

REDD+ Social and Environmental Safeguards Development and Implementation in Indonesia



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REDD+ Social and Environmental Safeguards Development and Implementation in Indonesia

FOREWORD

2015 marks ten years since REDD+ was first raised as an agenda item at the 11th Conference of the Parties to the United Nations Framework Convention on Climate Change, held in 2007 in Bali. Since then REDD+ has moved to the forefront of climate change negotiations and, in several tropical forest countries including Indonesia, to the core of green growth strategies.

Since 2010 when Indonesia's national REDD+ programme was catalysed by the initiation of a strategic partnership with the Government of Norway, the country has made considerable progress in not only defining a vision and strategy for implementing REDD+ but also in integrating those elements within national and sub-national development planning processes. Framed in terms of 'Beyond Carbon, More than Forests', REDD+ is interpreted as an opportunity for Indonesia to develop sustainably and in a way that ensures fair governance, equitable benefit sharing and environmental resilience.

Building the appropriate legal frameworks and institutional preconditions for successful REDD+ implementation requires a robust and comprehensive store of knowledge. It is hoped that this study- and its two related studies- will illuminate issues and inform decisions in such a way that not only contributes to building this store of knowledge, but also brings it closer to the sphere of planning and policy-making.

Bridging the spheres of research and policy is a key element of what UNORCID was created to achieve. The office was established in 2011 through a Memorandum of Understanding between the Republic of Indonesia and the United Nations system, following the government's request for an institution that could ensure coordinated and responsive support to its ambitious REDD+ programme. UNORCID represents an institutional innovation for the UN system, one designed specifically to provide rapid, dynamic support to Indonesia from a highly strategic vantage point from which the resources of the international community- financial, knowledge-based and political- can be coordinated efficiently.

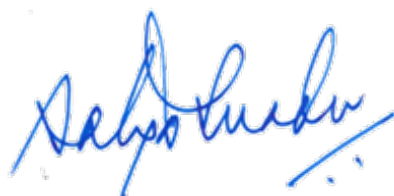
In early 2014, with the support of the UN-REDD Programme, UNORCID initiated a coordinated framework study titled "Beyond Carbon? Exploring Mechanisms for Equitable REDD+ Implementation in Indonesia". The purpose of this initiative was to explore key issues whose resolution would be determinative of Indonesia's ability to implement its vision of REDD+. It was intended that findings be closely linked to policy recommendations, and grounded within prevailing and potential legal and institutional frameworks.

The three separate studies that comprise the framework study are as follows:

1. Community Rights to Forests in Indonesia: A field assessment of community experiences in rights registration
2. REDD+ Social and Environmental Safeguards Development and Implementation in Indonesia
3. The Funding Instrument for REDD+ in Indonesia: Making the Case for Financial Innovation

This study focuses on REDD+ social and environmental safeguards development in Indonesia. In line with the UNFCCC decisions, Indonesia's National REDD+ Strategy clearly stipulates that social and environmental safeguards are an integral part of a functioning REDD+ mechanism. Starting even prior to the publication of this strategy, the REDD+ Task Force, the National REDD+ Agency and the Ministry of Forestry made considerable progress in defining safeguards systems to be applied at a national level. In parallel, independent safeguards systems- imposed by, for instance, multilateral development agencies and banks, NGO and private initiatives and commodity certification schemes- continue to be applied in a patchwork form across the country. This study seeks to facilitate a coherent approach to assessing and managing the proliferation of safeguards systems, and to review relevant initiatives against the benchmark criteria for safeguards defined by the UNFCCC. Gaps and lessons learned from available safeguards systems are identified, focusing on key themes such as FPIC, governance and coordination, accountability and stakeholder participation. Finally, recommendations are provided to guide the further development of REDD+ safeguards in Indonesia, including the improvement of coherence and harmonisation, better information sharing, and efforts to ensure accountability and sustainability in safeguards implementation, including by undertaking a thorough cost analysis.

This publication of this study is timely given the ongoing restructuring of REDD+ within the Government of Indonesia, and it is hoped that its findings and recommendations will provide constructive guidance in support of this process. As Indonesia's progress with REDD+ continues, we intend to pursue further research studies that we hope will be as timely and relevant as this one.



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EXECUTIVE SUMMARY

Context

The Conference of the Parties (COP) to the United Nations Framework Convention on Climate Change (UNFCCC) has taken a number of decisions to encourage developing country Parties to take climate change mitigation actions in the forestry and land-use sectors. These measures relate to 'policy approaches and positive incentives on issues relating to reducing emissions from deforestation and forest degradation in developing countries, and the role of conservation, sustainable management of forests and enhancement of forest carbon stocks in developing countries', known as "REDD+".

The Government of Indonesia has committed to REDD+ as a key component of its strategy to reduce national greenhouse gas emissions by 26 percent compared to a business as usual baseline by 2020. Indonesia is a key REDD+ actor given the size of its tropical forests and its high deforestation rates.

The UNFCCC took a clear position in the decisions taken at the 16th COP in 2010 known as the 'Cancun Agreement'¹ holding that safeguards are an integral part of a functioning REDD+ mechanism. In accordance with UNFCCC requirements, the National REDD+ Strategy of Indonesia requires the implementation and fulfillment of social and environmental safeguards, as well as the development of a system for providing information on how safeguards are addressed and respected.

The Government of Indonesia has undertaken efforts to arrive at principles and a normative framework on social and environmental safeguards that correspond to both stipulations outlined in the Cancun Agreements and Indonesia's national and sub-national contexts. The Government of Indonesia as well as other project proponents are already applying relevant safeguards in pilot projects and other initiatives arising from a number of different safeguards systems.

This report provides a review of social and environmental safeguards that are relevant to REDD+ activities and applicable to the Indonesian context, including identification of gaps and lessons learned, in order to aid in the development and piloting of a normative national framework of safeguards implementation.

1 See Decision 1/CP.16 particularly Section C and appendix I [16th session of the Conference of the Parties to the UNFCCC, Cancun, 2010].



Key Findings

REDD+ continues to evolve in Indonesia. Following the completion of the first phase of the UN-REDD Programme in Indonesia in 2012, several multilateral agencies continue to work on REDD+ activities and to support the Government of Indonesia to ensure REDD+ readiness. Over the past few years, various forest monitoring methodologies have been developed and tested, forest data has been collected, and capacity-building exercises have been undertaken.

The national systems and capacities in Indonesia have been evolving somewhat in parallel with project-based REDD+ activities that tailor their implementation of safeguards depending on donor requirements or other interests. With the recent integration of the national REDD+ programme within the Ministry of Environment and Forestry, the development of a national approach will need to become more thoroughly integrated with the current package of safeguards tools and resources that are being used at project level to ensure that all REDD+ activities align with national standards and are contributing to the advancement of national policy aspirations.

To assist in achieving these synergies, this report reviews over 40 safeguards standards for REDD+ and forest carbon initiatives in an Indonesian context and compares them to the Cancun Safeguards that will be addressed through the national approach, focusing particularly on multilateral agreements and programmatic standards; carbon market, NGO and private sector initiatives; bilateral programs; national instruments; and synergies with related international treaties.

Key areas that are identified for further development include:

Improve coherence and harmonisation

- Ensure clarity of procedures and definitions among differing standards and guidance tools.
- Establish authoritative national level guidelines, including:
 - Definitions of key terms (such as 'consent').
 - Implementation of key processes (such as FPIC)
- Within national level guidelines, provide for the recognition of other standards/ safeguards systems as means of ensuring and monitoring implementation with reference to the Indonesian Law on Environmental Protection (Law 32/2009)
- Improve avenues of communication and coordination among national and subnational agencies with overlapping mandates and policies
- Ensure consistency in terminology between different safeguards systems, as far as possible- especially in contexts where different systems are applied to a single project

Improve information sharing

- Measure how effectively REDD+ information shared at the national level is reaching local target audiences
- Raise awareness among implementing agencies, local government, and community members on implications of the FPIC process, particularly with a view to ensuring that lack of consent is not taken to mean project failure
- Ensure terminology is consistent, appropriate to local context and understood
- Ensure dissemination of information pertaining to the length of the process and the nature of financial compensation

Empower local decision-making

- Build capacity of relevant stakeholders, particularly indigenous peoples and local communities, to make informed decisions through participatory mechanisms (including with a view to gender equity)
- Build capacity of relevant stakeholders, particularly indigenous peoples and local communities, to ensure that local knowledge is included in project implementation
- Strengthen government capacities, particularly to support participatory decision-making and conflict resolution

Ensure sustainability in safeguards implementation

- Undertake a thorough cost analysis of safeguards implementation in REDD+ pilot projects, and identify strategies for ensuring cost effectiveness and financial transparency in national safeguards implementation
- Undertake a comparison of the costs of complying with REDD+ safeguards with costs of complying with other land-use regulations eg: palm oil and timber estates
- Explore ways of adapting national-level indicators to suit local contexts
- Build capacity, and ensure sufficient resources, to ensure safeguards monitoring continues throughout the life of the project
- Design safeguards systems in a way that is responsive to the dynamic conditions of ecosystems and communities, and can evolve in line with new knowledge

Ensure legal security and accountability

- Enhance accountability mechanisms, particularly with respect to interactions between institutions and stakeholders with overlapping jurisdictions and interests
- Ensure state recognition of the tenure and carbon rights of local communities, including by supporting the acceleration of the gazettement process
- Gather and verify base-line data on ecological and social conditions
- Consolidate, clarify and ensure transparency in the process of issuing concessions and permits

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INTRODUCTION

Chapter 1

1.1 REDD+

Reducing Emissions from Deforestation and Forest Degradation in developing countries, and the role of conservation, sustainable management of forests and enhancement of forest carbon stocks in developing countries (REDD+) is a proposed performance-based mechanism being negotiated under the United Nations Framework Convention on Climate Change (UNFCCC) by which developed countries would compensate developing countries for reductions in their greenhouse gas (GHG) emissions from deforestation and forest degradation. The international negotiations concern the scope, rules and operations of a global REDD+ mechanism. At the same time, tropical forest countries assisted by international agencies and donors are undertaking the necessary preparatory activities ('REDD+ readiness' activities) that will build the necessary national capacities to enable countries to comply with rules and procedures of the future mechanism. In addition, REDD+ activities are being developed and implemented by sub-national governments and by multiple actors in voluntary carbon markets or in anticipation of the entry into force of regulatory cap-and-trade regimes in developed countries.

Reducing rates of deforestation and forest degradation is a way of reducing global emissions and thereby limiting dangerous increases in average global temperatures. The concept of REDD+ began to be considered under the UNFCCC in 2005 and is generally held to be an option that is technically-feasible, cost-effective and capable of generating positive outcomes more rapidly than any other mitigation response.

In addition to being an end in itself, REDD+ is felt to be a way of 'buying time' by reducing in the short term the rate of atmospheric CO₂ emissions, thereby allowing the complex structural changes to be implemented that are needed to develop low carbon economies before dangerous thresholds are reached.

However, the process of agreeing the methodological, operational and financial framework for a future

REDD+ mechanism has proved to be slower and more complicated than originally envisaged. These issues have been the subject of negotiation at successive UNFCCC meetings since 2005 and there are still outstanding questions to be resolved.

Prior to the operationalisation of agreed performance-based mechanisms at the national level, negotiations on the topic of which are ongoing, the number of REDD-related activities and projects has grown. Such activities have included internationally recommended preparatory activities undertaken by developing country governments with the support of climate funds and bilateral donors; preparations for and implementation of cap-and-trade legislation in developed countries which may permit carbon offsets in developing countries; activities at sub-national levels involving state and provincial administrations in developed and developing countries; and project-level activities in defined forest areas involving local communities and national or foreign non-governmental organisations, private companies and/or other types of intermediary.

These different categories of regulatory or voluntary activities currently planned or underway are considered by their proponents to be REDD+ activities.

REDD+ activities can profoundly impact the rights and livelihoods of indigenous communities. Depending on the rules in place, globally and in each country, in particular the rules regarding access to information, free, prior and informed consent (FPIC) and governance, such impacts may be positive or negative.

1.2 Forests and REDD+ in Indonesia

Despite experiencing one of the highest rates of tropical forest loss in the world, Indonesia notably still has the third largest area of tropical rainforest in the world and its forest lands still account for more than half of its land mass. The major forest types of Indonesia include

evergreen lowland dipterocarp forests and peat land forests in Sumatra and Kalimantan, seasonal monsoon forests and savanna grasslands in Nusa Tenggara, and nondipterocarp lowland forests, mountain peat and alpine areas in Papua. Indonesia also has extensive mangrove forests.

Indonesia is among the world's largest emitters of greenhouse gases (GHGs) and the world's largest emitter of carbon dioxide (CO₂) through agriculture, forestry and other land uses. Understandably, the forest sector, deforestation and peat decomposition and fires (related to peat swamp draining) are the most significant source of greenhouse gas emissions and encompass around 60 percent of the total GHG emissions. Emissions levels are, however, likely to stabilise over the next 20 years as reforestation efforts are likely to pick up.²

In recognition of the gravity of the situation, President Susilo Bambang Yudhoyono in 2009 committed Indonesia to reducing emissions 26 percent below the business-as-usual trajectory by 2020, or 41 percent with adequate international financial and technical support.

On May 26, 2010, in support of this ambitious target, Norway signed a Letter of Intent (LoI) with Indonesia, committing USD1 billion to Reducing Emissions from Deforestation and forest Degradation (REDD+) activities. Management of the partnership was initially entrusted to a National REDD+ Task Force, which was established by Presidential Decree No.19 in September 2010 and further reconstituted by Presidential Decree No.25 in September 2011. The Task Force was replaced by the National REDD+ Agency that was established by Presidential Decree No. 62, which was signed by the President on 31 August 2013. In January 2015, Presidential Decree Number 16 of 2015 mandated the integration of the duties and functions of BP REDD+ into the Ministry of Environment and Forestry.

2 Ministry of Environment-Government of the Republic of Indonesia, 2009. Indonesia Second National Communication under the United Nations Framework Convention on Climate Change. Jakarta: MoE

1.3 REDD+ Implementation in Indonesia

In addition to being a mega-centre of biodiversity, Indonesia is also a country of enormous cultural diversity, with more than 500 ethnic groups. Research from around the world indicates that areas of high biodiversity are often associated with regions where traditional societies are living³.

REDD+ is envisioned as an empowering process for indigenous peoples, local communities and other stakeholders. The basic safeguards that form an essential basis of the process provide support and space for these groups to consider and decide for themselves what development means, based on the common underlying principles of sustainability, equity and economic opportunity.

Indonesia has conceptualised its national REDD+ strategy as "Beyond Carbon, More than Forests". This concept prioritises actions that contribute to more equitable and sustainable resource management, enhanced poverty alleviation, protection of Indonesia's remarkable natural and cultural biodiversity, and strengthened democratic and forest governance. This is done while simultaneously enabling the country to achieve its ambitious economic growth targets and balance Indonesia's 7/41 equation (7 percent economic growth with 41 percent GHG emissions reductions)⁴.

In particular given the breadth of Indonesia's REDD+ vision, clear demarcation and ways of collaboration among government agencies and project proponents need to be explored to ensure full safeguards and FPIC compliance.

3 For instance, see C Sobrevila 2008. The Role of Indigenous Peoples in Biodiversity Conservation. World Bank; and Convention on Biological Diversity 2012. Recognising and Supporting Territories and Areas conserved by Indigenous Peoples and Local Communities: Global overview and natural case studies. CBD Technical Series No.64.

4 See: Indonesian REDD+ Task Force. June 2012. REDD+ National Strategy.

1.4 Safeguards

Safeguards comprise various sets of principles, rules and procedures put in place to achieve social and environmental goals. In 2010, parties to the UNFCCC agreed in Cancun on seven broad safeguard principles for the implementation of REDD+ (see Table 1) whose purpose is to ensure that the social and environmental risks and opportunities of REDD+ are effectively addressed. In addition to ensuring that REDD+ activities do not harm the environment (e.g. by ensuring they do not encourage conversion of natural forests), the safeguards provide for the active involvement of indigenous peoples and other forest-dependent communities in forest management and governance, which has been linked to produce positive environmental outcomes such as lower deforestation.

Each country developing a REDD+ program is expected to develop a national approach to promote and support these REDD+ safeguards (listed in paragraph 2 of appendix I of the Cancun agreement, i.e. UNFCCC decision 1/CP.16), consistent with guidance on systems for providing information on how safeguards are addressed and respected (UNFCCC decision 2/CP.17).

The National REDD+ Strategy of Indonesia clearly stipulates the implementation and fulfillment of social and environmental safeguards, as well as the development of corresponding evaluation protocols, as a requirement. The Government of Indonesia has sought to arrive at principles and a normative framework on social and environmental safeguards that correspond to both stipulations outlined within the Cancun agreements and Indonesia's national and sub-national contexts. Beginning in early 2011, two processes were launched to this end. The first process, led by the National REDD+ Task Force, involved the design of Principles, Criteria and Indicators for REDD+ in Indonesia (PRISAI). The second initiative sought to design a Safeguards Information System for REDD+ (SIS-REDD+), led by the Ministry of Forestry (as of October 2014, the Ministry of Environment and Forestry). At the same time, various other safeguards systems are being applied in the context of pilot projects and other initiatives.

Forestry sector initiatives and projects seeking funding from multilateral, bilateral and third party sources need to consider safeguard standards established by these other institutions. Due to context-dependent institutional goals and procedures, there are often disparities between the elements of different safeguard standards, which can cause confusion as well as additional administrative burdens and costs when integrating them into national implementation frameworks and reporting processes. Furthermore, other reporting processes may also overlap with safeguards applied to REDD+ activities, such as meeting the Millennium Development Goals, or the Convention on Biological Diversity's Aichi Targets.

Given these disparities, and the general observation that national policy development and local project-based REDD+ activities typically proceed simultaneously, but often in a disconnected fashion, it is important to ensure progress for trajectories that are complementary and mutually supportive.

1.5 Study Framework

This report provides a review of social and environmental safeguards that are relevant to REDD+ activities and applicable to the Indonesian context, including identification of gaps and lessons learned, in order to aid in the development and piloting of a normative national framework of safeguards implementation.

It is expected to feed into ongoing discussions on how existing mechanisms and processes can help to accommodate rights and obligations to support sustainable forest management in Indonesia.

The following guiding questions were used as a basis in the preparation of this report:

- What safeguards, tools and FPIC frameworks are available in Indonesia, and how do they promote and support the Cancun Safeguards?
- Which REDD+ risks are particularly applicable in Indonesian context, and to what extent do existing monitoring and safeguards address these risks?

- How have these safeguards and FPIC frameworks been operationalised in REDD+ projects in Indonesia?
- What are the gaps, opportunities and implications for future REDD+ management in Indonesia?

This review has been undertaken in line with the following guiding principles for the effective achievement of its purpose and expected outputs:

- **Stakeholder Engagement:** The participation and input of relevant agencies and stakeholders was invited during the design and implementation of the study, including Indonesian government agencies, multilateral and bilateral donors, members of the private sector, indigenous people's representatives, and civil society actors.
- **Partnership:** Input was invited from local collaborators that have supported or facilitated adoption processes of safeguards instruments at various sites, as well as other stakeholders as outlined above. The study builds on the presentations on community engagement and FPIC by project proponents at the UNORCID/AMAN jointly hosted 2013 May Dialogue Series, as well as exploring relevant safeguards (PRISAI) developed by the former National REDD+ Task Force, the safeguards information system and related framework developed by the Ministry of Forestry, REDD+ Social and Environmental Safeguards (SES) spearheaded by CARE, and the World Bank's Forest Carbon Partnership Facility (FCPF) Strategic Environmental and Social Assessment (SESA).
- **Methodology:** The study has been prepared on the basis of a thorough literature review regarding the implementation of international and national REDD+ safeguards, including peer reviewed papers as well as grey literature (i.e. UN agency reports, technical reports from field researchers and communities involved in REDD+ project implementation, meeting reports and other publications), supplemented

by personal interviews with stakeholders and local partners as outlined above. In cases where conclusions were largely informed by grey literature or personal comment, every effort has been made to ensure that such data was confirmed via an independent source (which may itself also have been grey literature). This combination of source data was used to ensure that the report was able to make best use of emerging experiences and local detail, as well as be informed of stakeholder views that may not always be well reflected in traditional literature for political reasons, language barriers, or lack of resources or interest in publishing.

