental Assessment, see KLHS
SES	REDD+ Social and Environmental Standards
SESA	Strategic Environmental and Social Assessment
SFM	Sustainable Forest Management, which refers to voluntary certification standards used in the context of timber production. The Forest Stewardship Council (FSC) and Lembaga Ekolabel Indonesia (LEI, or the Indonesian Ecolabel Institution) are the two most well-known SFM systems used in Indonesia
SI-PUHH	Sistem Informasi Penatausahaan Hasil Hutan, or Information System for Forest Product Management
SIS-REDD+	Sistem Penyediaan Informasi Pelaksanaan Safeguards REDD+, or System for Providing Information on REDD+ Safeguards Implementation
SRAP	Strategi dan Rencana Aksi Provinsi untuk REDD+, or REDD+ Provincial Strategy and Action Plan
SVLK	Sistem Verifikasi Legalitas Kayu, or timber legality verification system
UNFCCC	United Nations Framework Convention on Climate Change
UPTD	Unit Pelaksana Teknis Dinas Daerah, or Regional Technical Implementation Unit

Foreword

Safeguards are an integral part of any development program to ensure negative impacts on people and nature are minimized. Early on in the development of REDD+ as a climate change mitigation mechanism, the UNFCCC mandated the development of a system for providing information on how safeguards are addressed in REDD+ activities. Soon after COP16 in Cancun agreed on these guidelines in December 2010, then Indonesia's Ministry of Forestry[1] through the Centre for Standardization and Environment (Pustanling) initiated a process to translate these global guidelines into national contexts to enable effective implementation.

Within five years, SIS-REDD+, short for System for Providing Information on REDD+ Safeguards Implementation, has been established, pilots commenced, and become operational. A country-led development of the system through multi-stakeholder processes has provided a valuable opportunity to understand the progress of REDD+ implementation in Indonesia. It also ensures that the Principles, Criteria, Indicators, assessment tools, and institutional structure of SIS-REDD+ utilize safeguards in existing instruments and build upon prevailing systems, as mandated by the UNFCCC. The involvement of multi-stakeholders in the iterative process of SIS-REDD+ development has promoted transparency and participation, created ownership and acceptance, and ensured that the outputs fit national and sub-national contexts and can be applied effectively. This is essential as Indonesia refocuses the planning and implementation of climate change efforts, including REDD+, under the Ministry of Environment and Forestry.

The development of SIS-REDD+ has been well documented in various publications, presentations, and internal reports issued between 2011 and 2015. To consolidate this wealth of information and provide a structured summary of this journey, we commissioned this publication, in cooperation with FORCLIME, a program implemented by the Ministry of Environment and Forestry and GIZ and funded through the German Federal Ministry for Economic Cooperation and Development (BMZ). Through this book, available in English and Bahasa Indonesia, we hope that key stakeholders of REDD+ in particular and forestry in general will benefit from understanding the processes and decisions that have shaped SIS-REDD+ in Indonesia, from its development as a concept to its operationalization. We also hope to inform and inspire other parties in REDD+ countries keen to develop similar frameworks.

I would like to express my sincere gratitude to FORCLIME, GIZ, and FCPF for their invaluable and continuous support in the development and operationalization of SIS-REDD+, Daemeter Consulting for assisting in the writing and design of this book, and staff members at Pustanling and Directorate General for Climate Change for their hard work. I would also like to reiterate our thanks to all stakeholders involved who have supported SIS-REDD+.

The development of SIS-REDD+ presented many challenges, yet they are far outweighed by the benefits an operational safeguards information system will provide as it promises better transparency and governance, not only in REDD+, but in the forestry sector in general. That is something all of us can value.

Jakarta, September 2016
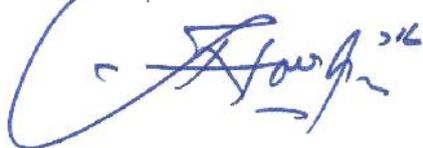
Dr. Ir. Nur Masripatin, M.For.Sc
Director General of Climate Change

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[1] The ministry merged with the Ministry of Environment into the Ministry of Environment and Forestry in October 2014.

1

Introduction

Safeguards Information System for REDD+ in Indonesia
Moving towards an Operational SIS-REDD+

1 Introduction

Safeguards have been identified as an important element to ensure the effective implementation of Reducing Emissions from Deforestation and forest Degradation, including conservation, sustainable management of forests and enhancement of forest carbon stocks, in developing countries (REDD+), and to avoid, or at least minimize, negative governance, social, and environmental impacts. The United Nations Framework Convention on Climate Change (UNFCCC) during the Conference of the Parties (COP) 16 in Cancun in 2010 specifically required developing countries participating in REDD+ to provide information on safeguards under the mechanism.

Indonesia, as one of the leaders of REDD+ development, immediately initiated the translation of Cancun decisions into the national context. The Government of Indonesia, through then Ministry of Forestry's Centre for Standardisation and Environment (Pustanling), in 2011 embarked on a multi-stakeholder process to develop a system to provide information about REDD+ safeguards implementation (SIS-REDD+). This information system includes the activities to collect, process, analyse, and present data and information about how the Cancun safeguards, as defined by Annex 1 Paragraph 2 of COP16 Decisions, were addressed and respected.

In the past year, Indonesia has undergone significant refocusing of climate change efforts after President Joko Widodo combined two ministries to establish the Ministry of Environment and Forestry (MoEF), which has also been tasked to absorb the roles and responsibilities of REDD+ Agency and the National Council for Climate Change (DNPI). REDD+ processes are now coordinated under one roof at the REDD+ Division in the Directorate General of Climate Change at MoEF. As such, the roles of Pustanling in developing and implementing SIS-REDD+, as well as supervising the system's development in sub-national levels, are now shifted to the REDD+ Division.

This publication is intended to elaborate on the process of building SIS-REDD+ and what has been achieved in the past five years. As REDD+ continues to develop and safeguards and their information system are being built, Indonesia is moving forward in its preparation towards the full implementation of REDD+. This document is a means to share the lessons learned, challenges, and accomplishments in developing a system for providing information on REDD+ safeguards.

This book is structured as follows: after an introduction, the second chapter will discuss the development of REDD+ as a climate change mechanism to give context and review the international guidelines for developing safeguards from COP16 in 2010 to the last convention in December 2015. The development of SIS-REDD+ in Indonesia, including its Principles, Criteria, and Indicators, institutional structure, and information flow, as well as extensive consultation with various stakeholders, will be discussed in the subsequent chapter. Chapter four will explain the lessons learned so far, which will guide further operationalization of SIS-REDD+ and other parties interested in developing similar safeguard frameworks to use. This document concludes with a brief explanation about plans to use and further improve SIS-REDD+ in the future and an annex to complement the information that has been provided about the development of this safeguards information system.

Separately from this publication, an Executive Summary of this document has been prepared and can be downloaded from the SIS-REDD+ website. Both documents were prepared for the Ministry of Environment and Forestry, supported by the German Government through the FORCLIME program under the Deutsche Gesellschaft für Internationale Zusammenarbeit (GIZ).

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Safeguards and their role in REDD+ architecture

Safeguards Information System for REDD+ in Indonesia
Moving towards an Operational SIS-REDD+

2 Safeguards and their role in REDD+ architecture

REDD+: a rapidly growing concept

As concerns toward climate change have increased, various studies have pointed at deforestation and land use change as a bigger contributor to global greenhouse gas (GHG) emissions than, for example, the transportation sector worldwide. In 2005, Costa Rica and Papua New Guinea, on behalf of the Coalition of Rainforest Nations, were the first to propose including and addressing the problem of deforestation under a new climate change scheme. The term REDD, short for Reducing Emissions from Deforestation and Forest Degradation, became popular in COP13 in Bali in 2007, where it was agreed that the development of the mechanism would be discussed actively in the Adhoc Working Group on Long-term Cooperation Actions (AWG-LCA) at UNFCCC.

This new mechanism expanded to include conservation, sustainable management of forests, and the enhancement of forest carbon stocks and became known as REDD+ in COP16 in December 2010 in Cancun, Mexico. At this UNFCCC convention, developing countries willing to take part in REDD+ were encouraged to develop elements that would ensure its effective implementation in line with their respective contexts. These elements include a national strategy and action plan, a national forest reference emission level (FREL), a strong and transparent national forest monitoring system (NFMS), and safeguards information system (SIS), which will be discussed further in the next sub-chapter. Parties also agreed that REDD+ development would be divided into three stages, namely a readiness phase, when strategies, actions, policies, institutions, and capacities would be developed; a preparation phase, where countries transition towards implementation; and finally the full-implementation phase, when payment is made based on measured, reported and verified results.

The next UNFCCC convention in Durban, South Africa, in 2011 agreed that non-carbon benefits of REDD+,

such as poverty eradication, biodiversity conservation, ecological sustainability, and connectivity with adaptation, should be explored. The following year, parties in COP18 in Doha, Qatar, agreed that a plan to find ways to provide incentives that would support these non-carbon benefits should be developed. The Warsaw Framework for REDD+ of COP19 in 2013, aside from producing important decisions about REDD+ safeguards that will be elaborated in the following sub-chapter, makes it mandatory for developing nations participating in REDD+ to establish a measuring, reporting, and verification (MRV) system, and provided guidelines on what to monitor and how. It also mandates that MRV systems and FREL, the baseline against which changes in emissions will be compared and payments based on, will be verified at the international level. The historic Paris Agreement that came out of COP21 in end 2015 officially included forests as a valuable resource to fight climate change, mandating countries to "*conserve and enhance... sinks and reservoirs*" of carbon.

Indonesia, home to the third largest area of tropical rainforests in the world, has been one of the leading countries in the development and piloting of REDD+, the results of which influence the dialogues and development of the mechanism globally. In the G20 meeting in Pittsburgh in September 2009, then President Susilo Bambang Yudhoyono announced Indonesia's plan to reduce emission by 26 percent from business-as-usual levels, or up to 41 percent with international support, by 2020. Indonesia was the first developing country to commit to voluntary emission reduction targets.

