

IISDREPORT

Designing Effective REDD+ Safeguard Information Systems: Building on existing systems and country experiences

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About ASB Partnership for the Tropical Forest Margins

Founded in 1994 as a program on Alternatives to Slash and Burn (ASB), the ASB Partnership for the Tropical Forest Margins has evolved into a global partnership that brings together local knowledge, policy perspectives and science to understand the tradeoffs associated with different land uses and the roles of markets, regulation, property rights and rewards. While ASB is coordinated by the World Agroforestry Centre (ICRAF), it is a global partnership of international and national-level research institutes, non-governmental organizations, universities, community organizations, farmers' groups and other local, national and international organizations. Our goal is to raise productivity and income of rural households in the humid tropics without increasing deforestation or undermining essential environmental services.

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Written by Jessica Boyle and Deborah Murphy

Preface

The International Institute for Sustainable Development partnered with the ASB Partnership for the Tropical Forest Margins at the World Agroforestry Centre to deliver a three-year project with the goal of building the policy capacity of United Nations Framework Convention for Climate Change (UNFCCC) negotiators and stakeholders that are developing REDD+ programs in countries in Africa and Asia. REDD+ is a highly technical and rapidly evolving subject with significant promise to produce multiple mitigation and sustainable development benefits. But there are uncertainties as to how REDD+ will evolve under the international climate regime, and a need to build the capacity of negotiators, foresters, agricultural experts, the private sector and civil society to engage in the development and implementation of REDD+ strategies.

The project helped to fill this capacity gap through information sharing and research to encourage innovative thinking and the continuous improvement of REDD+ processes and strategies. The project also contributed to the growing REDD+ knowledge base through the development of timely policy reports and analysis, and dissemination of key messages to negotiators and policy-makers.

The three-year project engaged over 300 developing country experts who identified the policy research topics and inputted to the policy research process. The final year of the project focused on two critical determinants of REDD+ success, building on the information and insights provided by developing country experts at regional workshops and expert meetings held from 2009 to 2012. The two areas of policy research were:

- Developing and implementing REDD+ safeguard information systems
- Fostering effective private sector engagement in the REDD+ value chain

Developing country experts determined that these areas required policy research, could benefit from an exploration of lessons learned, and research results could inform UNFCCC negotiations and national REDD+ planning processes. Research and analysis on these two themes included the development of policy reports, policy briefs, key messages and webinar products.

Further information on all project activities, including earlier research papers, meeting reports, presentations and background documents can be accessed at: www.iisd.org/climate/land_use/redd.

The REDD+ capacity building initiative was delivered with the generous support of the Norwegian Agency for Development Cooperation (Norad) as part of its Climate and Forest Initiative civil society support program.

Executive Summary

A key determinant of REDD+ success will be the continued development and implementation of safeguards for REDD+. Safeguards are generally understood as policies and measures that aim to address both direct and indirect impacts to communities and ecosystems, by identifying, analyzing and ultimately working to manage risks and opportunities. Safeguards are important to ensure that REDD+ actions do not cause negative social or environmental impacts. The REDD+ safeguards agreed at the United Nations Climate Change meetings in Cancun in 2010 cover a range of issues including respect for the knowledge and rights of indigenous peoples and local communities, transparent national forest governance structures, effective participation of stakeholders, and the conservation of natural forests and biodiversity.

An important element of REDD+ safeguards, which is being negotiated under the United Nations Framework Convention on Climate Change (UNFCCC), is systems for providing information on how safeguards are addressed and respected. A decision at the climate change meetings in Durban in 2011 agreed on broad provisions for guidance, including that safeguard information systems (SIS) “build upon existing systems, as appropriate” (UNFCCC, 2012). This policy paper is a direct response to the Durban guidance, exploring eight existing systems that could be built on, and examining early action to develop SIS in five developing countries.

These systems are at an early stage of development, and negotiators and REDD+ focal points can benefit from learning about information gathered in other systems that has applicability for REDD+ SIS. In addition, the structure of existing systems can provide lessons on how to meet key elements of the Durban guidance, including transparency, comparability, consistency and country-driven processes. REDD+ experts identified the need for an analysis of existing systems to bring lessons to the REDD+ process, identify potential information sources, and share lessons gained from early action.¹ Good planning at these early stages can also ensure that countries collect information once to feed into various systems, preventing duplication of effort and streamlining reporting requirements.

Effective REDD+ SIS will be an important element of compliance and accountability, helping to promote transparency, guard against unintended social and environmental harms, and provide information on the impact of REDD+ actions. In addition, effective systems can help promote comparability of effort, incentivize quality greenhouse gas emissions reductions, and ensure that social, economic and environmental integrity is achieved in REDD+ activities.

Using the Durban guidance on safeguards as a starting point, and drawing on a methodology that included desk research, in-country semi-structured interviews with REDD+ experts and practitioners, and regional expert meetings, the research examined:

- The information collected in eight existing systems that could feed into reporting on REDD+ safeguards.
- How the existing systems ensure transparency, consistency, accessibility, flexibility and country-driven processes, and the lessons for a REDD+ SIS.
- Early action in five countries—Ethiopia, Indonesia, the Philippines, Tanzania and Vietnam—to provide lessons and insights for the further development of REDD+ SIS.

¹ See reports from the IISD-ASB capacity-building workshops and experts meetings that identified capacity gaps and research needs, accessible at: www.iisd.org/climate/land_use/redd/.