This report comprises one of three separate but interlinked initiatives to explore specific issues associated with REDD+ implementation, the other two being an assessment of the integrity of existing land ownership registration processes in Indonesia; and an assessment of the early development of the Fund for REDD+ in Indonesia (FREDDI).



**REVIEW OF REDD+
SAFEGUARDS INITIATIVES
IN INDONESIA**

Chapter 2

2.1 UNFCCC: The Cancun and Durban Decisions on REDD+ Safeguards

In 2010, parties to the UNFCCC agreed to slow, halt and reverse forest loss and degradation, and its related emissions. The decisions from Cancun (Decision 1/CP.16) and Durban (Decision 12/CP.17 and Decision 2/CP.17), outline policy approaches as well as guidelines and modalities on REDD+, including social and environmental safeguards (also known as the 'Cancun Safeguards', see Table 1). Decision 12/CP.19 from Warsaw addresses the timing and frequency of presentations of the summary of information on how the safeguards in Decision 1/CP.16 are being addressed and respected, deciding that information will be provided after the start of implementation of activities, frequency will be in line with national communications to the Convention, and opening up the possibility to provide information via the web platform on the Warsaw Framework website on a voluntary basis.

The Warsaw framework also contains information relating to the submission of information on how safeguards are addressed and respected. The need for further guidance on the implementation of safeguards will be considered by the UNFCCC's Subsidiary Body for Scientific and Technological Advice (SBSTA) in June 2015.

As a decision of the Conference of the Parties of the UNFCCC, the Cancun Safeguards are not legally binding and they notably lack a means of enforcement; however, they do represent a political promise to abide by the safeguards as adopted. The Cancun Safeguards therefore do constitute an obligation on Parties to the UNFCCC in a way that other voluntary guidelines adopted by multilateral and bilateral REDD+ readiness initiatives do not.

The appendix 1 to Decision 1/CP.16 provides guidance and safeguards to be followed when implementing the mitigation actions in the forest sector called for by the decision. The Cancun Safeguards address a variety



Table 1 - REDD+ Safeguards Arising from the Cancun Agreements

Safeguards

Decision 1/CP.16, appendix I, paragraph 2 states:

When undertaking [REDD+] activities, the following safeguards should be promoted and supported:

- a) Actions complement or are consistent with the objectives of national forest programmes and relevant international conventions and agreements;
- b) Transparent and effective national forest governance structures;
- c) Respect for the knowledge and rights of indigenous peoples and members of local communities, by taking into account relevant international obligations, national circumstances and laws and noting that the United Nations General Assembly has adopted the United Nations Declaration on the Rights of Indigenous Peoples;
- d) The full and effective participation of relevant stakeholders, in particular indigenous peoples and local communities;
- e) That 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 incentivize the protection and conservation of natural forests and their ecosystem services, and to enhance other social and environmental benefits;

Procedures

Decision 12/CP.17 states that parties undertaking REDD+ activities “...should provide a summary of information on how the safeguards in 1/CP.16 appendix I, are being addressed and respected throughout the implementation of the activities.” This summary of information, also known as the Safeguard Information System (SIS) “...should take into account national circumstances, recognize national legislation and relevant international obligations and agreements, respect gender considerations, and:

1. Be consistent with the guidance identified in decision 1/CP.16, appendix I
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 are being addressed and respected;
5. Be country-driven and implemented at the national level;
6. Build upon existing systems, as appropriate.

of thematic areas, ranging from national and forest governance issues to social rights-based safeguards (including respecting the knowledge and rights of indigenous peoples and members of local communities and ensuring the full and effective participation of relevant stakeholders), to environmental safeguards (including conservation of natural forests and ecosystem services and enhancing social and environmental benefits), to more direct carbon accounting safeguards such as addressing risk of reversals and reducing displacement of emissions (see Table 2).

2.2 Alignment of REDD+ safeguard-related tools and resources with the Cancun Safeguards

Indonesia has considerable experience with implementing different safeguard-related tools and resources associated with international environment and development programmes, such as those developed by the REDD+ Social and Environmental Standards Initiative (REDD+ SES); the Strategic Environmental and Social Assessment (SESA) process of the Forest Carbon

Partnership Facility (FCPF); the Social and Environmental Principles and Criteria (SEPC) and tools of the UN-REDD Programme; the Forest Investment Programme; Governor’s Climate and Forest Fund Task Forces; various bilateral donor governments engaged in REDD+ (the largest donor to date being Norway); and a large number of international NGOs carrying out REDD+ projects and capacity-building activities.

Many certification schemes have safeguard provisions, such as the Climate, Community and Biodiversity (CCB) Standards, the Forest Stewardship Council (FSC), the Rainforest Standard, and others. In addition, market standards for carbon projects, such as the Verified Carbon Standard (VCS), continue to evolve with differing areas of emphasis to accommodate demands for socio-economic development and carbon accounting requirements.

Bilateral programs, such as projects implemented with donor governments including Norway, Australia and others, typically also include frameworks for considering such concerns as gender equity and environmental assessment.



Table 2 : Summary of thematic areas addressed by the Cancun Safeguards

Cancun Safeguards	General Thematic Area Addressed			
	Governance	Rights	Environment	Carbon
2a. Consistency with other agreements	X			
2b. Governance structures	X			
2c. Indigenous and local community rights		X		
2d. Stakeholder participation		X		
2e. Natural forest and biodiversity /Co-benefits			X	
2f. Reversals (permanence)				X
2g. Displacement (leakage)				X

Additionally, safeguards and instruments developed at the national level are also available to meet all or some of the needs of the Cancun Safeguards, not only the comprehensive *Principles, Criteria and Indicators for REDD+ Safeguards Indonesia* (PRISAI) but also elements of tools such as the AMDAL (*Analisis Mengenai Dampak Lingkungan*, Environmental Impact Assessment) and KLHS (*Kajian Lingkungan Hidup Strategis*, Strategic Environmental Assessment).

Indonesia's national safeguard systems – PRISAI and REDD+ Safeguard Information System (SIS-REDD+) - will apply across the country; however, as the national system develops, presently a 'patchwork' of safeguards is in place, typically dependent on which project has been funded by whom. Differences in objectives, definitions and jargon used in different safeguard systems can result in uncertainties with regard to how safeguards align between different systems. Because the Cancun Safeguards form the basis of most national safeguard systems including Indonesia's, this section provides a broad assessment of the alignment between the main safeguards standards currently being implemented in Indonesia and the seven principles of the Cancun Safeguards (see Table 3).



Table 3 – List of Reviewed REDD+ Safeguards, Standards and Relevant Tools in Indonesia

ENTITY	SAFEGUARDS	COMMENTS
Multilateral Agreements & Programmatic Standards		
United Nations Framework Convention on Climate Change (UNFCCC)	The Cancun Agreements: Outcome of the Work of the Ad Hoc Working Group on Long-term Cooperative Action under the Convention – Decision 1/CP.16, Appendix I, paragraph 2. FCCC/CP/2010/7/Add.1	See s2.1 and Table 1.
World Bank	Social Safeguards and Policies	See s2.3.1 and Table 4.
Forest Carbon Partnership Facility (FCPF)	Common Approach to Environmental and Social Safeguards, August 2012 edition Strategic Environmental and Social Safeguards Assessment (SESA) Environment and Social Management Framework (ESMF)	See s2.3.1, Table 4 and Table 5.
Forest Investment Program (FIP)	Dedicated Grant Mechanism for Indigenous Peoples and Local Communities	See s2.3.1, Table 4 and Table 6.
Global Environment Facility (GEF)	GEF Policy on Agency Minimum Standards on Environmental and Social Safeguards (GEF/C.41/10/Rev.1) GEF Policy on Gender Mainstreaming (GEF/PL/SD/02)	See s2.3.1, Table 4 and Table 7.
International Finance Corporation (IFC)	Performance Standards and Guidance Notes – 2012 Edition	See s2.3.2, Table 4 and Table 8.
Asian Development Bank	Safeguard Policy Statement Policy on Forestry (1995) Strategy 2020	See s2.3.3.

ENTITY	SAFEGUARDS	COMMENTS
Green Climate Fund	<p>Green Climate Fund – safeguards under development</p> <p>Social and Environmental Principles and Criteria (SEPC) UNREDD/PB8/2012/V/1</p> <p>UN-REDD Programme Guidelines on Free, Prior and Informed Consent (FPIC)</p> <p>Framework for Assessing and Monitoring Forest Governance</p>	See s2.3.4.
UN-REDD Programme	<p>Guidance for Participatory Governance Assessment (PGA)</p> <p>Guidance on Conducting REDD+ Corruption Risk Assessments</p> <p>Guidelines for Monitoring the Impacts of REDD+ on Biodiversity and Ecosystem Services (draft)</p>	See s2.3.5 and Table 9.
Governor’s Climate and Forest Fund	<p>GCF Protocol Assessment</p> <p>Guidance Document on Stakeholder Involvement</p>	See s2.3.6 and Table 10.
International Tropical Timber Organization (ITTO)	<p>Criteria and Indicators for sustainable management of natural tropical forests</p>	See s2.3.7 and Table 11
Kyoto Protocol	<p>Clean Development Mechanism</p>	See s2.3.8.

ENTITY	SAFEGUARDS	COMMENTS
Carbon Markets, Private Sector and NGO Initiatives		
REDD+ SES	REDD+ Social and Environmental Standards (SESA), Version 2 Guidelines on how to use SES at country level	See s2.4.1 and Table 12
Climate, Community and Biodiversity Alliance (CCBA)	Climate, Community & Biodiversity Project Design Standards	See s2.4.2 and Table 13
Verified Carbon Standard (VCS)	VCS Policy on Tags and Other Standards VCS Jurisdictional and Nested REDD+ (VCS-JNR) Framework	See s2.4.3.
Rainforest Standard	Rainforest Standard	See s2.4.4. and Table 14
CarbonFix/ Gold Standard	CarbonFix Standard	See s2.4.5.
Commodity Roundtables	E.g. Roundtable on Sustainable Palm Oil	See s2.4.5.
Fairtrade	Fairtrade Standards	See s2.4.5.
Forest Stewardship Council (FSC)	Principles and Criteria for Forest Stewardship. See SFM and High conservation value forest (HCVF) at national level.	See s2.4.5 and 2.6.7.
Global Conservation Standard (GCS)	Global Conservation Standard (GCS)	See s2.4.5.
ISO 1400		
Programme for the Endorsement of Forest Certification (PEFC)	'PEFC International Standards'	See s2.4.5.
Plan Vivo	Plan Vivo Standards	See s2.4.5.
SocialCarbon	SocialCarbon standard	See s2.4.5.
VER+		

ENTITY	SAFEGUARDS	COMMENTS
Bilateral Agreements		
Government of Norway	Letter of Intent	See s2.5.1.
Government of Australia	Indonesia-Australia Forest Carbon Partnership Australian Carbon Farming Initiative	See s2.5.2.
Government of Germany	'Forests and Climate Change Programme (FORCLIME)'	See s2.5.3.
National Instruments		
Government agencies	(Various standards)	See s2.6.1.
Principles, Criteria and Indicators for REDD+ Safeguards Indonesia (PRISAI)	Principles, Criteria and Indicators for REDD+ Safeguards Indonesia	See s2.6.2 and Table 15
REDD+ Safeguards Information System (SIS-REDD+)	Indonesia Forest, Land and REDD+ Governance Index	See s2.6.3 and Table 16
Participatory Governance Assessment (PGA)	Indonesia Forest, Land and REDD+ Governance Index	See s2.6.4.
AMDAL (Analisis Mengenai Dampak Lingkungan) [Environmental Impact Assessment]	AMDAL	See s2.6.5 and Table 17
KLHS (Kajian Lingkungan Hidup Strategis) [Strategic Environmental Assessment]	KLHS	See s2.6.5 and Table 18
PHPL (<i>Pengelolaan Hutan Produksi Lestari</i>) [Sustainable Forest Management and Production]	SVLK (Sistem Verifikasi Legalitas Kayu) [System for Verification of Timber Legality]	See s2.6.6 and Table 19
SFM (Sustainable Forest Management) Certification	The Forest Stewardship Council (FSC) and Lembaga Ekolabel Indonesia (LEI) are the two most well known systems used in Indonesia.	See s2.6.7

ENTITY	SAFEGUARDS	COMMENTS
Related International Agreements and Treaties		
United Nations Permanent Forum on Indigenous Issues	UN Declaration on the Rights of Indigenous Peoples (UN Declaration)	See s2.8.1.
Convention on Biological Diversity (CBD)	Aichi Targets	See s2.8.2
Food and Agriculture Organization (FAO)	Forest Resource Assessment (FRA)	See s2.8.3
Millennium Development Goals	Millennium Development Goals	See s2.8.4
Forest Law Enforcement Governance and Trade (FLEGT)	Voluntary Partnership Agreement (VPA)	See s2.8.5
United Nations Convention to Combat Desertification (UNCCD)	<i>UNCCD National Action Programme</i>	See s2.8.6

2.3 Multilateral Agreements & Programmatic Standards

The role of multilateral programmatic standards and procedures in implementing REDD+ safeguards is elaborated below.⁵ These safeguards standards are those most likely to be used in pilot and demonstration projects, so there is significant experience in their application in Indonesia to date.

2.3.1 World Bank Safeguards and the 'common approach' (World Bank, FCPF, FIP and the GEF)

The "common approach" is designed to provide the World Bank and its delivery partners with a common platform for risks management and quality assurances in the REDD+ process, using the safeguard policies of the World Bank as a minimum acceptable standard.

As a financial institution the World Bank provides low interest loans, grants, and interest free credits to finance projects through two instruments: investment loans and development policy loans. The Bank also serves as trustee and implementing agent of various trust funds. Because Indonesia is a major emitter, with land use change and forestry accounting for most of its emissions, the Bank considers that assisting Indonesia to implement REDD+ efforts is a globally significant priority⁶. The World Bank Environment Unit in Indonesia addresses climate finance, forest and REDD+ issues; climate policy, finance and green economy issues (including control of global pollutants); biodiversity protection, including marine, coral, and terrestrial; engagements with civil society; and safeguard analysis and support.

⁵ The presentation of information evaluating programmatic instruments and standards is adapted from the 2013 Facility Management Team of the FCPF Note CF-2013-3, the 2013 Climate Focus report on *Safeguards in REDD+ and Forest Carbon Standards: A Review of Social, Environmental and Procedural Concepts and Application* and the 2013 Centre for Standardization and Environment *Principles, Criteria and Indicators for a System for Providing Information on REDD+ Safeguards Implementation (SIS-REDD+)* in Indonesia.

⁶ Interview with the World Bank in Indonesia, published online 23/02/2012: <http://www.redd-monitor.org/2012/02/23/interview-with-the-world-bank-in-indonesia-redd-has-opened-a-space-for-increased-dialogue-on-difficult-forest-sector-policy-and-tenure-issues/>

The World Bank manages the following multi-donor funds that assist developing countries with REDD+ development and implementation: the Forest Carbon Partnership Facility (FCPF), the Forest Investment Program (FIP), the Global Environment Facility (GEF). The International Finance Corporation, a member of the World Bank group, has its own set of social and environmental safeguards. Additional policies for these institutions are examined in more detail below.

The Bank has ten major social and environmental safeguards that are applicable to loan and grant recipients under the common framework. These are Operational Policy (OP) 4.01 Environmental Assessment (1999), 4.04 Natural Habitats (2001), 4.36 Forests (2002), 4.09 Pest Management (1998), 4.11 Physical Cultural Resources (2006), 4.37 Safety of Dams (2001), 4.12 Involuntary Resettlement (2001), 4.10 Indigenous Peoples (2005), 7.50 International Waterways (2001), and 7.60 Disputed Areas (2001).

In general, the World Bank safeguards explicitly address the governance aspects of the Cancun Safeguards and have provisions for stakeholder participation and co-benefits, but respect for knowledge and rights of indigenous peoples and local communities is implied rather than explicit, due to the use of free prior informed 'consultation' rather than 'consent' (see Table 4)⁷. Carbon accounting mechanisms are only tangentially addressed by these standards.

Somewhat controversially, the Bank procedures related to Free Prior and Informed Consent (FPIC) required 'consultation' rather than 'consent', which is considerably weaker from a safeguard perspective. However, the Bank is currently reviewing its safeguard policies through a three-stage consultation process that will run at least until early 2015. Progress reports on the review process, and the first draft of a proposal to modernise safeguards policies released in July 2014, suggest that

⁷ Further information on World Bank indigenous safeguard policies is available at: <http://web.worldbank.org/WBSITE/EXTERNAL/PROJECTS/EXTPOLICIES/EXTSAFEPOL/0,,contentMDK:20543990-menuPK:1286666-pagePK:64168445-piPK:64168309-theSitePK:584435,00.html>

the safeguards are moving towards consent-based FPIC and more meaningful stakeholder engagement and consultation processes⁸.

Assessment of safeguard adherence largely falls upon the borrower/client, although under certain circumstances the Bank requires third party audits. Bank policy on operations monitoring and evaluation (OP13.60) also states that the Bank uses a combination of monitoring, self-evaluation and independent evaluations to assess operational policy implementation and adherence. The Bank policy on Development Policy Loans (OP8.60) requires due diligence with respect to environment, forests and natural resources.

8 World Bank Environmental and Social Framework: First Draft for Consultation. July 30 2014. https://consultations.worldbank.org/Data/hub/files/consultation-template/review-and-update-world-bank-safeguard-policies/en/materials/first_draft_framework_july_30_2014.pdf



Table 4 – Comparison Summary of World Bank Operating Principles and Cancun Safeguards

CANCUN SAFEGUARDS	WORLD BANK OPERATING PRINCIPLES
Related International Agreements and Treaties	
<p>2a. Consistency with other agreements</p> <p>2b. Governance structures</p>	<p><i>OP 4.01 on Environmental Assessment and OP 4.36 on Forests</i></p> <p>The aim of the Common Approach is to harmonise safeguard mechanisms between all the WB delivery partners. OP 4.36 requires projects to abide by international environmental agreements and forest certification systems</p>
Rights	
<p>2c. Indigenous and local community rights</p>	<p><i>OP 4.01 on Environmental Assessment, OP 4.04 on Natural Habitats, OP 4.36 on Forests, and OP 4.10 on Indigenous Peoples</i></p> <p>FPIC: Free, prior and informed consultations are required with all relevant stakeholders, particularly indigenous peoples, although the OPs do not expressly mandate 'consent' in FPIC. OP 4.10 requires that consultations and benefit allocation be performed in a gender-inclusive manner. Treatment, consultation and benefits to indigenous peoples are outlined in the Common Approach.</p> <p>Participation: OP 4.10 states consultations must be performed in indigenous language at a culturally appropriate venue with adequate time for stakeholders to build consensus. Detailed description of the consultation requirements are provided in the annexes, including a requirement for an Indigenous Peoples Plan and Indigenous Peoples Planning Framework. OP 4.12 requires consultation for those facing involuntary resettlement, while OP 4.01 may necessitate public consultations depending on the severity of environmental impact of a project. The Bank's Operational Policy on Forests (OP 4.36) requires the meaningful participation of affected communities.</p> <p>SIS/Monitoring: OP 4.12, OP 1.00, OP 4.20, OP 4.10, OP 4.04, OP 4.01, and OP 4.36 all contain references to the development of monitoring and/or reporting systems depending on the context and scope of the project being implemented.</p>

2d. Stakeholder participation***OP 4.01 on Environmental Assessment, OP 4.04 on Natural Habitats, OP 4.36 on Forests, and OP 4.10 on Indigenous Peoples***

FPIC: Free, prior and informed consultations are required with all relevant stakeholders, particularly indigenous peoples, although the OPs do not expressly mandate 'consent' in FPIC. OP 4.10 requires that consultations and benefit allocation be performed in a gender-inclusive manner. Treatment, consultation and benefits to indigenous peoples are outlined in the Common Approach.