The Government of Norway welcomed this commitment and signed a Letter of Intent (LoI) with the Government of Indonesia in May 2010 to provide up to USD 1 billion to reduce emissions from deforestation and forest degradation in the Southeast Asian country. Since then, REDD+ has galloped forward, involving various ministries and agencies relevant to forests and land use, and even

Figure 1 Active REDD+ Demonstration Activities in Indonesia

building new ones. The REDD+ Task Force was established as an adhoc agency in response to the LoI with Norway that year, which was replaced by the REDD+ Agency (BP REDD+) in 2013. To guide national policies, Indonesia signed the National Action Plan for Reducing Greenhouse Gas Emissions (RAN-GRK) in 2011, which was built on the National Action Plan on Climate Change signed four years earlier, and developed the REDD+ National Strategy. Another milestone was reached in 2011, when then President Yudhoyono issued a two-year moratorium on new licenses in primary forests and peatlands, which was prolonged to 2015, and then extended for another two years by President Joko Widodo.

Other partner countries such as Germany, UK, Australia, US, as well as local and international organisations also support the development of REDD+ in Indonesia. Many initiatives were launched to build capacity and systems that suit Indonesia's

context and trial projects, which have been essential in the development of this new climate scheme. According to government records, there are 37 active REDD+ Demonstration Activities and related initiatives in Indonesia, as shown in Figure 1.

Acknowledging the importance of forests for Indonesia's emission reduction, President Joko Widodo consolidated its climate change efforts by combining two leading ministries into the Ministry of Environment and Forestry (MoEF) in October 2014. The government refocused coordination in climate change further by tasking the recently established MoEF to absorb the roles and responsibilities of REDD+ Agency and DNPI. Minister of Environment and Forestry Siti Nurbaya established the Directorate General of Climate Change to be the focal point in Indonesia and globally, and appointed Nur Masripatin, a senior negotiator for Indonesia in UNFCCC, as Director General. A REDD+ Division

was also established under the new DG to coordinate REDD+ efforts in Indonesia, including those related to SIS-REDD+ development and implementation.

After this reorganisation, Indonesia submitted its Intended Nationally Determined Contribution (INDC) to the UNFCCC in October 2015. Beyond 2020, the country envisions an increase of its

Figure 2 Restructuring of climate change-related institutions at the national level in Indonesia
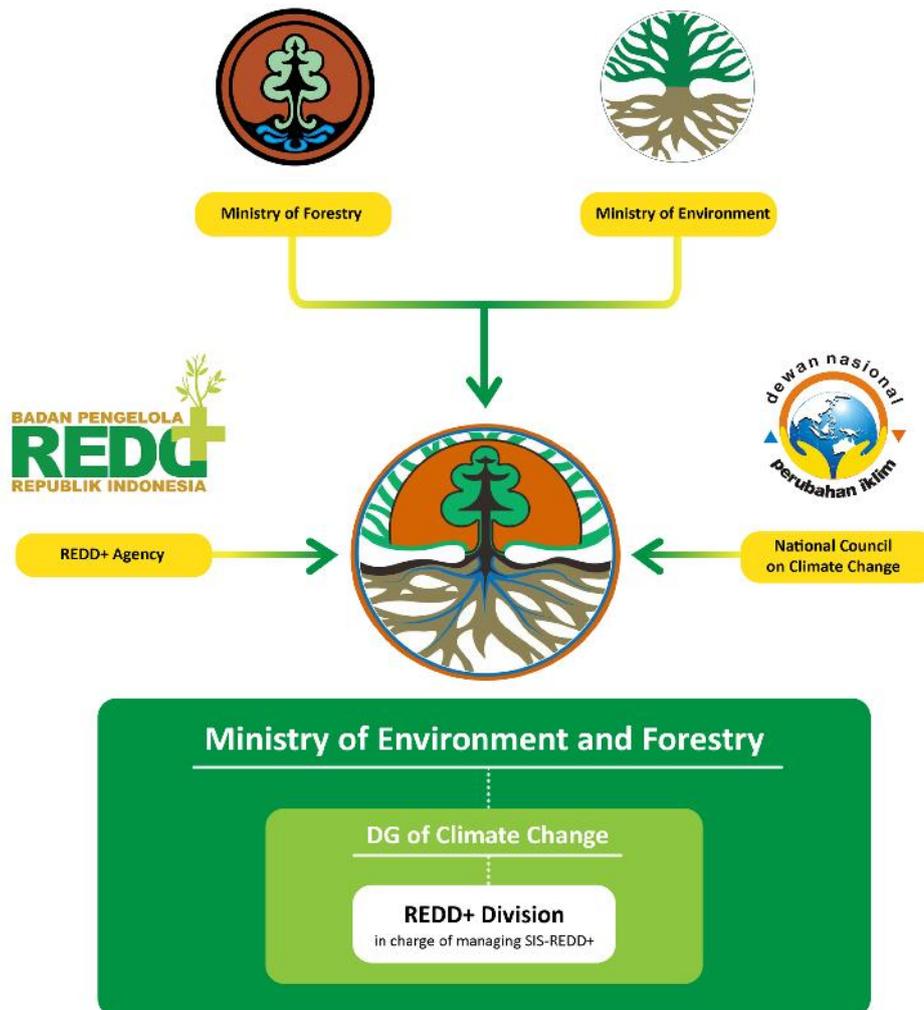
unconditional emissions reduction target to 29 percent from business-as-usual levels in 2030. The pathway towards a low carbon economy will be fully integrated into Indonesia's National Medium-Term Development Plan for the period of 2019-2024.

The development of REDD+ safeguards globally

Learning from previous experiences of development programs with regards to their impacts on the environment and local communities, many stakeholders called for the use of safeguards to minimise the negative impacts of REDD+ on people

and nature, including biodiversity. One of the earliest culminations of the discussion on safeguards was attained in COP16 in Cancun in December 2010, when the parties agreed that seven safeguards need to be implemented in REDD+ activities, namely:

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;

5. Actions are consistent with the conservation of natural forests and biological diversity, ensuring that REDD+ activities are not used for the conversion of natural forests, but are instead used to incentivise 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; and

7. Actions to reduce displacement of emissions.

Aside from the guidelines at the international level that became known as the Cancun REDD+ safeguards, the parties at COP16 also underlined the importance of a system to provide information about safeguards implementation in REDD+ activities to promote transparency and help assess the impacts of such activities.

The next COP in Durban at the end of 2011 agreed that a summary of information on how safeguards are carried out and respected in REDD+ activities should be reported to UNFCCC every four years, as part of the national communication documents. The parties at this UNFCCC meeting also agreed that the national safeguards information system and the information it provides should follow these principles:

1. Be consistent with the guidance identified in decision 1/CP.16, appendix I, paragraph 1;

2. Provide transparent and consistent information that is accessible by all relevant stakeholders and updated on a regular basis;

3. Be transparent and flexible to allow for improvements over time;

4. Provide information on how all of the safeguards

referred to in appendix I to decision 1/CP.16 are being addressed and respected;

5. Be country-driven and implemented at the national level; and

6. Build upon existing systems, as appropriate.

These principles are key to ensuring that REDD+, safeguards, and the information system can be implemented effectively at every level.

The COP19 decision in 2013 further strengthened the role of safeguards by stipulating that countries participating in REDD+ must provide a summary of information about safeguards through UNFCCC's web-platform after REDD+ becomes fully implemented. The Warsaw Framework on REDD+, the most recent COP decision, also agreed that the provision of the latest information on how safeguards are addressed is going to be a precondition for any results-based payment under REDD+. This decision has significantly strengthened and accelerated the establishment of safeguards information systems in REDD+ participating countries.

The subsequent COP20 did not make any significant decisions related to REDD+ safeguards. However, the SBSTA meeting in Bonn in mid 2015 has responded to the need for additional guidance on the summary of information on these safeguards and prepared a draft. Under the proposed guidance, countries will be required to provide information on national circumstances relevant to REDD+ safeguards, descriptions of each safeguard and systems to address and respecting them, and their implementation.

Translating REDD+ safeguards into the context of participating countries under UNFCCC

From the beginning, UNFCCC parties have agreed that the REDD+ safeguards framework and information system must fit the context, conditions, and capacity of participating countries. At COP17, UNFCCC stated that the development of safeguards must be led by the forest-rich countries keen to implement REDD+. Through this approach, REDD+ countries are expected to be more able to respond to diverse commitments and requirements from donors, investors, and programs. Country-led

initiatives can also promote the contributions of REDD+ beyond the reduction of greenhouse emissions, such as biodiversity conservation and support to green growth strategy, where REDD+ can be used as a catalyst for sustainable development on a wider scale.

UNFCCC also stated that REDD+ safeguards should be built based on the existing systems and frameworks. In developing countries, frameworks that commonly exist that may support this approach can be divided into[2]:

1. Legal and policy frameworks, both mandatory and voluntarily, including laws, regulations and best practices;

2. Institutional frameworks, including existing institutions and agencies, their capacities, and procedures to implement regulations and policies; and

3. Compliance framework, including elements needed to guarantee and demonstrate effective implementation of legal frameworks, such as information systems, complaint management mechanisms, as well as sanctions and mechanisms to handle non-compliance.

REDD+ participating countries started to develop their own safeguards frameworks, often supported by technical assistance from donors. Then Indonesian Ministry of Forestry through Pustanling, for example, developed the safeguards information system (SIS) for REDD+ with the support of the German Government through the FORCLIME program under GIZ.

