

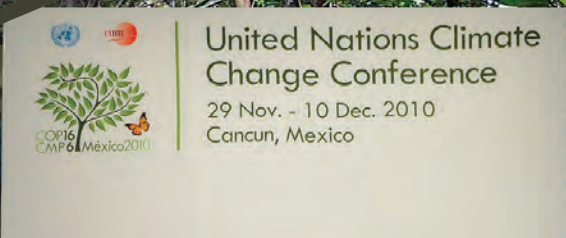


# Principles, Criteria and Indicators for a System for Providing Information on REDD+ Safeguards Implementation (**SIS-REDD+**) in Indonesia

CENTRE FOR STANDARDIZATION AND ENVIRONMENT  
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## **Principles, Criteria and Indicators for a System for Providing Information on REDD+ Safeguards Implementation (SIS-REDD+) in Indonesia**

**A multi-stakeholder process to identify elements of  
existing instruments of relevance to REDD+ safeguards in  
accordance with the Cancun Agreement**

2013



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## Foreword

COP-16 in Cancun requested Parties undertaking REDD+ activities to develop a system for providing information on how the safeguards (Annex I of COP-16 on outcome of the AWG-LCA) are being addressed in REDD+ implementation. The safeguards (together with guidance) for REDD+ implementation as in the Annex 1 of COP-16 Decision on outcome of the AWG-LCA, are conceptually logical but practically challenging, and so, it is necessary to translate the safeguards to enable Indonesia effectively implement them within the context of national legislation and circumstances. In response to this mandate, Indonesia, as part of this world's community, is developing a System for Information Provision on REDD+ Safeguards implementation.

During the two years of 2011 – 2012, a multi-stakeholders process has been carried out to facilitate the the development of this REDD+ safeguards information system, through identification of elements of existing instruments of relevance to REDD+ safeguards in accordance with the Cancun Agreement. The process included 3 national workshops, series of Focus Group Discussion, as well as one regional workshop in Central Kalimantan. The process is facilitated by Centre for Standardization and Development – Ministry of Forestry, with support from GIZ-Forclime.

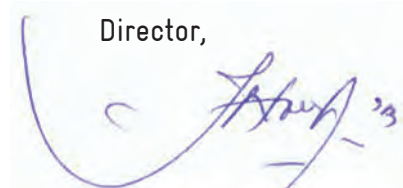
This report is intended as a document of publication to inform the result of the two-years multi-stakeholder process; and to reflect the process has been carried out, the report is developed with the following structure : Introduction, Identification of Relevant elements from existing Instruments, Identifying Draft Principles, Criteria and Indicators from Existing Instruments, and Conclusion. The Principles, Criteria and Indicators System for Providing Information on REDD+ safeguards Implementation (SIS-REDD+), as result of the work is presented as Annex of this report.

With the publishing of this report, my sincere thanks addressed to all of stakeholders and experts involved in the multistakeholder process of during the last two years, the support from our partner GIZ-Forclime, the help from Daemeter Consulting as well as staff members of Centre for Standardization and Environment.

Finally, it is hoped that this report will be useful for the stakeholders - at the international, national, sub-national level, as well as site level - to comprehend the importance of REDD+ safeguards, their implementation, and the provision of the implementation information, and furthermore, to be deeper involved in the development of System for Information Provision on REDD+ Safeguards implementation in Indonesia.

Jakarta, January 2013

Director,



Dr. Nur Masripatin







## Glossary

AMDAL	Analisis Mengenai Dampak Lingkungan, environmental impact assessment.
FPIC	Free, Prior, and Informed Consent (or Consultation, per Government of USA and WB), a process that provides opportunity for indigenous and/or local communities to reject or approve activities in forests to which they have rights.
FSC	Forest Stewardship Council, see SFM and HCVF
HCVF	High Conservation Value Forest, also known as HCVA (High Conservation Value Area), a concept developed by the FSC describing natural habitats where these Values are considered to be of outstanding significance or critical importance.
IBSAP	Indonesian Biodiversity Strategy and Action Plan serves as the main GOI reference to guide development of national programs for the utilization and conservation of biodiversity under the National Development Plan (RPJMN) 2004–2009.
KLHS	Kajian Lingkungan Hidup Strategis, strategic environmental assessment (SEA) is a mandatory control mechanism for development policies, plans and programs at the National, Provincial and Kabupaten level (UU 32/2009)
PGI	Partnership Governance Index, is a comprehensive measure and comparison of democratic governance performance of all provinces in Indonesia. PGI juxtaposes the arenas and principles of governance to derive its indicators of good governance.
PHPL	Pengelolaan Hutan Produksi Lestari, a sustainability management system for all production forest concessions in Indonesia.
SEA	Strategic Environmental Assessment, see KLHS
SESA	Strategic Environmental and Social Assessment, a safeguard system of the World Bank that can be applied in the context of REDD+ activities including REDD+ pilot programs.
SFM	Sustainable Forest Management, refers to voluntary certification standards for SFM used in the context of timber production. The Forest Stewardship Council (FSC) and Lembaga Ekolabel Indonesia (LEI) are the two most well known systems used in Indonesia.
SVLK	Sistem Verifikasi Legalitas Kayu, timber legality verification system which is part of PHPL.







## 1. Introduction

In the discussions about developing a REDD+ mechanism in the framework of the United Nations Framework Convention on Climate Change (UNFCCC) safeguards have been identified as an important element of effective REDD+ implementation. REDD+ safeguards aim to ensure that REDD+ actions avoid or minimise negative social or environmental impacts. UNFCCC Decision 1/CP.16 at Cancun in 2010 first raised the issue of REDD+ safeguards, requesting parties to promote and address safeguards. The safeguards identified cover a range of issues, including transparency of national forest governance structures, effective participation of stakeholders, respect for the knowledge and rights of indigenous peoples and local communities, conservation of natural forests and biodiversity, and the avoidance of both “displacement of emissions” and “reversals” of emissions reductions.

UNFCCC Decisions at COP 16 also emphasised that an important element of REDD+ is a system for providing information on how safeguards are addressed and respected. Effective systems to share information on REDD+ safeguards are intended to help promote transparency, guard against unintended social and environmental consequences, and provide information that maybe used to assess the impact of REDD+ actions. A decision of the 17th UNFCCC Conference of the Parties in Durban in 2011 agreed on broad provisions for guidance, including that national safeguard information systems should “build upon existing systems, as appropriate.”

Hence, since COP16 AND COP 17, parties intending to implement REDD+ have been tasked with the implementation of safeguards, and the development of a system for providing information on how these safeguards are addressed and respected.

Throughout 2011 and 2012 the Government of Indonesia has, through the Centre of Standardization, Environment (Pustanling) of the Ministry of Forestry, coordinated a multi-stakeholder process to develop a system for providing information on safeguards in REDD+ implementation (SIS-REDD+).

### 1.1. COP-16 Safeguards and Related Guidance

UNFCCC decisions require that, in the implementation of REDD+, the following safeguards should be promoted and supported :

1. Actions complement or are consistent with the objectives of national forest programmes and relevant international conventions and agreements;
2. Transparent and effective national forest governance structures, taking into account national legislation and sovereignty;
3. Respect for the knowledge and rights of indigenous peoples and members of local communities, by taking into account relevant international obligations, national circumstances and laws, and noting that the United Nations General Assembly has adopted the United Nations Declaration on the Rights of Indigenous Peoples;
4. The full and effective participation of relevant stakeholders, in particular indigenous peoples and local communities, in the actions referred to in paragraphs 70 and 72 of this decision;
5. Actions are consistent with the conservation of natural forests and biological diversity, ensuring that the actions referred to in paragraph 70 of the decision are not used for the conversion of natural forests, but are instead used to incentivize the protection and conservation of natural forests and their ecosystem services, and to enhance other social and environmental benefits;



6. Actions to address the risks of reversals;
7. Actions to reduce displacement of emissions.

In addition to the above, COP 16 (Annex 1, Paragraph 1 of Decision 1/CP.16) also provides guidance for the implementation of REDD+, advising that national actions should:

1. Contribute towards the achievement of the Convention, specifically the stabilization of concentrations of atmospheric GHG and the promotion of sustainable development.
2. Contribute towards the fulfillment of commitments under the Convention related to the transfer of financial support and technology from developed to developing nations.
3. Be defined by specifics of national context and be based on consideration of options appropriate to national conditions.
4. Be consistent with the objectives of maintaining environmental integrity and the multiple functions of forests and ecosystems.
5. Be implemented in accordance with the priorities and objectives of national development, conditions and capacity while respecting national sovereignty.
6. Be consistent with needs and goals of national development.
7. Be implemented in the context of sustainable development and the reduction of poverty, while addressing the issue of climate change.
8. Be consistent with the adaptation needs of the nation.
9. Be supported with sufficient financing and technology, including capacity development.
10. Be performance based.
11. Promote sustainable forest management.

In the implementation of the Cancun REDD+ safeguards that can be effectively used at all scales and levels, it is necessary to interpret the guidance above in the context of national specifics such as legislation and regulations, available resources, capacity to implement and other relevant local factors. In particular, Indonesia's legacy of policy, regulations and practices represent a national asset of significant value as a foundation for developing a system for information provision on REDD+ safeguard implementation appropriate to the national context.

It is with this justification that, in 2011, the Ministry of Forestry of the Republic of Indonesia embarked on a comprehensive, multi-stakeholder process to review existing policy, regulatory and voluntary instruments, of relevance to REDD+ safeguards as defined by the COP 16 decision, as a preliminary basis for constructing a national REDD+ safeguards information system. The rationale implicit to this process is that existing instruments have either a strong legal basis and/or are already tried and tested within the scales and contexts appropriate to REDD+ activities. Necessary steps in this process include the evaluation of relevant mandatory and voluntary instruments for their appropriateness to the specific REDD+ safeguards set out in COP 16, the relative strengths and weaknesses of instruments, acceptability to stakeholders, obstacles to more effective implementation of existing instruments, and a consideration of interrelatedness of instruments in providing comprehensive coverage in all aspects.

## 1.2. Developing an Information System on REDD+ Safeguards Implementation (SIS-REDD+)

In order to develop an appropriate SIS-REDD+ there is a need to launch stakeholder consultation processes at different levels and in order to incorporate as wide a range of technical and policy inputs as possible.

The overall objective of these stakeholder processes is to develop a system for information provision on safeguards implementation which consists of appropriate Principles, Criteria and Indicators to assess the safeguards' implementation, and other relevant elements as required.

The Centre for Standardization and Environment (Pustanling) of the Ministry of Forestry initiated the development of SIS-REDD+ since 2011. Funding throughout the process has been provided by the Ministry of Forestry, Republic of Indonesia, and the German Government, through the FORCLIME program of Deutsche Gesellschaft für Internationale Zusammenarbeit (GIZ).

Objectives of the stakeholder process have been further elaborated by Pustanling according to the following:

1. The translation of REDD+ safeguards according to the COP 16 Decision into the national context with criteria and indicators appropriate to implementation.
2. The analysis of existing policy and other instruments that have relevance for REDD+ safeguards as defined by the COP-16 Decision.
3. The development of a structure and mechanism for an information system for implementing REDD+ safeguards that is aligned with the specific context of Indonesia.
4. The design of a SIS-REDD+ institution.
5. The identification of relevant Principles, Criteria and Indicators as components of a system for providing information on the implementation of safeguards for REDD+ activities in Indonesia.