Building on Existing Processes

A host of existing systems can be built upon in the development and implementation of REDD+ SIS. Eight existing processes were examined, looking at the information collected relative to the REDD+ safeguards, as well as lessons for meeting the Durban guidance of ensuring transparency, consistency, accessibility and flexibility and country-driven processes. The eight processes analyzed were:

- Social and Environmental Principles and Criteria (SEPC) of the UN-REDD Programme
- Strategic Environmental and Social Assessment (SESA) and Environmental and Social Management Framework (ESMF), Forest Carbon Partnership Facility (FCPF)
- REDD+ Social and Environmental Standards (REDD+ SES), CARE International and the Climate, Community and Biodiversity Alliance (CCBA)
- Convention on Biological Diversity (CBD)
- United Nations Declaration on the Rights of Indigenous Peoples (UNDRIP) and Free, Prior and Informed Consent (FPIC)
- Global Forest Resources Assessment (FRA)
- Forest Stewardship Council (FSC) Principles and Criteria
- Forest Law Enforcement, Governance and Trade (FLEGT)

Information Collected

These processes collect and analyze information that has particular relevance for reporting on the seven REDD+ safeguards set out in the Cancun Agreements. Research findings include:

- The UN-REDD SEPC and CCBA REDD+ SES collect information that is applicable to most of the REDD+ safeguards. These two processes are most closely aligned to the REDD+ safeguards and with appropriate and focused planning and coordination; with them, countries could collect information that would meet the needs of reporting on both REDD+ safeguards and the UN-REDD or CCBA process.
- The FLEGT process is especially strong on the governance safeguards (a) and (b), providing information on national forest laws, policies, regulations and programs; the effectiveness of legal frameworks and gaps; and barriers and challenges to their implementation. Countries could build on their FLEGT analysis to determine which policies, laws and programs help to implement safeguards.
- Countries with FPIC processes may have reporting processes in place relevant to safeguard (c), respect for knowledge of indigenous peoples. The World Bank principles also address respect for indigenous peoples, and this reporting could pertain to the REDD+ safeguard.
- Stakeholder participation is an important element in most processes, and many of the processes may provide information on safeguard (d). Countries may consider reporting on this participation, or use the reporting as an example. Countries could also consider using established stakeholder processes to collect information on safeguards.

- The CBD provides information on biodiversity that is applicable to reporting on safeguard (e). Countries may be able to directly use information reported to the CBD to provide information on the REDD+ biodiversity safeguard.
- The Forest Resource Assessments provide information related to safeguard (e). FRA information may help countries report on the state of natural forests and biodiversity. The CBD's reporting on the loss of natural habitat may also provide information on permanence at the national level—safeguard (f); and possibly on the leakage safeguard (g) at the national level.
- The FSC information tends to be at the level of a specific forest and is not as applicable to REDD+ safeguard reporting as the other processes.

The REDD+ safeguards and those existing systems that collect information relevant to safeguards are summarized in Table ES1 below.

TABLE ES1: SUMMARY OF INFORMATION ON REDD+ SAFEGUARDS WITHIN EXISTING PROCESSES

REDD+ SAFEGUARD	EXISTING PROCESS							
	UN-REDD SEPC AND BERT	FCPF SESA AND ESMF	CCBA REDD+ SES	CBD	UNDRIP AND FPIC	FRA	FLEGT	FSC P&C
(a) Consistency with existing laws	✓		✓		✓	✓	✓	✓
(b) Transparent governance and sovereignty	✓		✓			✓	✓	✓
(c) Respect for knowledge of indigenous people, UNDRIP	✓	✓	✓		✓		✓	✓
(d) Full and effective participation of stakeholders	✓	✓	✓	✓	✓		✓	✓
(e) Conservation, biological diversity and enhancement of benefits	✓	✓	✓	✓		✓	✓	✓
(f) Address risk of reversals	✓		✓	✓		✓		
(g) Reduce displacement of emissions	✓		✓			✓		

Addressing the Principles in the Durban Guidance

These existing systems also provide lessons on how to address the principles set out in the Durban guidance: transparency, consistency, accessibility, flexibility and country-driven, as discussed below.

- **Transparency** - Information needs to be collected using broad multistakeholder processes. Validation is an important element of transparency, with some processes using national experts and others using national and international. It is important to use country experts to compile safeguards information.

- **Consistency** – Setting timelines for reporting can help ensure consistency and comparability across countries, and across years within countries. For example, reporting to the CBD takes place every four years with the next reports due in 2014; and the next FRA reports will be delivered in 2015. The FCPF ESMF requires annual monitoring report. Common reporting frameworks and tools can help with the collection of information that is comparable and consistent across countries, such as the resource manual (CBD), common questionnaire (FRA), and the Benefits and Risk Tool (BeRT) tool (UN-REDD SEPC). The CCBA SES use common international standards, for which countries develop nationally specific indicators; Voluntary Partnership Agreements (VPAs) have a similar general framework.
- **Accessibility** – Information should be made publicly available in an accessible manner (which also contributes to transparency). Most processes use online portals or databases to make information available. Availability in local languages can help increase accessibility.
- **Flexibility** – Processes evolve and improve as lessons are learned. Some processes have changed their indicators (FRA, ESMF, CBD, FSC) as knowledge has improved and monitoring processes have adopted new methodologies.
- **Country-driven processes** – All processes encourage country-driven processes. This often includes a general framework that is consistent across countries, with flexibility to develop country-specific details, indicators, reporting and monitoring processes. The UN-REDD SEPC and the CCBA SES have developed international standards and principles, with country-specific interpretation of specific indicators. Country-level experts undertake the FRA data collection and validation, and ESMFs are country-specific based on the national SESA process. FLEGT VPAs reflect a country's legal and institutional foundations to develop country-specific agreements (that follow a general framework across countries).

Learning from Early Action

Early experiences in developing systems for reporting on REDD+ safeguards provide important insights. Some countries are beginning to establish formal or informal bodies that are tasked with developing a REDD+ SIS within the national REDD+ planning processes. Other countries are undertaking a more piecemeal approach, with individual actors, governments, departments or civil society groups (CSOs) working toward the elaboration of a REDD+ SIS. The main lessons learned from early experiences in Ethiopia, Indonesia, Philippines, Tanzania and Vietnam are discussed below.