Multilateral agencies have also developed safeguards frameworks of their own. These include the Social and Environmental Principles and Criteria (SEPC) and the Participatory Governance Assessment (PGA) developed by UN-REDD, and the Strategic Environmental and Social Assessment (SESA) by the World Bank. The latter, although not designed

specifically for REDD+ projects, must be followed by all World Bank projects, including those funded by the group's Forest Carbon Partnership Facility (FCPF). Another initiative that is being trialed in several sub-national jurisdictions in Brazil, Indonesia, Mexico, and Peru is the REDD+ Social and Environmental Standards (SES), led by the Climate, Community and Biodiversity Alliance (CCBA) and CARE International. Generally, the process to translate international safeguards guidelines into the context of REDD+ countries can be conducted through three phases[3], namely:

1. Initiative to draft a safeguards framework, where a special team or consultants develop the process and initial draft. This may include analysis of existing frameworks in the respective country.

2. A safeguards framework is established with adequate public consultation processes.

3. Safeguards and their information systems are formalised into national policies or regulations that serve as the legal umbrella that provides certainty about the authority and responsibilities of implementing agencies.

Among REDD+ countries, Indonesia is quite advanced in this process, having translated the Cancun safeguards and developed a well-suited REDD+ safeguards framework. Various parties have taken the initiative to develop safeguards in Indonesia, and these parallel processes have produced many lessons learned, which are key to improving its implementation in the future. Indonesia is yet to embed the REDD+ safeguards framework into national policies and regulations. However, with the MoEF as the authority in forestry now coordinating REDD+ policies through its DG of Climate Change, such mainstreaming of safeguards would likely be easier to accommodate.

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[2] For more information, see *A Country-Led Safeguards Approach: Guidelines for National REDD+ Programmes,* published by SNV, REDD+ Programme
[3] From *Perkembangan REDD+ dan Safeguards dari Bali sampai Warsawa,* a publication from the Indonesia Center for Environmental Law (ICEL)

3

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

Safeguards Information System for REDD+ in Indonesia
Moving towards an Operational SIS-REDD+

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

Safeguards are not new in forest management and forest products, both at local, national and international levels. Various policies, regulations, and practices have been created to ensure activities in forests and other landscapes have minimum negative impacts on local communities and the environment. To design a system specifically to provide information about the implementation of safeguards in REDD+ activities as mandated in the UNFCCC's decision, then Ministry of Forestry/Pustanling started a multi-stakeholder process in early 2011. The initiative was funded by the Ministry and the German Government through the FORCLIME program of Deutsche Gesellschaft für Internationale Zusammenarbeit (GIZ).

This multi-stakeholder approach brought together various groups to do the following:

- Analyse existing policies and instruments to evaluate their relevance to the Cancun safeguards;
- Using the results of analysis of existing instruments, translate Cancun safeguards into the national context with the appropriate principles, criteria and indicators;
- Identify the most suitable structure and mechanism for the REDD+ safeguards information system in Indonesia and draft the institutional design for SIS-REDD+; and
- Determine and develop assessment tools for safeguards implementation in SIS-REDD+ in Indonesia.

The engagement with various stakeholders in the iterative process of SIS-REDD+ development has proven to be an effective and acceptable approach for broader groups of REDD+ actors in Indonesia. It promotes transparency and participation and increases the confidence of the diverse stakeholders in the system, as well as a sense of ownership and acceptance. This approach also ensures that the outputs fit within the national and sub-national contexts and can be applied effectively.

Table 1 Overview of instrument relevance and coverage of safeguards against Cancun safeguards

Instrument*	NFP/Conventions	Good governance, sovereignty	Respect for indigenous peoples	Stakeholder engagement	Biodiversity, forest, ecosystem services	Permanence of carbon	Leakage of carbon	Mean Score	Rank
PHPL/SVLK	2	2	2	2	2	1	1	1.7	6
SFM	3	3	3	3	2	2	1	2.4	1
KLHS	2	3	3	3	2	2	2	2.4	1
AMDAL	2	2	1	2	2	2	1	1.7	6
HCV	2	3	3	3	3	2	1	2.4	1
FPIC	3	1	3	3	2	1	1	2.0	4
SESA	2	1	2	3	3	1	1	1.9	5
Overall Coverage (mean score)	2.3	2.1	2.4	2,7	2.3	1.6	1.1		

*Sustainable Production Forest Management (Pengelolaan Hutan Produksi Lestari, or PHPL)/System for Verification of Timber Legality (Sistem Verifikasi Legalitas Kayu, or SVLK); Sustainable Forest Management certification (SFM); Strategic Environmental Assessment (Kajian Lingkungan Hidup Strategis, or KLHS); Environmental Impact Assessment (Analisis Mengenai Dampak Lingkungan, or AMDAL); High Conservation Value (HCV); Free, Prior, and Informed Consent (FPIC); Strategic Environmental and Social Safeguards Assessment (SESA).

The following sub-chapters will elaborate on these processes, which took place between 2011 and 2013.

Analysis of existing forestry-related safeguards instruments

Various policies and regulations exist and have been utilised in Indonesia to address different safeguards aspects. These include the Environmental Impact Assessment (AMDAL), Strategic Environmental Assessment (KLHS), Sustainable Production Forest Management (PHPL), certification for sustainable forest management such as by Lembaga Ekolabel Indonesia (LEI, or the Indonesian Ecolabel Institute) and Forest Stewardship Council (FSC), System for Verification of Timber Legality (SVLK), Strategic Environmental and Social Safeguards Assessment (SESA), and others. These instruments are valuable assets that can be utilised as a basis to build a system to provide information on safeguards in REDD+ that is suitable for Indonesia.

As the first step in the development of SIS-REDD+, then Ministry of Forestry/Pustanling, with the help of consultants and in consultation with stakeholders, assessed and analysed various existing mandatory and voluntary policies and regulations. The evaluation was conducted using the following criteria:

- **Relevance** to Cancun safeguards, particularly on technical feasibility/potential for implementation; potential of effectiveness under ideal conditions; current practices relating to implementation and effectiveness;
- **Limitations in scope** of instruments; and
- **Effectiveness** of instruments at different scales and contexts.

The evaluation results are presented in Table 1. Every instrument was scored against each safeguard discussed at the COP16, and their mean scores across all safeguards were calculated to show overall coverage. The colour coding corresponds to a qualitative assessment of relevance and coverage of the instruments based on this scoring (green = good; yellow = adequate; red = weak).

The assessment shows that overall, existing instruments provide relatively adequate coverage of safeguards 1 to 5. However, safeguard 6

(permanence of carbon) and safeguard 7 (leakage of carbon) were both relatively under-represented within the existing instruments, because neither were specifically developed to address emissions. Most of the safeguards analysed were best at ensuring good governance, respect for indigenous people, and appropriate stakeholder engagement.

In terms of the relevance of existing instruments against the safeguards, voluntary standards of sustainable forest management (SFM, specifically LEI and FSC standards), KLHS, and HCV achieved relatively high scores. These were followed by FPIC, SESA, AMDAL and PHPL/SVLK in order of declining relevance against COP16 safeguards.

With respect to their effectiveness at different scales, existing instruments operate well at the site or project level and less so at broader geo-political scales (see Table 2 for a summary). KLHS and SESA are the exceptions to this as they provide relatively adequate coverage across all levels.

Table 2 Summary of instrument effectiveness at different levels

Instrument	National	Provincial	District	Site
PHPL/SVLK	3	1	1	3
SFM	2	1	1	3
KLHS	3	3	3	2
AMDAL	1	1	1	2
HCV	1	2	2	3
FPIC	1	1	2	3
SESA	3	3	3	3

The evaluation also shows that gaps in the effectiveness of safeguards in existing instruments are primarily related to:

- Need for strengthened implementation of existing instruments;
- Need for additional regulations to guide consistent implementation of existing instruments;
- Need for strengthened systems to monitor impacts of instruments;

- Divergence in capacity/expertise at provincial/district level compared to national level; and

- Absence of an over-arching framework to coordinate the metrics and reporting standards of diverse instruments and their actors at national to project site scales.

Development of Principles, Criteria, and Indicators (PCI) and Assessment Tools (APPS)

The evaluation of existing mandatory and voluntary instruments in Indonesia marked the beginning of then Ministry of Forestry/Pustanling's efforts in collaboration with various stakeholders to formulate the appropriate Principles, Criteria, and Indicators (PCI)[4], as well as the appropriate information system, structure, and flow for SIS-REDD+.

To draft the initial design of PCI, the steps included:

1. Identifying and prioritising elements contained in existing instruments relevant to safeguards guidelines as defined by the COP16 Decision. Based on previous evaluation, existing instruments found to be of high relevance and effectiveness were broken down into their respective elements to see which could be connected to one or several of the Cancun safeguards. The elements derived were arranged in accordance with the relevant Cancun safeguards.

2. Identification of clusters of elements or "common denominators". The elements extracted from existing instruments were then arranged according to theme to identify major clusters responding to similar principles. This provided an opportunity to assess whether particular themes were insufficiently supported by these elements.

3. Linking the emerging element clusters to safeguard in COP16 Decision. During this stage of the analysis, the clusters of common denominators are considered to reflect emerging "Principles" and were mapped against the seven Cancun safeguards. Where possible, it was attempted to align a single principle to each of the major safeguards.

4. Mapping elements into a PCI framework and referencing back the PCI to the original instruments. After the identified major principles aligned to the seven Cancun safeguards, the elements were reconstructed to form related criteria and related indicators. These criteria and indicators are referenced back to the original instruments from which they were derived.

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[4] For more details on the evaluation of existing instruments and the process to develop PCI, please read and download *Principles, Criteria, and Indicators for a System for Providing Information on REDD+ Safeguards Implementation (SIS REDD+) in Indonesia* at www.sisredd.dephut.go.id

Additional consultations were conducted at this stage with the initiators of various existing instruments that were analysed. This validation was needed to ensure that the relevant instruments had been interpreted sufficiently and the indicators generated were comprehensive, realistic, and fit the instrument's objectives.