Participation: OP 4.10 states consultations must be performed in indigenous language at a culturally appropriate venue with adequate time for stakeholders to build consensus. Detailed description of the consultation requirements are provided in the annexes, including a requirement for an Indigenous Peoples Plan and Indigenous Peoples Planning Framework. OP 4.12 requires consultation for those facing involuntary resettlement, while OP 4.01 may necessitate public consultations depending on the severity of environmental impact of a project. The Bank's Operational Policy on Forests (OP 4.36) requires the meaningful participation of affected communities.

SIS/Monitoring: OP 4.12, OP 1.00, OP 4.20, OP 4.10, OP 4.04, OP 4.01, and OP 4.36 all contain references to the development of monitoring and/or reporting systems depending on the context and scope of the project being implemented.

Social and Environmental Impacts

2e. Natural forest and biodiversity/Co-benefits***OP 4.04 on Natural Habitats; OP 4.36 on Forests***

Benefit-sharing: Benefit-sharing is not explicitly covered. However, OP 4.10 states that strategies and projects should be designed so that indigenous peoples "receive culturally compatible social and economic benefits."

Biodiversity: OP 4.01 on Environmental Assessment (paras 2-3 and Annex A, paras 7 and 9), OP 4.04 on Natural Habitats (paras 1, 4, 5, and 9 and Annex A, para 1) and OP 4.36 on Forests (paras 1, 5 and 7) address the preservation of areas with high biodiversity value and promote the protection of environmental services.

Mitigating negative impacts: OP 4.01 on Environmental Assessment is used to identify, avoid, and mitigate potential negative environmental impacts. This policy is considered the umbrella policy on environmental safeguards. OP 4.04 on Natural Habitats and OP 4.36 on Forests also outline mitigation of negative impacts including forest displacement, conversion, and degradation.

Carbon Accounting

2f. Reversals (permanence)
2g. Displacement (leakage)

OP 4.01 on Environmental Assessment; OP 4.04 on Natural Habitats, and OP 4.36 on Forests

The Operating Procedures do not explicitly outline reversals and displacement; however they are tangentially addressed through OP 4.01, 4.04 and 4.36 in avoiding and mitigating potential negative environmental impacts.

Forest Carbon Partnership Facility: Strategic Environmental and Social Assessment, and Environmental and Social Management Framework

The Forest Carbon Partnership Facility (FCPF) is a global partnership focused on reducing emissions from deforestation and forest degradation, sustainable management of forests and conservation and enhancement of forest carbon stocks, which provides assistance for countries to become ready for REDD+ and performance-based payments. In Indonesia, the Ministry of Environment and Forestry, along with the National Forestry Council, is implementing an FCPF REDD+ Readiness Grant (signed in June 2011) for a range of activities, which includes analytical work, management of the readiness process, and work on the reference emission level, the measurement, reporting, and verification (MRV) system.

The process to participate starts with the formulation of the Readiness Proposal Idea Note (R-PIN) and, once accepted, the completion of the Readiness Preparation Proposal (R-PP). If the R-PP is approved and the grant agreement is issued, countries carry out the “readiness” activities laid out in the R-PP, including the implementation of safeguards.

FCPF’s approach to safeguards represents an adaptation of long-established World Bank project practices. The *FCPF Charter Document and the Common Approach to Environmental and Social Safeguards for Multiple Delivery Partners* documents are the key policies that specify that the World Bank operational policies will be

used. For the FCPF, as part of the REDD+ Readiness process, a participating country must also conduct a *Strategic Environmental and Social Assessment (SESA)*, which should inform a country’s national REDD+ Strategy. The SESA contributes to the REDD+ Readiness process by assessing how REDD+ strategy options address environmental and social priorities associated with current patterns of land use and forest management, and any gaps identified in the process then lead to policy changes to address the missing elements. The SESA also provides for an over-arching *Environmental and Social Management Framework (ESMF)*, which outlines the procedures to be followed for managing potential environmental and social impacts of specific policies, actions and projects, and is intended to ensure compliance with the safeguards.

The Common Approach specifies that all delivery partners of the FCPF can use their own procedures only if they are more stringent than the World Bank standards. Otherwise, the World Bank operational policies are followed. The Forest Investment Program (FIP) and the Global Environment Facility (GEF) have also adapted and built on these safeguards.



Table 5 – Comparison Summary of FCPF Safeguards and Cancun Safeguards (to be read in conjunction with the WB OPs)

CANCUN SAFEGUARDS	FCPF SAFEGUARDS
Rights	
<p>2c. Indigenous and local community rights</p>	<p>Guidelines on stakeholder engagements; FCPF Charter</p> <p>Land tenure: One of the principles outlined in the Guidelines on Stakeholder Engagement is that “special emphasis should be given to the issues of land tenure, resource-use rights and property rights.” Clarity on these rights is prescribed in REDD+ formulation and implementation.</p> <p>Livelihoods: One of the FCPF Charter’s objectives is to “test ways to sustain or enhance livelihoods of local communities.”</p>
<p>2d. Stakeholder participation</p>	<p>Treatment, consultation and benefits to indigenous peoples are outlined in the Common Approach and the FCPF Charter.</p> <p>FPIC: The safeguards do not expressly mandate ‘consent’ via FPIC, although ‘consultation’ with all relevant stakeholders, particularly indigenous peoples, is required. FPIC is supported if the country has ratified ILO 169, adopted national legislation on FPIC, or if it is applied by a development partner.</p> <p>Participation: The Guidelines on Stakeholder Engagement stipulates the inclusion, consultation and treatment of other vulnerable groups, including women.</p> <p>SIS/Monitoring: OP 4.12, OP 1.00, OP 4.20, OP 4.10, OP 4.04, OP 4.01, and OP 4.36 all contain references to the development of monitoring and/or reporting systems depending on the context and scope of the project being implemented.</p>
Social and Environmental Impacts	
<p>2e. Natural forest and biodiversity/Co-benefits</p>	<p>OP 4.04 on Natural Habitats; OP 4.36 on Forests</p> <p>Benefit-sharing: Benefit-sharing is not explicitly covered. However, OP 4.10 states that strategies and projects should be designed so that indigenous peoples “receive culturally compatible social and economic benefits.”</p> <p>Biodiversity: OP 4.01 on Environmental Assessment (paras 2-3 and Annex A, paras 7 and 9), OP 4.04 on Natural Habitats (paras 1, 4, 5, and 9 and Annex A, para 1) and OP 4.36 on Forests (paras 1, 5 and 7) address the preservation of areas with high biodiversity value and promote the protection of environmental services.</p> <p>Mitigating negative impacts: OP 4.01 on Environmental Assessment is used to identify, avoid, and mitigate potential negative environmental impacts. This policy is considered the umbrella policy on environmental safeguards. OP 4.04 on Natural Habitats and OP 4.36 on Forests also outline mitigation of negative impacts including forest displacement, conversion, and degradation.</p>

Forest Investment Program Grant Mechanism

The Forest Investment Program (FIP) supports developing countries' REDD+ efforts by providing scaled-up financing for readiness reforms and public and private investments, identified through national strategies. Indonesia is one of eight FIP pilot countries, and developed its Forest Investment Plan with FIP funding. Current FIP investment focus areas include improving the quality of forest governance, leveraging private sector investments in sustainable land management, and enhancing community-level capacity for spatial planning and REDD+ through Forest Management Units and smallholder forestry.

During the appraisal phase, FIP applies safeguard principles and guidelines from the *Strategic Climate Fund Design Document*, *FIP Design Document*, and *FIP Investment Criteria and Financing Modalities*. Once selected, the FIP employs the safeguard standards and procedures from the multilateral development bank (MDB) carrying out the program (e.g. World Bank, Asian Development Bank). Projects have to incorporate FIP and MDB safeguard principles and standards into their strategies in order to receive funding. Countries and projects receiving funding must then comply with the respective MDB safeguard processes during the implementation phase.

The FIP also provides for the establishment of a Dedicated Grant Mechanism to provide grants to indigenous peoples and local communities in country or regional pilots to support their participation in the development of the FIP investment strategies, programs and projects. The work of the Grant Mechanism aims to achieve specific gains in tenurial rights, forest governance, livelihoods of forest-dependent indigenous peoples and local communities in a sustainable manner that enhances local empowerment.

Global Environment Facility

The Global Environment Facility (GEF) is an independent financial organisation that provides grants to developing countries for projects related to biodiversity, climate change, international waters, land degradation, the ozone layer, and persistent organic pollutants. It is one of the largest funders of environmental projects in the world. It is an operating entity of the financial mechanism of the UNFCCC, and the COP provides guidance to the GEF on its operation.

The GEF analyses project proposals for potential adverse impacts on local populations and their environment, and it does not fund logging operations in primary forests or any initiatives that promote the conversion of forests to alternative land uses, such as industrial tree plantations in native habitats. Beyond that, the GEF mainly relies on the safeguards adopted by its implementing agencies, such as the common approach of the World Bank.

In addition to the safeguards provided by implementing agencies, the GEF has also established its own policies on safeguards and gender mainstreaming. GEF Safeguards principles include: 1 Environmental Assessment; 2 Natural Habitats; 3 Involuntary Resettlement; 4 Indigenous Peoples; 5 Pest Management; 6 Physical Cultural Resources; and 7 Safety of Dams.

In order to receive GEF resources, GEF partner agencies are required to apply their own safeguard policies (which may be more stringent) while meeting the social and environmental criteria in the GEF safeguards standards.



Table 6 – Comparison Summary of FIP Safeguards and Cancun Safeguards (to be read in conjunction with the WB OPs)

SOCIAL AND ENVIRONMENTAL IMPACTS	
Governance	
2a. Consistency with other agreements 2b. Governance structures	The FIP seeks to complement the UNFCCC, UN-REDD, FCPF, GEF, CBD and other REDD+ initiatives.
Rights	
	<p><i>FIP Design Document; FIP Principles; FIP Investment Criteria</i></p> <p>Land tenure: The FIP promotes investments in institutional capacity and forest governance including land tenure reform. In addition, the FIP established the Dedicated Grant Mechanism for Indigenous Peoples and Local Communities, which supports activities including “securing and strengthening customary land tenure and resource rights and traditional forest management systems of indigenous peoples and local communities”.</p>
2c. Indigenous and local community rights	<p>Livelihoods: One of the FIP Principles states that the FIP should “contribute to the livelihoods and human development of forest dependent populations, including indigenous peoples and local communities”. Furthermore, the Investment Criteria document instructs that proposals should demonstrate how funds will support and monitor improvement in “social and economic well-being of forest dependent communities, including poverty reduction, job generation, wealth creation, equitable benefit sharing, and acknowledgement of the rights and role of indigenous peoples and local communities.”</p>
2d. Stakeholder participation	<p><i>Investment criteria; FIP Principles</i></p> <p>FPIC: In line with World Bank and FCPF, the FIP emphasises full and effective participation and consultation of all relevant stakeholders and that projects be based on broad community support. However, it does not require consent.</p> <p>Participation: Indigenous peoples, local communities and women are emphasised in stakeholder participation and consultation. The “Dedicated Grant Mechanism for Indigenous Peoples and Local Communities” specifically addresses these groups with regards to livelihoods, consultation, resource/land rights, capacity building and local knowledge.</p> <p>SIS/Monitoring: MDBs are required to provide detailed information on safeguards to be applied to each project and program, and confirm application of the guidelines set out in the FIP Design Document and consistency with relevant REDD+ decisions under the UNFCCC.</p>

SOCIAL AND ENVIRONMENTAL IMPACTS

2e. Natural forest and biodiversity/Co-benefits

FIP Principles; FIP Design Document

Benefit-sharing: Equitable benefit sharing is mentioned in the co-benefits section of the Investment Criteria document.

Biodiversity: One of the eight objectives of the SCF (and FIP) is to “maximise co-benefits of sustainable development, particularly in relation to the conservation of biodiversity, natural resources ecosystem services and ecological processes.” Additionally, the Investment Criteria document specifies that proposals should set out how funds will “catalyze, support and measure monitor the delivery of biodiversity protection and strengthened resilience of ecosystems and associate ecosystem services.”

Mitigating negative impacts: The FIP emphasises the safeguarding of the integrity of natural forests, avoiding conversion, deforestation or degradation.

Carbon Accounting

2f. Reversals (permanence) and 2g. Displacement (leakage)

Para 16c of the FIP Design Document prioritises programs that address the direct and underlying drivers of deforestation and forest degradation “to avoid perverse incentives and ensure a holistic and inclusive national approach to REDD.” This criterion, in addition to the safeguards that mitigate negative environmental impacts (above), mitigates reversal and emissions displacement risks.



Table 7 – Comparison Summary of GEF Safeguards and Cancun Safeguards

CANCUN SAFEGUARDS	GEF SAFEGUARDS (ADDITIONAL TO WORLD BANK OPS)
Governance	
<p>2a. Consistency with other agreements</p> <p>2b. Governance structures</p>	<p>Safeguard 1</p> <p>The GEF safeguards aim to complement its partner agencies. Legal compliance requires applicable legal and institutional frameworks to be assessed to ensure no project activities contravene international obligations.</p> <p>Transparency is not mentioned.</p>
Rights	
<p>2c. Indigenous and local community rights</p>	<p>Safeguard 3</p> <p>Avoided resettlement: Safeguard 3 is dedicated to involuntary resettlement, specifying that it be avoided or minimised. In cases where this may not be feasible, partner agencies are required to assist displaced persons in improving or restoring their livelihoods and standards of living.</p>
<p>2d. Stakeholder participation</p>	<p>Safeguard 4; Policy on Gender Mainstreaming</p> <p>FPIC: Safeguard 4 on Indigenous Peoples states the need to undertake “free, prior, and informed consultations with affected indigenous peoples.” Consent is not required, and FPIC of other groups is not mentioned.</p> <p>Participation: Indigenous Peoples (Safeguard 4) and Women (Policy on Gender Mainstreaming) are given special attention. There is no mention of local communities or other vulnerable groups.</p> <p>SIS/Monitoring: No mention. The GEF Partner Agencies will apply their own monitoring and reporting, and, if applicable SIS, standards.</p>

Rights

2e. Natural forest and biodiversity/Co-benefits

Safeguard 2, Safeguard 4

Benefit-sharing: Safeguard 4 on Indigenous Peoples requires that indigenous peoples “receive culturally compatible social and economic benefits.” There is no additional mention of REDD+ specific benefit sharing.

Biodiversity: Safeguard 2 on Natural Habitats specifies that forest restoration projects maintain or enhance biodiversity and ecosystem services. Critical natural habitats are also protected.

Mitigating negative impacts: Safeguard 1 on Environmental Assessment requires projects to be conducted in a way that “ensures environmental soundness.” Safeguard 2 on Natural Habitats also stipulates that conversion or degradation of critical 62 natural habitats is avoided.

Carbon Accounting

2f. Indigenous and local community rights 2g. Displacement (leakage)

Safeguard 3

While environmental assessments are required to account for direct, indirect and cumulative impacts, there is no explicit mention of reversals and emissions displacement.



Table 8 – Comparison Summary of IFC Safeguards and Cancun Safeguards (to be read in conjunction with the WB OPs)

CANCUN SAFEGUARDS	IFC SAFEGUARDS (ADDITIONAL TO WORLD BANK OPS)
Governance	
<p>2a. Consistency with other agreements</p> <p>2b. Governance structures</p>	<p>Consistency: In addition to meeting the requirements under the Performance Standards, clients must comply with applicable national law, including those laws implementing host country obligations under international law.</p> <p>Good governance: IFC's Sustainability Policy comprises its Access to Information Policy, which contains IFC's provisions on transparency and good governance</p>
Rights	
<p>2c. Indigenous and local community rights</p>	<p>Performance Standard 5, 7</p> <p>Land tenure: Land tenure safeguards apply in situations where involuntary settlement occurs.</p> <p>Livelihoods: Alternative livelihoods must be developed for indigenous peoples in cases where the project results in loss of access to natural resources.</p> <p>Avoided resettlement: Involuntary resettlement should be avoided wherever possible and minimised where unavoidable. In instances where involuntary resettlement does occur, those affected must receive adequate compensation and have their livelihoods restored or improved after they are displaced.</p>
<p>2d. Stakeholder participation</p>	<p>Performance Standard 1, 7</p> <p>FPIC: Free, prior and informed consent is required for indigenous peoples if it impacts natural resources on customary land, involves resettlement, or where it may have a significant impact on cultural heritage.</p> <p>Participation: Clients are required to develop a stakeholder engagement plan with affected communities. Where national laws do not allow women to hold land tenure, approaches should be considered to provide equal protection with men.</p> <p>SIS/Monitoring: Multiple performance standards contain requirements for safeguard monitoring under certain circumstances.</p>

Social and Environmental Impacts

2e. Natural forest and biodiversity/Co-benefits

Performance Standard 6

Benefit-sharing: There are no safeguards specifically related to benefit-sharing.

Biodiversity: where ecosystem services are likely to face adverse impacts, priority services must be identified and adverse impacts should be avoided or mitigated.

Mitigating negative impacts: For natural habitats, deforestation and degradation is prohibited unless there is no viable alternative and consultations with stakeholders have occurred. In critical habitats, deforestation and degradation must be avoided unless there is no alternative, the project will not adversely impact ecological processes, and populations of endangered species will not be reduced. Projects should not involve the introduction of invasive species under most circumstances.

Carbon Accounting

2f. Reversals (permanence) and 2g. Displacement (leakage)

No safeguard requirements specifically address reversal or displacement of emissions.

2.3.2 International Finance Corporation Performance Standards

IFC, a member of the World Bank Group, fosters sustainable economic growth in developing countries by financing private sector investment, mobilising capital, and providing advisory services. IFC's Indonesia Sustainable Forestry Program supports the creation of viable forest plantations on degraded lands, by working with forest plantation firms, sub-national governments, NGOs, local communities, and the broader forestry sector. IFC is also one of the partner agencies involved in the FIP.

The IFC applies environmental and social standards to all the projects it finances to minimise their impact on the environment and on affected communities. The *Performance Standards on Social and Environmental Sustainability* address eight areas: Performance Standard (PS) 1: Assessment and Management of Environmental and Social Risks and Impacts; PS 2: Labour and Working Conditions; PS 3: Resource Efficiency and Pollution Prevention; PS 4: Community Health, Safety, and Security; PS 5: Land Acquisition and Involuntary Resettlement; PS 6: Biodiversity Conservation and Sustainable Management of Living Natural Resources; PS 7: Indigenous Peoples; PS 8: Cultural Heritage.