Step 1 above, specifically the collection of information on existing safeguard instruments and their respective strengths and weaknesses, was achieved through a workshop convened on 21st March 2011 by the Ministry of Forestry, followed by several Focus Group Discussions (FGD) during Q1-Q2, 2011 involving a broad cross-section of stakeholders and focusing on institutional aspects of the safeguard information system.

The analysis of existing policy and other instruments (Step 2) was carried out during Q3-Q4 2011, again through multi-stakeholder FGDs, with the support of Daemeter Consulting. The resulting analysis represented a draft report for continued stakeholder discussion, aimed to identify relevant "elements" of existing instruments and assess the relative coverage of these instruments in fulfilling REDD+ safeguard principles.

In January 2012 Pustanling initiated work on Steps 3 and 4 through the convening of a multi-stakeholder national workshop (National Workshop II, 26 January 2012) focused on the following aspects of SIS-REDD+:

1. Optimization of draft institutional structure and information flow in SIS-REDD+
2. Identification of appropriate evaluation instruments for the implementation of safeguards in REDD+

In the follow-up to this workshop, activities related to Step 5 were initiated, specifically the identification of Principles, Criteria and Indicators for providing information on the REDD+ safeguards implementation. This Step 5 is a natural extension of analysis from Steps 1 and 2 carried out during 2011, and has again involved leadership by Pustanling, funding support by the German Government through GIZ, intensive multi-stakeholder FGDs and the technical support of Daemeter Consulting.

### 1.3. About This Report

This report represents a summary of rationale, process and outcomes arising specifically from Steps 2 and 5; from early identification of existing instruments of relevance to REDD+ safeguards, to the development of Principles, Criteria and Indicators that provide comprehensive coverage of the REDD+ safeguards in a manner which is aligned to Indonesia's context and conditions.

## 2. Identification of Relevant Elements from Existing Instruments

The approach taken in this first phase was based on the rationale that there exist a number of instruments, that are either referenced or mandated within Indonesian law, or are currently practiced voluntarily, that can be used as REDD+ safeguards (COP 16 Decisions Adopted by Conference of Parties Appendix I).

Therefore, the overall objective in this phase was to analyse safeguard instruments and policies currently in use in Indonesia and identify elements which have proven effective and implementable and which are relevant for the seven safeguards for REDD+ of UNFCCC COP 16 Decision. The intended outputs of this analysis were to:

1. Develop a list of elements identified from existing safeguard instruments and policies which are structured according to the seven safeguards listed in Annex 1 of UNFCCC COP 16 Decision
2. Analyse the effectiveness and practicability of these elements and recommendations on which elements should be monitored for the purpose of providing information on REDD+ safeguard implementation
3. Identify gaps between UNFCCC Safeguards and the recommended elements for further consideration through multi-stakeholder dialogue.

### 2.1. Methodology for Evaluating Elements of Existing Instruments

Among the various existing instruments covered during this analysis were the following (further details on each instrument can be found in the glossary):

- AMDAL (*Analisis Mengenai Dampak Lingkungan*; Environmental Impact Assessment)
- KLHS (*Kajian Lingkungan Hidup Strategis*; Strategic Environmental Assessment)
- PHPL (*Pengelolaan Hutan Produksi Lestari*; Sustainable Forest Management and Production)
- SFM Certification (LEI, FSC)
- SVLK (*Sistem Verifikasi Legalitas Kayu*; System for Verification of Timber Legality)
- PGI (Partnership Governance Index)



- HCVF (High Conservation Value Forest)
- FPIC (Free, Prior, and Informed Consent)
- Rights-based safeguards
- SESA (Strategic Environmental and Social Safeguards Assessment)
- Others to be identified (e.g. legislation related to biodiversity conservation, etc.)

Each of these instruments was evaluated against the scope and intent of COP 16 safeguards using several criteria:

- **Relevance** to COP 16 safeguards, specifically
  - Technical feasibility/‘implementability’
  - Potential effectiveness under ideal conditions
  - Current practices relating to implementation and effectiveness
- **Limitations in scope** of instruments
- **Effectiveness** of instruments at different scales and contexts

The evaluation (a comprehensive scoring of each instrument against the criteria above) was prepared by the technical group, presented in a focal group discussion, and amended based on feedback received.

## 2.2. Evaluation Criteria for Existing Instruments

All existing instruments under consideration were evaluated against a range of criteria as summarised above, and then scored dependent upon the instrument’s fulfilment of the criteria according to the rationale described below:

For legal instruments, **feasibility/‘implementability’** is dependent upon the existence of detailed, unambiguous regulations and systems in support of implementation. For non-legal instruments, feasibility was evaluated based on the existence of a clearly defined process and systems in place in support of implementation. In both cases, the absence of a clearly defined process will result in a low scoring. The existence of a process that lacks detail or modification in practice will result in a medium score. On the other hand, the existence of a process that can be used directly without modification will result in a high score for the instrument under consideration.

**Potential effectiveness** of instruments depends on whether the instrument is fully functional (technical feasibility is optimised) and how well it could act in support of a specific safeguard, irrespective of how well it is practiced now. Some instruments are clearly better suited than others for specific safeguards, dependent upon scope, and scoring was allocated to instruments based on this safeguard-specific evaluation. Therefore potential effectiveness of instruments as safeguards is scored irrespective of current practice, but heavily weighted towards potential ability, intrinsic within the definition and/or design of instruments, to respond to specific requirements of the COP-16 safeguards themselves. Score for this criteria is reduced where there is evidence of lack of capacity for implementation, lack of oversight, poor management of the system and/or inherent weakness in the systems that enable poor practice.

Instruments were also scored based on an evaluation of **limitations in scope** against the COP-16 safeguards. This refers to limitations to the context of where the instrument is currently applied, while considering that, under certain conditions, scope can be increased through modification of the instrument or its means of application.

Finally, instruments were evaluated for their **effectiveness at different scales**; recognising that REDD+ activities may take place at either the national, regional, provincial, district or project site levels. While some instruments are effective and relevant across a range of different spatial scales, others are much more specific to one end of the scale spectrum or the other.

### 2.3. Results of Analysis of Elements from Existing Instruments

In summary, the aggregate scoring of existing instruments, based on the criteria described previously, is presented in the table below. Each of the main instruments under consideration were ascribed a score against each of the seven COP-16 safeguards, and mean score across all safeguards (Mean Score) also calculated. In the table below the colour coding corresponds to a qualitative assessment of relevance and coverage for each of the instruments based on this scoring (green= good; yellow=adequate; red=weak). Simultaneously, linkages between each of the seven safeguards and the instruments under consideration was assessed, to provide a broad qualitative estimate of relative coverage of each safeguard by the existing schemes (Overall coverage - mean score).

Table 1. Overview of Instrument Relevance and Coverage of Safeguards

Instrument	NFP/ Conventions	Good governance, sovereignty	Respect indigenous peoples	Stakeholder engagement	Biodiversity, forest, ecosystem services	Permanence of Carbon	Leakage of Carbon	Mean Score	Rank
PHPL/SVLK	2	2	2	2	2	1	1	1.7	6
SFM	3	3	3	3	2	2	1	2.4	1
KLHS	2	3	3	3	2	2	2	2.4	1
AMDAL	2	2	1	2	2	2	1	1.7	6
HCV	2	3	3	3	3	2	1	2.4	1
FPIC	3	1	3	3	2	1	1	2.0	4
SESA	2	1	2	3	3	1	1	1.9	5
<b>Overall Coverage (mean score)</b>	2.3	2.1	2.4	2.7	2.3	1.6	1.1		

Overall, existing instruments provide relatively adequate coverage of safeguards 1 to 5, excluding safeguards 6 (permanence of carbon) and safeguards 7 (leakage of carbon) which were both relatively under-represented within the existing instruments as investigated.

In terms of relevance of existing instruments against the safeguards, voluntary standards of sustainable forest management (SFM; specifically LEI and FSC standards), KLHS and HCV achieved relatively high scores. These were followed by FPIC, SESA, AMDAL and PHPL/SVLK in order of declining effectiveness in terms of their response to COP-16 safeguards.

With respect to effectiveness of the instruments at different scales, the table below provides aggregated scoring for each instrument against national, provincial, district and site specific scales. Overall, existing instruments provided adequate coverage and effective response to COP-16 safeguards at the project site-level. Exceptions to this were for KLHS and SESA instruments, which provided relatively adequate coverage across the full range of scales.

Table 2 - Summary of Effectiveness of Instruments at Different Scales

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

## 2.4. General Findings Related to Existing Instruments

The following represents a summary of general findings from the first phase of analysis of existing instruments:

1. Different instruments operate well at different levels, with most operating well at the site level and less so at broader geo-political scales
2. Existing safeguards covered here are weak, or non-existent, for ensuring the permanence of carbon stocks and preventing leakage.
3. Overall the safeguards analysed are best at ensuring good governance, respect for indigenous people, and for ensuring appropriate stakeholder engagement.
4. With the exception of KLHS, voluntary standards tended to be rated higher than mandatory instruments.



5. Gaps in the effectiveness of safeguards by existing instruments are primarily related to:
  - a) Need for strengthened implementation of existing instruments
  - b) Need for additional regulation to guide consistent implementation of existing instruments
  - c) Need for strengthened systems to monitor impacts of instruments
  - d) Divergence in capacity/expertise at Provincial/District level compared to national level.
  - e) Absence of over-arching framework to coordinate the metrics and reporting standards of diverse instruments and their actors at national to project site scales.
6. Safeguards are not new to Indonesia, and in general adequate instruments are enshrined in mandated instruments or commonly practiced voluntary standards, to provide a basis for developing appropriate Principles, Criteria and Indicators for COP-16 safeguards specific framework (with some exceptions).
7. A Safeguard System based on the existing instruments as assessed is possible, by selection of specific elements from each instrument, with the caveat that strengthened standards of implementation of the instruments and stronger over-arching coordination may be necessary.

### 3. Identifying Principles, Criteria and Indicators from Existing Instruments

The second phase of activities described here relates to the further development of the analysis carried out previously. During this stage, the relevant existing instruments were broken down into their component elements and evaluated in more detail for their relevance, effectiveness and practicality as “common denominators” within a comprehensive framework of principles, criteria and indicators (PCI) for REDD+ safeguards.