The PCI formulation was conducted through extensive consultation with safeguards and REDD+ stakeholders to gain technical and regulatory inputs to ensure that the PCI fit the Indonesian context. Nine public consultation events, including national workshops and focus group discussions, and a number of interviews were held with various stakeholders between 2011-2012. The long consultative process resulted in several revisions to the initial design, such as the grouping of existing elements and mapping them back into the PCI framework.

Eventually, 7 principles, 17 criteria and 32 indicators were formulated as the basis of the information provision system in SIS-REDD+. Table 3 compares the seven principles in SIS-REDD+ with the Cancun safeguards.

Under the reporting process, SIS-REDD+ requires REDD+ implementers to independently assess and report safeguards implementation. This is intended to promote transparency and accountability from the site level. To assist this process, the MoEF has formulated the Safeguards Implementation Assessment Tool (APPS) under the principles of simplicity, transparency, accountability, completeness, and comparability. The APPS provides a checklist of documents required as evidence of safeguards implementation in REDD+ activities. It is provided along with the complete PCI under SIS-REDD+ in Annex and can be downloaded on the SIS-REDD+ website (http://www.sisredd.menlhk.go.id).
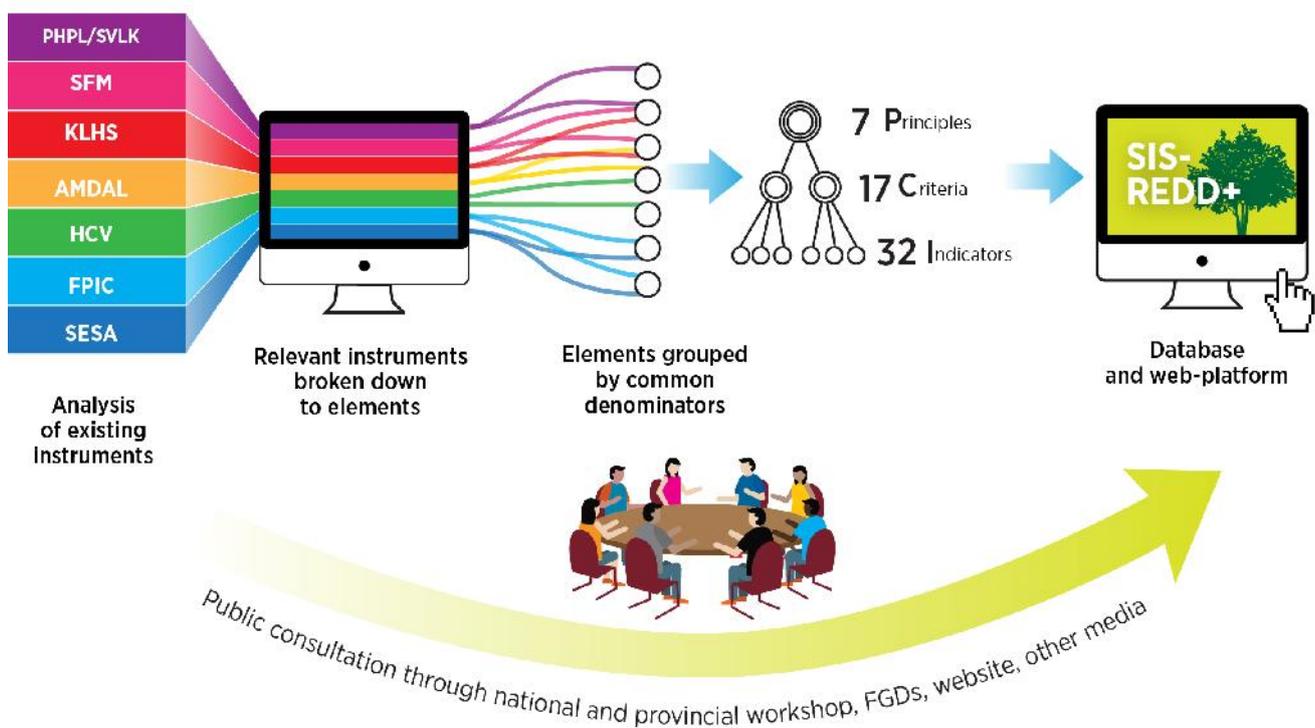
Figure 4 The development of PCI for SIS-REDD+

Table 3 Summary of principles in SIS-REDD+ and their relation to safeguards in COP16 decision

Safeguards in COP16	Principle in SIS-REDD+
Actions complement or are consistent with the objectives of national forest programmes and relevant to international conventions and agreements.	**Principle 1. Legal compliance and consistency with national forest programs.** REDD+ activities shall comply with government regulations and nationally ratified international conventions/agreements and shall be consistent with the objectives of national forest programs.
Transparent and effective national forest governance structures, taking into account national legislation and sovereignty.	**Principle 2. Transparency and effectiveness of national forest governance.** REDD+ activities at all scales and contexts shall contribute to transparent and effective forest governance in accordance with national sovereignty.
Respect for the knowledge and rights of indigenous people 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.	**Principle 3. Rights of indigenous and local communities (*masyarakat adat dan lokal*).** REDD+ activities shall respect indigenous and local communities' rights through actions appropriate to the scale and context of implementation.
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 decision 1/CP. 16.	**Principle 4. Effectiveness of stakeholder participation.** 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.
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.	**Principle 5. Conservation of biodiversity, social and environmental services.** REDD+ activities will include effective strategies that maintain, conserve or restore biodiversity and ecosystem services for social and environmental benefits.
Actions to address the risks of reversals.	**Principle 6. Reducing risk of reversals.** REDD+ activities shall seek to reduce risks of reversals through means appropriate to the scale and context, emphasising sub-national action and national level policy initiatives.
Actions to reduce displacement of emissions.	**Principle 7. Reduction of emissions displacement.** 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.

Institutional structure in SIS-REDD+

SIS-REDD+ aims to gather, process, analyse, and present necessary information on how safeguards are managed and respected in REDD+ activities. To ensure efficiency in data collection, an institutional structure and distribution of tasks and responsibilities from the site to national level has been established for the information system, as described in Figure 6. After the restructuring of the ministries and climate change efforts in Indonesia, the responsibility to further develop, implement, and manage SIS-REDD+ has been transferred from Pustanling, under the previous Ministry of Forestry, to REDD+ Division at the Ministry of Environment and Forestry (MoEF).

The administrator of data and information on safeguards implementation at the smallest institutional unit (PDIS *Tapak*) is the REDD+ activity implementer, who will conduct a self-assessment about its project by filling in a checklist prepared by the REDD+ Division under the DG for Climate Change at the MoEF and provide required documents. PDIS *Tapak*, or 'users', will update the data about safeguards implementation at the site level periodically and submit them to the SIS management at the sub-national level, i.e. district or province (District/Provincial PSIS or PSIS *Kab/Prov*, also called PSIS *Sub-Nas*). PDIS *Tapak* is also in charge of preparing information for the public about safeguards implementation at the site level in a language that is easy to understand, establishing a grievance mechanism, as well as opening communication channels with stakeholders and disseminating information.

PSIS at the sub-national levels, both PSIS Province and PSIS District, act as clearing houses that collect, verify, consolidate, process, and store data from PDIS *Tapak*. The consolidated information will be reported regularly to the national level and made available for public. PSIS *Sub-Nas* is also tasked to provide guidance for the development of information system and database at the lower levels.

The SIS Management Agency at the national level (PSIS *Nas*), whose tasks are currently conducted by the MoEF's REDD+ Division, works to design and maintain the system, and acts as administrator and

manager. Verified data and information that come in stages from the smallest unit through sub-national managers will be managed and presented by PSIS *Nas*, which will also update the data periodically. PSIS *Nas* is also responsible for storing the data at the national level and making the information on safeguards implementation available for the public. PSIS Nas will prepare a summary of REDD+ safeguards implementation information to be integrated by the MoEF, as Indonesia's focal point, into the National Communication and/or Biennial Update Report for further submission to the UNFCCC. As a national agency, PSIS Nas will give guidance and facilitate the development of safeguards information system at the sub-national level, including issuing standards, operational procedures, reporting mechanisms and other technical guidelines for implementation.

SIS-REDD+ has also been designed to be open to inputs from various stakeholders. Therefore, SIS management bodies at sub-national and national levels can work with independent third parties. A Multi-Stakeholder Forum or Institution (L/FMP) can be established as necessary with members including representatives from the government, indigenous peoples, the private sector, NGOs, universities, and community leaders. L/FMP serves as a point of communication and coordination between related agencies, provides regulatory recommendations, becomes the contact centre for complaints related to the implementation of REDD+ safeguards, and conducts awareness-raising and education programs.

It is important to note that the management agencies and safeguards information system on REDD+, both at the sub-national and national levels, do not necessarily have to be new institutions. PSIS can also utilise existing agencies and systems by strengthening the capacity and infrastructure needed to implement SIS-REDD+ efficiently.