- **REDD+ information systems are building on existing systems** – The Philippines is using data from its FRA to inform its safeguards reporting, as well as using biodiversity assessments established for other processes. The Philippines is also considering harmonizing its international safeguards reporting requirements with that of bilateral donors. Tanzania is exploring the safeguard reporting requirements under UN-REDD, FCPF and CCBA SES to identify national safeguards and reporting information. Vietnam's REDD SIS Sub-Technical Working Group is looking at existing REDD+ systems—such as the national REDD+ measurement, reporting and verification (MRV) framework, REDD+ benefits distribution system, forest management information system, UN-REDD's Participatory Governance Assessment and FPIC experiences—for linkages with REDD+ safeguards reporting. Tools and reporting processes developed at the activity level in Tanzania and the Philippines are being explored for their applicability to national REDD+ safeguard reporting.

- **Institutional structures for REDD+ safeguards reporting can build on existing structures** – Indonesia’s National Council on Climate Change envisions an institutional setting for its REDD+ SIS that builds on existing relevant REDD+ authorities at the subnational and national levels. Most countries consider REDD+ focal points as the logical entity for reporting to the UNFCCC, being that they are well placed to access and coordinate information using existing lines of communication.
- **Institutional structures can facilitate feeding information up into a national REDD+ information system** – Indonesia has evolved data collection to the provincial level, with the national focal point rolling up information and reporting internationally. Tanzania has institutional processes in place that allow CSOs and REDD+ project implementers to feed information on REDD+ projects to the national level, and are exploring using these avenues for conveying safeguard information. The project-level MRV system in the Philippines that assesses emissions and safeguards is providing lessons and input to the national level.
- **Stakeholder participation is central to REDD+ success** – All countries stressed the importance of stakeholder processes to provide and validate REDD+ safeguard information. Ethiopia, informed by Participatory Forest Management experiences, stresses the importance of community-level involvement in safeguard reporting, including data collection, monitoring and measurement. The Philippines’ experience shows the importance of stakeholders, particularly CSOs, in filling capacity gaps. Indonesia’s institutional structure includes a board of multistakeholders, and Tanzania and Vietnam’s work to develop an SIS has included multistakeholder working groups.
- **International guidance is needed, but country-driven processes are critical** – International guidance is needed to assist countries in safeguard reporting, and could include guidance documents and reporting frameworks. This international guidance must recognize that countries have varied levels of information on REDD+ and forests and different capacities to collect, monitor and report on safeguards. The information and capacity will improve, but early reporting requirements should respect the situation at the country level and not add large burdens or impose requirements that will require the use of international consultants. The aim should be to build on and improve existing in-country capacity.
- **Safeguard reporting needs to consider how benefits flow to local communities** – REDD+ success will be largely dependent on benefits flowing to local communities and safeguard reporting should address this. CSOs are considering how Vietnam’s work on a benefits distribution system could be linked to the REDD+ SIS.

Issues for Consideration by REDD+ Negotiators, Policy-Makers and Practitioners

Discussions on a system for providing information on how REDD+ safeguards are addressed and respected will continue in the lead up to and at COP 18 in Doha, Qatar. This research paper shows that countries can build on existing processes in developing their REDD+ SIS, consistent with the Durban guidance. Issues for consideration by REDD+ negotiators, policy-makers and practitioners as they move forward to build on the Durban guidance are discussed below.

Harmonize REDD+ Safeguard Reporting Requirements

A unified REDD+ safeguard reporting framework (collection, reporting and verification) is needed that meets the requirements of the UNFCCC as well as funders of REDD+ activities. REDD+ countries are involved in numerous processes related to safeguards at the national and subnational levels. These include processes imposed by funders, voluntary standards and national systems. Examples include the FCPF, UN-REDD Programme's SEPC, and the REDD+ SESs of the CARE International and the CCBA, which collect information on issues included in the UNFCCC safeguards. Reporting on REDD+ safeguards to multiple authorities with different requirements introduces unnecessary complexities and could mean that REDD+ focal points are faced with competing demands from various processes. Many of these initiatives are at an early stage of development, offering an opportunity to align information needs in the various processes.

Coordinate Collection of REDD+ Safeguard Information with Other Processes

Over the next two to three years, countries will be developing reports for the CBD and the Global FRA, and coordination with these processes is needed to ensure coherence and prevent duplication of effort. Various processes, such as the CBD and the FRA, collect information that could be used to report on addressing and respecting REDD+ safeguards. For example, reporting processes under the CBD collect information on biodiversity and natural forests, and the FRA collects information on natural forest conversion and biodiversity. In addition, countries that have developed legality matrices under FLEGT agreements have gathered information on national forest governance structures.

Provide International Guidance

Under the UNFCCC, a draft reporting template and draft online database should be developed to provide guidance to developing countries; the UN-REDD Programme's Benefits and Risk Tool could be applicable for reporting internationally. REDD+ policy-makers and practitioners have expressed the need for international guidance on safeguard reporting, providing further clarity around minimum standards or thresholds for REDD+ SIS. This could include a reporting template, checklist or guiding questions.

Ensure REDD+ Safeguards Reporting is Country-Driven and Country-Appropriate

Future guidance on REDD+ safeguard reporting needs to be sufficiently flexible, and should aim to build on and improve existing in-country capacity. While international guidance is needed, REDD+ SIS must be country-driven and sensitive to national circumstances. Countries have varied levels of information on REDD+ and forests, and different capacities to collect, monitor and report on safeguards. The information and capacity will improve as REDD+ programs are implemented, but early reporting requirements should respect the situation at the country level.

Use Existing Stakeholder Processes where Possible

Given in-country capacity concerns, safeguard reporting processes need to be imbedded in stakeholder processes established for existing systems. For example, many of the same government authorities, stakeholder groups and private sector actors have an interest in both REDD+ and FLEGT. The stakeholder groups established for other REDD+ processes could be the basis on which to build an appropriate stakeholder group to guide the development of an information system for reporting on how REDD+ safeguards are addressed and respected. Critical stakeholders in other processes, such as the CBD and FRA, could be brought into the REDD+ SIS working groups to facilitate information sharing.