Activities in this phase are defined by the following steps:

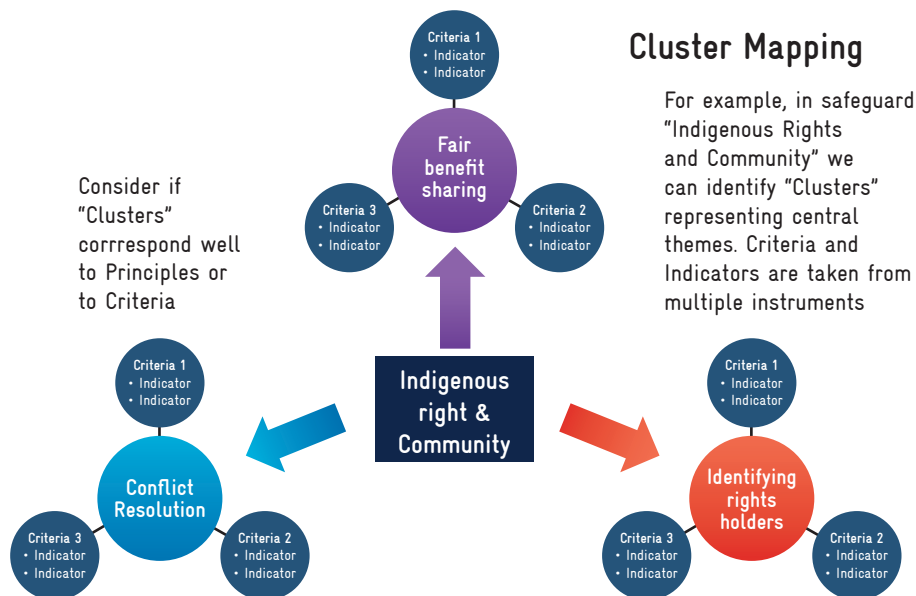
1. Consultations with initiators of the safeguard instruments (PHPL/SVLK, SFM certification by FSC/LEI, KLHS, AMDAL, HCV, FPIC, SESA) to validate and enhance the previously conducted analysis of their relevance, limitations in scope and effectiveness at different scales. This includes consultation of the results of the analysis with participants of FGDs organised by Pustanling, Ministry of Forestry in partnership with GIZ FORCLIME.
2. Based on the earlier analysis of existing instruments, identification and extraction of elements (in the form of principles, criteria, indicators) which are relevant to each of the COP 16 REDD+ Safeguards (a – g in annex to COP 16 Decision), clustering them to identify “common denominators” for each safeguard.
3. Following stakeholder consultation through FGD’s, development of a PCI framework (referenced to the original instrument) from the identified “common denominators”, that can effectively provide information about the implementation of REDD+ safeguards as required by UNFCCC.
4. Preparation of a final report on the analysis of existing instruments, including a draft list of “common denominators” related to COP 16 REDD+ Safeguards formulated as principles, criteria and indicators.

The steps in the analysis process can be further elaborated as follows:

- Identifying and prioritizing elements contained in existing instruments**

Based on previous analysis, existing instruments considered to be of high relevance and effectiveness were broken down into their respective components to further understand the key elements of the instruments that could be related to the 7 COP-16 safeguards. These elements derived, from the range of instruments covered, were then arranged in accordance with the specific safeguard of particular relevance.
- Identification of clusters of elements or “common denominators”**

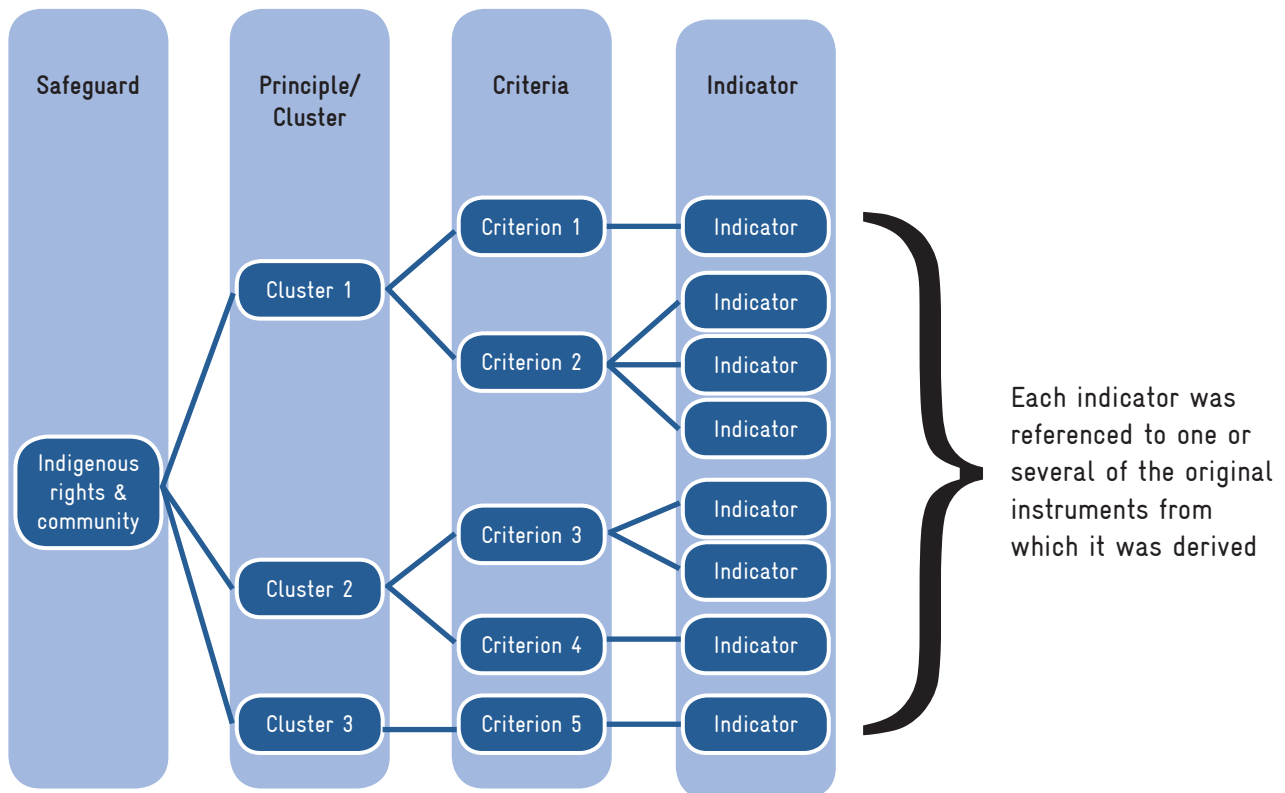
The array of elements derived from existing elements were then arranged according to theme in order to identify major clusters of elements responding to similar principles. Furthermore this provided an opportunity to assess where particular themes were insufficiently supported by elements derived from existing instruments. Finally, the process identified the potential for hierarchical arrangement of element clusters with related themes with the intent of indentifying specific “Principles” under which these common denominators could be arranged.



- Linking the emerging element clusters to safeguards**

During this stage of the analysis, the clusters of common denominators, considered to reflect emerging “Principles” of a PCI framework, were mapped against the 7 COP-16 safeguards. In general, where possible it was attempted to align a single principle to each of the major safeguards, with related element clusters arranged hierarchically under each of these major principles.
- Mapping elements into a Principles, Criteria and Indicators framework**

Finally, with the identification of major principles aligned to the 7 COP-16 safeguards, the component elements were reconstructed to form Criteria with related Indicators. Criteria and Indicators were referenced to the original instrument from which they were originally derived.



### 3.1. Reference Materials used in the Development of REDD+ Safeguards PCI

The following materials represent primary resource documents for the analysis and PCI development process described in this section:

1. Report: Development of Information System for the Implementation of REDD+ Safeguards in Indonesia (*Pembangunan Sistem Penyediaan Informasi Tentang Pelaksanaan Safeguards REDD+ di Indonesia*) – background material for Focus Group Discussion I/2012 in Jakarta, dated 21 March 2012.
2. Safeguards in REDD+ Policies and Instruments: An analysis for Pustanling by Daemeter Consulting, version 8/12/2011.
3. Documents (rules, standards, procedural descriptions, guidelines) of the following safeguard instruments/policies:
  - PHPL *Pengelolaan Hutan Produksi Lestari* policies and regulations
  - SVLK (*Sistem Verifikasi Legalitas Kayu*)
  - SFM Certification (LEI, FSC)
  - KLHS (*Kajian Lingkungan Hidup Strategis*)
  - AMDAL (*Analisis Mengenai Dampak Lingkungan*)
  - HCV (High Conservation Value assessment)
  - FPIC (Free, Prior, and Informed Consent)
  - SESA (Strategic Environmental and Social Assessment)



### 3.2. Results of Analysis: Matrix of Elements and Preliminary Common Denominators

The following tables represent the first stage of analysis described above, based on the “deconstruction” of previously identified existing instruments into component elements. These elements were then arranged according to common theme (clusters), referenced to the respective instrument and indicator inherent in that instrument. Finally, common denominators were identified to allow grouping of elements in a manner aligned to the 7 COP 16 safeguards.

These tables represent an interim output and were modified extensively during and following stakeholder consultations convened by Pustanling/GIZ FORCLIME.

At this stage, additional consultation was carried out with the respective “owners/initiators” of the various existing instruments used in the table. These consultations (or validations) were to ensure that the instruments had been interpreted appropriately, and that References (indicators) were comprehensive, realistic and aligned to the intent of the instruments themselves.

COP 16 Safeguard	Cluster	Elements	Instrument	Reference (indicator)	Common denominator*
1. That actions complement or are consistent with the objectives of national forest programmes and relevant international conventions and agreements	Comply with Government Laws & Regulations (legal compliance)	The availability of legal and administrative documents and reports, regarding implementation of government regulation	PHPL/SVLK	Prerequisite 1.1.; 1.2; 1.3; 1.4; 1.5 Production 2.1; 2.2; 2.5 Social : 4.2	*The FMU shall comply with Government laws and regulations and has commitment to International Conventions/ agreements
		The availability of basic data, planning documents and annual reports in accordance with relevant government regulation	LEI	Prerequisite II.1; II.2; II.3	
	Commitment to international conventions/ agreements.	The availability of reports, including monitoring and evaluation, as demonstration of effort to work toward compliance with international conventions/ agreements	PHPL/SVLK and LEI		
	Legal compliance	The organization shall comply with all applicable laws, regulations, nationally-ratified international treaties, conventions and agreements	FSC	Principle 1	

COP 16 Safeguard	Cluster	Elements	Instrument	Reference (indicator)	Common denominator*
2. Transparent and effective national forest governance structures, taking into account national legislation and sovereignty	Management Information System	Clear statement of proponents commitment to good governance, with vision, mission and explicit goals of FMU	PHPL/ SVLK	Prerequisite 1.2	<ul style="list-style-type: none"> <li>The FMU shall have an institutional arrangement to support good forest governance.</li> <li>The FMU shall have an organizational structure, which allows good communication (internal and external) and operational coordination leading to effective monitoring of performance toward good governance.</li> </ul>
		Annual Corporate Statement that includes information on production, performance on social and ecological aspects, efficiency and demonstration of actions taken to implement vision & mission statement	LEI	Prerequisite 1.1; 1..2; 1.3; 1.4; 1.5	
	Organization Structure	Documented capacity and mechanism for planning, implementation, monitoring, evaluation and feed back of operational performance			
		Corporate Statement, outlining organization structure, including shareholders/owner, as well as technical organization structure			
	Management Policy	Demonstrated long-term planning consistent with achieving sustainable forest management			
		Demonstrated financial viability of forestry business			
	Anti-corruption policy	The organization shall publicize commitment not to offer/accept bribes in money or any other form of corruption, and shall comply with anti-corruption legislation where this exists. In the absence of anti-corruption legislation, the Organization shall implement other anti-corruption measures proportionate to the scale and intensity of management activities and risk.	FSC	Criteria 1.7	