Information flow in SIS-REDD+

In SIS-REDD+, the provision of safeguards implementation information is designed to be delivered through the levels, from the project on site to the SIS management in districts, then to the

Figure 5 Institutional structure and information flow in SIS-REDD+
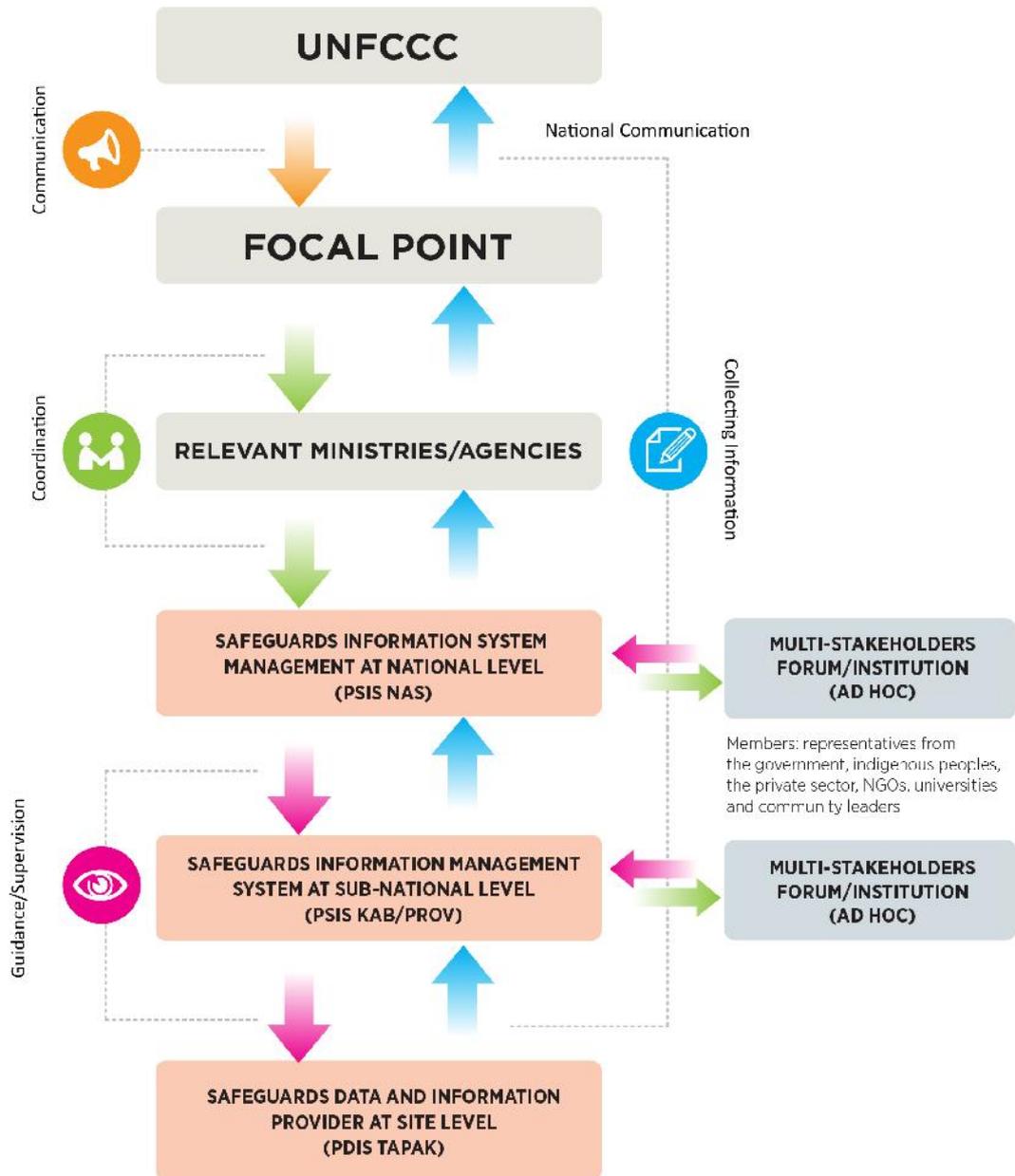
provinces, and finally to the national level. However, because REDD+ as a mechanism is still being developed, both at global and participating-country levels, the provision of safeguards information for the mean time will also be conducted in stages, in line with the capacity, resources, and phase of REDD+ development. During the readiness and preparation phases, this information will be submitted directly by REDD+ implementers to the SIS manager at the national level. When REDD+ is fully implemented, the information will be submitted from one level to the next, as designed for SIS-REDD+. If REDD+ activities are conducted in conservation forests

managed by the central government, the reports can be submitted through these levels or directly to the national level.

To promote transparency and ease access to safeguards information provided in SIS-REDD+, two components have been built to support each other:

• A database to **manage data and information** on safeguards implementation; and

• Web-platform **present and display the information** on safeguards implementation.

Figure 6 Web-platform currently developed for SIS-REDD+
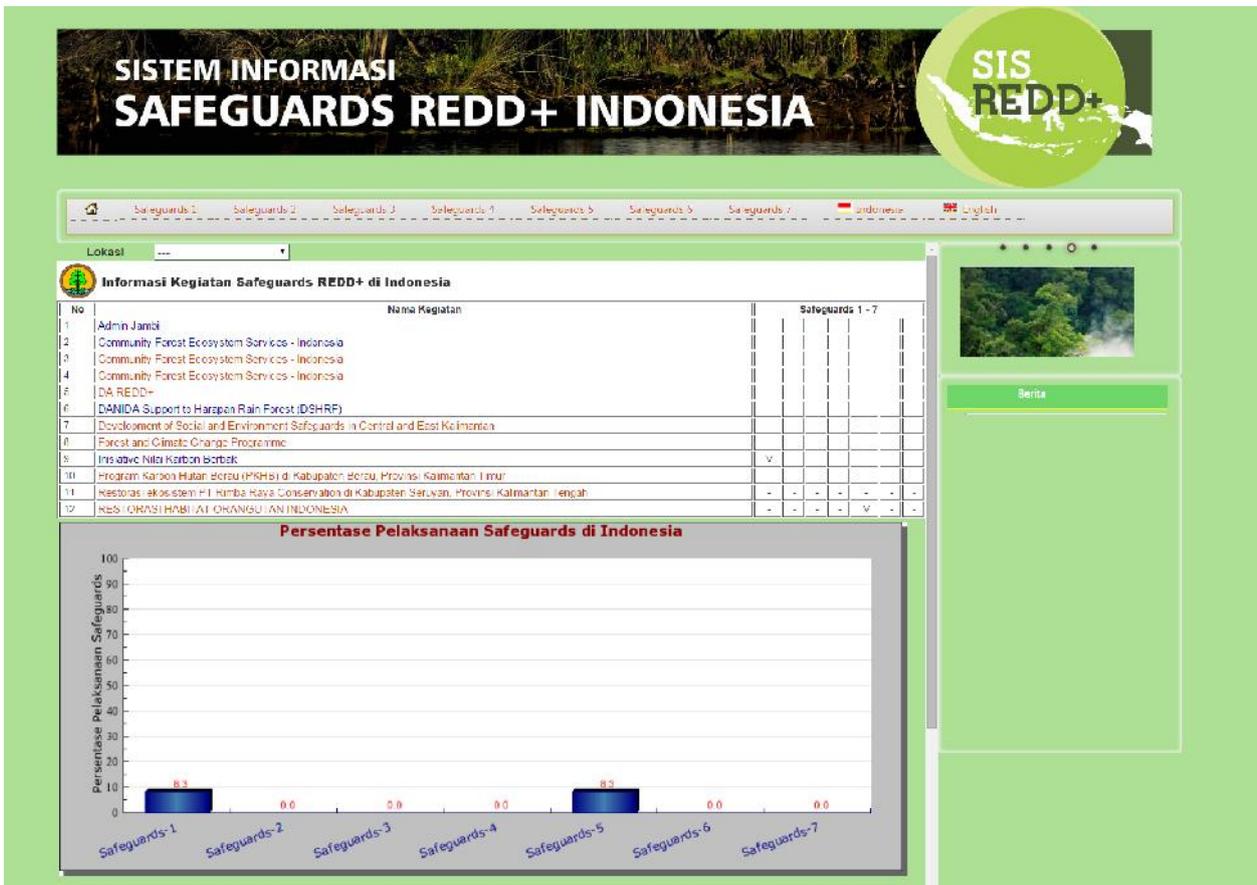
On this website, REDD+ implementers will need to register as users to be able to report information on safeguards implementation in their activities. The users will fill out forms and checklists prepared by the REDD+ DIvision at MoEF as part of the APPS and include short descriptions about the implementation of safeguards. On this platform, users can also upload electronic documents as evidence of safeguards implementation. PSIS at the relevant level will verify the documents and fill out relevant columns to confirm the verification process upon completion. Only verified information will be displayed on the website and be accessible by public. When a user's classified information needs to be provided as evidence for safeguards implementation, they can make a special note to the PSIS to request that the documents not be published online.

The website is designed not only to provide information on safeguards implementation under REDD+, but also data on REDD+ activities, such as project names, locations, implementers, partners, duration, and scope of activities. By collecting more data, the website may eventually be able to provide a summary of REDD+ activities in Indonesia in general, for example in form of maps, both national and provincial, graphics, and related news.

As there are already several forestry database and information systems, the REDD+ Division at MoEF is also considering the possibility to connect the SIS-REDD+ web-platform with other forestry instruments that have safeguards elements relevant to REDD+. As a systematic framework in collecting and presenting information, SIS-REDD+ has the potential to help other frameworks, such as FLEGT and the Information System for Forest Product Management (SI-PUHH), in collecting data and documents.

Aside from the web-platform as the main point of access for information on REDD+ safeguards, in places without reliable internet access, PSIS can use other communication channels to reach the public, such as routine publications or announcements at local government offices.

Other safeguards-related processes in Indonesia

In line with the preparation for REDD+ implementation and the development of REDD+ elements, a number of stakeholders have rolled out various REDD+ safeguard initiatives. Principles, Criteria and Indicators of REDD+ Safeguards in Indonesia, or PRISAI, was developed by the REDD+ Task Force, whose work was carried over to the REDD+ Agency. **PRISAI** was initially designed as a framework to filter, monitor, and evaluate REDD+ activities at the project and jurisdiction level. Elaborating the Cancun safeguards, PRISAI added three more principles to fit the Indonesian context to a total of 10 principles, 27 criteria, and 97 indicators that focus not only on social and environmental aspects but also on finance and fiduciary. PRISAI has been tested in several sites in East Kalimantan, Central Kalimantan, and Jambi provinces.

Another initiative that has made sufficient progress is the REDD+ Social and Environmental Standards, or **SES**, developed by the Climate, Community & Biodiversity Alliance (CCBA) and CARE International, in collaboration with the REDD+ Working Group of East Kalimantan Province in Indonesia and Lembaga Ekolabel Indonesia (LEI) as a national certification agency, with funding from the Clinton Climate Initiative. SES began to be developed as a participatory and multi-stakeholder initiative in 13 countries since May 2009. Under SES, safeguards are based on the key forest governance issues faced by the provincial government, and in Indonesia the framework has been adapted and piloted for East Kalimantan and Central Kalimantan provinces. SES outputs will contribute to the implementation of SIS-REDD+, particularly in providing support at the sub-national level and linkages to SIS-REDD+ at the national level.