Provide Financial and Capacity-Building Support

Financing for capacity building should be a short-term priority. Many developing countries require international financial and capacity-building support to develop effective systems to provide information on how REDD+ safeguards are addressed and respected.

Disseminate Lessons Learned and Tools Developed

Countries are establishing institutions and processes for reporting on REDD+ safeguards and there is a need for sharing information and lessons learned. Workshops under the UNFCCC are one way to share country experiences. Another option is workshops supported by groups not linked to the negotiations, such as the series of REDD+ experts meetings held by IISD and the ASB Partnership at the Tropical Forest Margins with support of the Government of Norway. Country representatives often are able to speak more frankly about experiences in less formal, non-negotiation sessions. Furthermore, a systematic assessment of the applicability and usefulness of REDD+ tools and methods is needed across the REDD+ value chain. In this respect, there is a need and desire for continued dialogue to address the various concerns and needs of governments, the private sector and civil society.

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Abbreviations and Acronyms

ADB	Asian Development Bank
BACI	Before/After Control/Intervention
BeRT	Benefits and Risk Tool
CBD	Convention of Biological Diversity
CCBA	Climate, Community and Biodiversity Alliance
CDM	Clean Development Mechanism
COP	Conference of the Parties
CSO	civil society organization
ESMF	Environmental and Social Management Framework
EU	European Union
FAO	Food and Agriculture Organization
FCPF	Forest Carbon Partnership Facility
FLEGT	Forest Law Enforcement, Governance and Trade
FPIC	free, prior and informed consent
FRA	Forest Resources Assessment
FSC	Forest Stewardship Council
GDP	gross domestic product
GIZ	German International Cooperation Agency
HCV	high conservation value
IDB	Inter-American Development Bank
MRV	measurement, reporting and verification
Norad	Norwegian Agency for Development Cooperation
P&C	principles and criteria
PFM	participatory forest management
REDD+	reducing emissions from deforestation and forest degradation and the role of conservation, sustainable management of forests and enhancement of forest carbon stocks
SBSTA	Subsidiary Body for Scientific and Technological Advice
SBSTTA	Subsidiary Body on Scientific, Technical and Technological Advice
SEPC	Social and Environmental Principles and Criteria
SES	Social and Environmental Standards
SESA	Strategic Environmental and Social Assessment
SIS	safeguard information system
STWG-SG	Sub-Technical Working Group on Safeguards
UN	United Nations
UNDP	United Nations Development Programme
UNDRIP	United Nations Declaration on the Rights of Indigenous Peoples
UNFCCC	United Nations Framework Convention on Climate Change
USAID	United States Agency for International Development
VPA	Voluntary Partnership Agreement

1.0 Introduction

A key determinant of success in reducing emissions from deforestation and forest degradation and the role of conservation, sustainable management of forests and enhancement of forest carbon stocks (REDD+) will be the continued development and implementation of safeguards for REDD+. Safeguards are generally understood as policies and measures that aim to address both direct and indirect impacts to communities and ecosystems, by identifying, analyzing and ultimately working to manage risks and opportunities. Safeguards are important to ensure that REDD+ yields positive results for forests, forest communities and the climate. The REDD+ safeguards agreed to at the Conference of the Parties (COP) 16 in Cancun cover a range of issues including respect for the knowledge and rights of indigenous peoples and local communities, transparent national forest governance structures, effective participation of stakeholders, and the conservation of natural forests and biodiversity. Effective systems to share information will help promote transparency, guard against unintended social and environmental harms, and provide information on the impact of REDD+ actions.

An important element of REDD+ safeguards, which is being negotiated under the United Nations Framework Convention on Climate Change (UNFCCC), is systems for providing information on how safeguards are addressed and respected. The UN-REDD Programme and Chatham House describe REDD+ SIS as “the set of institutions and processes through which information is collected, verified, assessed, published and fed back to relevant institutions” (UN-REDD and Chatham House, 2011, p. 8). Effective systems to share information will help promote transparency, guard against unintended social and environmental harms, and provide information on the impact of REDD+ actions. Such systems are important elements of compliance and accountability, and will need to be country-driven and flexible to suit diverse national circumstances.

Providing information on how safeguards are addressed and respected will help promote comparability of effort; incentivize quality greenhouse gas emissions reductions; and ensure that social, economic and environmental integrity is achieved in REDD+ activities. But onerous or duplicative reporting requirements could be placed on REDD+ focal points that are often dealing with various competing demands on their time or lack capacity (in terms of both human and financial resources). Therefore, the use of existing knowledge, capacity and systems is critical to ensuring that addressing and respecting safeguards does not become overly burdensome on developing country policy-makers or project developers and implementers.

A COP 17 decision in Durban in 2011 agreed on broad provisions for guidance, including that safeguard information systems (SIS) “build upon existing systems, as appropriate” (UNFCCC, 2012, p. 16). This policy paper is a direct response to the Durban guidance and the need for additional research and analysis on the linkages between REDD+ safeguards and these other “existing systems.” It also highlights the lessons that can be drawn from early country-level experiences.

Using the Durban guidance on safeguards as a starting point, and drawing on a methodology that included extensive desk research, in-country semi-structured interviews with REDD+ experts and practitioners, and regional expert meetings, the research examined:

- The information collected in eight existing systems that could feed into reporting on REDD+ safeguards.
- How the existing systems ensure transparency, consistency, accessibility, flexibility and country-driven processes, and the lessons for a REDD+ SIS.
- Early action in five countries—Ethiopia, Indonesia, the Philippines, Tanzania and Vietnam—to provide lessons and insights for the further development of REDD+ SIS.

In exploring these key research areas, this policy paper aims to contribute to improved REDD+ SIS by identifying how REDD+ practitioners can build on existing systems and learn from early action.