PS 1 underscores the importance of managing environmental and social performance throughout the life of a project. The Environmental and Social Management System (ESMS) entails a methodological approach to managing environmental and social risks and impacts in a structured way on an ongoing basis. The ESMS incorporates the following elements: (i) policy; (ii) identification of risks and impacts; (iii) management programs; (iv) organisational capacity and competency; (v) emergency preparedness and response; (vi) stakeholder engagement; and (vii) monitoring and review. PS 7 details special circumstances for projects with potential adverse impacts to indigenous peoples, which require FPIC.

2.3.3 Asian Development Bank

The safeguard standards of the Asian Development Bank (ADB) are outlined in its Safeguard Policy Statement, which summarises the Bank's Involuntary Resettlement Policy (1995), the Policy on Indigenous Peoples (1998), and the Environment Policy (2002). Additionally the ADB has a separate Policy on Forestry (1995) which is applicable to forest related initiatives. ADB's Strategy 2020 advocates arresting deforestation as an approach to reduced GHG emissions, with the sustainable management of lands, forests and other natural resources also supporting local livelihoods, strengthening resilience to climate change, maintaining clean water supplies, and protecting biodiversity. All ADB-funded projects are required to adhere to its safeguards and policies.

2.3.4 Green Climate Fund Safeguards

The Green Climate Fund (GCF) was established in 2010 as an operating entity of the financial mechanism under the UNFCCC and launched the following year at COP 17 in Durban with the goal of raising USD100 billion per year by 2020. In October 2014 the GCF discussed an initial logic model and performance measurement framework for ex post REDD+ results-based payments. Through 2014 the GCF gradually put in place governing structures, including fiduciary standards and safeguards. In February 2014, at its 6th meeting, the Board of the GCF established several bodies relating to accountability, including the Independent Redress Mechanism (IRM). The IRM will provide an avenue of redress to groups of people affected by GCF funded projects and programs where there are breaches of safeguards and other procedural aspects of the decision-making processes. At the 7th GCF Board Meeting in May 2014, a decision was made to adopt the environmental and social safeguards of the International Finance Corporation as an interim measure, and to pursue the definition of the Fund's own safeguards within three years of the Fund's operationalisation.

The scope of the GCF safeguards has not yet been finalised. Safeguards areas under consideration include: environmental and social management and policy; environmental impact assessments; natural habitats; indigenous peoples; land acquisition; marginalised and vulnerable groups; human rights; and gender.

2.3.5 UN-REDD Programme

The UN-REDD Programme is the United Nations collaborative initiative on Reducing Emissions from Deforestation and forest Degradation in developing countries. It builds on the convening role and technical expertise of the Food and Agriculture Organization of the United Nations (FAO), the United Nations Development Programme (UNDP) and the United Nations Environment Programme (UNEP). The UN-REDD Programme supports nationally-led REDD+ processes and promotes the informed and meaningful involvement of all stakeholders, including indigenous peoples and other forest-dependent communities, in national and international REDD+ implementation.

The global UN-REDD Programme provides tools and guidance on a variety of issues, including mechanisms that complement and support processes for effective implementation of REDD+ safeguards and safeguard information systems, in order to enable countries to align their national approaches and strategies with the Cancun agreements. Tools and voluntary guidelines on safeguards include the Social and Environmental Principles and Criteria (SEPC) framework, which consists of seven broad principles within which 24 criteria have been identified, and an associated Benefits and Risk tool (BeRT) to assist in assessing gaps when developing new policies, laws and regulations. The SEPC are intended to address social and environmental issues in UN-REDD national programs and other UN-REDD funded activities, and to support countries in developing their national approaches to REDD+ safeguards.

The SEPC is consistent with the safeguards adopted by the Cancun Agreements, although it is not intended

to comprehensively cover all elements. The UN-REDD Guidelines on Stakeholder Engagement and FPIC are intended to complement the UN-REDD and FCPF joint guidelines and apply to national level activities supported by the UN-REDD Programme and to activities supported by any of the three UN partner agencies to the UN-REDD Programme (FAO, UNDP and UNEP) in their role as a delivery partners under FCPF. Other tools available through UN-REDD include the Framework for Assessing and Monitoring Forest Governance (designed by the FAO and the Program on Forests (PROFOR) which addresses participatory decision-making); the UN-REDD Guidance for Participatory Governance Assessment (PGA), which provides country-level governance indicators ranging from the use of REDD+ funds to the level of forest degradation; Guidance on Conducting REDD+ Corruption Risk Assessments (CRA) to support countries in identifying and mitigating corruption risks in REDD+ country programs; and draft Guidelines for Monitoring the Impacts of REDD+ on Biodiversity and Ecosystem Services to assist countries track compliance with Cancun safeguards as well as to measure positive and negative effects on biodiversity conservation and ecosystem services.

The operational phase 1 of the Indonesia UN-REDD Programme was closed in October 2012. Since its inception in October 2009, the Programme was instrumental in the development of several decrees (e.g. relating to the development of REDD+ demonstration activities and a Provincial REDD+ Working Group in Central Sulawesi), a methodology for Reference Emission Level, a National Forest Inventory database, and a REDD+ implementation plan for Central Sulawesi. UNEP has been assisting the government of Central Kalimantan with the development of a roadmap for green growth focusing on forest and natural resources. The 2012 Indonesia Forest, Land and REDD+ Governance Index that arose from the PGA process in Indonesia is addressed separately in section 2.6.4 below.



Table 9 – Comparison Summary of UN-REDD Programme Guidance and Cancun Safeguards

CANCUN SAFEGUARDS	UN-REDD GUIDANCE
Governance	
<p>2a. Consistency with other agreements</p> <p>2b. Governance structures</p> <p>2c. Indigenous and local community rights</p>	<p>SEPC Principle 4 recognizes the need to contribute to low carbon, climate-resilient sustainable development policy, consistent with national development strategies, national forest programs and commitments under international conventions and agreements. Principle 1 is that countries should “apply norms of democratic governance” including transparency and accessibility of information.</p> <p>Criterion 7 highlights that land and resource rights of indigenous peoples, local communities and other vulnerable and marginalised groups should be respected and promoted.</p>
<p>2d. Stakeholder participation</p>	<p>Criterion 4 recommends ensuring full and effective participation of relevant stakeholders, and guidelines in stakeholder engagement and strengthening of national-level grievance mechanisms help countries optimise the application of SEPC. The BeRT suggests there should be methodologies to determine who are relevant stakeholders, and clear rules regarding where and when information should be made public.</p> <p>Land tenure: Criterion 10 stipulates no involuntary resettlement due to REDD+ activities.</p> <p>FPIC: Criterion 9 recommends that FPIC is sought as a key component of effective stakeholder engagement and consultation, and the UN-REDD Programme Guidelines on FPIC provide that it must be given by indigenous communities before programs are developed and executed. Principle 3 promotes sustainable livelihoods and poverty reduction.</p> <p>Participation: SEPC criteria address the need to recognise traditional knowledge, secure land tenure, empower women and vulnerable groups and establish a grievance mechanism.</p>
Social and Environmental Impacts	
<p>2e. Natural forest and biodiversity/Co-benefits</p>	<p>Benefit-sharing: SEPC aims to guarantee that REDD+ projects bring multiple benefits – aside from monetary compensation, REDD+ programs must improve the overall state of communities and environmental resources.</p> <p>Biodiversity: SEPC promotes the maintenance and enhancement of biodiversity and the provision of ecosystem services.</p>
Carbon Accounting	
<p>2f. Reversals (permanence) and 2g. Displacement (leakage)</p>	<p>SEPC Criterion 15 addresses risk of reversals and Principle 7 covers the displacement of emissions.</p>

2.3.6 Governors' Climate and Forests Fund

The Governors' Climate and Forests Task Force is a sub-national collaboration between 22 states and provinces from Indonesia (Aceh, Central Kalimantan, East Kalimantan, Papua, West Kalimantan and West Papua), Brazil, Mexico, Nigeria, Peru, Spain, and the United States. The task force facilitates the exchange of experiences and lessons learned across leading states and provinces; synchronises efforts across these jurisdictions to develop policies and programs that provide realistic pathways to forest-maintaining rural development; supports processes for multi-stakeholder participation and engagement; and seeks financing for jurisdictional programs from a range of sources, including pay-for-performance public finance, emerging carbon markets, and ongoing efforts to de-carbonise agro-food supply chains.

The GCF Fund Protocol Assessment document is intended to identify project-level standards and criteria for compliance grade offsets to be funded by the Governor's Climate & Forests Fund (GCF Fund). The standards address, inter alia, leakage, permanence, co-benefits, stakeholder participation, monitoring and verification.

2.3.7 The International Tropical Timber Organization

The International Tropical Timber Organization (ITTO) aims to promote sustainable development through trade, conservation and best-practice forest management. ITTO pioneered the development of criteria and indicators for sustainable management of natural tropical forests in the early 1990s, and it also has policy guidelines for rehabilitation of degraded tropical forests and conservation and sustainable use of biodiversity in tropical timber production forests. The ITTO's Thematic Programme on Reducing Deforestation and Forest Degradation and Enhancing Environmental Services in Tropical Forests (REDDES) offers the possibility to integrate in a consistent and systematic manner all

environmental services within the SFM framework for the management of tropical forests focusing on capacity building for implementation. The ITTO's Indonesian project focuses on aiding efforts to establish national strategic policies and raise awareness among relevant stakeholders, and it is also implementing a project in Meru Betiri National Park in East Java in collaboration with the Ministry of Forestry and private sector company 7&I Holdings (Japan).

Certain social-environmental safeguards are defined by the ITTO/IUCN Guidelines for the conservation and sustainable use of biodiversity in tropical timber production.

2.3.8 Kyoto Protocol – Clean Development Mechanism

The Clean Development Mechanism (CDM) provides project guidance for afforestation/reforestation projects⁹ under the Kyoto Protocol. It allows industrialised countries to acquire certified emission reductions from project activities implemented in developing countries. CDM provides minimal safeguards for stakeholders. It mandates that they must be consulted during the planning of a CDM project activity and that designated operational entities must verify that local stakeholders' concerns have been considered and properly addressed by project developers.

⁹ Avoided deforestation is not 'included'.

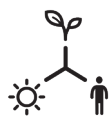


Table 10 – Comparison Summary of GCF Safeguards and Cancun Safeguards

CANCUN SAFEGUARDS	GCF SAFEGUARDS
Governance	
<p>2a. Consistency with other agreements</p> <p>2b. Governance structures</p>	<p>GCF Assessments contain a comparison with other forest project protocols: VCS, Climate Action Reserve Forest Protocol, CDM, CCBD and the Chicago Climate Exchange.</p>
Rights	
<p>2c. Indigenous and local community rights</p>	<p>Indigenous and local communities are not highlighted in the Assessment Document, but are covered more generally in the co-benefits and stakeholder participation section.</p>
<p>2d. Stakeholder participation</p>	<p>Ref 8a (Land and resource tenure); Ref 10 (Stakeholder/public participation)</p> <p>Land tenure: Projects must include reference to customary rights to land, territories and resources, but no specific protections are addressed.</p> <p>FPIC: FPIC of indigenous peoples and local communities is not identified.</p> <p>Participation: Projects are required to incorporate community partnership and to engage active participation of all stakeholder groups.</p>
Social and Environmental Impacts	
<p>2e. Natural forest and biodiversity/Co-benefits</p>	<p>Ref 7e-f (Measurement); Ref 9 (Project co-benefits)</p> <p>Benefit-sharing: Projects are required to incorporate benefit sharing.</p> <p>Biodiversity: Projects are required to monitor against social and biodiversity status of baselines and to articulate the use of sustainable forestry management practices.</p>
Carbon Accounting	
<p>2f. Reversals (permanence) and 2g. Displacement (leakage)</p>	<p>Ref 6 (Leakage); Ref 8 (Permanence) Leakage and permanence are addressed in detail in the assessment requirements.</p>



Table 11 – Comparison Summary of ITTO/IUCN Guidelines and Cancun Safeguards

CANCUN SAFEGUARDS	ITTO SAFEGUARDS
Governance	
<p>2a. Consistency with other agreements</p> <p>2b. Governance structures</p>	<p>ITTO/IUCN guidelines include consistency with international agreements (mentioning that legally and non-legally binding international agreements may signal the need for special management measures) and governance structures.</p>
Rights	
<p>2c. Indigenous and local community rights</p>	<p>ITTO/IUCN guidelines include respect for resource access, and land tenure, rights of local people</p>
<p>2d. Stakeholder participation</p>	<p>ITTO/IUCN guidelines include respect for resource access, and land tenure, rights of local people</p> <p>ITTO/IUCN guidelines include the dissemination of information important for the conservation and sustainable use of forests.</p> <p>FPIC: Prior informed consent is referred to only in the context of the inclusion of traditional forest knowledge, and information on local needs and preferences, in biodiversity databases</p> <p>Participation: Projects are required to incorporate community partnership and to engage active participation of all stakeholder groups.</p>
Social and Environment Impacts	
<p>2e. Natural forest and biodiversity/Co-benefits</p>	<p>ITTO/IUCN guidelines call for a forest management planning process in which economic, social and environmental objectives are balanced in accordance with societal needs and priorities. Such a process is essential for setting and achieving biodiversity conservation and sustainable use goals, maintaining functioning forest ecosystems.</p>
Carbon Accounting	
<p>2f. Reversals (permanence) and 2g. Displacement (leakage)</p>	<p>Ref 6 (Leakage); Ref 8 (Permanence) Leakage and permanence are addressed in detail in the assessment requirements.</p>

2.4 Carbon Markets, Private Sector and NGO Initiatives

In addition to the safeguards systems developed by multilateral organisations, NGOs and the private sector are also involved in developing safeguards that address social and environmental issues for REDD+ projects. At the project level, various standards are available for projects to receive voluntary certifications, which range from forest management principles (e.g. FSC) to carbon market standards (e.g. VCS) and projects may combine standards to achieve full coverage of social and environmental safeguards.

2.4.1 REDD+ Social and Environmental Standards

The REDD+ Social and Environmental Standards (REDD+ SES) were developed between 2009 and 2012 through an inclusive process engaging governments, NGOs, civil society organisations, indigenous peoples' organisations, international policy and research institutions and the private sector in an effort to set out a comprehensive, clear and easy to follow set of recommendations that are consistent with the Cancun safeguards and serve as guidance for governments that implement REDD+ programs. CCBA and CARE International serve as the secretariat.

These voluntary safeguards are composed of 7 principles, 28 criteria and selected indicators and are typically applied to government-led programs. The principles and criteria are the same across all countries whereas the indicators are tailored to the context of a particular country, identified through a country-level multi-stakeholder process. Usage of the REDD+ SES is through a ten-step process organised around three elements (governance, interpretation, and assessment). REDD+ SES explicitly addresses all of the Cancun Safeguards with the exception of the direct carbon accounting safeguards, providing comprehensive support for the

development and implementation of a country-led, multi-stakeholder safeguards information system (SIS). REDD+ SES is designed to be used by national or sub-national REDD+ programs to show how social and environmental safeguards are being addressed and respected throughout the REDD+ implementation, and to provide a framework for monitoring and reporting on the same. The REDD+ SES Initiative is currently supporting development of SES in thirteen countries; in Indonesia, the Province of Central Kalimantan began using REDD+ SES from 2010 and the Province of East Kalimantan from 2011.

2.4.2 Climate, Community and Biodiversity (CCB) Standards

The Climate, Community and Biodiversity (CCB) Standards identify land-based projects that are designed to deliver robust and credible greenhouse gas reductions while also delivering net positive benefits to local communities and biodiversity. The Standards can be applied to any site-based carbon projects including both projects that reduce greenhouse gas emissions through REDD+ and projects that remove carbon dioxide by sequestering carbon (e.g., reforestation, afforestation, re-vegetation, forest restoration, agroforestry and sustainable agriculture). The Guidance for the Use of the CCB Standards addresses aspects relevant to smallholder- and community-led projects.

All projects seeking approval under the CCB Standards must be validated to determine that the project design conforms with the Standards, and must subsequently be verified to determine that the project has been successfully implemented, generating net positive climate, social, and biodiversity benefits in accordance with its design. The standards include a framework to assess the quality of stakeholder participation, particularly local communities and indigenous peoples, as well as biodiversity and community co-benefits.



Table 12 – Comparison Summary of REDD+ SES Safeguards and Cancun Safeguards

CANCUN SAFEGUARDS	REDD+ SES SAFEGUARDS
Governance	
<p>2a. Consistency with other agreements</p> <p>2b. Governance structures</p>	<p>REDD+ SES are intended to complement multilateral safeguard standards by providing a clear and easy framework that incorporates all of the safeguards and other standards through a comprehensive multi-stakeholder process.</p> <p>Principle 7 specifies that the REDD+ program comply with applicable local, national and international laws, treaties and conventions. A process to reconcile inconsistencies is undertaken where local or national laws are not consistent with REDD+ SES, treaties or other instruments.</p> <p>Transparency is highlighted throughout the REDD+ SES (benefit sharing, stakeholder engagement and governance). Particular emphasis is given in Principle 4, Criteria 4.1, 4.3 and 4.4) with regards to governance structures, accountability, and finances.</p>
Rights	
<p>2c. Indigenous and local community rights</p>	<p>Principle 1; Principle 3</p> <p>Land tenure: The recognition and respect of rights to lands, territories and resources is emphasised. The framework for indicators recommends the following: a process to inventory and map rights is established, customary and statutory rights of indigenous peoples and local communities are included, and a process for defining carbon rights is developed/implemented.</p> <p>Livelihoods: Principle 3 is dedicated to the improvement of long-term livelihoods and wellbeing of indigenous peoples and local communities, underscoring that REDD+ activities mitigate negative impacts and generate enhanced livelihoods and welfare.</p> <p>Avoided resettlement: Due to FPIC, consent on any resettlement plan would have to be given by the affected community. The framework for indicators specifies that any relocation or displacement requires a prior agreement on the provision of alternative lands and/or fair compensation.</p>

2d. Stakeholder participation**Principle 6**

Principle 6 asks that all relevant rights holders and stakeholders are identified and “fully involved through culturally appropriate, gender sensitive and effective participation.” In addition, traditional and other knowledge, skills and institutions should be supported and respected.

FPIC: FPIC of indigenous peoples and local communities is required for activities affecting their rights to lands, territories and resources.

Participation: Principles 1, 2, 3 and 6 on rights, FPIC, benefit sharing, livelihoods and stakeholder engagement pay special attention to indigenous peoples, local communities, women and marginalised/vulnerable people

SIS/Monitoring: Provides support for the development of a country’s safeguards information system. From the 10-step process, 7-10 outline the preparation of monitoring and assessment plans, the collection of information against each indicator and a multi-stakeholder review of the assessment report.

Social and Environmental Impacts

2e. Natural forest and biodiversity/Co-benefits**Principle 2; Principle 5**

Benefit-sharing: Principle 2 stipulates that the benefits from the REDD+ program be shared equitably among all relevant rights holders and stakeholders and that a transparent and participatory assessment is conducted of predicted and actual benefits, costs and risks. In addition, mechanisms established for benefit sharing should also incorporate full stakeholder participation and transparency.

Biodiversity: Principle 5 stresses that REDD+ programs maintain and enhance biodiversity and ecosystem services and instruct that they be identified, mapped and prioritised.

Mitigating negative impacts: Principle 5 requires mitigation of negative environmental impacts including the conversion or degradation of natural forests or other important areas for maintaining biodiversity and ecosystem services. A transparent environmental impact assessment is also stipulated.

CARBON ACCOUNTING

2f. Reversals (permanence) and 2g. Displacement (leakage)

There is no explicit mention of reversals and displacement of emissions; however, these risks are addressed in Principle 5, Criteria 5.3, 5.4 and 5.5 (mitigating negative environmental impacts and enhancing positive impacts).