COP 16 Safeguard	Cluster	Elements	Instrument	Reference (indicator)	Common denominator*
3. Respect for the knowledge and rights of indigenous peoples and members of local communities, by taking into account relevant international obligations, national circumstances and laws, and noting that the United Nations General Assembly has adopted the United Nations Declaration on the Rights of Indigenous Peoples	Fair benefit sharing	A documented mechanism for mutually acceptable distribution of benefit among stakeholders (especially local affected by operations) and proof of implementation.	SVLK/ PHPL	SVLK Indicator 4.3	<ul style="list-style-type: none"> <li>The forest management unit identifies the location, social profile and potential impacts of FMU on indigenous and local communities, including their rights of and access to forest areas, and demonstrates actions taken to minimize negative and maximize positive impacts.</li> <li>The forest management unit shall have a functioning and documented mechanism for mutually acceptable distribution of benefits with indigenous people and local communities.</li> <li>The forest management unit shall have a procedure for compensating the use of traditional or indigenous people's knowledge for commercial purposes.</li> </ul>
		The Organization shall identify the tenurial rights of indigenous people, their rights of access to and use of forest resources and ecosystem services that apply within the Management Unit	FSC	Part of Criteria 3.1	
		The Organization shall contribute to maintaining or enhancing the social economic wellbeing of local communities.	FSC	Principle 4	
		Both current and future generations of local communities are guaranteed access to and full control of forest product utilization in concession areas	LEI	LEI Indicator S1.3	
		Documented arrangements are made to accommodate forest product utilization by local communities	LEI	P 2.9	
		The Organizations shall respect indigenous and traditional knowledge, and shall compensate indigenous or local communities for commercial use of such knowledge (where applicable)	FSC	Criteria 3.6 and 4.8	
		Recognition and formal (legal) compensation for use and implementation of community traditional knowledge in FMU management system	LEI	S2.2	
		Policies, plans and/or programs do not result in marginalising a particular group or section of the community because of the restriction of access to and control over natural resources, capital or knowledge	KLHS/ AMDAL	Permen LH 09/2011, KLHS justice value	

COP 16 Safeguard	Cluster	Elements	Instrument	Reference (indicator)	Common denominator*
	Identification of rights holders	Identify and document indigenous peoples and their customary and legal rights, and any contested areas or issues within or affected by the FMU.	FSC	Part of Criterion 3.1	<ul style="list-style-type: none"> <li>The forest management unit shall identify and respect the indigenous peoples' ownership, rights of use and/or management of land &amp; resources within or affected by FMU.</li> <li>The FMU shall work together with indigenous people or local communities within or affected by FMU to map and demarcate boundaries of customary forest or other areas where ownership and/or use rights are claimed; such mapping shall be based on participatory, open and inclusive approaches.</li> </ul>
		Clear delineation within FMU where adat/ indigenous people/local community areas are found	PHPL/ SVLK	S 4.1	
		Boundaries between forest concession areas and local community areas area clearly delineated and agreed upon by concerned parties	LEI	S1.1	
		Mapping Rights, Right Holders and Land Use	FPIC	GIZ/ RECOFTC FPIC Guide element 1	
	Conflict resolution	Documented evidence that a functioning conflict resolution mechanism is in place.	PHPL/ SVLK	S. 4.4	<ul style="list-style-type: none"> <li>The FMU shall have a procedure for resolving conflicts and communicate this procedure to indigenous people or local communities within or potentially affected by operations of the FMU.</li> </ul>
		The use of appropriate procedures or mechanisms for working toward resolving overlapping claims on the same forest area	LEI	S. 1.4	
		In the event of delegation of control over management activities to third party, a binding agreement between Organization and indigenous people shall be concluded through FPIC. The agreement shall define its duration, provisions of renegotiation, renewal, termination, economic conditions etc and including how to resolve conflicts.	FSC	Criterion 3.3	



COP 16 Safeguard	Cluster	Elements	Instrument	Reference (indicator)	Common denominator*
4. The full and effective participation of relevant stakeholders, in particular indigenous peoples and local communities, in the actions referred to in paragraphs 70 and 72 of this decision	Stakeholders involvement and participation	The secured forest areas of license holders	PHPL Mandatory	Prerequisite 1.1	<ul style="list-style-type: none"> <li>The FMU shall involve relevant stakeholders in the whole management process and the process agreed/ recognized by stakeholders.</li> </ul>
		FPIC/PADIATAPA (Ind)	PHPL Mandatory	Prerequisite 1.5	
		The existence and secured protected areas in every type of forest land	PHPL/ SVLK	E. 3.1	
		The implementation of Corporate Social Responsibility	PHPL/ SVLK	S. 4.2	
		Empowerment of community and employees are promoted	LEI	S 3.3	
		The Organization shall update and revise periodically the management planning and procedural documentation to incorporate the results of monitoring and evaluation, stakeholder engagement or new scientific and technical information as well as to respond to changing environment, social and economic circumstances.	FSC	Criterion 7.4	
		KLHS should be conducted transparently and involving the community as well as other stakeholders related to the policies, plans and / or programs	KLHS/ AMDAL	Permen LH 9/2011, Prinsip 6 KLHS (Partisipatif)	
	Stakeholders recognition and agreement	Stakeholder engagement is based on scale and intensity of forest management unit	FSC	Principle 3 and Principle 4	
		Capability of community to gain access to the employment and business opportunities	LEI	S 2.3	
	Grievance mechanism	Resolving grievances by applying mechanism and provide fair compensation to local communities and individuals.	FSC	Criterion 4.6	

COP 16 Safeguard	Cluster	Elements	Instrument	Reference (indicator)	Common denominator*
5. That actions are consistent with conservation of natural forests and biodiversity, ensuring actions referred to in paragraph 70 of this decision are not used for conversion of natural forests, but instead used to incentivize the protection and conservation of natural forests and their ecosystem services, and to enhance other social and environmental benefits	The existence and management of protected areas, including habitat for rare, threatened and endangered species, is documented and verifiable	The existence, stability and condition of protected areas representative of each forest type are documented and verifiable	PHPL/ SVLK	E 3.1	<ul style="list-style-type: none"> <li>The FMU shall allocate and manage such system of forest management as a life supporting system for various species and sources of biodiversity</li> </ul>
		Documented steps are taken to identify endangered, rare, threatened and endemic species	PHPL/ SVLK	E 3.4	
		The condition of endangered/ endemic/ protected species in special areas	LEI	E 2.4	
		Impact intensity of production management activities towards endangered/endemic/ protected wildlife species and their habitat	LEI	E 2.6	
		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	AMDAL	Permen LH no. 8/2006 Pedoman Penyusunan AMDAL, Lampiran I no 7C, point i	
		The Organization shall protect rare species and threatened species and their habitats in the management unit through conservation zones, protected areas, connectivity and other direct measures for their survival and viability.	FSC	Criterion 6.4	

COP 16 Safeguard	Cluster	Elements	Instrument	Reference (indicator)	Common denominator*
<p>6. That actions are consistent with conservation of natural forests and biodiversity, ensuring actions referred to in paragraph 70 of this decision are not used for conversion of natural forests, but instead used to incentivize the protection and conservation of natural forests and their ecosystem services, and to enhance other social and environmental benefits</p>	<p>Biodiversity management</p>	<p>Security of endangered/ endemic/protected plant species and their habitat</p>	<p>LEI</p>	<p>E 2.7</p>	<ul style="list-style-type: none"> <li>• The FMU shall maintain, conserve or restore ecosystem services and environmental values of the management unit and shall avoid negative impacts in the environment.</li> <li>• The FMU shall develop a strategy to implement the biodiversity management to ensure its protection.</li> </ul>
		<p>Flora management to protect endangered, rare, threatened, endemic and protected species</p>	<p>PHPL/ SVLK</p>	<p>E 3.5</p>	
		<p>Security of endangered/ endemic/protected wildlife species and their habitat</p>	<p>LEI</p>	<p>E 2.8</p>	
		<p>Fauna management to protect endangered, rare, threatened, endemic &amp; protected species</p>	<p>PHPL/ SVLK</p>	<p>E 3.4</p>	
		<p>The Organization shall effectively maintain the continued existence of naturally occurring native species and genotypes, and prevent losses of biological diversity especially through habitat management in the management unit. The Organization shall demonstrate that effective measures are in place to manage and control hunting, fishing, trapping and collecting</p>	<p>FSC</p>	<p>Criterion 6.6, Principle 9 (HCV maintenance and enhancement)</p>	

COP 16 Safeguard	Cluster	Elements	Instrument	Reference (indicator)	Common denominator*
7. Actions to address the risks of reversals	Management planning process	Capacity and mechanism for planning, implementation, periodic monitoring and feedback on progress to achieve SFM.	PHPL/SVLK	Prerequisite 1.4	<ul style="list-style-type: none"> <li>The FMU shall provide management plan and strategy to respond to the environmental changes.</li> <li>The FMU shall monitor and evaluate the environmental and social impact of management activities. The results of the monitoring and evaluation should be analyzed and utilized to provide feedback incorporated into the planning process of the next operational phase.</li> </ul>
		The availability of long-term management plan to achieve SFM	PHPL/SVLK	P 2.1	
		The organization shall demonstrate a long-term commitment.			
		Planning and implementation of forest arrangement based on their functions and types	LEI	P 1.2	
	Robust management and monitoring	Size of change in the enclosure of land due to encroachment and conversion of forest area functions, fires and other impediments.	LEI	P 1.3	
	Capacity & mechanism for planning, implementation, monitoring and feedback on progress towards SFM	PHPL/SVLK	Prerequisite 1.4		

COP 16 Safeguard	Cluster	Elements	Instrument	Reference (indicator)	Common denominator*
8. Actions to reduce displacement of emissions	The consistency of FMU Commitment	The area certainty of FMU	PHPL/SVLK	Prerequisite 1.1	<ul style="list-style-type: none"> <li>The FMU, that is part of holding company, shall have commitment to achieve well managed forest for all of the FMU within holding company</li> <li>The FMU shall develop strategy and its implementation to ensure that there are no illegal activities within the management unit.</li> </ul>
		License holder and holding company commitment	PHPL/SVLK	Prerequisite 1.4	
		Guarantee of land utilization as a forest area	LEI	P 1.1	
	Sustainability of forest investment	Investment and reinvestment for forest management	LEI	P 3.5	
		Increase of forest capital	LEI	P 3.6	
	Controlling illegal activities	The organizations shall develop and implement measures, and/or shall engage with the regulatory agencies to systematically protect the Management Unit from unauthorized or illegal resource use, settlement and other illegal activities	FSC	Criterion 1.4	



### 3.3 Summary of Major Element Clusters and Common Denominators

Following stakeholder consultation, the element clusters and common denominators were further refined based on feedback from participants. The alignment of element clusters and common denominators was also revised to improve the hierarchical arrangement of safeguards, clusters and common denominators, facilitating the next stage of formalisation of principles, criteria and indicators. The output of this stage is summarised in the tables below, each table corresponding to a specific COP 16 safeguard. Again, these tables represent interim outputs pending further input from stakeholders and revision by the development team:

COP 16 Safeguard	Cluster	Common denominator*
1. That actions complement or are consistent with the objectives of national forest programmes and relevant international conventions and agreements	Comply with Government Laws & Regulations (legal compliance)	<ul style="list-style-type: none"> <li>*The FMU shall comply with Government laws and regulations and has commitment to International Conventions/agreements</li> </ul>
	Commitment to international conventions/agreements	
	Legal compliance	

COP 16 Safeguard	Cluster	Common denominator*
2. Transparent and effective national forest governance structures, taking into account national legislation and sovereignty	Management Information System	<ul style="list-style-type: none"> <li>The FMU shall have an institutional arrangement to support good forest governance.</li> <li>The FMU shall have an organizational structure, which allows good communication (internal and external) and operational coordination leading to effective monitoring of performance toward good governance.</li> </ul>
	Organization Structure	
	Management Policy	
	Anti-corruption policy	