The paper begins with an overview of the UNFCCC decisions that affect the development of REDD+ systems for providing information on how safeguards are addressed and respected. Section 3 outlines the methodology employed in the research and analysis. Section 4 considers three REDD+ processes that provide safeguard frameworks: the UN-REDD Programme's Social and Environmental Principles and Criteria (SEPC), Forest Carbon Partnership Facility's (FCPF) Strategic Environmental and Social Assessment (SESA) and the Climate, Community and Biodiversity Alliance's (CCBA) REDD+ Social and Environmental Standards (SES). Section 5 then looks at other international multilateral and bilateral processes that could provide lessons or information for an SIS. All processes are explored from two perspectives, namely: 1) what information is currently collected that could feed into reporting on REDD+ safeguards, and 2) what lessons can be drawn for REDD+ SIS in regard to how the existing systems address transparency, consistency, accessibility, flexibility and country-driven processes. Section 6 provides an overview of national processes and explores how some countries—including the Philippines, Vietnam and Tanzania—are beginning to contextualize an SIS, and the lessons that may be drawn from such experiences. Section 7 concludes with a summary of lessons and recommendations for REDD+ negotiators and practitioners.

2.0 Decisions on Safeguards under the UNFCCC

The Cancun Agreements of COP 16 included a decision listing seven safeguards (see Box 1), which are generally accepted as the “do no harm” guidance for REDD+ and minimum standards to ensure that REDD+ activities do not cause negative social or environmental impacts. Five safeguards deal with governance, social and environmental issues, including the need for consistency with national objectives and priorities, transparent forest governance structures, respect for indigenous peoples and local communities, effective participation of relevant stakeholders, and conservation of natural forests and biodiversity. Two “carbon safeguards” deal with permanence and leakage.

BOX 1: REDD+ SAFEGUARDS IN THE CANCUN AGREEMENTS

The Cancun Agreements indicate that the following safeguards should be promoted and supported in REDD+ implementation:

- a. That actions complement or are consistent with the objectives of national forest programs and relevant international conventions and agreements.
- b. Transparent and effective national forest governance structures taking into account national legislation and sovereignty.
- c. Respect for the knowledge and rights of indigenous peoples and members of local communities, by taking into account relevant international obligations, national circumstances and laws, and noting that the United Nations General Assembly has adopted the United Nations Declaration on the Rights of Indigenous Peoples.
- d. The full and effective participation of relevant stakeholders, in particular indigenous peoples and local communities, in REDD+ actions.
- e. That actions are consistent with the conservation of natural forests and biological diversity, ensuring that REDD+ actions are not used for the conversion of natural forests, but are instead used to incentivize the protection and conservation of natural forests and their ecosystem services, and to enhance other social and environmental benefits.**
- f. Actions to address the risks of reversals.
- g. Actions to reduce displacement of emission.

*** Taking into account the need for sustainable livelihoods of indigenous peoples and local communities and their interdependence on forests in most countries, reflected in the United Nations Declaration on the Rights of Indigenous Peoples (UNDRIP), as well as the International Mother Earth Day.*

Source: UNFCCC (2011, p. 26-27)

The UNFCCC COP 17 decision, agreed in December 2011, included provisions for guidance on systems for providing information on how REDD+ safeguards are addressed and respected. The UN-REDD Programme and Chatham House describe REDD+ SIS as “the set of institutions and processes through which information is collected, verified, assessed, published and fed back to relevant institutions” (UN-REDD and Chatham House, 2011, p. 8). Such systems are an important element of compliance and accountability; and will need to be country-driven and flexible to suit diverse national circumstances. SIS are likely to become increasingly important as REDD+ progresses towards results-based actions.² Providing information on how safeguards are addressed and respected will help promote comparability of effort; incentivize quality greenhouse gas emissions reductions; and ensure that social, economic and environmental integrity is achieved in REDD+ activities.

² At the national level, REDD+ activities are expected to take place in three phases: (1) readiness and policy planning, (2) demonstration activities, and (3) results-based actions allowing for performance-based payments through activities that are measured, reported on and verified (MRV).

BOX 2: DURBAN GUIDANCE ON SYSTEMS FOR PROVIDING INFORMATION ON HOW SAFEGUARDS ARE ADDRESSED AND RESPECTED

At COP 17, Parties agreed that systems for providing information on how the safeguards are addressed and respected should take into account national circumstances and respective capabilities, respect gender considerations, and recognize national sovereignty and legislation, relevant international obligations and agreements, as well as:

- a. Be consistent with the guidance identified in Cancun Agreements safeguard decisions
- b. Provide transparent and consistent information that is accessible by all relevant stakeholders and updated on a regular basis
- c. Be transparent and flexible to allow for improvements over time
- d. Provide information on how all of the safeguards referred to in appendix I to decision 1/CP.16 are being addressed and respected.
- e. Be country-driven and implemented at the national level.
- f. Build upon existing systems, as appropriate.

Source: UNFCCC (2012, p. 16)

Discussions on a REDD+ SIS will continue at COP 18 in Doha, Qatar in December 2012. In particular:

- The Subsidiary Body for Scientific and Technological Advice (SBSTA) was requested to consider the timing/frequency of presentation of the summary of information on REDD+ SIS, with a view to recommending a decision at COP 18.
- SBSTA was requested to consider the need for further guidance (to ensure transparency, consistency, comprehensiveness and effectiveness when providing information on how safeguards are addressed and respected) and to report on progress at COP 18.

Negotiators have begun to consider the parameters of a SIS, and made submissions to SBSTA in June 2011 on guidance on REDD+ SIS. The submissions emphasized the role of such a system, the type of information to be collected, and how to collect and provide the information. Many countries expressed the need for a better understanding of existing systems, highlighting in this regard that:

- Information should be consistent with established UNFCCC reporting requirements.
- Countries should take advantage of existing institutions already collecting and providing relevant data, including those providing information to other relevant international agreements or processes.
- Understanding is needed regarding how a county collects and verifies the accuracy of information under other international instruments.
- Reports should be linked to other relevant international agreements and or existing systems (Larsen, Rey & Daviet, 2012).