Table 13 – Comparison Summary of CCB Safeguards and Cancun Safeguards

CANCUN SAFEGUARDS	CCB SAFEGUARDS
Governance	
<p>2a. Consistency with other agreements</p> <p>2b. Governance structures</p>	<p>The CCB Standard can be combined with any variety of REDD+ and other forest carbon standards to demonstrate community and biodiversity benefits.</p> <p>The CCBA and VCS have recently partnered to streamline dual registration with both the VCS and CCB Standard.</p>
Rights	
<p>2c. Indigenous and local community rights</p>	<p>Land tenure: A mechanism must be developed to address unresolved issues related to land tenure.</p> <p>Livelihoods: The net impact on community's socioeconomic wellbeing must be positive, and impacts on off-site stakeholder should, at the very least, be neutral. The Gold Level requires exceptional benefits to be provided to communities.</p> <p>Avoided resettlement: Projects must not involve the involuntary resettlement of people or their livelihood activities. Where resettlement does occur following FPIC, adequate compensation must be provided.</p>
<p>2d. Stakeholder participation</p>	<p>FPIC: FPIC is required in instances where land rights will be affected or where resettlement will occur.</p> <p>Participation: Effective consultation must have a gender and intergenerationally inclusive design. The Gold Level requires projects to be explicitly pro-poor.</p> <p>SIS/Monitoring: Provides support for the development of a country's Safeguards Information System. From the 10-step process, 7-10 outline the preparation of monitoring and assessment plans, the collection of information against each indicator and a multistakeholder review of the assessment report.</p>
Social and Environmental Impacts	
<p>2e. Natural forest and bio-diversity/Co-benefits</p>	<p>Benefit-sharing: Costs and benefits are to be shared equally between communities and stakeholders.</p> <p>Biodiversity: Projected impacts on ecosystem services, including water and soil resources, must be documented against the project baseline, with the net benefit found to be positive. Net biodiversity impacts must be positive and Global Conservation Standard within the project should be enhanced or maintained. Mitigating negative impacts: Invasive species populations must not increase and the use of genetically modified organisms is prohibited</p>
Carbon Accounting	
<p>2f. Reversals (permanence) and 2g. Displacement (leakage)</p>	<p>Issues related to permanence are referred to the VCS Standard. Leakage types are required to be identified and mitigated to the greatest extent possible.</p>

2.4.3 Verified Carbon Standard

The Verified Carbon Standard (VCS) is a well-known carbon accounting standard for REDD+ projects and is used by several major REDD+ projects in Indonesia. The VCS covers a multitude of forestry activities including REDD+. It uses a pooled buffer approach to address project risk and ensure the permanence of issued carbon credits.

VCS encourages only a minimum level of co-benefits. They have a strong focus on carbon accounting, and therefore encourage the use of other benefit standards such as CCB Standards and FSC to address co-benefits. Little stakeholder participation is required at project level. Benefits accruing to the environment and local communities through REDD+ projects are highlighted through a VCS tagging system. Such projects are 'tagged' through use of the CCB Standards, Social Carbon certification (Brazil) or the Crown Standard (Thailand).

REDD+ projects are subject to additional Agriculture, Forestry and other Land Use (AFOLU) requirements at project-level, and specific methodologies are approved which define a set of criteria and procedures for a given project type [eligible VCS REDD+ activities are Avoiding Planned Deforestation and/or Degradation (APDD), Avoiding Unplanned Deforestation and/or Degradation (AUDD) and Avoiding Planned Land Use Change on Peat lands (REDD-APD)/Peatland Rewetting and Conservation (PCR)] that must meet certain socio-economic impact requirements. The VCS REDD Methodology Module (REDD-MF) is applicable to forest lands that would be deforested or degraded in the absence of the project activity; however there are no modules for activities to reduce emissions from forest degradation caused by illegal harvesting of trees for timber.

Complementing the project-level approach, the VCS has also created the Jurisdictional and Nested REDD+ (JNR) Requirements, which provide a standard for integrating projects, jurisdictional and/or national REDD+ systems under a voluntary crediting framework. JNR requirements also follow the socio-economic

impact AFOLU requirements. The VCS has also recently created a partnership with the CCBA to promote dual registration/certification with both the VCS and CCB and provide a more robust system for accounting for social and environmental safeguards.

2.4.4 Rainforest Standard

The Rainforest Standard integrates requirements and protocols for carbon accounting, socio-cultural/socio-economic impacts, and biodiversity outcomes. It is the product of a four-year collaboration among five leading environmental trust funds based in five Amazon Basin countries and Columbia University's Center for Environment, Economy, and Society. The underlying principle is that emission reductions must be permanent to justify credit revenues, and reductions will not be permanent unless economic benefits flow fairly to all local forest users and owners, who would otherwise have no stake in their permanence.



Table 14 – Comparison Summary of the Rainforest Standard Safeguards and Cancun Safeguards

CANCUN SAFEGUARDS	RAINFOREST STANDARD SAFEGUARDS
Rights	
<p>2c. Indigenous and local community rights</p>	<p>S1 on Respecting de facto rights holders; S2-9 on Free, Prior, Informed Consent Livelihoods: Risks to traditional livelihoods must be addressed in the Rightsholder Benefit Plan.</p> <p>Avoided resettlement: Avoided resettlement is not explicitly mentioned, but addressed through the use of FPIC.</p>
<p>2d. Stakeholder participation</p>	<p>I S1 on Respecting de facto rightsholders; S2 on Transparency FPIC: FPIC is required in a timely and culturally appropriate manner.</p> <p>Participation: Participatory consultation is required, and indigenous groups, local communities, forest dwellers and forest users are specified target groups.</p> <p>SIS/Monitoring: Sections A4 and B1-4</p>
Social and Environmental Impacts	
<p>2e. Natural forest and biodiversity/Co-benefits</p>	<p>S3 on Sustainable quality of life benefits; B1 on Biodiversity</p> <p>Benefit-sharing: Transparent and enforceable benefit-sharing plans are required</p> <p>Biodiversity: Biodiversity is monitored at ecosystem and species level according to referenced criteria, with credits dependent on compliance.</p>
Carbon Accounting	
<p>2f. Reversals (permanence) 2g. Displacement (leakage)</p>	<p>ER4 on Leakage; ER5 on Permanence Reversals and displacement are addressed through a variety of options.</p>

2.4.5 Other Certifications and Labeling Schemes

Most certification and labeling schemes set voluntary standards and provide an independent certification system. Implementation of the standards reviewed briefly below could also complement social and environmental safeguard standards within REDD+ programmes.

- CarbonFix/Gold Standard:** The CarbonFix standard (CFS) requires stakeholder participation to be enhanced and that A/R activities benefit the local population. It is applicable to both small and large-scale projects. The standard can be combined with the FSC or the Programme for the Endorsement of Forest Certification, in order to achieve more credibility in sustainable management of forests. The CFS provides simplified certification procedures if there will be joint certification with CCB or FSC.
- Commodity Roundtables:** Agricultural commodity roundtables have been involved in establishing social and environmental performance criteria for farmers and businesses to improve sustainability of production. These typically include voluntary production standards and independent certification systems. Examples relevant to the implementation of REDD+ projects include the Roundtable for Sustainable Biofuels (RSB) and Roundtable on Sustainable Palm Oil (RSPO).
- FairTrade:** Fairtrade International (FLO) sets standards and provides business support and FLO-CERT inspects and certifies. Fairtrade standards are applied to small producers' organisations, traders and hired labor and are designed to tackle poverty, poor labor conditions and empower local communities.
- Forest Stewardship Council (FSC):** The FSC seeks to promote sustainable forestry management. FSC forest management stewardship is based on ten principles, incorporating compliance with laws, tenure and use rights and responsibilities, community relations and worker's rights, benefits from the forest, environmental impacts, monitoring and assessment, management planning and maintenance of high conservation value forests.
- Global Conservation Standard (GCS):** The GCS promotes the design and implementation of conservation projects by requiring the development of long-term sustainable conservation management plans. Projects must generate social and environmental benefits.
- ISO (International Organisation for Standardisation) 1400:** ISO develops voluntary international standards. ISO 1400 is a suite of standards related to environmental management aimed at minimising how operations negatively impact the environment, and assisting organisations to comply with environmental requirements such as laws and regulations.
- Programme for the Endorsement of Forest Certification:** PEFC is a non-profit dedicated to promoting sustainable forestry management through independent third-party certification. The PEFC framework is a flexible forest management standard that sets a framework for the development of regional or national forest certification systems. The participatory standard-setting process ensures that stakeholders adapt the standards to regional or national conditions, thus ensuring national sovereignty.
- Plan Vivo:** The Plan Vivo Standard is a grass-roots standard that promotes a sustainable development process with smallholders and poor communities in developing countries by adopting long-term land use plans and capacity building. The standard scores highly for its evaluation of poverty and GHG benefits and for its approach to monitoring and reporting (Figure 8). It requires creating partnerships with other technically capable organisations in order to build capacity, to execute management, and to develop project-specific carbon accounting methodologies. The standard is applicable for smaller projects with options to expand if the projects prove successful in motivating more smallholders to participate.
- SocialCarbon:** SocialCarbon is a set of voluntary safeguard guidelines which can be applied to carbon offset projects to demonstrate additional benefits beyond carbon mitigation. Similar to

the CCB Standards, the SocialCarbon Standard requires projects to be designed and managed in a sustainable manner that promotes positive socioeconomic development of communities and indigenous peoples. Sustainability is determined by evaluation of six resources: natural, financial, human, social, carbon, and biodiversity. With respect to these six resources, projects must contribute to the alleviation of poverty and the promotion of sustainable development.

- **VER+ (VERPlus):** The VER+ standard closely follows the Kyoto Protocol's project-based mechanisms (CDM and JI). It does not focus on co-benefits.

2.5 Bilateral Programmes

Many bilateral donors have engaged with the forest sector in Indonesia over the years, with six donor governments in particular funding a significant number of REDD+ activities in Indonesia: Australia, France, Germany, Japan, Norway and the United Kingdom. This funding is mostly spent on budget support to climate change programs, technical assistance, and REDD+ demonstration activities. As bilateral donors have not put in place specific safeguards or policies in connection with REDD+, the safeguards which apply to the disbursement and management of bilateral donor funds for REDD+ in Indonesia are therefore typically those included in donor country national policies and laws. National safeguards for three of the largest donors, Norway, Australia and Germany, are examined in greater detail below.

2.5.1 Norway

The Government of Norway supports REDD+ efforts in Brazil, Indonesia, Guyana, Liberia, Peru, Tanzania, Mexico and Vietnam, and also contributes to the Congo Basin Forest Fund and various multilateral organisations and mechanisms on the development of National REDD+ programs leading to performance-based payments. Managed through Norway's International Climate and Forest Initiative (NICFI) under the Ministry of the Environment, it is the largest bilateral pay-for-performance REDD+ programme in the world. Norway does not have a common set of safeguard standards for all of its initiatives, yet is involved in their development and appraisal at the multilateral and bilateral levels. Essentially, the cooperative arrangements promote the use of safeguards, but do not provide details of how that should occur.

In its Letter of Intent with Indonesia, Norway stipulated a number of fiduciary, governance, environmental and social safeguard issues in the "General Approach and Principles" including:

- Give all relevant stakeholders, including indigenous peoples, local communities, and civil society the opportunity of full and effective participation in REDD+ planning and implementation;
- Be fully transparent regarding financing, actions and results; and
- Seek to ensure the economic, social and environmental sustainability and integrity of our REDD+ efforts.

2.5.2 Australia

The Australian Government has a dedicated International Forest Carbon Initiative (IFCI) that disburses bilateral funding and carries out REDD+ initiatives. Australia does most of its work on REDD+ through its bilateral agreements with its neighbor

countries, Indonesia and Papua New Guinea. The AUD100 million Indonesia-Australia Forest Carbon Partnership focuses on strategic policy dialogue on climate change; supporting the development of Indonesia's National Carbon Accounting System; and developing an incentive-based REDD+ demonstration activity in Central Kalimantan.

Australia does not (yet) have a dedicated set of safeguard standards for all of its REDD+ programs. However, government agencies have several general policies for its overseas development assistance work, mostly derived from World Bank safeguards policies. Relevant policies range from approaches to governance that promote accountability, to environment strategies that focus on improving the management of natural resources. Australian laws outside of the aid sector may also be relevant to Australian support in Indonesia, including the Environment Protection and Biodiversity Conservation Act (1999) and the Australian Human Rights Policy.

Safeguard mechanisms were piloted through the Australian-funded Kalimantan Forests and Climate Partnership (KFCP) in Indonesia, a AUD47 million Australian aid project which aimed to demonstrate how peatland emissions could be reduced. As an early project initiated in 2007 (i.e. before the Cancun Agreements had been adopted), this project provides examples of some of the social, environmental and governance challenges that can emerge within individual REDD+ projects. The project since incorporated information based on the Cancun Safeguards (including "transparency in REDD+ governance and programs, ensuring consistency with national policy, and respecting the knowledge and rights of indigenous peoples and local communities in a way that enables their effective participation"¹⁰, in addition to conservation of natural forests, biodiversity, reducing the risk of reversals and leakage, etc). However, some local communities expressed concern over their limited participation in the design and implementation of the project, the lack of clarity over their rights to access the area targeted by the KFCP, and the plans for benefit-sharing¹¹. Unanticipated environmental challenges also arose, with seedlings in the re-vegetation areas repeatedly perishing during the dry season due to bush fires. Eventually, the project was significantly scaled back – ostensibly due to its reorientation to become a 'demonstration activity', a lack of additional backers, and updated costing analyses, closing for good in 2013.

2.5.3 Germany

Germany is a significant investor in climate change related projects, and Indonesia is considered one of 15 'anchor countries', giving it particular regional and global significance. German climate change initiatives do not have a specific set of safeguards or standards, but refer to the existing German Federal Ministry for Economic Cooperation and Development (BMZ) policies on German Overseas Aid. Binding strategy papers address Good Governance, Human Rights, Indigenous

¹⁰ Retrieved from project archives available at <http://www.iafcp.or.id/content/page/49/Safeguards>.

¹¹ See, for example, Olbrei and Howes (2012) and FPP (2012).

Peoples, and Land Grabbing, as well as Forest Sector Strategy and models of social and ecological markets.

The most significant German support in Indonesia is for the Forests and Climate Change Programme (FORCLIME). The overall objective of the FORCLIME programme is “to reduce greenhouse gas emissions from the forest sector while improving the livelihoods of Indonesia’s poor rural communities”. The program has a technical component, which is involved in assisting the Indonesian government to design and implement legal, policy and institutional reforms for the conservation and sustainable management of forests, at local, provincial and national level; as well as a financing component, which provides support to REDD+ demonstration activities.

FORCLIME supported the Center for Standardization and Environment and the Ministry of Forestry to develop the principles, criteria and indicators for an Information System on REDD+ Safeguards Implementation (SIS-REDD+; more information in section 2.6.3 below). FORCLIME has also supported the Ministry of Forestry to develop a concept for a SIS- REDD+ at the provincial level in East Kalimantan. FORCLIME collaborated with the World Agroforestry Center (ICRAF) to initiate an effort to integrate social safeguards within broader land use planning dynamics.

Together with the Center for People and Forests (RECOFTC), the German Society for International Cooperation (GIZ) has developed a Guide on Free, Prior, and Informed Consent in REDD+: Principles and Approaches for Policy and Project Development (2011) which addressed issues relating to the preparation of rights holders for engagement in FPIC implementation as well as monitoring and instruments for maintaining consent. The publication did not target Indonesia in particular but wider audiences across REDD+ countries.

2.6 National Instruments

2.6.1 National Coordination

REDD+ in Indonesia was initially coordinated by the National REDD+ Task Force, established following the signing of the Letter of Intent (LoI) between Indonesia and Norway. The National REDD+ Task Force prepared the National REDD+ Strategy, which was published in English in June 2012. In addition to the National Strategy and action plan (StraNas), provincial-level REDD+ strategies and action plans (SRAPs) have been developed. The Task Force was replaced by the National REDD+ Agency, which was established by Presidential Decree No. 62 in September 2013. The National REDD+ Agency acquired its Head, and became operational, in January 2014. In January 2015, according to Presidential Decree No. 16 of 2015, the duties and functions of the National REDD+ Agency were merged with the Ministry of Environment and Forestry.

The same decree prescribed the same actions with regards to the National Council on Climate Change (DNPI), which had served as the UNFCCC focal point responsible for advising and overseeing implementation of climate change adaptation and mitigation policies.

Other governmental agencies involved in coordinating REDD+ activities include:

- **Ministry of Environment and Forestry (MoEF):** A key institution relevant to REDD+ in Indonesia is the Ministry of Environment and Forestry, which is responsible for managing the national forest estate and developing and overseeing national policies on environmental management issues. The MoEF coordinates voluntary REDD+ and demonstration pilot projects under Ministerial Regulation P.68/Menhut-II/2008, and is responsible for issuing licenses for carbon utilisation in production and protection forests under Ministerial Regulation P.36/Menhut-II/2009. The MoEF's Center for Standardization and Environment is leading the process of SIS-REDD+ development. The Division of Forest Planning (BAPLAN) is responsible for the Forest Resource Inventory System (FRIS), which is integrated into the related National Carbon Accounting System (NCAS), which monitors all terrestrial carbon. Together these form the basis of the national MRV system for REDD+ in Indonesia. The Forest Research and Development Agency (FORDA) has a mandate to conduct forestry research and development. FORDA established and manages the Indonesian Forest Climate Alliance (IFCA), a forum for communication, coordination and consultation for stakeholders working on forest and climate change issues in Indonesia. The MoEF was created following a merger, in October 2014, between the Ministry of Environment and the Ministry of Forestry
- **The National Development Planning Agency (BAPPENAS):** The National Development Planning Agency is responsible for overall development cooperation, possibly also including (in collaboration with the Ministry of Finance) the development and management of a national REDD fund through which REDD credits are being traded.
- **The Ministry of Finance:** The Ministry of Finance is responsible for the design and implementation of payment mechanisms, including sharing of REDD+ generated revenues.
- **The Ministry of Public Works:** The Ministry of Public Works is responsible for spatial planning and oversees the implementation of law no. 26/2007 which impacts the REDD+ planning process in Indonesia.
- **The Ministry of Home Affairs (MoHA):** MoHA is responsible for overseeing decentralisation and providing overall guidance to the districts for spatial and economic planning. MoHA has developed a monitoring and evaluation procedure for use by regional governments on the implementation of the Forest Moratorium.
- **The Ministry of Agriculture (DEPTAN):** DEPTAN is responsible for managing estate crops (e.g. rubber, palm oil) and forested land outside of state-owned

forests. The expansion of palm oil is supported as part of its development strategy. The Mid-Term Strategic Planning Document policy states that forests that have been removed from state forest areas and agricultural lands still under the authority of the forest sector should be specifically targeted for agricultural expansion, which could potentially conflict with REDD+ activities in the country.

- **The Coordinating Ministry of Economic Affairs (EKON):** EKON is responsible for overseeing economic development and mainstreaming climate change policies such as REDD+ into wider development policies.
- **The National Forestry Council (DKN):** DKN represents a multi-stakeholder dialogue platform, and is playing a role in implementing the SESA process, including working guidelines for indigenous peoples and local community engagement.