The Participatory Governance Assessment (**PGA**) is another multi-stakeholder safeguards-related initiative that was led by the UN-REDD Programme. PGA aims to inform policy-making by providing regularly updated and robust governance information accompanied by recommendations. The framework consists of 4 aspects/principles, 3 criteria/variables, and 32 indicators and has been piloted in 2012 and 2014 at the national level as well as in several provinces and districts.

The variety of safeguard frameworks is inevitable in Indonesia, where forest conditions and economic growth vary across the country and the people and cultures are diverse. As such, the development of more than one framework assists the government and REDD+ implementers in improving the performance of REDD+ safeguards, particularly at the sub-national and project level, where PRISAI, SES, and PGA are intended to be used. These safeguard frameworks are currently being trialled and improved for better coherence and linkages with SIS-REDD+ and to feed information of their implementation into SIS-REDD+ in the future.

4

Lessons learned from SIS-REDD+ development

Safeguards Information System for REDD+ in Indonesia
Moving towards an Operational SIS-REDD+

4 Lessons learned from SIS-REDD+ development

Since its inception, SIS-REDD+ has been designed to build upon existing instruments and systems as well as the collective knowledge from various stakeholders while accommodating the diverse conditions in 34 provinces and hundreds of districts/cities in Indonesia. As such, the development of Principles, Criteria and Indicators (PCI), the assessment tool (APPS), and SIS-REDD+ institutional structure was conducted through extensive consultation processes throughout 2011-2013, and supported by analysis from consultants to help expedite it.

Aside from consultation, SIS-REDD+ also benefited from several exercises that have been conducted at the national and provincial levels, which specifically highlighted iterations that would need to take place to achieve effective operationalization of SIS-REDD+. This learning-by-doing approach allowed the system to be continuously improved.

National levels

As part of a series of activities after the initial development of PCI, institutional structure, MoEF and its partners introduced the web-based SIS-REDD+ and tested PCI and APPS at the national level in May 2013. The stakeholder communication processes and exercises have the following objectives:

• Share information with stakeholders on the latest status of the development of a System to Provide Information on REDD+ Implementation (SIS-REDD+) in Indonesia, which was initiated by Pustanling.

• Exercises of REDD+ safeguards PCI and APPS at REDD+ projects or demonstration activities in relation to providing information in SIS-REDD+.

• Gain inputs on the presentation of a summary of information on REDD+ safeguards implementation in Indonesia to submit to UNFCCC as part of the National Communication document.

Through the forum, MoEF also intended to receive inputs on the suitability of PCI and APPS and how the information system could be made operational. The workshop was attended by around 80 participants, including REDD+ Demonstration Activity implementers, representatives from regional institutions established to implement REDD+, related government agencies, academics, practitioners, and climate change researchers.

The development, piloting, and operationalization of SIS-REDD+ at the national level provided many lessons learned, namely:

• Existing policy and regulatory instruments and best practices, such as AMDAL, SVLK, KLHS, and SFM, are very helpful in translating global REDD+ safeguards guidelines into the national context.

• The availability of safeguard information in the forestry sector varies according to the principles and levels of implementation. For example, social safeguards are more available than governance safeguards at the site or local level.

• Different actors hold different responsibilities in ensuring that certain safeguards are in place. While REDD+ implementers are responsible for implementing social and environmental safeguards, the policy frameworks established by other actors, such as the national and sub-national governments, determine their adherence to governance safeguards.

• It is crucial to involve stakeholders from the beginning of concept and system development to the trial and implementation, even if it takes significant time and resources. Such an involvement will create a sense of belonging and acceptance and ensure that the outputs fit within the national and regional contexts and can be applied effectively. The multi-stakeholder process will also assist the harmonisation in the future with other REDD+-related safeguards initiatives, such as SES, PRISAI or SESA.

• The development of REDD+ safeguards and the information system is an iterative process that benefited from inputs from all stakeholders and

Figure 7 Timeline of SIS-REDD+ development, consultation, trial, and operationalisation

SIS-REDD+ is operational

2015

MAY 🚩
MoEF restructuring completed, with new DG of Climate Change and REDD+ Division

FEB 🚩
MoEF absorbs the roles and responsibilities of BP REDD+ and DNPI

OCT 🚩
The establishment of the new Ministry of Environment and Forestry (MoEF)

2014

DEC. 🌐
COP19: UNFCCC decision on safeguards information as a requirement for REDD+ payment.

MAY ⬤
FGD and trial of SIS-REDD+ assessment tools (APPS) in Jambi province

JULY ⬤
FGD: development of SIS-REDD+ in East Kalimantan province

SEP 🚩
Data from SIS-REDD+ used in Indonesia's official submission to UNFCCC

2013

DEC. ⬤
Socialisation for the development of SIS-REDD+ and trial of assessment tools in Jambi

JULY 🚩
Development of a database system and web-platform for SIS-REDD+ commences

MAY 🚩
Public consulation and trial: PCI and assessment tools (APPS) for SIS-REDD+

NOV. 🚩
Publication on PCI in SIS-REDD+

MARCH 🚩
FGD: PCI in SIS-REDD+, synergy with other initiatives

APRIL 🚩
FGD: PCI in SIS-REDD+

MAY 🚩
FGD: PCI in SIS-REDD+

JULY 🚩
Public consultation: PCI in SIS-REDD+

2012

JAN. 🚩
Public consultation: Design for structure, information flow, and institutions

DEC. 🌐
COP17: UNFCCC decision on the principles of safeguards information systems

NOV. 🚩
FGD: Results of analysis and mapping of safeguards in existing instruments

SEP. 🚩
FGD: Following up prior public consultations

2010

2011

DEC. 🌐
COP16: UNFCCC decision as international guidance for the development of safeguards in REDD+

FEB. 🚩
Development of SIS-REDD+ commences

MARCH 🚩
Public consultation: Translating safeguards into the Indonesian context

JUNE 🚩
FGD: Structure, mechanism, and institutions for SIS-REDD+

👥 Stakeholder engagement   ✏️ Concept/decision   ⚙️ Trial   🌐 International   🚩 National   ⬤ Sub-national

a learning-by-doing phase. It is crucial to ensure that the process has the space for continuous improvement, particularly as the safeguards framework is tested on the ground. This will allow the process to be not only top-down, but also bottom-up.

- The status of SIS-REDD+ and its management institutions should be established formally and legally, with a strong regulation umbrella, to provide the bodies with the authority to collect data and ensure that sufficient resources and infrastructure can be made available.

- SIS-REDD+ can be used to bridge safeguard interests at the international level with the local/national level by internalising global guidance within existing systems and mechanisms in Indonesia. SIS-REDD+ can also use the existing processes in Indonesia to boost negotiation and implementation of REDD+ safeguards at the international level.

- Global institutions and donors that have or are currently developing their own safeguard 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, such as FLEGT, in gathering the documents and data that they need, thereby boosting efficiency.

Sub-national levels

Indonesia has 34 provinces and about 17,000 islands, with highly diverse forest conditions, local policies, and communities. Designed not only to accommodate this diversity, SIS-REDD+ has also been developed as a multilevel information system to promote transparency at all levels of REDD+ implementation. As such, the development and trials of SIS-REDD+ at the sub-national levels are crucial to ensure that the system can operate efficiently.

A number of activities have been conducted in collaboration with partners and local governments since 2013 to gain feedback from various stakeholders on developing SIS-REDD+ at the sub-national levels, installing trial systems, and improving the capacity of regional technical staff. Jambi and East Kalimantan provinces were selected to be part of the trials because of the commitment of the local governments to REDD+ and the availability of a REDD+ Strategy and Action Plan (SRAP). These provinces are home to relatively vast forest areas with incredible biodiversity and environmental services, but they also face tremendous growth pressure, for example in the agriculture and mining sectors. According to the latest data from the Ministry of Environment and Forestry, there are at least eight active REDD+ Demonstration Activities in Jambi and East Kalimantan.

Figure 8 Stakeholder communication with key stakeholders on SIS-REDD+ development in Jambi province

Jambi Province

Forests and REDD+ in Jambi

Jambi is home to forested areas comprising nature reserves, protection forests, and production forests, with a total of 2.1 million hectares, or 43 percent of its landmass. There are four National Parks (TN) in this province, including TN Kerinci Seblat, TN Bukit Dua Belas, TN Bukit Tiga Puluh, and TN Berbak. Jambi still has primary forests and peatland areas, which play important roles in storing carbon and maintaining high biodiversity. These resources are threatened by the impacts of climate change and economic growth pressure, including in the agriculture and forestry sectors.

The provincial government realises the importance of forests as a life support system and capital to promote economic growth. Jambi Province established the *Program Menciptakan Kesejahteraan Rendah Emisi Karbon 2032* (Program to Create Low-Carbon Welfare by 2032), also known as *Pro Cipta Karbon Jambi 2032*, to become an umbrella guideline for emission reduction efforts in the province. To support good forest management, the Jambi Government has issued policies including:

• Maintain 20% of Industrial Plantation Forests (HTI) as natural forests;

• Not issue any recommendations for new permits on primary forests and peatlands;

• Give opportunities to communities living inside and around forests to manage the resources through the development of Village Forests, Community Plantation Forests, and partnership schemes; and

• Establish a Regional Technical Implementation Unit (UPTD) called Forestry Information Services Agency (*Balai Pelayanan Informasi Kehutanan* - BPIK), which provides information on forestry on its website, which the public can access, to support good forest governance.