3.0 Methodology

The final element of the Durban guidance, “building on existing systems, as appropriate,” was the guiding research framework for this paper. As a response to the need for additional exploration of which existing systems could be built upon and how, the research examined:

- The information collected in eight existing systems that could feed into reporting on REDD+ safeguards.
- How the existing systems ensure transparency, consistency, accessibility, flexibility and country-driven processes, and the lessons for a REDD+ SIS.
- Early action in five countries—Ethiopia, Indonesia, the Philippines, Tanzania and Vietnam—to provide lessons and insights for the further development of REDD+ SIS.

The research methodology included the following elements:

1) Consideration of UNFCCC decisions related to REDD+ Safeguards

The analysis began with a review of the UNFCCC decision on REDD+ safeguards, the Cancun Agreements and the subsequent Durban guidance on systems for providing information on how safeguards are addressed and respected. Interpretation of these decisions was complemented by a desk study and discussions with experts at workshops and expert meetings.

2) Identification of existing systems of relevance to a REDD+ SIS

The final element of the Durban guidance, “building on existing systems, as appropriate,” was the guiding research framework for this paper. Existing systems for further consideration were identified through desk research, including a literature review, and input from developing country experts. The research identified three REDD+ specific systems and five broader international systems:

REDD+ Safeguard Frameworks:

- Social and Environmental Principles and Criteria (SEPC) of the UN-REDD Programme
- Strategic Environmental and Social Assessment (SESA) and Environmental and Social Management Framework (ESMF), Forest Carbon Partnership Facility (FCPF)
- REDD+ Social and Environmental Standards (REDD+ SES), CARE International and the Climate, Community and Biodiversity Alliance (CCBA)

Other Key Existing Systems of Relevance:

- Convention on Biological Diversity (CBD)
- United Nations Declaration on the Rights of Indigenous Peoples (UNDRIP) and Free, Prior and Informed Consent (FPIC)
- Global Forest Resources Assessment (FRA)
- Forest Stewardship Council (FSC) Principles and Criteria
- Forest Law Enforcement, Governance and Trade (FLEGT)

3) Analysis of Existing Systems that Could Be Built Upon

Each of the eight processes was explored from two perspectives:

- What information is currently collected that could feed into reporting on REDD+ safeguards?
- How do the existing systems address the key principles of the Durban guidance, and what might be the lessons for a REDD+ SIS?

In addressing the first question, the research considered if these existing systems collect **information** that could be used to report on how the seven REDD+ safeguards are addressed. For example, does the existing process collect information on national forest governance, biodiversity, forest cover, or respecting the rights of indigenous peoples and local communities? A matrix was developed to compare the REDD+ safeguards with the information collected in the existing systems.

In addressing the second question, existing systems were examined for their applicability to address or provide lessons for the Durban guidance on REDD+ SIS, looking at:

- **Transparency** – How transparent information is collected and provided. Are there processes for stakeholder consultations? Is the information audited or verified?
- **Consistency** – The availability of consistent and comparable information. Is information updated on a regular basis? How often does reporting take place? Is the information comparable across countries?
- **Accessibility** – The availability of the information and ability for stakeholders to access it. Is information publicly available? Is the information provided in a format that is readily accessible to all relevant stakeholders?
- **Flexibility** – The ability to allow for improvements over time. Can the process be changed or updated over time? For example, can changes, methods or indicators be made as knowledge improves?
- **Country-driven processes** – Considers how country-driven processes can be supported. How does the process enable countries to develop nationally appropriate or country-specific systems?

A summary table provides an overview of the key lessons for an REDD+ SIS that can be drawn from existing systems.

4) Development of Country-Level Case Studies and Identification of Lessons Learned

Building on, and informed by, the analysis undertaken in the previous steps, case studies were completed on a select number of developing countries, namely Ethiopia, Indonesia, Philippines, Tanzania and Vietnam. These countries are the early leaders in developing REDD+ safeguards and SIS at the national level, and the case studies explored how these countries are building on existing systems to develop their national SIS. The case study process included in-country, semi-structured interviews with key REDD+ policy-makers and practitioners (see Annex 1), as well as review and input from expert meeting attendees at meetings in Nairobi in April 2012 and Durban in December 2011 (Annex 2).³

The case studies provide a brief overview of the national REDD+ context, steps to develop a national SIS and the existing systems being built on. As well, innovative approaches, challenges and opportunities, and potential lessons for other REDD+ countries are identified through the case studies.

5) Identification of Critical Issues for Consideration and Recommendations for REDD+ Negotiators, Policy-Makers and Practitioners

The research concluded with the identification of issues for further consideration as international negotiations and national planning for REDD+ SIS moves forward. The conclusions built on the outcomes of the desk research, in-country case studies, and (most importantly) the insights and input of developing country experts at the expert meetings held from in 2011 and 2012 under the Building REDD+ Policy Capacity for Developing Country Negotiators and Land Managers initiative.

³ See IISD/ASB-ICRAF REDD+ Capacity Building Web Platform at: http://www.iisd.org/climate/land_use/redd/nairobi_kenya_expert_meeting_2012.aspx and http://www.iisd.org/climate/land_use/redd/taskforce.aspx for further information on and background documentation from the expert meetings.

4.0 *Building on Existing Frameworks for REDD+ Safeguards*

Three major frameworks address safeguards within national REDD+ programs and provide guidance for the development of SIS under the UNFCCC. Each of the three frameworks has a system for providing information on how safeguards are addressed and respected, including indicators and reporting mechanisms. All countries undertaking REDD+ national planning or demonstration activities are utilizing one or more of the three safeguard frameworks, and their tools, procedures and mechanisms could help inform the development or become a part of a REDD+ SIS.