COP 16 Safeguard	Cluster	Common denominator*
3. Respect for the knowledge and rights of indigenous peoples and members of local communities, by taking into account relevant international obligations, national circumstances and laws, and noting that the United Nations General Assembly has adopted the United Nations Declaration on the Rights of Indigenous Peoples.	Fair benefit sharing	<ul style="list-style-type: none"> <li>The forest management unit identifies the location, social profile and potential impacts of FMU on indigenous and local communities, including their rights of and access to forest areas, and demonstrates actions taken to minimize negative and maximize positive impacts.</li> <li>The forest management unit shall have a functioning and documented mechanism for mutually acceptable distribution of benefits with indigenous people and local communities.</li> <li>The forest management unit shall have a procedure for compensating the use of traditional or indigenous people's knowledge for commercial purposes.</li> </ul>

COP 16 Safeguard	Cluster	Common denominator*
	Identification of rights holders	<ul style="list-style-type: none"> <li>The forest management unit shall identify and respect the indigenous peoples' ownership, rights of use and/or management of land &amp; resources within or affected by FMU.</li> <li>The FMU shall work together with indigenous people or local communities within or affected by FMU to map and demarcate boundaries of customary forest or other areas where ownership and/or use rights are claimed; such mapping shall be based on participatory, open and inclusive approaches.</li> </ul>
	Conflict resolution	<ul style="list-style-type: none"> <li>The FMU shall have a procedure for resolving conflicts and communicate this procedure to indigenous people or local communities within or potentially affected by operations of the FMU.</li> </ul>

COP 16 Safeguard	Cluster	Common denominator*
4. The full and effective participation of relevant stakeholders, in particular indigenous peoples and local communities, in the actions referred to in paragraphs 70 and 72 of this decision	Stakeholders involvement and participation	<ul style="list-style-type: none"> <li>The FMU shall involve relevant stakeholders in the whole management process and the process agreed/recognized by stakeholders.</li> </ul>
	Stakeholders recognition and agreement	<ul style="list-style-type: none"> <li>Stakeholder agreement will be demonstrated prior to activities</li> </ul>
	Grievance mechanism	<ul style="list-style-type: none"> <li>A grievance mechanism will exist with evidence of effective function</li> </ul>

COP 16 Safeguard	Cluster	Common denominator*
5. That actions are consistent with conservation of natural forests and biodiversity, ensuring actions referred to in paragraph 70 of this decision are not used for conversion of natural forests, but instead used to incentivize the protection and conservation of natural forests and their ecosystem services, and to enhance other social and environmental benefits	The existence and management of protected areas, including habitat for rare, threatened and endangered species, is documented and verifiable	<ul style="list-style-type: none"> <li>The FMU shall allocate and manage such system of forest management as a life supporting system for various species and sources of biodiversity</li> </ul>
	Biodiversity management	<ul style="list-style-type: none"> <li>The FMU shall maintain, conserve or restore ecosystem services and environmental values of the management unit and shall avoid negative impacts in the environment.</li> <li>The FMU shall develop a strategy to implement the biodiversity management to ensure its protection.</li> </ul>

COP 16 Safeguard	Cluster	Common denominator*
6. Actions to address the risks of reversals	Management planning process	<ul style="list-style-type: none"> <li>The FMU shall provide management plan and strategy to respond to the environmental changes.</li> <li>The FMU shall monitor and evaluate the environmental and social impact of management activities. The results of the monitoring and evaluation should be analyzed and utilized to provide feedback incorporated into the planning process of the next operational phase.</li> </ul>
	Robust management and monitoring	

COP 16 Safeguard	Cluster	Common denominator*
7. Actions to reduce displacement of emissions	The consistency of FMU Commitment	<ul style="list-style-type: none"> <li>• The FMU, that is part of holding company, shall have commitment to achieve well managed forest for all of the FMU within holding company</li> <li>• The FMU shall develop strategy and its implementation to ensure that there are no illegal activities within the management unit.</li> </ul>
	Sustainability of forest investment	
	Controlling illegal activities	

### 3.4 Stakeholder Consultation During Development of PCI for SIS-REDD+

During 2011 to 2012 the development of the Principles, Criteria and Indicators for SIS-REDD+ has been an inclusive process, punctuated by multi-stakeholder participation through three national workshops and 3 Focus Group Discussions. Coordination of the multi-stakeholder consultation was led by Pustanling with the support of GIZ. Two technical analyses were carried out by Daemeter Consulting, the results of which were presented to stakeholders to incorporate feedback. The major stakeholder consultations, and the key points of progress from each of these events, is summarised in the table to follow:

**Table:**  
**Summary of Stakeholder Consultations for the Development of PCI for a REDD+ Safeguards Information System**

Date	Medium	Instruments	Resource Person	Points of discussion
21 March 2011	National workshop	-	Key forestry stakeholders (about 100 participants)	<p>National workshop on "Translating the COP-16 Decision on REDD+ Safeguards into the context of setting up an information system on REDD+ safeguards implementation in Indonesia"</p> <ul style="list-style-type: none"> <li>• Presentation of existing mandatory or voluntary safeguards instruments in use in the forest sector in Indonesia and of experience with implementation</li> <li>• Instruments presented included KLHS, SESA, HCVF, AMDAL, FPIC, good governance criteria, rights-based safeguards and PHPL.</li> <li>• Discussion of these instruments with regard to their strengths, weaknesses, applicability and suitability for REDD+.</li> <li>• Discussion about what elements need to be monitored?</li> <li>• Presentation and discussion of first results of the "Analysis of Safeguard Instruments and their Practicability with a view to REDD+" conducted by Daemeter Consulting</li> </ul>
17 November 2011	FGD	-	FGD participants	<p>National stakeholder workshop on "Developing an Information System on REDD+ Safeguards Implementation" (National Workshop II) with the following goals:</p> <ol style="list-style-type: none"> <li>1. Improve the draft institutional structure and information flow within SIS-REDD+</li> <li>2. Identify appropriate measuring instruments (principles, criteria and indicators) for the implementation of a safeguards monitoring system.</li> </ol> <p>Workshop National II was designed to gain stakeholder feedback and respond to questions relating to structure and mechanisms of the SIS as well as Principles, Criteria and Indicators for SIS-REDD+.</p>
26 January 2012	National workshop	-	Key forestry stakeholders	<p>Workshop National II was designed to gain stakeholder feedback and respond to questions relating to structure and mechanisms of the SIS as well as Principles, Criteria and Indicators for SIS-REDD+.</p> <ul style="list-style-type: none"> <li>• Presentation and discussion of methodological approach developed by Daemeter Consulting on the basis of the previous analysis in order to extract common elements from existing safeguards instruments as a basis for formulating draft Principles, Criteria and Indicators for measuring REDD+ Safeguards implementation</li> <li>• Discussion of draft C&amp;I to cover COP-16 safeguards (c) and (d) on indigenous and community rights and on stakeholder participation.</li> </ul>
19 April 2012	FGD	All instruments	FGD participants	<ul style="list-style-type: none"> <li>• Presentation and discussion of methodological approach developed by Daemeter Consulting on the basis of the previous analysis in order to extract common elements from existing safeguards instruments as a basis for formulating draft Principles, Criteria and Indicators for measuring REDD+ Safeguards implementation</li> <li>• Discussion of draft C&amp;I to cover COP-16 safeguards (c) and (d) on indigenous and community rights and on stakeholder participation.</li> </ul>



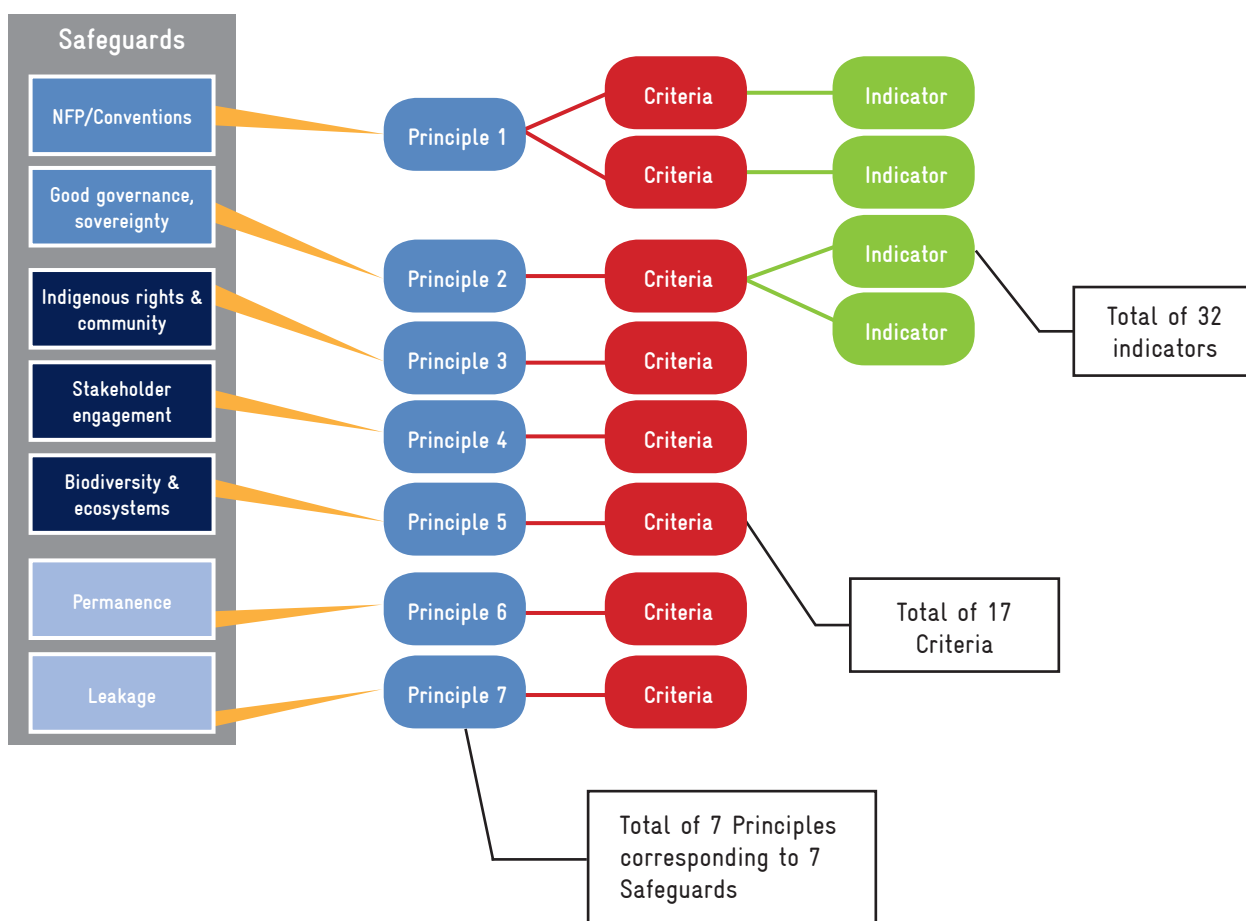
Date	Medium	Instruments	Resource Person	Points of discussion
8 May 2012	FGD	All instruments	FGD participants	<ul style="list-style-type: none"> <li>• Presentation and discussion of the first draft PCI.</li> <li>• The PCI was too FMU-oriented. It needs some revision so it can be used generally at every level (site, regional and national). FMU needs a better definition. REDD+ unit is not always in the form of FMU.</li> <li>• There should be a special approach to adopt the FPIC principles in the PCI. FPIC should be seen as an ideology and process at the same time.</li> <li>• The PCI should be as simple as possible so that the safeguards information requirements not will become another burden for a REDD+ management unit.</li> </ul>
17 May 2012	Individual interview	HCV	HCV Resource Network's Technical Panel	<ul style="list-style-type: none"> <li>• The HCV concept was originally developed by the Forest Stewardship Council (FSC) to help define forest areas of outstanding and critically important – High Conservation Value Forest for use in forest management certification</li> <li>• By identifying the key values and ensuring that they are maintained or enhanced, it is possible to make rational management decisions that are consistent with the protection of a forest area's critically important environmental and social values.</li> <li>• The HCV concept can be applied in the REDD+ safeguards considering that these safeguards also talk about biodiversity values and social, economic and cultural values for indigenous people or local communities.</li> </ul>
5 June 2012	Individual interview	FSC	Member of FSC P&C review working group	<ul style="list-style-type: none"> <li>• The adoption of some FSC Principles and Criteria in the Indonesian PCI for the REDD+ safeguard is highly appreciated. This indicates that FSC principles are acceptable and applicable.</li> <li>• FSC standards have been in place for over 15 years. There have been many efforts to make it much simpler, easy to apply without sacrificing the quality of the standard itself.</li> <li>• The use of legality, governance, biodiversity and indigenous people principles is appropriate.</li> </ul>
8 June 2012	Individual interview	AMDAL/KLHS	Amdal Assessor	<ul style="list-style-type: none"> <li>• AMDAL/KLHS is a legal framework for any activities that have environmental impacts.</li> <li>• It is appropriate and mandatory for any environmental standard to adopt the AMDAL/KLHS requirements.</li> <li>• It is realized that AMDAL is sometimes undermined in its proper implementation according to regulations.</li> </ul>
26 July 2012	National Workshop		All relevant stakeholders	<p>National workshop on the Establishment of a REDD+ Safeguards Information System</p> <ul style="list-style-type: none"> <li>• Presentations and discussions of REDD+ safeguards related work going on in Indonesia (the establishment of the REDD+ Safeguards Information System by Pustanling, the development of PRISAI by the Satgas REDD+ and the adaptation of the REDD+ Social and Environmental Standards to the Indonesian context in one pilot province) supported by Clinton Climate Initiative and how these relate to each other</li> </ul>