Jambi has also been selected as one of nine pilot provinces for REDD+ in Indonesia. In 2013, the provincial government showed their commitment to reduce emissions from deforestation by issuing the province's REDD+ Strategy and Action Plan (SRAP Jambi) for the next two decades. According to the

Ministry of Forestry's records, there are two REDD+ demonstration activities that are still active in the province.

Stakeholder communication and SIS piloting in Jambi

Pustanling, supported by GIZ/FORCLIME, and working together with the Jambi provincial government, has conducted several activities to collate inputs from different stakeholders. The consultation and trial activities included:

• Workshop on the socialisation of SIS-REDD+ and stakeholder communication in Jambi on 10-11 December 2013; and

• Exercise of SIS REDD+ assessment tools in Jambi on 13-14 May 2014, consisting discussions with stakeholders and technical assistance on the operationalization of the web-based SIS-REDD+ for Jambi Forestry Agency, particularly BPIK.

BPIK is an extension of the Forestry Information Centre that was established in Jambi in 2006 as a part of a trial to implement good governance under a partnership between the Ministry of Forestry and European FLEGT Indonesia Support. As a permanent institution, BPIK has supporting facilities and infrastructures, including a building, office equipment, website (http://www.infokehutanan.jambiprov.go.id), and staff that manage its operations. BPIK has been disseminating information on forestry in the province, including promoting forestry products, providing updates on hotspots, and offering information on the cultivation of medicinal plants. After the FLEGT project ended in 2008, the regional government of Jambi province provided the funding to keep BPIK operational.

Because BPIK is an established agency with clear and permanent functions, it was selected to act as the PSIS/PDIS *Sub-Nas* for the province in the piloting. The availability of a permanent institution will go a long way in ensuring the sustainability of the REDD+ safeguards management at the province level. To assist in the development of a safeguards information system in Jambi, Pustanling provided guidance/supervision for the collection of data and information on safeguards implementation for

REDD+ activities in Jambi.

Consultation with BPIK shows that the agency faces multiple challenges in performing its current tasks to provide information on forestry, including limited funding, limited authority, and lack of attention and participation from various stakeholders. These issues would have to be addressed if BPIK was to be the PSIS Prov for Jambi in the future. However, BPIK also shows a lot of potentials as PSIS Prov. To collect more information, BPIK is also looking to connect its website to all districts and agencies with forestry-related data, and make it accessible to the public.

The exercises also included a demonstration by Komunitas Konservasi Indonesia-WARSI (KKI-WARSI, or Indonesia Conservation Community) and Berbak National Park/Balai TN Berbak, as implementers of REDD+ activities in the province, on how they would provide information on safeguards implementation at the site level by using the APPS prepared by Pustanling. The simulation, where KKI-WARSI and Balai TN Berbak acted as PDIS Tapak, showed that the users did not report all activities that could be considered as safeguards and that progress in safeguards implementation varied across sites. This highlights the need for detailed guidelines on how to use the APPS, particularly the checklists prepared to show documents needed as evidence of safeguards implementation.

East Kalimantan Province

Forests and REDD+ in East Kalimantan

In 2012[5], East Kalimantan was estimated to have 14 million hectares of forests with a regional GDP per capita that was the second highest in Indonesia, thanks mainly to the ample natural resources found in the province. The conversion of forests into mining areas, plantations, and industrial forest plantations, have made East Kalimantan the third largest emission producer in Indonesia.

To respond to concerns about climate change, the East Kalimantan provincial government formed its REDD+ working group in 2010. One of the working group's tasks was to work with the East Kalimantan Development Agency (Bappeda) to draft the REDD+ Provincial Strategy and Action Plan (SRAP). This document complemented a Provincial Action Plan to Reduce Greenhouse Gas Emissions (RAD-GRK) that was formulated earlier, and mandated the preparation for a safeguards system as one of the requirements for effective implementation of REDD+. Currently, there are at least six active REDD+ demonstration activities in East Kalimantan.

Although the East Kalimantan government has yet to specifically develop or adopt special tool for safeguards in REDD+ projects in their jurisdiction, various institutions and organisations have piloted safeguards frameworks in the province. Lembaga Ekolabel Indonesia, supported by the Clinton Climate Initiative, for example, has organised public consultation events for the REDD+ Social and Environmental Safeguards (SES) that they are developing. The REDD+ Task Force, whose work was continued under the REDD+ Agency until early 2015, had piloted PRISAI, a REDD+ safeguards framework that they developed, in West Kutai and Berau Districts. These pilots were conducted with Lembaga Prakarsa Borneo and the Center for Social Forestry, an institution under the Mulawarman University.

Pustanling, as the institution that initiated the development of SIS-REDD+, saw the potential and commitment of East Kalimantan to implement REDD+ safeguards at the sub-national level. Consultation events with main stakeholders in East Kalimantan were conducted in mid 2014 as the first step of the trial in the province.

Stakeholder communication and SIS piloting in East Kalimantan

Recent activities conducted in East Kalimantan included focus group discussions (FGDs) in 2014 and a gap analysis for the implementation of REDD+ safeguards in the province and four districts in the second half of 2015. The FGDs in Samarinda, East Kalimantan, on 21 and 22 July 2014 was attended by various stakeholders, from the government, including

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[5] Latest available data before the province was divided into East Kalimantan and North Kalimantan provinces

the REDD+ working group, NGOs, academics, and the private sector. The following points were discussed:

- Institutional structure for PSIS Prov and the compliance of legal requirements;
- Interrelatedness with different safeguards frameworks at the national level (for examples between SIS-RED+, PRISAI, and SES); and
- Human resources and technical capacity needs, as well as operational procedures and reporting protocols.

Discussions on the institutional structure dominated the FGD. One alternative that was considered was the possibility to integrate SIS into district- and province-based forestry information systems (PFMIS/DFMIS) that are currently being developed for East Kalimantan with the support from GIZ/FORCLIME. This option will utilise the existing technical infrastructure and institutional capacity (such as Information and Documentation Management Officer/PPID), as well as existing or under-development reporting mechanisms.

From August to October 2015, a gap analysis for the implementation of REDD+ safeguards in East Kalimantan at the provincial level as well as in four districts was carried out. Through document analysis and interviews, the study considered perspectives related to legal, development planning, forestry, plantation, and the environment. Elements that were analysed and measured against the seven Cancun safeguard principles included policies and institutions, as well as implementation readiness for REDD+ safeguards. Recommendations would suggest actions for the provincial and district governments in East Kalimantan to take to proceed with their implementation of REDD+ safeguards.

Lessons learned from the sub-national levels

The consultations with stakeholders, the pilots and exercises at the sub-national levels have started to provide valuable lessons for the development of SIS-REDD+ in the future. Diversity between regions, a key factor that has been and continues to require attention in the development of the safeguards frameworks, is very apparent, as shown on Table 4.

Several lessons learned that emerged from these activities at the sub-national level include:

- A formal institution is necessary to be established or appointed to serve permanently as SIS management at district/provincial level to ensure clear distribution of responsibilities and the sustainability of the information system. It does not necessarily need to be a new institution – it could utilise existing agencies and strengthen their capacity.

Figure 9 Stakeholders work together to develop a roadmap to establish SIS-REDD+ in East Kalimantan province

- 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 regional level (PSIS Kab/Prov), who are responsible to consolidate and verify data, as well as REDD+ implementers (PDIS Tapak), who are expected to supply the information and necessary documents.

- The sub-national SIS has the potential to be developed as one element of a broader Forest Management Information System (FMIS), which is currently addressing aspects including sustainable forest management (SFM), good forest governance (through FLEGT), and biodiversity conservation. A combined approach of human capacity development and procurement of sufficient technical infrastructure will be needed on district and provincial levels.

Table 4 Comparison of elements in Jambi and East Kalimantan provinces

Elements	Jambi	East Kalimantan
Institutional framework	BPIK, which has been an UPTD since 2009, is a permanent formal institution	PPID is on an adhoc basis in providing services for the Forestry Agency. Although it is yet to be a UPTD, the East Kalimantan government is committed to have a specific institutional framework.
Level of cooperation with REDD+ stakeholders	High	High
Other REDD+ safeguards initiatives which were piloted	PRISAI	PRISAI, REDD+ SES
Number of information management staff	8	3 IT specialists and PPID team
Technical capacity of staff related to IKM, IT	Limited	Limited. Some technical training on forest management information system development (FMIS) has been conducted. SIS-REDD+ may become a key element in the FMIS.
IT infrastructure	Basic equipment	Basic equipment, including LAN infrastructure, server, website and planned data management system
Available fund for SIS development	Low (but Bappeda indicated the possibility of increasing support)	Middle to high (if SIS is integrated into PFMIS/DFMIS)
Internal information and reporting mechanism	No clear procedure	No clear procedure. Some reporting mechanisms related to FMIS development have been set up, but not formally installed yet.
External information and reporting mechanism	No clear procedure	No clear procedure
MoU with Pustanling	MoU is available	MoU is not available. Meetings and discussions have been conducted, suggesting that the Forestry Agency become a partner and house SIS-REDD+ development in the province.

5

Way forward: further development and improvement

Safeguards Information System for REDD+ in Indonesia
Moving towards an Operational SIS-REDD+

5   Way forward: further development and improvement

Indonesia has become one of the leading developing countries in building REDD+, including safeguards, and their information provision system is one of the climate scheme's most important elements. Yet, some improvements and preparations required to ensure a sound information system on safeguards that can support a full implementation of REDD+ efficiently.

One of the biggest challenges that SIS-REDD+ faces is how to make and keep the system operational at various levels, i.e. district, province, and national. This will require commitment, particularly from the local governments, to provide the budget, human resources, and other support needed; legal umbrella to affirm and ensure the authority of the management agencies; and support from all stakeholders, including donors, to keep the momentum going.

The following section highlights steps that will be necessary to further develop REDD+ safeguards information systems in Indonesia. These measures are divided into legal and institutional mandate and capacity building.