The two major multilateral framework approaches to REDD+ safeguards being piloted in REDD+ countries are:

1. SEPC of the UN-REDD Programme
2. SESA and common approach of the FCPF

A third voluntary standard, REDD+ Social and Environmental Standards (REDD+ SES), has been developed through a multistakeholder process by CARE International and the Climate, Community and Biodiversity Alliance (CCBA).

Generally, each process has the same aim of ensuring that environmental and social considerations are taken into account when developing and implementing national REDD+ programs. The existing frameworks cover many of the key issues included in the UNFCCC safeguards and in most cases go beyond what the UNFCCC states both in level of detail and what is required. The UN-REDD Programme's SEPC explicitly makes the point of covering issues included in the UNFCCC safeguards (UN-REDD Programme, 2012, p. 3).

The following discussion of the three frameworks highlights the elements that have direct relevance to an information system for reporting on how safeguards are being addressed and respected, and how these elements can be built upon in the development of an SIS.

4.1 UN-REDD Programme's Social and Environmental Principles and Criteria

The UN-REDD Programme developed the SEPC, which aim to ensure that REDD+ activities encompass relevant UN policies and declarations together with international law. The SEPC provide a guiding framework for the UN-REDD Programme to promote social and environmental benefits and reduce potential risk from REDD+ implementation. The objectives of the SEPC are to:

- Address social and environmental issues in UN-REDD national programs and other UN-REDD activities.
- Support countries in developing their national approach to REDD+ safeguards in line with the UNFCCC.

The SEPC is intended to provide a framework that, in combination with other tools and processes, can help countries develop national approaches that are consistent with the UNFCCC agreements on safeguards for REDD+, including through the provision of information on how the Cancun safeguards are being addressed and respected (UN-REDD Programme, 2012).

Information Related to REDD+ Safeguards

The SEPC framework consists of seven principles and 20 criteria addressing issues such as: democratic governance; equitable distribution systems; respect for stakeholder rights; promotion of sustainable livelihoods and poverty reduction; coherence with other developmental and environmental policy objectives, both nationally and internationally; avoidance of natural forest conversion; minimization of natural forest degradation; and minimization of indirect adverse impacts on biodiversity and ecosystem services. (UN-REDD Programme, 2012). The UN-REDD Programme has identified the numerous areas of complementarity between the REDD+ safeguards and the SEPC principles, as set out in Table 1 below.

TABLE 1: RELATIONSHIP BETWEEN REDD+ SAFEGUARDS AND UN-REDD PRINCIPLES AND CRITERIA

REDD+ SAFEGUARD	SEPC PRINCIPLE
(a) Actions complement or are consistent with the objectives of national forest programs and relevant international conventions and agreements	Principle 4 – Contribute to low-carbon, climate-resilient sustainable development policy, consistent with national development strategies, national forest programs and commitments under international conventions and agreements
(b) Transparent and effective national forest governance structures, taking into account national legislation and sovereignty	Principle 1 – Apply norms of democratic governance, as reflected in national commitments and multilateral agreements
(c) Respect for the knowledge and rights of indigenous peoples and members of local communities, by taking into account relevant international obligations, national circumstances and laws, and noting that the General Assembly has adopted UNDRIP	Principle 2 – Respect and protect stakeholder rights in accordance with international obligations
(d) The full and effective participation of relevant stakeholders, in particular, indigenous peoples and local communities in REDD+ actions	Principle 1 – Apply norms of democratic governance, as reflected in national commitments and multilateral agreements
(e) Actions are consistent with the conservation of natural forests and biological diversity, ensuring that actions are not used for the conversion of natural forests, but are instead used to incentivize the protection and conservation of natural forests and their ecosystem services, and to enhance other social and environmental benefits	Principle 3 – Promote sustainable livelihoods and poverty reduction Principle 5 – Protect natural forest from degradation and/or conversion Principle 6 – Maintain and enhance multiple functions of forest, including conservation of biodiversity conservation and provision of ecosystem services Principle 7 – Avoid or minimize adverse impacts (direct and indirect) on non-forest ecosystem services and biodiversity
(f) Actions to address the risk of reversals	Principle 5 – Protect natural forest from degradation and/or conversion
(g) Actions to reduce displacement of emissions	Principle 5 – Protect natural forest from degradation and/or conversion

Source: UN-REDD Programme (2012, p. 14-15).

All seven Cancun safeguards are reflected in the key principles of the SEPC framework, suggesting that information gathered in this UN-REDD process could also be used to report on REDD+ safeguards. The SEPC framework was approved in early 2012, and countries are beginning to gather information and apply this framework. This provides an opportunity for information-gathering exercises to consider the needs of both the UNFCCC SIS and SEPC.

Reporting Processes Related to a REDD+ SIS

A Benefits and Risks Tool (BeRT) is being developed to help countries apply the SEPC in the formulation of national programs. SEPC-BeRT is a screening tool that provides a structured way for policy-makers and stakeholders to consider how the SEPC are being addressed and respected in the national context, through the use of guiding questions (UN-REDD Programme, 2011).

SEPC-BeRT could provide lessons to help countries meet the requirements of the Durban guidance:

- **Transparency** – Countries are to link the use of SEPC-BeRT to the stakeholder participation mechanism used as part of the national program development. Stakeholders are expected to provide input.
- **Consistency** – Information is currently collected at the stage of formulation of national REDD programs, but may be adapted for use at other points in the programming process. There is no requirement for ongoing reporting. The use of a common tool means that information should be comparable across countries.
- **Accessibility** – Once completed, the tool is presented during the validation meeting of the UN-REDD program. Consistent with most UN-REDD Programme documentation, the results of the assessment are expected to be publicly available.
- **Flexibility** – SEPC-BeRT is to be tested and refined in a select number of UN-REDD countries over the course of 2012, allowing for improvements to the tool based on user input.
- **Country-driven processes** – The risks and actions to mitigate risks are based on the national context.