Date	Medium	Instruments	Resource Person	Points of discussion
13 August 2012	Individual interview	PHPL/SVLK	Director of Forest Product Marketing and Processing	<p>SVLK and REDD Safeguards : Both SVLK or Safeguards has the same purpose to achieve Sustainable forest management. These both systems will potentially be able to support each other. These systems are initiated by government (MOF).</p> <p>Acceptability : Since SVLK is a mandatory scheme, all FMUs must accept this requirement for their legal recognition of their business. All FMUs will follow this regulation. If they will be doing their carbon business in their FMU, SVLK must be the first requirement before other schemes or standards will be applied, including Indonesian REDD Safeguards when it exists. Acceptance from the markets has been already clear and there are some positive signals from European, Japan and the US markets. In the near future, the markets will recognize and acknowledge that SVLK is legal branding from Indonesian forest.</p> <p>Implementability and relevance to REDD+ Safeguards: SVLK has been tested in many kinds of concessions all over Indonesia, from small scale until big business in forestry management units. Although there are still a lot of details that should be improved, there will be no problem for the FMUs and verification bodies to implement this standard. Since SVLK has been tested and implemented, the Indonesian REDD+ Safeguards can adopt some parts of the SVLK standard, specifically in legal requirements. There is a lot of detail in the standards that has relevance and can be adopted by REDD+ Safeguards, including social and environmental aspects.</p>
13 August 2012	Individual interview	LEI		<p>LEI's position on the development of Indonesian REDD+ Safeguards is to support Indonesian initiative, as far as the standard is not contradictory with LEI Certification Standard and other LEI initiatives.</p> <p>Currently, LEI has collaboration with REDD+ Social and Environmental Standards (SES), funded by Clinton Foundation. The initiative will focus on supporting community rights and biodiversity aspects. The activities are in sub national/project and have been trying to synergize LEI standards with SES standards.</p> <p>It is likely that LEI experience in sub national level will be adopted by REDD Safeguard.</p>

### 3.5. Development of PCI for Measuring REDD+ Safeguards Implementation

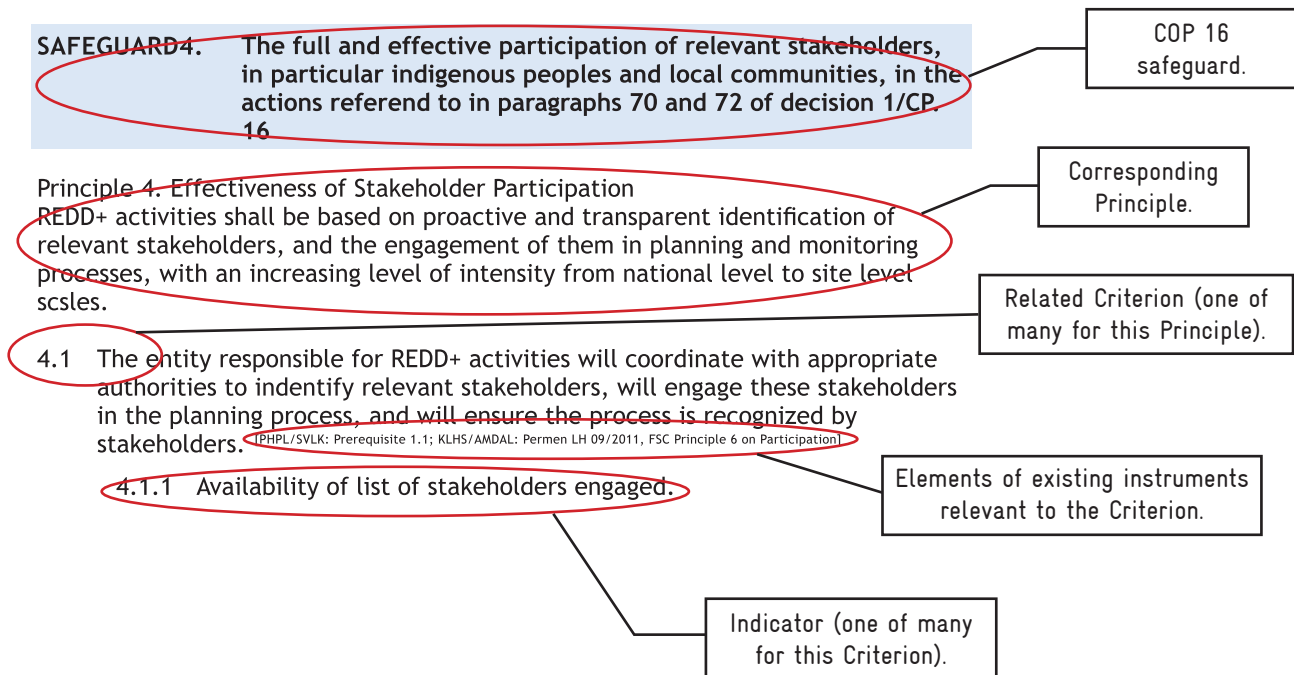
In this final stage, a draft framework of Principles, Criteria and Indicators for REDD+ safeguards implementation was developed. The basis for this were the analyses carried out previously: the identification of appropriate elements from existing instruments, the prioritisation and clustering of elements, identification of common denominators, and alignment of common denominators with the 7 COP 16 safeguards. In the construction of the PCI framework, stakeholder consultation resulted in considerable revision to the early drafts. The format presented here represents an advanced version following this revision process.

As described earlier, where possible the Principles of the PCI framework were developed in order to correspond directly to the relevant COP 16 safeguard. Ultimately it was possible to associate each safeguard with a specific Principle. In accordance with the hierarchical structure of a PCI framework, each Principle is supported by one or more Criteria, for a total of 17 Criteria under the 7 Principles. Similarly, each Criteria is based on one or more Indicators, for a total of 32 Indicators under the 17 Criteria.



Within the PCI framework, each Criterion is referenced to one or more specific elements derived from existing instruments. In some cases, Indicators are also referenced to the elements with which they are most closely associated. In this way each Safeguard is supported by a Principle, several Criteria and numerous Indicators, all cross-referenced to the criteria and indicators of existing instruments.

An example of the format of the PCI structure is included below, with annotations:



### 3.6. Summary of Principles, Criteria and Indicators

The following table summarises the Principles and Criteria, and their relationship to the 7 COP 16 safeguards, developed during this analysis. To follow this, the final section of the report provides a full version of the comprehensive Principles, Criteria and Indicators for REDD+ Safeguards implementation. This final version represents the current draft version subject to further stakeholder consultation and revision.

Safeguard	Principle	Criteria	
<p>Actions complement or are consistent with the objectives of national forest programs and relevant international conventions and agreements.</p>	<p><u>Principle 1. Legal compliance and consistency with national forest programs</u> REDD+ activities shall comply with government regulations and nationally ratified international conventions/agreements and shall be consistent with the objectives of national forest programs.</p>	1.1	<p>REDD+ activities shall be coordinated/ governed/managed under the authority of the appropriate sub-national or national institution and, where appropriate, under a legal entity incorporated under Indonesian laws and regulations.</p>
		1.2	<p>REDD+ activities at sub-national and national levels shall comply with the applicable laws and international conventions ratified by Indonesia.</p>
		1.3	<p>REDD+ activities are in line with the objectives of national forest programs as described in the long-term strategic planning of the Indonesian forestry sector.</p>
<p>Transparent and effective national forest governance structures, taking into account national legislation and sovereignty</p>	<p><u>Principle 2. Transparency and effectiveness of national forest governance</u> REDD+ activities at all scales and contexts shall contribute to transparent and effective forest governance in accordance with national sovereignty.</p>	2.1	<p>Appropriate to the scale and context of REDD+ activities, institutional arrangements support communication between stakeholders for effective monitoring of implementation of good governance principles.</p>
		2.2	<p>The entity responsible for REDD+ activities shall publicize commitment not to offer or accept bribes in money or any other form of corruption, and shall comply with Indonesia's anti corruption legislation</p>
<p>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.</p>	<p><u>Principle 3. Rights of Indigenous and Local Communities (Masyarakat adat dan lokal)</u> REDD+ activities shall respect indigenous and local communities' rights through actions appropriate to the scale and context of implementation.</p>	3.1	<p>REDD+ activities shall include identification of the rights of indigenous and local communities, such as tenure, access to and utilization of forest resources and ecosystem services, with increasing intensity at sub-national and site-level scales.</p>
		3.2	<p>Applicable at the site level, REDD+ preparation activities shall include a process to obtain the free, prior, informed consent of affected indigenous and local communities before REDD+ activities commence.</p>
		3.3	<p>REDD+ activities shall contribute to maintaining or enhancing the social economic wellbeing of indigenous and local communities, by sharing benefit fairly with them, including for the future generations.</p>
		3.4	<p>REDD+ activities shall recognize the value of traditional knowledge and compensate for commercial use of such knowledge where appropriate.</p>