Legal and institutional mandate

The necessary steps may include:

- Issuing a legal umbrella for the operationalization of SIS-REDD+ in Indonesia. This legal instrument is currently being prepared by the DG of Climate Change at MoEF as part of a full guidance for REDD+ implementation in Indonesia. It will serve as a formal guideline for implementers of REDD+ activities in Indonesia on the provision and reporting of information on how REDD+ safeguards are addressed and respected. The regulation will also define how data and information will be managed in accordance with relevant COP decisions;

- Encouraging and preparing further use of SIS-REDD+ to support the REDD+ Registry System, which is currently being developed by the DG of Climate Change as an element of Indonesia's National Registry System for Climate Change Mitigation Actions;

- Identifying and assessing institutions and individuals as potential members of the Multi-Stakeholder Forum (MSF) at provincial and

district levels; and

- Identifying needs at the national, provincial and district levels to maintain SIS-REDD+.

Capacity building

The necessary steps may include:

- Continuing the implementation of SIS-REDD+, PCI, and APPS in Jambi and East Kalimantan provinces after successful consultation processes with stakeholders and several trials;

- Evaluating and continuously improving the SIS-REDD+ web-platform, keeping in mind the wide disparity of infrastructure and technical capacities in various forested areas across Indonesia;

- Implementing SIS-REDD+ in other provinces and districts, emphasizing the benefits and importance of a REDD+ safeguards information system and securing support from the local government, including commitment and resources for the necessary human resources and infrastructure;

- Identifying ways to utilise other emissions reduction initiatives, such as the Forest Management Unit (FMU, or KPH in Indonesian), and integrate SIS into their activities on the ground and feed information to the national system. These may include defining standard operating procedures (SOPs) and reporting mechanisms for SIS-REDD+ at the district and/or provincial levels;

- Developing models for local capacity building based on identified safeguards needs as well as existing infrastructure and capacity in the respective areas; and

- Fostering further understanding about the relationship and the importance of coherence between SIS-REDD+ and other safeguards frameworks that have been introduced and/ or developed in Indonesia. SIS-REDD+ will function as a clearing house (see Figure 6), to which other, often CSO-led, frameworks could feed complementary information and improve the data available, as well as the main platform to share the information with stakeholders in Indonesia and globally. Lessons learned from the piloting and implementation of these safeguards frameworks will also inform the iterative improvement of SIS-REDD+, particularly at the provincial and district levels.

Figure 10 SIS-REDD+ as a house of information from various safeguards frameworks in Indonesia
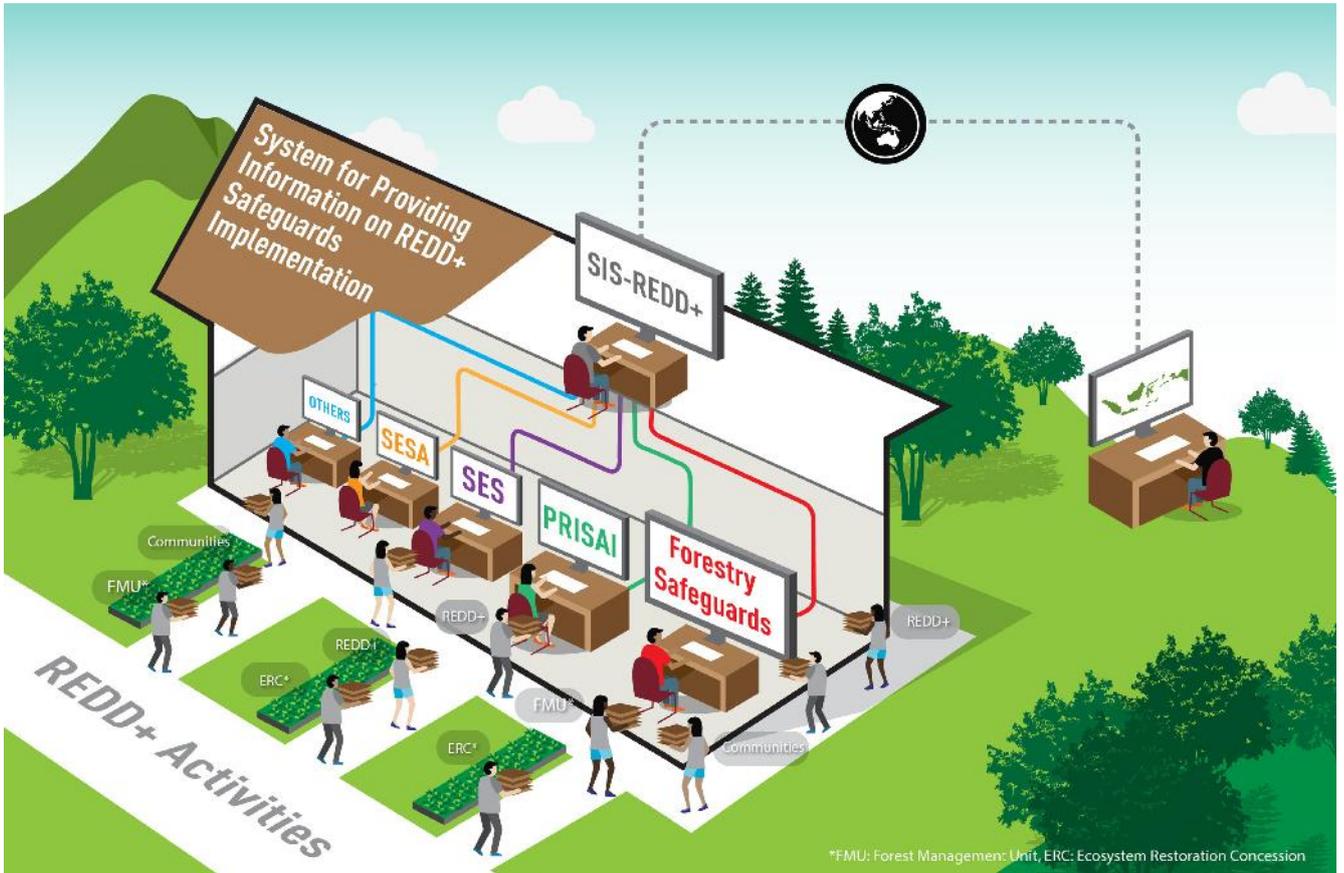
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ANNEX

Annex: Principles, Criteria, and Indicators (PCI), and Assessment Tools (APPS) for System for Providing Information on REDD+ Safeguards Implementation (SIS-REDD+) in Indonesia

1 **Safeguard 1. Actions complement or are consistent with the objectives of national forest programmes and relevant to international conventions and agreements.**

Principle 1. Legal compliance and consistency with national forest programs.
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.	a. REDD+ national/ sub-national strategies.
		b. Planning documents, which address climate change.
		c. Documents on development planning.
		d. Workplans and their safeguards.
		e. Standard Operating Procedures.
		f. Reports: types and period.
	1.2.2 The availability of reports on the implementation of international conventions/ agreement.	a. Reports on activities relevant to international conventions / agreements issues.
		b. Reports on activities relevant to International Conventions/ Agreements at provincial/ district levels.

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].	1.3.1 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.	Report/documents showing that there is no discrimination against any groups whatsoever in terms of access to natural resources, capitals and knowledge in REDD+ implementation.

2 Safeguard 2. Transparent and effective national forest governance structures, taking into account national legislation and sovereignty.

Principle 2. Transparency and effectiveness of national forest governance.
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:Prasyarat1.2;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.

3 Safeguard 3. Respect for the knowledge and rights of indigenous people 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.

Principle 3. Rights of indigenous and local communities (masyarakat adat dan lokal).
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: Criteria 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 peoples 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 showing 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 providing information on benefits made available for community, such as but not limited to: • Capacity building • Institutional strengthening • Improvement of natural resources 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: Criteria 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.

4	**Safeguard 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 decision 1/CP. 16.**

Principle 4. Effectiveness of stakeholder participation.

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	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).
	4.1.3 Documented evidence of planning and monitoring process engaging relevant stakeholders.	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 4.2.1 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.	a. Documents/ letters reporting the complaints of stakeholders (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]	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 Evidence of active use of appropriate procedures or mechanisms for resolving conflicts or grievances. [LEI: S1.4]	a. Official reports on the settlement of complaints / conflicts/dispute.	
	b. Reports on the settlement of complaints/ conflicts /dispute.	
	c. Reference to mediation process (if any) pertaining to conflict resolution.	

5 **Safeguard 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.**

Principle 5. Conservation of biodiversity, social and environmental services.
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: Kriteria 6.2; 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.	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 in HCV]	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.	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.	a. Periodic reports on the implementation of biodiversity management.
		b. Documentation on sensitization on the importance of biodiversity.
		c. Evaluation documents/reports.
	5.2.4 Evidence from remote sensing that REDD+ activities have avoided conversion of natural forests as defined by Indonesian government regulations. [Permenhut No.5/2010; FSC: Criteria 6.9]	a. Maps on changes in forest cover which are in line with applicable regulations/guidelines.
		b. Reports on the results of remote sensing analyses indicating that REDD+ activities do not lead to the conversion of natural/ primary forests.

6 Safeguard 6. Actions to address the risks of reversals.

Principle 6. Reducing risk of reversals.

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.	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.	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.	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.	a. Adaptation plan according to monitoring results.
		b. Evaluation documents/reports.

7 Safeguard 7. Actions to reduce displacement of emissions.

Principle 7. Reduction of emissions displacement.
Recognising that monitoring and reduction of emissions displacement is the responsibility of sub-national (FMU, District, Province) and national governments, 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.	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.	a. Referring to 1.2.1. a, b, c, d: Documents on Reference Emission Level/Reference Level (REL/RL) and targets to reduce or pr event emission or increase carbon
		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.	a. Documents on national and sub-national forest monitoring systems.
		b. [Greenhouse gas emissions] Measurement, Reporting and Verification (MRV) Documents.
		c. Analysis of MRV results that address emission displacement.