There are a number of instruments that are either referenced or mandated within Indonesian law, as well as voluntary practices, that can be used as REDD+ safeguards. The role of some of these national instruments in implementing REDD+ safeguards is elaborated further below.¹²

2.6.2 Principles, Criteria and Indicators for REDD+ Safeguards in Indonesia

The national system of Principles, Criteria and Indicators for REDD+ Safeguards Indonesia (PRISAI) was developed on the basis of the Cancun Agreements and the National REDD+ Strategy. Development and testing has involved civil society, provincial and national government agencies, private sector, pilot project developers, financial institutions, indigenous peoples and local communities, research institutions, and international NGOs.

¹² The presentation of the evaluation of national instruments is adapted from the 2013 Centre for Standardization and Environment report on *Principles, Criteria and Indicators for a System for Providing Information on REDD+ Safeguards Implementation*.

In accordance with the National REDD+ Strategy, the national safeguards framework has been established to ensure a risk evaluation reference point for REDD+ activities, and to facilitate the preparation of monitoring and control steps relating to programme management, financial accountability, and the impact of programmes on vulnerable groups and the natural environment. Discussions are underway regarding the possible merging of the PRISAI process with the parallel process undertaken by the Ministry of Forestry to develop a Safeguards Information System. A process has also been started that is considering the option of a “co-recognition” mechanism among the existing safeguard protocols that are being used in Indonesia. PRISAI has 10 principles that clearly align with the Cancun Safeguards. Additional principles (1,3,9) have been added to the seven Cancun Safeguards to address issues that are of particular importance for Indonesia, identified through a multi-stakeholder dialogue. The ten Principles of PRISAI are as follows:

1. **Clarifications of the status of tenure and land rights;**
2. **Ensuring actions complement, or are consistent with, the objectives of emission reductions and relevant international conventions and agreements;**
3. **Improvement of forest governance;**
4. **Respect for the knowledge and rights of indigenous people and members of local communities;**
5. **Full and effective participation of relevant stakeholders with attention to gender;**
6. **Improvement in the conservation of natural forests biological diversity, and ecosystem services;**
7. **Actions to address the risks of reversals;**
8. **Actions to reduce displacement of emissions;**
9. **Fair REDD+ benefit sharing to all relevant stakeholders and rights holders;**
10. **Warrants a transparent, accountable and institutionalised information system.**

Each of these principles has elaborated criteria needed to address the principle, and indicators (for implementing agencies and government) to ensure success is measurable and meaningful. According to the National REDD+ Strategy, the National REDD+ Agency is responsible for developing and implementing PRISAI. Now that the duties and functions of this agency have been merged with the Ministry of Environment and Forestry, the status of PRISAI remains unclear.



Table 15 – Comparison Summary of PRISAI Safeguards and Cancun Safeguards

CANCUN SAFEGUARDS	PRISAI PRINCIPLES
Governance	
<p>2a. Consistency with other agreements</p> <p>2b. Governance structures</p>	<p>Principle 2 ensures that actions complement, or are consistent with, the objectives of emission reductions and relevant international conventions and agreements. Principle 3 addresses improvement of forest governance.</p>
Rights	
<p>2c. Indigenous and local community rights</p>	<p>Principle 4 calls for respect for the knowledge and rights of indigenous peoples and members of local communities. Free, prior and informed consent is required according to Criteria 2 of Principle 3.</p>
<p>2d. Stakeholder participation</p>	<p>Principle 5 requires full and effective participation of relevant stakeholders with attention to gender.</p> <p>SIS/Monitoring: Principle 10 warrants a transparent, accountable and institutionalised information system.</p>
Social and Environmental Impacts	
<p>2e. Natural forest and biodiversity/Co-benefits</p>	<p>Principle 6 addresses improvement in the conservation of natural forests biological diversity, and ecosystem services.</p> <p>Benefit-sharing: Principle 9 addresses fair REDD+ benefit-sharing with all relevant stakeholders and rights holders.</p>
Carbon Accounting	
<p>2f. Reversals (permanence) and</p> <p>2g. Displacement (leakage)</p>	<p>Principle 7 addresses actions to address the risks of reversals.</p> <p>Principle 8 addresses actions to reduce displacement of emissions.</p>

2.6.3 SIS- REDD+

Starting at the same time as PRISAI, in early 2011, the Ministry of Forestry initiated discussions on the establishment of a Safeguards Information System for REDD+ in Indonesia, in accordance with the obligation articulated in UNFCCC COP 16 Annex 1 Paragraph 71D. This process sought to achieve several objectives: the translation of the Cancun Safeguards into the national context, in the form of Principles and Criteria; the analysis of existing instruments and policies that are relevant to the Cancun safeguards, and an identification of gaps; the development of a structure and mechanism for an information system for implementing REDD+ safeguards; design of a SIS-REDD+ institution; identification of relevant Principles, Criteria and Indicators as components of the SIS.

The purpose of the SIS is to consolidate and assess all relevant information on the implementation of REDD+ safeguards from project, subnational and national levels, and disseminate this information to the international level. Produced through a multi-stakeholder process which sought to capture the common denominator of all REDD+ safeguards systems being applied in Indonesia (which have been discussed above), Indonesia's SIS contains 7 Principles, 17 Criteria and 32 Indicators. These tools are used to evaluate safeguards systems in a way that generates coherent and consistent information.

PRISAI and SIS-REDD+ have been developed in parallel, but they are intended to play complementary roles. The possibility of the integration of the two initiatives is being explored through discussions between the relevant Ministries.



Table 16 – Comparison Summary of SIS-REDD+ and Cancun Safeguards

CANCUN SAFEGUARDS	SIS-REDD+ PRINCIPLES
Governance	
2a. Consistency with other agreements 2b. Governance structures	Principle 1. REDD+ activities shall ensure legal compliance and consistency with national forest programs. Principle 2. REDD+ activities shall ensure transparency and effectiveness of national forest governance
Rights	
2c. Indigenous and local community rights	Principle 3. REDD+ activities shall respect the rights of Indigenous and Local Communities Criteria 3.2 refers specifically to the need to obtain free, prior and informed consent of communities before REDD+ activities commence.
2d. Stakeholder participation	Principle 4. REDD+ activities shall ensure effective stakeholder participation, based on proactive and transparent identification of relevant stakeholders, and their engagement in planning and monitoring processes

Social and Environmental Impacts

2e. Natural forest and biodiversity/Co-benefits

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

Carbon Accounting

2f. Reversals (permanence) and 2g. Displacement (leakage)

Principle 6 and Principle 7 explicitly call for measures to reduce risk of reversals and displacement.

2.6.4 The Indonesia Forest, Land and REDD+ Governance Index

The Indonesia Forest, Land and REDD+ Governance Index was developed through a PGA supported by the UN-REDD Programme. The PGA involved different stakeholders from government, civil society, private sector and academia with the objective of producing robust and credible governance information as the first step to improving governance weaknesses that could undermine REDD+ activities, and in the long run be the basis for policy reform. If used strategically by civil society actors, the PGA can also serve as an accountability mechanism.

This first PGA, concluded in 2012, provided:

- A comprehensive analysis of the state of governance relevant for Indonesia's REDD+ process in particular and forest governance in general;
- Recommendations on how to address the shortcomings;
- Information on the performance of selected governance issues at national, district and provincial level

To allow for different stakeholders' inputs, the PGA in Indonesia was structured from the outset to involve national and sub-national stakeholders throughout the process involving academia, government and civil society. The Ministry of Forestry, the National REDD+ Task Force and later the National REDD+ Agency, the President's

Delivery Unit for Development Monitoring and Oversight (UKP4), the National Development Planning Agency (BAPPENAS), Bogor Agricultural Institute and President of National Forestry Council, the Indigenous Peoples Alliance of the Archipelago (AMAN), Epistema and Walhi actively contributed to the process throughout.

From a government perspective, the PGA results serve to highlight shortcomings and relatively low performance and as such point to issues requiring urgent attention to prioritise strategically; as robust governance information and evidence which can feed into and support government's policy-making, planning and strategies at national and sub-national levels; as a basis and starting point for policy-reform, which has already started based on the 2012 PGA findings. From a civil society perspective, the PGA served to provide robust evidence and information to support lobbying and advocacy, including efforts to hold decisions makers to account. A main advantage is that the government has already validated the data – discussions around the correctness of this data is therefore avoidable and progress is more likely to be made in the dialogue between civil society and government.

Most important for SIS, the PGA has provided quantitative data against a set of governance indicators, which can be used in the national SIS to track progress or regression. In particular, the data gathered through the PGA provides information on Cancun safeguards s70 b), c) and d) in particular.

After piloting the PGA in 2012 with 117 indicators, and in order to keep conducting the PGA regularly, the Ministry of Forestry, the President's Delivery Unit for Development Monitoring and Oversight (UKP4), the National REDD+ Agency and sub-national stakeholders agreed to simplify and reduce the indicator set and focus on four priority areas, namely (i) Certainty over State Forest Areas; (ii) Fairness over Forest Resources; (iii) Forest Management Transparency; (iv) Law Enforcement Capacity. In December 2014, the country's first district-level PGA was launched in the province of Jambi.¹³

The Indonesia Governance Index (IGI) is a methodology developed by Kemitraan that aims to provide a comprehensive and methodologically sound assessment of governance performance in all Indonesia provinces in four areas: government, bureaucracy, civil society and economy society. PGI juxtaposes the arenas and principles of governance to derive its indicators of good governance.

2.6.5 Law 32/2009 on Environmental Protection and Management, which regulates the use of AMDAL (Environmental Impact Assessment) and KLHS (Strategic Environmental Assessment)

In Indonesia, Environmental Impact Assessments (AMDAL- *Analisis Mengenai Dampak Lingkungan*) have been a legal requirement since 1982. The first set of operational guidelines were enacted in 1983. There have been several reviews of AMDAL, most notably in 1999 and 2009. Several laws regulating specific sectors state that the provision of licenses requires an AMDAL. For example, Government Regulation 27/2012 on Environmental Permits requires any business having an impact on the environment to perform an AMDAL, or an environmental management and monitoring analysis to be granted an environmental permit.

The Strategic Environmental Assessment (KLHS- *Kajian Lingkungan Hidup Strategis Indonesia*) was initiated, and is regulated, by Law 32/2009 on Environmental Management and Protection (article 4). According to current legislation, within the next year, all district and provincial planning documents have to demonstrate that they have undertaken a KLHS. While the Ministry of Environment is responsible for overall quality assurance, each Ministry can use its own guidelines. A Governmental regulation (Perpu) is currently under development that will provide clear guidelines on the responsibilities and accountabilities of the respective government agencies.

The SEA/KLHS is per definition participatory and aims to engage stakeholders in order to gather their opinion on projects as well as to enhance stakeholders' understanding of how the strategies or policy in question may impact them. It enables the integration of model-based "hard" data with stakeholder participation based decision making processes, and can be conducted ex-post or ex-ante depending on legalisation and preference of the implementing agencies and is being promoted for green economy mainstreaming¹⁴.

SEA consist of a number of different assessment tools and methodologies which are used in conjunction or over time to assess the environmental and social impacts of strategies, policies, plans and programs. Tools are categorised as follows:

- 1. Tools for ensuring full stakeholder engagement:** stakeholder analysis to identify those affected and involved in policies, programmes and planning decisions, consultation surveys and consensus building processes.
- 2. Tools for predicting environmental and socio-economic effects:** Modelling or forecasting of direct environmental effects, matrices and network analysis, participatory or consultative techniques, geographical information systems as a tool to analyse, organise and present information.

13 Aceh, North Sumatra, West Sumatra, Jambi, Riau, South Sumatra, East Kalimantan, West Kalimantan, Central Kalimantan, Central Sulawesi, Papua and West Papua

14 B. Dalal-Clayton, 2012. The role of Strategic Environmental Assessment in Promoting a Green Economy: Review of experience and potential. Background document for the OECD DAC SEA Task Team workshop on SEA and Green Economy, Lusaka, 17-18 January 2013

3. Tools for analysing and comparing options:

Scenario analysis and multi-criteria analysis, Risk analysis or assessment and (extended) cost benefit analysis, opinion surveys to identify priorities¹⁵.

One limitation of the AMDAL and KLHS as safeguards is the lack of authority that would allow for effective law enforcement, as only the Ministry responsible for issuing the license can withdraw concession rights. Decentralisation has given local governments a significant role in environmental protection and management, with local Agencies (Environmental Impact Management Agency, BAPEDALDA) having responsibility for measuring and supervising the AMDAL. However, in practice, this has not necessarily improved law enforcement as local agencies are responsible to district heads and governors rather than the central government, leading to inconsistencies in local assessment and enforcement¹⁶.

Nevertheless the strength of these instruments, as compared to others described, is that they have a basis within Indonesian law, and are obligatory for policy makers and project proponents. In this, they differ substantially from other REDD+ safeguards tools described earlier, whose authority and enforcement is largely dependent upon preferences of investors/ financiers or NGO based forums. This makes AMDAL and KLHS potentially effective instruments to mainstream safeguards mechanisms into planning.

The AMDAL and KLHS have important implications for REDD+ implemented through a jurisdictional approach. Given current legislation, it is likely that all jurisdictional-based REDD+ activities would have to undertake an SEA/KLHS- either as part of a provincial or district development plan, or as an independent entity. They might, therefore, overlap with REDD+-specific safeguards. To avoid overlap and unnecessary duplication of effort and resources, it is important to integrate PRISAI and SIS-REDD+ with the AMDAL and KLHS.

The following comparison of SEA with the framework of the Cancun safeguards agreements is based on the Ministry of Home Affairs Regulation on SEA application for regional development planning (PerMen 67/2012)

¹⁵ OECD, 2006. *DAC Guidelines and Reference Series Applying Strategic Environmental Assessment* GOOD PRACTICE GUIDANCE FOR DEVELOPMENT CO-OPERATION. DAC Guidelines and Reference Series. Paris: OECD.

¹⁶ ESP 3, 201.



Table 17 – Comparison Summary of AMDAL Safeguards and Cancun Safeguards

CANCUN SAFEGUARDS	AMDAL SAFEGUARDS
Rights	
<p>2c. Indigenous and local community rights</p>	<p>Permen LH 09/2011 ensures justice in implementation of environmental assessment tools</p> <p>Perpu (Government regulation) 27/201: AMDAL is project focused and requires participation of stakeholders affected by the proposed project/activity.</p>
<p>2d. Stakeholder participation</p>	<p>Permen LH 9/2011, Prinsip 6 KLHS (Partisipatif), Regulation 27/1999 and Decree 8/2000.</p> <p>AMDAL results are published and released on the AMDAL website every year. In practice participation is restricted due to the short period allocated for the development of the AMDAL (45 days).</p>
Social and Environmental Impacts	
<p>2e. Natural forest and biodiversity/Co-benefits</p>	<p>Permen LH no. 8/2006 Pedoman Penyusunan AMDAL, Lampiran I no 7C, point i</p> <p>Biodiversity: AMDAL has to consider components of the environment whose functions need to be maintained and protected as well as conserved: a) protection and conservation forests, and biosphere reserves; b) water resources; c) biodiversity; d) air quality; e) natural and cultural tourism heritage sites; f) environmental comfort; g) environment.</p> <p>An AMDAL will have to consider the impact on air pollution and water quality of proposed projects.</p>



Table 18 - A comparison between the Cancun Safeguards and SEA implementation within the framework of jurisdictional based REDD+ activities.

CANCUN SAFEGUARDS	STRATEGIC ENVIRONMENTAL ASSESSMENT (PERMEN 67/2012)
Governance	
<p>2a. Consistency with other agreements</p> <p>2b. Governance structures</p>	<p>The use of SEA is regulated by law 32/2009 on Environmental Management and Protection (article 4)</p> <p>Implementation has to be open, transparent and accountable (article 5). Article 18 requires that the assessment is based on sustainable development principles and covers economic, social and environmental aspects.</p>
Rights	
2c. Indigenous and local community rights	It is mentioned as part of the analysis and rights are specifically mentioned in Article 19.
2d. Stakeholder participation	Stakeholder participation is mentioned as a key principle, (see article 4).
Social and Environmental Impacts	
2e. Natural forest and biodiversity/Co-benefits	A key element of the assessment is the use of assessment/modelling tools and assessment of the biodiversity and forest cover baseline for further analysis. The impact assessed includes water and air quality as well as social/economic impacts. The attached guidelines set clear directions for scenario formulation and an assessment on how different scenarios are assessed and compared through multivariate analysis.
Carbon Accounting	
2f. Reversals (permanence) and 2g. Displacement (leakage)	This is not explicitly mentioned. However it could be easily included (and has been included before). SEA provides a sound basis for understanding how development activities will spatially interact, so could provide a viable means for assessing risks related to displacement and reversals.

2.6.6 SVLK and PHPL (System for Verification of Timber Legality and Sustainable Forest Management and Production)

The national System for Verification of Timber Legality (Sistem Verifikasi Legalitas Kayu- SVLK) is based on a certification approach of 'operator-based licensing', and involves independent auditing against sustainability and legality standards by International Organisation for Standardisation (ISO)-accredited auditors (see FLEGT section above for additional information).

Two types of certificate can be issued under the SVLK: PHPL (*Pengelolaan Hutan Produksi Lestari*, for Sustainable Forest Management and Production) and VLK (for timber legality). Issues that have arisen with regards to the use of these measures as safeguards are mostly associated with low levels of internal control of the system (whereby the Conformity Assessment Bodies that carry out the evaluation and verification procedures also issue the certificates and handle objections), and the existence of more than one licensing authority.

2.6.7 SFM Certification (LEI, FSC)

As noted above, the FSC seeks to promote sustainable forestry management through a performance-based international certification scheme. At the national level, the *Sertifikasi untuk Keadilan dan Kelestarian* (Certification for Justice and Sustainability) has comparable criteria and indicators and through a Joint Certification Program, forest management units that apply for certification are required to pass both systems.

The FSC and the Indonesian Ecolabel Institute (LEI- Lembaga Ekolabel Indonesia) have several commitments that identify the potential impacts on indigenous and local communities and compensate for the use of traditional knowledge for commercial purposes. The consultation process is more rigorous for LEI, as FSC requires public consultation, but does not specifically require direct consultation, and direct consultation is required through LEI.

2.6.8 Land rights

The role of the agricultural land tenure system and policies is addressed in detail in a separate related document¹⁷. In practice, the safeguard protections offered by customary land rights are often violated due to contradictory laws, unclear regulations, weak institutional capacity and land conflicts.

2.7 Comparative analysis of safeguards systems and tools

2.7.1 The 'Patchwork' Approach

As outlined above, actors designing and implementing REDD+ activities in Indonesia are dealing with a multitude of safeguards, requirements and guidance from various multilateral, bilateral and voluntary REDD+ initiatives. This leads to the potential for overlaps, inconsistencies and unnecessary costs. Various valuable comparative analyses of safeguards and policy requirements of different programs and funders are available (for example, ClientEarth's Guide for Consistent Implementation of REDD+ Safeguards); however, it is worth noting that these analyses are typically based on theoretical comparisons of REDD+ related initiatives in a 'perfect world'.