Safeguard	Principle	Criteria	
<p>The full and effective participation of relevant stakeholders, in particular indigenous peoples and local communities, in the actions referred to in paragraphs 70 and 72 of decision 1/CP. 16</p>	<p><u>Principle 4. Effectiveness of Stakeholder Participation</u> REDD+ activities shall be based on proactive and transparent identification of relevant stakeholders, and the engagement of them in planning and monitoring processes, with an increasing level of intensity from national level to site level scales.</p>	4.1	<p>The entity responsible for REDD+ activities will coordinate with appropriate authorities to identify relevant stakeholders, will engage these stakeholders in the planning process, and will ensure the process is recognized by stakeholders.</p>
		4.2	<p>Applicable at the site level, REDD+ activities include a procedure or mechanisms for resolving grievances and disputes.</p>
<p>Actions are consistent with the conservation of natural forests and biological diversity, ensuring that the actions referred to in paragraph 70 of decision 1/CP. 16 are not used for the conversion of natural forests, but are instead used to incentivize the protection and conservation for natural forests and their ecosystem services, and to enhance other social and environmental benefits.</p>	<p><u>Principle 5. Conservation of Biodiversity, Social and Environmental Services</u> REDD+ activities will include effective strategies that maintain, conserve or restore biodiversity and ecosystem services for social and environmental benefits.</p>	5.1	<p>REDD+ activities shall include the identification and assessment of the potential impacts of activities on social and environmental services. Assessments shall be designed in accordance with the scale and intensity of the activities.</p>
		5.2	<p>REDD+ activities shall include an assessment of the impacts on biodiversity and develop a strategy to implement biodiversity management to ensure its conservation and protection.</p>
<p>Actions to address the risks of reversals.</p>	<p><u>Principle 6. Reducing Risk of reversals</u> REDD+ activities shall seek to reduce risks of reversals through means appropriate to the scale and context, emphasizing sub-national action and national level policy initiatives.</p>	6.1	<p>Depending upon the scale and context, REDD+ activities shall define the risks from internal and external threats to carbon stock and forest maintenance, and develop a mitigation plan to address these.</p>
		6.2	<p>REDD+ activities shall include periodical monitoring of threats and implement adaptive management to mitigate reversals.</p>
<p>Actions to reduce displacement of emissions</p>	<p><u>Principle 7. Reduction of Emission Displacement</u> Recognising that monitoring and reduction of emissions displacement is the responsibility of sub-national (FMU, District, Province) and national government, REDD+ activities shall include strategies to reduce displacement of emissions and support sub-national and national monitoring.</p>	7.1	<p>Appropriate to scale and context, REDD+ activities shall include a strategy to reduce emissions displacement within the national boundary.</p>
		7.2	<p>Appropriate to scale and context, periodic monitoring of forest-related emissions and carbon stock changes in the area of REDD+ activities shall be implemented, and should include monitoring of efforts and results in reducing emission displacement.</p>

## 4. Conclusion

Throughout 2011 and 2012, in a process involving three major national workshops, regional consultations and 7 Focus Group Discussions, a framework of Principles, Criteria and Indicators for SIS-REDD+ has been developed.

The PCI for SIS-REDD+ presented here is based on existing regulated and voluntary instruments, of relevance to REDD+ safeguards as defined by Decision 1/CP.16 of 2010, in accordance with the Cancun Agreement. Based on an analysis of practicality, effectiveness and capacity for implementation, the PCI are considered to be appropriate to Indonesia's national context and aligned to capabilities and available resources.

This PCI framework represents a work-in-progress, on that basis, the Centre for Standardization and Environment (Pustanling) of the Ministry of Forestry, welcomes further feedback from stakeholders towards the improvement of the system.

Comments can be submitted via the following:

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# Annex

## **Principles, Criteria and Indicators for a System for Providing Information on REDD+ Safeguards Implementation (SIS-REDD+) in Indonesia**

**In accordance with Decision of COP-16/2010**

**Center for Standardisation and Environment, Ministry of  
Forestry**

2013





## **SAFEGUARD 1. Actions complement or are consistent with the objectives of national forest programs and relevant international conventions and agreements.**

### **Principle 1. Legal compliance and consistency with national forest programs**

REDD+ activities shall comply with government regulations and nationally ratified international conventions/agreements and shall be consistent with the objectives of national forest programs. <sup>[PHPL/SVLK: Prerequisite 1.1 – 1.5; LEI: Prerequisite II.1-II.3; FSC: Principle 1; Permenhut No.8/2010]</sup>

- 1.1 REDD+ activities shall be coordinated/governed/managed under the authority of the appropriate sub-national or national institution and, where appropriate, under a legal entity incorporated under Indonesian laws and regulations. <sup>[PHPL/SVLK: Prerequisite 1.1 – 1.5; LEI: Prerequisite II.1-II.3]</sup>
  - 1.1.1 The availability of legal and administrative documents that evidence clear authority for the REDD+ activities, aligned to the scale and context of implementation.
- 1.2 REDD+ activities at sub-national and national levels shall comply with the applicable laws and international conventions ratified by Indonesia. <sup>[PHPL/SVLK: Prerequisite 1.1 – 1.5; LEI: Prerequisite II.1-II.3; FSC: Principle 1]</sup>
  - 1.2.1 The availability of planning documents, procedures and periodical reports on the implementation of relevant government regulations
  - 1.2.2 The availability of reports on the implementation of international conventions/agreement.
- 1.3 REDD+ activities are in line with the objectives of national forest programs as described in the long-term strategic planning of the Indonesian forestry sector. <sup>[Permenhut No.49/2011 on long term planning of the Indonesian Forestry Sector for 2011-2030 and the prevailing RENSTRA of the Ministry of Forestry]</sup>
  - 1.3.1 REDD+ activities at the sub-national level are aligned with and support objectives prioritised in the long-term strategic plan of the Indonesian forestry sector.

## **SAFEGUARD 2. Transparent and effective national forest governance structures, taking into account national legislation and sovereignty**

### **Principle 2. Transparency and effectiveness of national forest governance**

REDD+ activities at all scales and contexts shall contribute to transparent and effective forest governance in accordance with national sovereignty.

- 2.1 Appropriate to the scale and context of REDD+ activities, institutional arrangements support communication between stakeholders for effective monitoring of implementation of good governance principles. <sup>[site level: PHPL/SVLK: Prerequisite 1.2; LEI: Prerequisite 1.1-1.5]</sup>
  - 2.1.1 Clear statement of policy on information disclosure by the entity responsible for REDD+ activities, appropriate to the scale and context of implementation.
  - 2.1.2 Clear statement outlining the organization structure, tasks and functions of the entity responsible for REDD+ activities, appropriate to the scale and context of implementation.

2.2 The entity responsible for REDD+ activities shall publicize commitment not to offer or accept bribes in money or any other form of corruption<sup>[FSC: Criteria 1.7]</sup>, and shall comply with Indonesia's anti corruption legislation<sup>[Undang-Undang Anti Korupsi No. 31/1999; UN Convention Against Corruption, ratified by Indonesia with UU 7/2006; Permenhut No.67/2011; Instruksi Menteri Kehutanan, 2012; Pakta Integritas]</sup>.

2.2.1 Clear policy statement on anti corruption.

**SAFEGUARD 3. Respect for the knowledge and rights of indigenous peoples and members of local communities, by taking into account relevant international obligations, national circumstances and laws, and noting that the United Nations General Assembly has adopted the United Nations Declaration on the Rights of Indigenous Peoples.**

**Principle 3. Rights of Indigenous and Local Communities (Masyarakat adat dan masyarakat lokal)**

REDD+ activities shall respect indigenous and local communities' rights through actions appropriate to the scale and context of implementation.

3.1 REDD+ activities shall include identification of the rights of indigenous and local communities, such as tenure, access to and utilization of forest resources and ecosystem services, with increasing intensity at sub-national and site-level scales.<sup>[FSC: Criteria 3.1; PP 28/2009]</sup>

3.1.1 Availability of maps and/or any related documents of identified indigenous and local communities including their rights in the area of REDD+ activities.<sup>[LEI: S1.3]</sup>

3.1.2 Availability of work plan or arrangement to accommodate the indigenous and local communities' rights and aspirations in using forest resources.<sup>[LEI: P2.9]</sup>

3.2 Applicable at the site level, REDD+ preparation activities shall include a process to obtain the free, prior, informed consent of affected indigenous and local communities before REDD+ activities commence.<sup>[SVLK/PHPL: Prerequisite 1.5; FSC Principle 3 and 4]</sup>

3.2.1 Availability of a documented process of consultation that demonstrates effort, appropriate to the scale and intensity of activities, towards obtaining the free, prior and informed consent of indigenous and local communities potentially affected by REDD+ activities.<sup>[SVLK/PHPL: Prerequisite 1.5; FSC Principle 3 and 4]</sup>

3.3 REDD+ activities shall contribute to maintaining or enhancing the social economic wellbeing of indigenous and local communities, by sharing benefit fairly with them, including for the future generations.<sup>[FSC: Principle 4; LEI: S1.3]</sup>

3.3.1 Policies, plans and/or programs do not result in marginalization of certain groups of communities because of limitation of access to and control of natural resources, capital or knowledge.<sup>[KLHS/AMDAL: Permen LH 09/2011, KLHS Justice Value]</sup>

3.3.2 A documented mechanism for fair distribution of benefits among affected indigenous and local communities and demonstrated proof of implementation.<sup>[SVLK/PHPL: 4.3]</sup>

3.4 REDD+ activities shall recognize the value of traditional knowledge and compensate for commercial use of such knowledge where appropriate. [FSC: Criteria 3.6 & 4.8; LEI: S.2.2]

3.4.1 Availability of mechanisms or procedures for compensation of the commercial use of traditional knowledge where appropriate.

**SAFEGUARD 4. The full and effective participation of relevant stakeholders, in particular indigenous peoples and local communities, in the actions referred to in paragraphs 70 and 72 of decision 1/CP. 16**

**Principle 4. Effectiveness of Stakeholder Participation**

REDD+ activities shall be based on proactive and transparent identification of relevant stakeholders, and the engagement of them in planning and monitoring processes, with an increasing level of intensity from national level to site level scales.

4.1 The entity responsible for REDD+ activities will coordinate with appropriate authorities to identify relevant stakeholders, will engage these stakeholders in the planning process, and will ensure the process is recognized by stakeholders. [PHPL/SVLK: Prerequisite 1.1; KLHS/AMDAL: Permen LH 09/2011, FSC Principle 6 on Participation]

4.1.1 Availability of list of stakeholders engaged.

4.1.2 Documented processes of engagement with stakeholders.

4.1.3 Documented evidence of planning and monitoring process engaging relevant stakeholders.

4.2 Applicable at the site level, REDD+ activities include a procedure or mechanisms for resolving grievances and disputes. [SVLK/PHPL: 4.4]

4.2.1 Availability of records of grievances including the resolution processes.

4.2.2 Documented evidence that a functioning conflict resolution mechanism is in place. [SVLK/PHPL: 4.4]

4.2.3 Evidence of active use of appropriate procedures or mechanisms for resolving conflicts or grievances. [LEI: S1.4]

**SAFEGUARD 5. Actions are consistent with the conservation of natural forests and biological diversity, ensuring that the actions referred to in paragraph 70 of decision 1/CP. 16 are not used for the conversion of natural forests, but are instead used to incentivize the protection and conservation for natural forests and their ecosystem services, and to enhance other social and environmental benefits.**

**Principle 5. Conservation of Biodiversity, Social and Environmental Services**

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

- 5.1 REDD+ activities shall include the identification and assessment of the potential impacts of activities on social and environmental services. Assessments shall be designed in accordance with the scale and intensity of the activities. <sup>[FSC: Criterion 6.2; AMDAL(Permen LH No.8/2006; Pedoman Penyusunan AMDAL, Lampiran I No.7c point i)]</sup>
- 5.1.1 Availability of reports on impact assessment on social and environmental services.
- 5.1.2 Management & monitoring plan for maintaining social and environmental services is available <sup>[SVLK/PHPL: E3-4-3.5; LEI: E.2.8; FSC: P9 on HCV]</sup>
- 5.2 REDD+ activities shall include an assessment of the impacts on biodiversity and develop a strategy to implement biodiversity management to ensure its conservation and protection. <sup>[SVLK/PHPL: E3-4-3.5; LEI: E.2.8; FSC: Principle 9 on HCV]</sup>
- 5.2.1 Records of endangered, rare, threatened and endemic species are available.
- 5.2.2 Availability of biodiversity management plan
- 5.2.3 Evidence for the consistent implementation of biodiversity management plan.
- 5.2.4 Evidence from remote sensing that REDD+ activities have avoided conversion of natural forests as defined by Indonesian government regulations. <sup>[Permenhut No.5/2010; FSC: Criterion 6.9]</sup>

## **SAFEGUARD 6. Actions to address the risks of reversals.**

### **Principle 6. Reducing Risk of reversals**

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

- 6.1 Depending upon the scale and context, REDD+ activities shall define the risks from internal and external threats to carbon stock and forest maintenance, and develop a mitigation plan to address these.
- 6.1.1 Availability of a risk assessment for the site or region of REDD+ activity areas, encompassing fire, encroachment, illegal logging, and other external impacts.
- 6.1.2 Availability of a related risk mitigation plan addressing major reversal threats.
- 6.2 REDD+ activities shall include periodical monitoring of threats and implement adaptive management to mitigate reversals.
- 6.2.1 Availability of annual monitoring report that allows periodic assessment of risks of reversal, and recommends adaptive management steps for mitigation where necessary.
- 6.2.2 Evidence of active management against reversal threats, aligned to the recommendations arising from annual monitoring.