However, in practice, REDD+ activities often operate under a patchwork of safeguards, for example applying certain safeguards that are required by funding agencies in concert with FPIC processes that have been developed under a REDD+ readiness project and adopted at provincial level while providing reports under the framework of another delivery partner. Therefore a strict comparative exercise between different safeguards systems, tools and related processes, aiming to identify which is 'better', is not particularly useful in a practical sense, especially given that the appropriateness of the safeguard methodology is also dependent on the context

17 UNORCID 2015. Community Rights to Forests: A Field Assessment of Community Experiences in Rights Registration.



Table 19 – Comparison Summary of SVLK/PHPL Safeguards and Cancun Safeguards

CANCUN SAFEGUARDS	SVLK/PHPL SAFEGUARDS
Governance	
2a. Consistency with other agreements	<p>Prerequisite 1.1; 1.2; 1.3; 1.4; 1.5; Production 2.1; 2.2; 2.5; Social 4.2</p> <p>Legal and administrative documents and reports, on implementation of government regulation as well as monitoring and evaluation, demonstrate efforts to work towards compliance with international conventions and agreements.</p>
2b. Governance structures	<p>Prerequisite 1.2</p> <p>PHPL/SVLK contain commitments to good governance.</p>
Rights	
2c. Indigenous and local community rights	<p>Social 4.1; 4.4</p> <p>There is a clear delineation in the Forest Management Unit where indigenous peoples/local community areas are to be found. Documented evidence is required that a functioning conflict resolution mechanism is in place.</p>
2d. Stakeholder participation	<p>Prerequisite 1.1; 1.5</p> <p>Stakeholder involvement and participation is mandatory, along with FPIC process (PADIATAPA), secured protected areas and implementation of corporate social responsibility. FPIC: PADIATAPA process is mandatory Participation: Stakeholder participation is mandatory</p>
Social and Environmental Impacts	
2e. Natural forest and biodiversity/Co-benefits	<p>SVLK Indicator 4.3; E 3.1</p> <p>Benefit-sharing: A mechanism is elaborated for mutually acceptable distribution of benefit among stakeholders, especially local stakeholders affected by operations, and proof of implementation.</p> <p>Biodiversity: The existence, stability and condition of protected areas is documented and verifiable and steps are taken to identify and protect endangered, rare and threatened species.</p>
Carbon Accounting	
2f. Reversals (permanence) and 2g. Displacement (leakage)	<p>Prerequisite 1.4; 2.1</p> <p>Mechanisms are in place to plan, implement, monitor and provide progress in order to achieve sustainable forest management.</p>

in which it is deployed (resources, actors, location, likelihood that complementary safeguards will be observed, etc).

2.7.2 Comparison with PRISAI Principles

Broadly speaking, the following observations can be made in regard to the most commonly applied tools and guidance in relation to Indonesia's PRISAI¹⁸:

Principle 1: Clarifications of the status of tenure and land rights (cf Cancun Safeguard 3)

Clarity over the status of land tenure rights is addressed by all the major international safeguards tools and guidance, although the World Bank requires it only for certain projects. Recognition of collective land tenure rights are addressed adequately only by UN-REDD and FCPF. ADB and IDB do not take local communities into consideration, and the FIP and World Bank do not specifically require or promote collective land tenure rights.

Principle 2: Ensuring actions complement, or are consistent with, the objectives of emission reductions and relevant international conventions and agreements (cf Cancun Safeguard (a));

UN-REDD seeks to ensure consistency with all relevant international instruments. The World Bank, FIP and IDB do not fully recognise the need to ensure consistency with international agreements. The FCPF seeks to ensure consistency with international law, but this is undermined by its reliance on World Bank safeguards. ADB requires consistency with international law, but is subject to the existence of national implementing measures.

With regard to national forest programs (which are referred to in the Cancun safeguards, and are also relevant to PRISAI in terms of national governance), UN-REDD+ and ADB measures explicitly promote consistency with national forest programs; FCPF and FIP implicitly

promote consistency; and the World Bank and IDB do not recognise the need to be consistent with national forest programs.

Principle 3: Improvement of forest governance (cf Cancun Safeguard (b));

Forest governance issues include multiple elements, including for example, accountability and institutional frameworks.

All the initiatives recognise the need to strengthen institutional capacities and address issues of accountability and corruption.

Only FCPF and ADB require the establishment of grievance mechanisms and provide support and guidance in this regard. UN-REDD and FIP promote access to justice; and World Bank and IDB provide limited access to justice through their own respective mechanisms.

Principle 4: Respect for the knowledge and rights of indigenous people and members of local communities (cf Cancun Safeguard (c))

There is no consistency in who are to be recognised as "indigenous peoples" and "local communities". UN-REDD, FIP, IDB and ADB expect 'knowledge' to be respected; however traditional knowledge is not defined, and in some cases local community rights over knowledge are not recognised. Both the World Bank and FCPF 'promote' but do not require the respect of knowledge.

Rights are addressed in a myriad of ways: for example, IDB addresses the right to non-discrimination; FIP and IDB address the right to self-determination; and cultural rights are recognised and promoted by the UN-REDD Programme.

Principle 5: Full and effective participation of relevant stakeholders with attention to gender (cf Cancun Safeguard (d))

18 These summary observations are based on the more comprehensive legal analysis undertaken in Rey et al (2013), which focuses on UN-REDD, World Bank, FIP, IDB, FCPF and ADB. Note that UN-REDD Programme measures contain voluntary guidance only, while the others have binding policies.

UN-REDD gives more emphasis, and includes more strict provisions, on this topic than other initiatives- though, many others do promote the right to participate. A notable limitation of these other initiatives is that they do not address how stakeholders' views and concerns will be taken into account in the decision-making process.

Gender equality is addressed effectively by ADB and FCPF; the World Bank and FIP require gender equality issues to be addressed; UN-REDD does not clarify how its guidance contributes to addressing gender discrimination; and IDB does not address gender as a specific issue.

Principle 6: Improvement in the conservation of natural forests biological diversity, and ecosystem services (cf Cancun Safeguard (e))

Only the World Bank defines natural forests and FIP is the only initiative that clearly prohibits conversion of natural forest without exceptions.

All initiatives require implementation of measures to protect biodiversity, but only UN-REDD and the World Bank require identification/mapping of natural forests and biodiversity.

Principle 7: Actions to address the risks of reversals and Principle 8: Actions to reduce displacement of emissions (cf Cancun Safeguards (f) and (g))

All initiatives except the World Bank require specific monitoring and assessment frameworks. The World Bank does provide general monitoring and assessment frameworks.

UN-REDD, FIP and ADB provide general measures to address the risks of reversals and displacement. The World Bank and FCPF do not acknowledge the risks of leakage or permanence.

Principle 9: Fair REDD+ benefit sharing to all relevant stakeholders and rights holders (cf Cancun Safeguard (c))

Benefit-sharing is adequately addressed only by UN-REDD. The ADB, IDB and World Bank do not consider local communities; FCPF does not guarantee that benefit-sharing will be discussed through participatory processes with indigenous peoples and local communities; and the FIP does not require 'equitable' and 'transparent' benefit-sharing arrangements.

Principle 10: Warrants a transparent, accountable and institutionalised information system (cf Cancun Safeguard (b))

The right to access information is broadly respected by all initiatives; however, none actively promote public awareness of this right, nor do they promote institutions with clear mandates to ensure access and distribution of information.

2.8 Synergies with related international agreements and treaties

There are also a number of existing international obligations to collect, monitor and report information that is relevant to REDD+ safeguards. Although the information obtained through other international conventions and agreements would not be sufficient to provide robust monitoring of safeguards, alignment of the reporting and procedural elements under these other treaties, with those required under REDD+ safeguard procedures, would offer opportunities to reduce duplication and costs.

2.8.1 The United Nations Declaration on the Rights of Indigenous Peoples

The United Nations Declaration on the Rights of Indigenous Peoples (UNDRIP) contains a number of provisions that directly address FPIC. The concept of FPIC is that parties must acquire the free, prior and informed consent from local and indigenous communities before adopting and implementing development, administrative measures, projects or other interventions that would affect them, their lands or livelihoods. This is intended to safeguard rights and promote cooperation. It is important to note that the implementation of FPIC varies by community and implementing organisation, generally to reflect customary practices, and thus the concept and applicability of “consent” is not consistent.

FPIC is required by most of the REDD+ safeguards standards, with the exception of some carbon standards (e.g. VCS, Plan Vivo) and development banks including the World Bank (FCPF, FIP), which require ‘full and effective stakeholder consultations’ instead. Other (non-REDD+) forest carbon standards also typically do not address FPIC (e.g. CDM, PSFI).

2.8.2 The Convention on Biological Diversity and Aichi Biodiversity Targets

Multiple REDD+ safeguards are relevant to achieving the objectives specified by the Convention on Biological Diversity (CBD), particularly those related to biodiversity and livelihoods. Actions for REDD+ can help to achieve the Aichi Biodiversity Targets and vice versa in many cases¹⁹. The 20 Aichi Biodiversity Targets cover objectives that range widely from the conservation of marine and terrestrial ecosystems through to access to genetic resources and the benefits arising from their use.

Relevant CBD reporting requirements include stakeholder engagement; conservation of carbon stocks; conservation of biodiversity; levels of deforestation and forest degradation; and taking into account the needs of indigenous communities and other vulnerable people.

2.8.3 UN Food and Agriculture Organization- Forest Resources Assessment

Existing reporting requirements under the FAO Forest Resources Assessment (FRA), provide significant information on forest ownership, forest extent and classification, wood removals, carbon stocks, policy, legal and institutional frameworks.

2.8.4 Millennium Development Goals

The Millennium Development Goals provide a framework for the entire UN system to work coherently together towards a common end. Community participation in REDD+ could potentially provide a source of income for poor and marginalised communities in forest areas, and the first two targets under the seventh MDG (‘Ensure environmental sustainability’) are also particularly relevant to REDD+ safeguards, i.e. the integration of principles of sustainable development into country

¹⁹ UN-REDD Programme. 2013. *REDD+ and the 2020 Aichi Biodiversity Targets: Promoting synergies in international forest conservation efforts*.

policies and programmes, including reversal of loss of environmental resources; and reduction of biodiversity loss.

Relevant MDG reporting requirements include the proportion of land area covered by forest and proportion of species threatened with extinction.

One of the principal outcomes of the Rio+20 conference in 2012 was a call to produce a set of sustainable development goals (SDGs), widely seen as replacements of the MDGs following their expiry in 2015. The SDGs explicitly aim to balance the environmental, social and economic dimensions of sustainable development. The zero draft of the SDGs is currently being discussed by the UN General Assembly. Reporting requirements are to be determined.

2.8.5 EU – FLEGT

The EU's Forest Law Enforcement Governance and Trade (FLEGT) Voluntary Partnership Agreements (VPA) are bilateral agreements between the EU and timber-exporting countries, which make it illegal to import certain types of timber and timber products into the EU unless that timber has been licensed by the exporting country. The Indonesian timber legality assurance system is known as *Sistem Verifikasi Legalitas Kayu* (SVLK) and is addressed in more detail in the national systems section above.

Relevant FLEGT reporting requirements include forest sector laws, policies, regulations, governance, transparency, indigenous rights and stakeholder involvement.

2.8.6 The UN Convention to Combat Desertification

The UN Convention to Combat Desertification (UNCCD) calls for action that integrates activities directly related to combating desertification into other environmental and sustainable development strategies, such as efforts to alleviate rural poverty.

Relevant UNCCD reporting requirements include land cover status; and additional information on conservation, biodiversity and governance.



Table 20 - Alignment of information reported under other international treaties and agreements with Cancun Safeguards

CANCUN SAFEGUARDS	TREATIES/AGREEMENTS WITH RELEVANT REPORTING
Governance	
2a. Consistency with other agreements	FAO-FRA FLEGT
2b. Governance structures	
Rights`	
2c. Indigenous and local community rights	CBD Aichi Targets FLEGT UNDRIP
2d. Stakeholder participation	CBD Aichi Targets FLEGT UNDRIP
Social and Environmental Impact	
2e. Natural forest and biodiversity/Co-benefits	FAO-FRA CBD Aichi Targets FLEGT MDGs UNCCD
Carbon Accounting	
2f. Reversals (permanence) and 2g. Displacement (leakage)	FAO-FRA CBD Aichi MDGs UNCCD



**LESSONS LEARNED AND
IMPLICATIONS FOR IMPLEMENTATION
OF REDD+ SAFEGUARDS SYSTEMS
IN INDONESIA**

Chapter 3

3.1 Access to information

Indonesia's Constitution recognizes, *inter alia*, the right "to obtain information for the purpose of the development of his/her self and social environment". This provision has been implemented through Indonesia's Act on Public Information Transparency (2010). The Act also aims to increase public participation in the political process, to support good governance. Various agencies have reported that implementation of the Act has been haphazard and unenforceable, with many officials either unaware of the law or interpreting it inappropriately, although levels of transparency are slowly improving²⁰.

There have been numerous assessments specifically critical of REDD+ consultation and stakeholder engagement efforts in Indonesia.²¹ These reports cite lack of transparency and poor information disclosure by REDD+ projects and programs at local levels, for example in interactions with indigenous peoples and local communities.

However, there have been extensive multi-stakeholder consultations on REDD+ at national and provincial levels (e.g. the Indonesia UN-REDD Programme consultations for the first draft National REDD+ Strategy in 2010 and the Participatory Governance Assessment in 2012). These efforts have identified challenges in ensuring availability of data or information to relevant stakeholders, and the government has pledged to improve access to information through its open government partnership commitments.

It would be valuable to determine how extensively REDD+ information that is being made available at national level (e.g. through websites, policies and reports) is reaching target audiences for climate change information at local level, particularly indigenous and local communities.

3.2 Free, prior and informed consent

While FPIC does not explicitly appear in the UNFCCC safeguards, it is implicitly referred to in the call for Parties to respect indigenous peoples' rights, as framed by UNDRIP. Despite FPIC being a precondition for community involvement in REDD+ for most current projects (or, minimally, 'consultation' rather than 'consent' for projects solely reliant on World Bank framework), in practice the lack of a consistent definition of the FPIC process has resulted in varying interpretations of how FPIC can be applied, as well as instances of exorbitantly expensive examples of FPIC process implementation.

A case study reviewing the FPIC process in Central Sulawesi²², concluding that there was "no common understanding of what FPIC was"; the FPIC process provided local

20 See for example, Erdianto et al (2012); Prayitno et al (2012).

21 E.g. Criticisms of FCPF and FIP as reported in Fach (2013) and more generally across the provinces in Forest Peoples Programme (2011).

22 Ogle and Yong (2013), drawing on two FPIC pilots conducted in 2012: Lembah Mukti village in Dampelas Tinomno Forest Management Unit and Pakuli and Simoro villages in Lore Lundu National Park. A fourth village was selected, but did not progress because villages disallowed the FPIC facilitation team from entering into their area.

communities and provincial authorities a valuable opportunity to cooperate on an equal basis; the landscape in which consent is sought is often complex and dynamic, and it is not yet clear how the collective or individual rights of affected communities to give or withhold consent should be implemented; and there are challenges in ensuring genuine representation without interfering in internal processes.

Published case studies typically do not calculate the costs (financial, labor, and time) of the FPIC process, focusing instead on what the FPIC process achieved or what challenges were faced. Informal interviews that were held with participants in several projects²³ revealed that successful FPIC processes tend to be very labor-intensive (with a high ratio of facilitators to a small number of villages), high-cost (several estimate were at 30 percent or more of total project cost) and carried out over a significant period of time (typically measured in years).

This experience may in part be due to the nature of many projects implementing full FPIC processes as being ‘demonstration’ projects, or part of REDD+ readiness schemes (the Central Sulawesi case study above, for example, piloted draft provincial FPIC guidelines based on planned rehabilitation activities, as there were no designated REDD+ activities in the region during the duration of the programme). But this in itself indicates that there is still a significant need for fully documented implementation experiences for actual REDD+ activities, including an examination of the costs of the process. Typically, REDD+ readiness or demonstration project FPIC processes have required de novo preparation of communication materials (banners, posters, brochures, picture books etc), recruitment of local facilitators, training of local facilitators (in climate change and REDD+ issues, the FPIC process itself, as well as in negotiation and facilitation skills), multiple site visits, workshops, and drafting of outcomes.

This observation is not intended to diminish in any way the essential role of the FPIC process, merely to note that although this type of micro-level attention has shown success in achieving desirable outcomes for demonstration and REDD+ readiness projects, it is likely to lack cost-effectiveness when projects are scaled up and may form a barrier to private investment or community-led initiatives.

Stakeholder discussions also raised issues regarding FPIC processes that do not lead to consent. The incipient nature of REDD+ can pose a major challenge in seeking community consent for a project, since FPIC asks people to consent to something that is still evolving and has a number of open questions regarding compensation for changing land use, so it seems natural that in some instances consent would be withheld following an open and non-coercive consultation process. However, in practice, in some instances the lack of consent has been seen at a political level as a ‘failure’ of the FPIC process (and ultimately the project itself). For example, in one project examined, several sites participated in an FPIC process and one group of stakeholders declined to provide consent following the consultation process. Whilst this could have been seen as an indicator that the consultation process was valid and effective (i.e. giving of consent should not be considered the only possible outcome of an effective FPIC process), in fact there were strongly negative political

23 Specific projects are not listed here because several interviewees spoke on condition of anonymity. As outlined in the methodology, independent verification was sought to confirm their claims.

repercussions from this outcome, eventually resulting in the closure of the entire project, including for those other sites for which FPIC had been obtained.

Challenges in implementing the FPIC process that were identified by communities included identifying leaders who truly represent the community; choosing mechanisms to ensure local communities have a meaningful voice in decision-making; and obtaining the financial resources needed to enable full participation, particularly with regard to monitoring implementation of safeguards. In cases where legal awareness and capacity to participate are limited, or land tenure rights are not adequately recognised, the inclusion of FPIC measures must be supported by adequate capacity-building and legal certainty to ensure the FPIC process can achieve its aims.

Managing community expectations was another issue raised in stakeholder discussions. Although FPIC must take place before the project is implemented, in several cases communities have lost faith in proposals because several years have passed between the FPIC process and any potential benefits for the community, or community representative have changed and FPIC processes have had to begin anew.

Concepts of land ownership regulated under state laws remain foreign to many indigenous peoples and forest-dependent communities, and in areas where natural resources are owned by the state, there can be difficulties in contextualising the application of FPIC. In such cases, it would make sense to ensure that although the function of the land (i.e. 'forest') could remain at national level, the rights (i.e. management and benefits) would be held by indigenous peoples and local communities and protected by the application of safeguards. State recognition of tenurial rights is imperative to provide legal certainty of tenure and to provide parties with 'carbon rights' under REDD+ schemes.

Finally, project proponents, community representatives and donors all agree that it is not clear when the FPIC process 'ends'. Because it is a process and not an event or outcome, a lack of indicators to measure success contributes to situations where the FPIC process never seems to successfully conclude so that the project can begin.

Establishing national FPIC guidelines and indicators would assist in standardising the principles and procedures for FPIC throughout the country, as well as increasing donor confidence. A clear regulation and/or policy to regulate the meaning of 'consent' and the implementation of FPIC measures would also help to prevent or minimise conflicts and criticisms that have previously arisen from different interpretations of what FPIC is and how it should be implemented.

3.3 Stakeholder participation

In theory, the existing safeguards systems are strong at ensuring good governance, appropriate stakeholder engagement and respect for indigenous peoples' rights. However, in practice, feedback suggests that stakeholder engagement processes and FPIC in

particular are often poorly implemented. Moreover, in those instances where FPIC appears to have been successfully implemented, the process has been extremely expensive in terms of time, labour and resources, and has also dealt with only a small number of communities, suggesting that there may be some difficulties with future scaling of the FPIC process.

3.4 Governance and coordination

As discussed above, Indonesia has numerous existing national laws and processes that respect and promote safeguards, and is party to several international treaties additional to UNFCCC with complementary obligations. In addition, REDD+ financing institutions such as the World Bank, FCPF, FIP, etc, each apply their own sets of safeguards to projects, and there is an increasing proliferation of other voluntary standards arising as well.

As suggested by the review in Section 2, many of the existing safeguards standards provide relatively comprehensive coverage of the social and environmental Cancun Safeguards. In cases where standards address only some of the Cancun Safeguards, it is not uncommon for projects to combine several standards as part of their strategy to improve their ability to attract investment. Differing safeguard initiatives offers projects a variety of choices and options to tailor the implementation of their projects. The profusion of different safeguards initiatives can, however, have an impact in terms of transaction costs in implementing multiple investment schemes. It also risks duplication of efforts, overlapping jurisdictions and conflicts between safeguards and other land-use policies, as well as the possibility that certain issues are not well addressed.

There is value in working towards harmonisation of these standards, but that is a longer-term task that will likely be led by the creators of the differing initiatives. In many cases (e.g. the World Bank 'common approach') organisations are already working towards harmonisation. However, at national level a more practical approach to coordination is likely to be achieved through establishing authoritative national level guidelines, which could provide for mutual recognition of the role of other standards in implementing each of the safeguards appropriately, in a productive way that minimises transaction costs and uses existing data and indicators (e.g. as gathered through the PGA) most effectively.

The political landscape in terms of REDD+ regulation in Indonesia is in a state of some flux, influenced by the enactment and evolution of laws, policies and institutions. Significant developments include the extension of a moratorium on new licenses to convert primary natural forests until 2015²⁴; the merging of the duties and functions of the National REDD+ Agency with the Ministry of Environment and Forestry through Presidential Decree No. 6/2015; land tenure decisions impacting on forest management and indigenous peoples; and the involvement of multiple institutions in the development and piloting of national safeguards systems.

24 See Austin et al (2014) for a detailed analysis of the challenges in implementing the moratorium, and the state of governance reforms.

While the National REDD+ Agency did look to be well-placed to coordinate REDD+ initiatives in Indonesia, it was inevitably faced with the significant challenge of ensuring coordination between multiple institutions and sectors all carrying out simultaneous REDD+-related initiatives throughout the country. Some steps are still required to ensure effective implementation of REDD+ at a provincial level, including completion and verification of mapping processes (baseline data and cadastral maps), effective sub-national institutions, and established measurement, reporting and verification processes: these are progressing in 11 provinces²⁵.

At national level, some progress has been made in improving permit coordination and transparency. A license audit undertaken in Central Kalimantan showed that licensing documents are not well documented, license are issued in ways that do not conform with laws and regulations (e.g. licenses are issued without environmental permits), and many license holders do not fulfill their obligations after the permit has been issued.²⁶ In response, the *Sistem Informasi Perizinan* (SIP – Licensing Information System) is being developed, which is intended to improve coordination, transparency and management of licenses among government agencies and license issuers. A significant obstacle being faced in this area is the existence of overlapping mandates among national and provincial agencies, resulting in several legal ways to acquire permits, which may be issued in parallel without coordination between agencies.

Coordination of information has made significant progress. National agencies and government offices have historically managed permits for logging, mining, palm oil development and other forest uses separately, resulting in multiple forest users operating in the same area, causing confusion and conflict. A centralised national database for all geospatial information in Indonesia (OneMap) is being established to maintain information on forestry, plantation and mining licenses, which will eventually be online and publicly accessible. A national legal framework has been established for OneMap²⁷, and there has been substantial progress in implementing this in some areas (notably Central Kalimantan), although less so in other provinces. In addition to extensive participatory mapping data, large-scale base maps for Sumatera and Kalimantan are completed, and national high-resolution satellite images of forested areas are also available (e.g. through SPOT 5/6 and LANDSAT 8). This type of national data-mining exercise can also usefully be combined with other information-management initiatives coordinated at global level, such as the World Resource Institute's Global Forest Watch Commodities platform²⁸.

There have been significant delays in the support for spatial planning. In 2011, a Constitutional Court Decision stated the designation process for 'official' forest land in Indonesia requires that all forest are must be "gazetted" (officially mapped). This designation provides the foundation for deciding what types of forest use can occur and

25 The REDD+ Agency developed a strategy to focus REDD+ implementation on 11 forested provinces (Aceh, Riau, West Sumatera, Jambi, South Sumatera, West Kalimantan, Central Kalimantan, East Kalimantan, Central Sulawesi, West Papua and Papua).

26 Prasetyo (2014).

27 Law 4/2011 gives the Geospatial Information Agency the mandate to take the lead in developing a single reference map for all spatial decision-making in Indonesia, integrating detailed base maps with data from 13 participating agencies.

28 <http://commodities.globalforestwatch.org/>

where, and is therefore critical for REDD+ activities. However, the gazettelement process has been very slow, delayed principally by jurisdictional disagreements, which in turn has stalled the development of district and provincial land use plans. Conflict resolution mechanisms have been trialed in various provinces, identifying a need for clear guidelines and methods for conflict resolution and need to enhance training and capacity for conflict resolution.

Historically, lands occupied by traditional and indigenous communities (known as *adat* areas) have not been recognised in Indonesia's formal spatial planning system. However, there is a growing recognition of FPIC and customary rights by provincial governments, and a Ruling issued by Indonesia's Constitutional Court (MK No. 35/PUU-X/2012) mandated the government to ensure formal recognition of community-made maps and plans. The REDD+ Task Force invited submission of community maps and land-use plans for inclusion in the formal spatial planning process, and a large area of these lands has been mapped by the communities and submitted for gazettelement. However, gazettelement has not yet occurred for these areas, and the legal mechanism for incorporating community maps into the formal spatial process remains unclear.

Private company interest and investment in REDD+ projects seems largely to focus on ecosystem restoration projects (e.g. PT. Rimba Makmur Utama, Rimba Raya Conservation, PT. Restorasi Ekosistem Indonesia, Global Green, Forever Green Indonesia, and others). However, licenses for these projects are not subject to any particular safeguards standards. In practice, it seems many project developers simply initiate their own strategies and concepts for safeguarding social rights and the environmental impacts.

Large conservation organisations such as The Nature Conservancy (TNC) have played an important role in building the capacity of the central and local government to understand and monitor environmental safeguards in Indonesia through involvement in several pilot projects and a number of private REDD+ projects. For example, Flora & Fauna International (FFI) in partnership with Carbon Conservation established the first REDD+ pilot project in the world to be validated under the CCBA standard (the Ulu Masen project in Aceh), and have made subsequent efforts to encourage the adoption of a similar standard of environmental safeguards at the national policy level. NGOs have been heavily involved in developing training and educational programs, and could be a valuable source of environmental safeguard knowledge and approaches to the wider REDD+ community.

3.5 Accountability and translating principles into local-level indicators

Several stakeholders interviewed noted that although safeguards were well-observed at a broad level, this did not necessarily translate into respect for locally-specific values – for example, project sites were selected to take into account the need to conserve biodiversity, however the project design did not pursue forest management objectives that specifically

target the conservation or regeneration of specific species. Other questions that were raised during the stakeholder consultation relevant to local indicators were along the lines of “How do we determine when the FPIC process has been implemented appropriately?” and “How can we show that gender issues have been addressed?” – such questions would be more easily answered if local indicators were incorporated into the safeguards process.

Although most of the safeguards standards being used today have strong principles (i.e. objectives to define the social and environmental performance requirements of REDD+ programmes), and some have criteria that define the conditions that need to be met in order to deliver the principles, very few provide useful information at the level of locally-specific indicators. This means that several standards offer high-level statements regarding environmental safeguards (e.g. projects should ‘do no harm to biodiversity’); however, little practical guidance is offered on monitoring, and outcome-oriented indicators are scarce and dependent on national, regional or project-level determination processes.

Detailed, prescriptive indicators for project accounting are necessary to effectively implement REDD+ projects in local contexts. The complexity of ecosystems, forest types, stochastic effects (weather, insect outbreaks etc), and unexpected interactions means that environmental safeguards will almost always need to be interpreted at local level. Resources will be required to enable research to address these elements, e.g. improving understanding of how different species contribute to delivering ecosystem processes at scale to ensure that ecosystems are resilient and that highly functional species are selected for monitoring and maintenance.

Skills needed to produce and communicate local-level indicators include a science-based and culturally-informed understanding of the issue of interest, understanding of the strengths and weaknesses of the data being used, competencies in data processing to produce statistically valid presentations of the data, and writing and presentation skills to communicate the indicator results. It is therefore likely that a collaborative process will benefit the ongoing elaboration of local-level indicators and increase the access to data that will be essential for effective translation of principles into action.

3.6 Capacity needs

There is considerable variety in the ability of different REDD+ actors to monitor and report on the implementation of safeguards. While progress is being made on the capacity to monitor and report on leakage and permanence, national scale monitoring systems of governance, welfare and biodiversity is patchy at best. And while projects implemented to date have demonstrated some capacity to monitor land use change, ambiguities related to land ownership make ensuring permanent reductions in deforestation difficult to maintain. In most of the projects examined, there is a focus on capacity-building to integrate safeguards into implementation but more limited technical and institutional capacity-building to develop skills needed to continue maintaining safeguards throughout the life of the project.

Monitoring participation of stakeholders in decision-making is still carried out on a case-by-case basis, and it may be necessary to strengthen networking mechanisms to prepare for a national scale-up of projects.

Indigenous and local communities identified a need to improve their capacity to monitor the issuance of forest permits, to ensure enforcement of their rights and to assist in integrating local and government governance structures. The capacity of government agencies to verify land tenure was identified as a particular problem. Community-based mapping projects may take up to several years to complete due to the labour-intensive processes involved; but this is then compounded by many more years of delay waiting for government verification through gazettelement, which in turn may have a negative impact on project viability.

Government capacities also require strengthening at national and provincial and local levels. Key areas of concern identified by stakeholders included: funds to support participatory decision-making processes must be available; provision of training in conflict resolution and enforcement of safeguards; and support to enable a reduction in the time required to verify land tenure.

It is also important to note that to date, few actual benefit-sharing arrangements have been articulated, implemented and measured, which makes it difficult to assess the effectiveness of safeguards to improve welfare. Based on experience with similar models, capacity-building is likely to be needed to assist indigenous peoples and local communities to effectively manage funds raised through REDD+ projects.

Adding to implementation difficulties, there is a confusing proliferation of terminology in REDD+ safeguards standards (e.g. principles vs criteria vs policies), which is sometimes used interchangeably and sometimes with differing definitions. Scientific terms and policy processes essential to the safeguards process (e.g. FPIC as elaborated above) need to be locally grounded and clearly defined. Consistency between terms and concepts that are used in different safeguards standards, or by different actors (e.g. National Forest Monitoring System vs REDD+ specific monitoring) is important, but becomes essential when projects make use of multiple standards to implement safeguards to avoid confusion and duplication or omission. Universities and other academic institutions are likely to be well-placed to assist in disseminating knowledge throughout the country.

3.7 Transaction costs and investment disincentives

The costs of implementing social and environmental safeguards, including FPIC, fostering participation and monitoring biodiversity, are high in terms of time, money and other resources; and, if they are too high, they may make REDD+ projects unfeasible. Because the success and legitimacy of REDD+ will depend on its potential to deliver multiple social and environmental benefits beyond carbon (e.g. biodiversity conservation, maintenance of ecosystem services, livelihood benefits for poor communities), actually realising these benefits will be essential to create the enabling environment to achieve the sustained emission reductions required.

Without doubting the necessary and essential role of the REDD+ safeguards in ensuring that REDD+ activities “do no harm”, anecdotal evidence from a variety of different stakeholders (indigenous communities, private sector, government and donors) suggests that the high transaction costs of the safeguard system (both in terms of time, money and other resources) are currently forming an early barrier to the achievement of actual benefits from the projects.²⁹

Costs of implementing safeguards are not well documented in the literature, but were elucidated from discussions with multiple stakeholders. An example of transaction costs for indigenous-led participatory mapping process involved approximately USD8000 per community and more than two years of work, which was followed by a minimum further several years (and still ongoing) delay awaiting government validation of the maps – a process which is indefinitely delayed due to the lack of government resources required to visit the communities and confirm the map boundaries. Investigation into one ‘successful’ large demonstration project (with a budget of over USD4 million) revealed that 25-30 percent of the project costs were spent in implementing REDD-readiness social safeguards (not including environmental safeguards), a process which addressed only three local communities in total.

It is also worth noting here that there are other costs of implementing REDD+ projects that can form strong disincentives to investment. For example, a comparison between private conservation projects and mining activities revealed that mining concessions would result in projects that incur reduced taxes of 3-6 percent, with a proposed ecosystem restoration project in the same area being subject to 20 percent taxes, making it far less favorable to investors from a financial point of view. An estimation of the additional costs of complying with REDD+ safeguards in comparison to complying with regulations associated with other land uses (such as palm oil and timber estates) would be a valuable contribution.

Transaction costs and blockages such as these will only become even more pronounced as projects scale-up from REDD+-readiness activities. A more empirical

²⁹ The project-related costs cited in this section were obtained on condition of strictest confidentiality, given that they highlight issues that may relate to still-ongoing projects and/or have potential political implications. Despite the lack of contextual information it was decided still valuable to include these figures as they provide (rare) quantified confirmation of a widely discussed and important issue. As described in the methodology section, efforts were made to corroborate data obtained through anecdotal sources, such as in this case. In each case cited in this section (and throughout the report), the observations were confirmed by a second, independent source.

transaction cost analysis of implementing REDD+ project safeguards would be valuable, particularly with regard to balancing the risk of dilution of safeguards with the risk that implementation challenges faced in the safeguards process may result in the projects not ever progressing to a stage where the carbon/environmental/social benefits of the project can be realised. In a worst case scenario, cost-prohibitive safeguards processes could make implementation of REDD+ so complex and expensive that they are less able to compete with other land uses or with other sources of carbon credits, potentially resulting in less climate-sound activities replacing REDD+ activities, with a poorer outcome for all stakeholders.

The implementation of REDD+ safeguards needs to find a balance between being sufficiently rigorous so as to achieve their objectives, without being so demanding that there is little perceived incentive to undertake REDD+ activities.



CONCLUSIONS

Chapter 4

The Cancun Safeguards define broad criteria and guidance, and most of the safeguards employed in Indonesia do have substantive social and environmental safeguard elements.

The most comprehensive and commonly used safeguards, guidance, tools and other resources include those of the UN-REDD Programme, the FCPF, and the REDD+ SES. However, standards continue to be developed and refined, and more recently developed safeguards standards such as the Rainforest Standard promise to address social and environmental safeguard needs in even greater depth. Many projects make use of multiple standards to meet different needs across sectors, and address the Cancun Safeguards through a patchwork approach.

However, research undertaken with regards to the implementation of guidance frameworks does reveal areas where on-the-ground experiences with social and environmental safeguards are less than satisfactory. It is important to note that much of the Indonesian experience with implementing social and environmental safeguards to date has been through application of standards at project- or site-level, particularly focusing on REDD+-readiness and demonstration projects, with only limited experience in operating an effective REDD+ scheme at a broader, programmatic scale.

The following points summarise the main gaps identified by this report, which are areas considered most likely to require further development to ensure successful piloting of a normative national framework for safeguards implementation in Indonesia.

Improve coherence and harmonisation

- Ensure clarity of procedures and definitions among differing standards and guidance tools
- Establish authoritative national level guidelines, including:
 - Definitions of key terms (such as 'consent')
 - Implementation of key processes (such as FPIC)
- Within national level guidelines, provide for the recognition of other standards/safeguards systems as means of ensuring and monitoring implementation
- Improve avenues of communication and coordination among national and provincial agencies with overlapping mandates and policies
- Ensure consistency in terminology between different safeguards systems, as far as possible- especially in contexts where different systems are applied to a single project

Improve information sharing

- Measure how effectively REDD+ information disbursed at the national level is reaching local target audiences
- Raise awareness among implementing agencies, local government, and community members regarding the implications of the FPIC process, particularly with a view to ensuring that lack of consent is not taken to mean project failure
- Ensure terminology is consistent, appropriate to local context and understood
- Ensure dissemination of information regarding the length of the process and the nature of financial compensation

Empower local decision-making

- Build capacity of relevant stakeholders, particularly indigenous peoples and local communities, to make informed decisions through participatory mechanisms (including with a view to gender equity)
- Build capacity of relevant stakeholders, particularly indigenous peoples and local communities, to ensure that local knowledge is included in project implementation
- Strengthen government capacities, particularly to support participatory decision-making and conflict resolution

Ensure sustainability in safeguards implementation

- Undertake a thorough cost analysis of safeguards implementation in REDD+ pilot projects, and identify strategies for ensuring cost effectiveness and financial transparency in national safeguards implementation
- Undertake a comparison of the costs of complying with REDD+ safeguards, with costs of complying with other land-use regulations eg: palm oil and timber estates
- Explore ways of adapting national-level indicators to suit local contexts
- Build capacity, and ensure sufficient resources, to ensure safeguards monitoring continues throughout the life of the project
- Design safeguards systems in a way that is responsive to the dynamic conditions of ecosystems and communities, and can evolve in line with new knowledge

Ensure legal security and accountability

- Enhance accountability mechanisms, particularly with respect to interactions between institutions and stakeholders with overlapping jurisdictions and interests
- Ensure state recognition of the tenure and carbon rights of local communities, including by supporting the acceleration of the gazettement process
- Gather and verify base-line data on ecological and social conditions
- Consolidate, clarify and ensure transparency in the process of issuing concessions and permits



ANNEXES

Chapter 5

REFERENCES

5.1 Acronyms

ADB	Asian Development Bank
AMDAL	Analisis Mengenai Dampak Lingkungan [environmental impact assessment]
CBD	Convention on Biological Diversity
CCB	Climate, Community & Biodiversity [Standards]
CCBA	Climate, Communities & Biodiversity Alliance
CDM	Clean Development Mechanism
CFI	Carbon Farming Initiative
ESMA	Environmental and Social Management Framework
FPIC	Free, Prior, and Informed Consent. (Note: the Government of USA and the World Bank use 'Consultation' in place of 'Consent').
FAO	UN Food and Agricultural Organization
FCPF	Forest Carbon Partnership Facility
FSC	Forest Stewardship Council, see SFM and HCVF
GCF	Green Climate Fund
GCF Fund	Governors' Climate & Forests Fund
GEF	Global Environment Facility
HCVF	High Conservation Value Forest, also known as HCVA (High Conservation Value Area)
IBSAP	Indonesian Biodiversity Strategy and Action Plan
IGI	Indonesia Governance Index
IPCC	Intergovernmental Panel on Climate Change
ISO	International Organization for Standardization
LULUCF	Land Use, Land-Use Change, and Forestry
KLHS	Kajian Lingkungan Hidup Strategis, [strategic environmental assessment]
NGO	Non-governmental Organization
PHPL	Pengelolaan Hutan Produksi Lestari, a sustainability management system for all production forest concessions in Indonesia.
PRISAI	Principles, Criteria, Indicators and Safeguards of Indonesia
REDD+	Reducing Emissions from Deforestation and forest Degradation; and the role of conservation, sustainable management of forests and enhancement of forest carbon stocks
REDD+ SES	REDD+ Social and Environmental Standards
SEA	Strategic Environmental Assessment, see KLHS
SESA	Strategic Environmental and Social Assessment (see also FCPF)
SFM	Sustainable Forest Management, refers to voluntary certification standards for SFM used in the context of timber production.
SIS-REDD+	Safeguards Information System for REDD+ Implementation
SIS	Safeguards Information System
SVLK	Sistem Verifikasi Legalitas Kayu, timber legality verification system which is part of PHPL

UNDRIP	United Nations Declaration on the Rights of Indigenous Peoples
UNFCCC	United Nations Framework Convention on Climate Change
UNORCID	United Nations Office for REDD+ Coordination in Indonesia
UN-REDD	United Nations Programme on Reducing Emissions from Deforestation and Forest Degradation
VCS	Verified Carbon Standard
WB	World Bank

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