## **SAFEGUARD 7. Actions to reduce displacement of emissions**

### **Principle 7. Reduction of Emission Displacement**

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

- 7.1 Appropriate to scale and context, REDD+ activities shall include a strategy to reduce emissions displacement within the national boundary.
  - 7.1.1 Availability of assessment documentation and analysis on the types of emission displacement that are likely to occur outside REDD+ activities within the national boundary.
  - 7.1.2 Availability of a documented strategy for emission reductions, under realistic scenarios, that avoid emissions displacement outside areas of REDD+ activities within the national boundary.
- 7.2 Appropriate to scale and context, periodic monitoring of forest-related emissions and carbon stock changes in the area of REDD+ activities shall be implemented, and should include monitoring of efforts and results in reducing emission displacement.
  - 7.2.1 Availability of an annual monitoring report on forest-related emissions and carbon stocks changes, for the area of REDD+ activities and emission displacement reduced outside areas of REDD+ activities within the national boundary.

## **Annex 1. GLOSSARY**

### **AMDAL**

Analisis Mengenai Dampak Lingkungan, environmental impact assessment.

### **Anti-Corruption Legislation**

Refers to Indonesian anti-corruption legislation No. 31/1999 juncto UU No. 20/2001.

### **Biological Diversity**

The variability among living organisms from all sources including, inter alia, terrestrial, marine and other aquatic ecosystems and the ecological complexes of which they are a part; this includes diversity within species, between species and of ecosystems (Source: Convention on Biological Diversity 1992, Article 2)

### **Conservation**

Management activities designed to maintain the identified environmental or cultural values in existence long-term. Management activities may range from zero or minimal interventions to a specified range of appropriate interventions and activities designed to maintain, or compatible with maintaining, these identified values (Source: FSC 2011).

### **Ecosystem Services**

The benefits people obtain from ecosystems. These include:

- a. provisioning services such as food, forest products and water;
- b. regulating services such as regulation of floods, drought, land degradation, air quality, climate and disease;
- c. supporting services such as soil formation and nutrient cycling;
- d. and cultural services and cultural values such as recreational, spiritual, religious and other non-material benefits.

(Source: Based on R. Hassan, R. Scholes and N. Ash. 2005. Ecosystems and Human Well-being: Synthesis. The Millennium Ecosystem Assessment Series. Island Press, Washington DC).

### **Emission Displacement**

Any increase in emissions of GHGs outside the project boundary as a result of project activities (Source: CCB Standard).

### **FPIC**

Free, Prior, and Informed Consent (or *Consultation, per Government of USA and WB*), a process that provides opportunity for indigenous and/or local communities to reject or approve activities in forests to which they have rights.

## FSC

Forest Stewardship Council, see SFM and HCVF

## Good Governance

Governance can be seen as the exercise of economic, political and administrative authority to manage a country's affairs at all levels. Governance has three dimensions: economic, political and administrative. Economic governance includes the decision-making processes that affect a country's economic activities and its relationships with other economies. Political governance is the process of decision making to formulate policy. Administrative governance is the system of policy implementation. Encompassing all three, good governance defines the processes and structures that guide political and socio-economic relationships. Good governance comprises the existence of effective mechanisms, processes and institutions through which citizens and groups articulate their interests, exercise their legal rights, meet their obligations and mediate their differences (Source: UNDP 1997).

## HCVF

High Conservation Value Forest, also known as HCVA (High Conservation Value Area), a concept developed by the FSC describing natural habitats where these Values are considered to be of outstanding significance or critical importance.

## Indigenous Peoples

People and groups of people that can be identified or characterized as follows:

- The key characteristic or criterion is self identification as indigenous peoples at the individual level and acceptance by the community as their member
- Historical continuity with pre-colonial and/or pre-settler societies
- Strong link to territories and surrounding natural resources
- Distinct social, economic or political systems
- Distinct language, culture and beliefs
- Form non-dominant groups of society
- Resolve to maintain and reproduce their ancestral environments and systems as distinctive peoples and communities.
- On signing the UN Declaration on the Rights of Indigenous Peoples, Indonesia's Ministry of Foreign Affairs has clarified that the concept of "indigenous peoples" in Indonesia must be interpreted on the basis that almost all Indonesians (with the exception of ethnic Chinese) are considered indigenous and thus entitled to the same rights. Consequently, the government has rejected calls for special treatment by groups identifying themselves as indigenous.

(Source: Adapted from United Nations Permanent Forum on Indigenous, Factsheet 'Who are indigenous peoples' October 2007; United Nations Development Group, 'Guidelines on Indigenous Peoples' Issues' United Nations 2009, United Nations Declaration on the Rights of Indigenous Peoples, 13 September 2007).

## **KLHS**

*Kajian Lingkungan Hidup Strategis*, or Strategic Environmental Assessment, is a systematic, participatory and comprehensive approach to assessing the integration of sustainable development objectives within policy, regulations, spatial planning and strategic decisions at the provincial and regional level.

## **Legal**

In accordance with primary legislation (national or local laws) or secondary legislation (subsidiary regulations, decrees, orders, etc.). 'Legal' also includes rule-based decisions made by legally competent agencies where such decisions flow directly and logically from the laws and regulations. Decisions made by legally competent agencies may not be legal if they do not flow directly and logically from the laws and regulations and if they are not rule-based but use administrative discretion (Source: FSC 2011).

## **LEI**

*Lembaga Ekolabel Indonesia*, or the Indonesian Ecolabelling Institute, is a non-profit, constituent based organization that develops forest certification systems that promote just and sustainable forest resource management in Indonesia.

## **Local Community**

Communities of any size that are in or adjacent to the Management Unit, and also those that are close enough to have a significant impact on the economy or the environmental values of the Management Unit or to have their economies, rights or environments significantly affected by the management activities or the biophysical aspects of the Management Unit (Source: FSC 2011).

## **PHPL**

*Pengelolaan Hutan Produksi Lestari*, or Sustainable Forest Management, is a mandatory standard for forest concessionaires and downstream industry that is dictated under P. 38/Menhut-II/2009 revised as P68/Menhut-II/2011. The regulation stipulates that the forestry business unit must get certified for Sustainable Forest Management (SFM), or at the minimum be certified for legality. PHPL or legality audit is conducted by independent auditors accredited by the National Accreditation Body (Komite Akreditasi Nasional or KAN), and is monitored by civil society organisations.

## **Rare Species**

Species that are uncommon or scarce, but not classified as threatened. These species are located in geographically restricted areas or specific habitats, or are scantily scattered on a large scale. They are approximately equivalent to the IUCN (2001) category of Near Threatened (NT), including species that are close to qualifying for, or are likely to qualify for, a threatened category in the near future. They are also approximately equivalent to imperiled species (Source: Based on IUCN. (2001). IUCN Red List Categories and Criteria: Version 3.1. IUCN Species Survival Commission. IUCN. Gland, Switzerland and Cambridge, UK).



## **Ratified**

The process by which an international law, covenant or agreement (including multilateral environmental agreement) is legally approved by a national legislature or equivalent legal mechanism, such that the international law, covenant or agreement becomes automatically part of national law or sets in motion the development of national law to give the same legal effect (Source: FSC 2011).

## **Risk of Reversals**

A feature of land-based carbon projects is the possibility of a reversal of carbon benefits from either natural disturbances (e.g., fires, disease, pests, and unusual weather events), or from the lack of reliable guarantees that the original land use activities will not return after the project concludes. Strategies have been identified that mitigate potential reversals such as the non-permanence risk analysis and buffer approach adopted by the Voluntary Carbon Standard or the establishment of contingency carbon credits, insurance, conservation easements and mixed portfolios of projects (Source CCB Standard).

## **Social and Environmental Services**

See 'Ecosystem Services'

## **Stakeholders**

Any person, group of persons or entity that is or is likely to be subject to the effects of the activities of the REDD+ Unit. Examples include, but are not restricted to (for example in the case of downstream landowners), persons, groups of persons or entities located in the neighbourhood of the REDD+ Unit.

## **SVLK**

*Sistem Verifikasi Legalitas Kayu*, or Timber Legality Assurance System, has been developed via a multi-stakeholder consultation and implemented under Minister of Forestry Decree No. P.38/Menhut-II/2009 and P.68/Menhut-II/2011. SVLK is a standard and guideline for performance evaluation of Sustainable Forest Management (SFM) and is a timber legality verification for permit holders and private forest owners.

## **RENSTRA Ministry of Forestry**

The *Rencana Strategis* is the medium term, 5 year strategic plan of the Ministry of Forestry for the period 2010-2014, as ratified under P.8/Menhut-II/2010. It is aligned to the long-term national development plan (RPJN 2005-2025).

## **Tenure**

Socially defined agreements held by individuals or groups, recognized by legal statutes or customary practice, regarding the 'bundle of rights and duties' of ownership, holding, access and/or usage of a particular land unit or the associated resources there within (such as individual trees, plant species, water, minerals, etc.) (Source: World Conservation Union (IUCN). Glossary definitions as provided on IUCN website).

## **Threatened Species**

Species that meet the IUCN (2001) criteria for Vulnerable (VU), Endangered (EN) or Critically Endangered (CR), and are facing a high, very high or extremely high risk of extinction in the wild. These categories may be re-interpreted for FSC purposes according to official national classifications (which have legal significance) and to local conditions and population densities (which should affect decisions about appropriate conservation measures) (Source: Based on IUCN. (2001). IUCN Red List Categories and Criteria: Version 3.1. IUCN Species Survival Commission. IUCN. Gland, Switzerland and Cambridge, UK.).

## **Traditional Knowledge**

The long-standing traditions and practices of certain regional, indigenous, or local communities. Traditional knowledge also encompasses the wisdom, knowledge, and teachings of these communities. In many cases, traditional knowledge has been orally passed for generations from person to person. Some forms of traditional knowledge are expressed through stories, legends, folklore, rituals, songs, and even laws. Other forms of traditional knowledge are expressed through different means (Source: Acharya, Deepak and Shrivastava Anshu 2008).





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(Standardization, Environment, and Climate Change)

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