The use of a common tool can help to facilitate comparability across countries and programs, and user input will provide the basis for improving the tool. As noted, SEPC-BeRT is to be tested and refined in 2012, allowing an opportunity for greater alignment with the UNFCCC REDD+ safeguard reporting requirements.

4.2 The Forest Carbon Partnership Facility's Strategic Environmental and Social Assessment and Common Approach

The goal of the Common Approach to Social and Environmental Safeguards for Multiple Delivery Partners under the FCPF Readiness Fund (Common Approach) is to ensure that delivery partners, including the World Bank, Inter-American Development Bank (IDB) and United Nations Development Programme (UNDP) apply a coordinated set of policies and procedures to environmental and social safeguards for REDD+ readiness activities (FCPF, 2011b).

To achieve this aim, the common approach utilizes a Strategic Environmental and Social Assessment (SESA). The SESA sets out how a country will address social and environmental issues for site-specific investments during both the preparation and the implementation of the REDD+ strategy. FCPF REDD country participants conduct an SESA to produce a stand-alone ESMF as a country-specific framework and guideline for REDD+ readiness activities. Combining an analytical and participatory approach, the key focus of the ESMF is to ensure that negative impacts of the REDD+ activity are identified, managed and mitigated relative to World Bank safeguard policies. The 10 World Bank safeguard policies must be complied with if a country is to receive a readiness grant from the FCPF (FCPF, 2011b).

Information Related to REDD+ Safeguards

The SESA and ESMF determine that the REDD activity is in compliance with the World Bank's ten safeguard policies. Table 2 below outlines the complementarity between the REDD+ and World Bank safeguards.

TABLE 2: RELATIONSHIP BETWEEN REDD+ SAFEGUARDS AND WORLD BANK SOCIAL AND ENVIRONMENTAL SAFEGUARDS

REDD+ SAFEGUARD	WORLD BANK SAFEGUARD POLICY
(c) Respect for the knowledge and rights of indigenous peoples and members of local communities, by taking into account relevant international obligations, national circumstances and laws, and noting that the General Assembly has adopted UNDRIP	<p>Indigenous Peoples – To design and implement projects in a way that fosters full respect for indigenous peoples' dignity, human rights and cultural uniqueness and so that they: (a) receive culturally compatible social and economic benefits and (b) do not suffer adverse effects during the development process</p> <p>Physical Cultural Resources – To assist in preserving physical cultural resources and avoiding their destruction or damage. "Physical cultural resources" include resources of archaeological, paleontological, historical, architectural, religious (including graveyards and burial sites), aesthetic or other cultural significance</p>
(d) The full and effective participation of relevant stakeholders, in particular, indigenous peoples and local communities in REDD+ actions	<p>Indigenous Peoples – To design and implement projects in a way that fosters full respect for indigenous peoples' dignity, human rights and cultural uniqueness and so that they: (a) receive culturally compatible social and economic benefits and (b) do not suffer adverse effects during the development process</p>
(e) Actions are consistent with the conservation of natural forests and biological diversity, ensuring that actions 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	<p>Environmental Assessment – To help ensure the environmental and social soundness and sustainability of investment projects and to support integration of environmental and social aspects of projects into the decision-making process</p> <p>Natural Habitats – To promote environmentally sustainable development by supporting the protection, conservation, maintenance, and rehabilitation of natural habitats and their functions</p> <p>Forests – To realize the potential of forests to reduce poverty in a sustainable manner, integrate forests effectively into sustainable economic development, and protect the vital local and global environmental services and values of forests</p>

Sources: UNFCCC, (2011, p. 26–27); World Bank (2005).

The World Bank safeguard policies most relevant to REDD+ safeguard policies address: forests, environmental assessments, natural habitats and indigenous peoples. Involuntary resettlement also has relevance for REDD+, though not explicitly to the safeguards agreed to in Cancun. The pest management, safety of dams, international waterways and disputed areas safeguards generally are not applicable to REDD+ safeguards.

Reporting Processes Related to a REDD+ SIS

The Common Approach used by the FCPF sets out processes that could provide lessons to help countries meet the requirements of the Durban guidance:

- **Transparency** – The SESA process for developing an ESMF is intended to be consultative and participatory. Once established, the ESMF is to provide a plan for identifying and working to mitigate negative impacts of the FCPF-supported activities. The extent to which reporting on progress is to be done in a participatory manner is unclear; FCPF delivery partners verify reporting.

- **Consistency** – At midterm, the country prepares and presents a progress report that includes a review of its compliance with the Common Approach. The delivery partner reviews the country progress report and prepares its own assessment, including compliance with World Bank social and environmental safeguard policies and the Common Approach.
- **Accessibility** – The delivery partner discloses the progress report and its assessment in compliance with the FCPF Guidance on Disclosure of Information. Relevant documentation in the REDD+ Readiness Preparation Proposal process is uploaded to a central website; although it is unclear whether reporting under completed ESMFs will also be available publicly.
- **Flexibility** – The ESMF can be revised over time as REDD+ readiness process moves forward in a country.
- **Country-driven processes** – The development of the ESMF is intended as an iterative process, and will vary by country. Country-specific indicators and methods are produced through the SESA and housed within the ESMF. As countries develop their ESMFs, they will establish a nationally appropriate method of gathering information for reporting.

The REDD+ SIS could draw lessons from the consultative processes used to develop the SESA and ESMF; and the processes to develop country-specific indicators and methods could potentially inform the assessment of REDD+ safeguards. Most countries are in the midst of, or just beginning, the SESA process and no country has developed an ESMF as a discrete product. Because the development of SESA and ESMFs are in early stages, there is opportunity to align the information collected in this process with the UNFCCC safeguard reporting requirements.

4.3 Climate, Community and Biodiversity Alliance's REDD+ Social and Environmental Standards

The REDD+ SES support the design and implementation of REDD+ programs that respect the rights of indigenous peoples and local communities and generate significant social and environmental co-benefits (REDD+ SES, 2012). They provide a framework for a country-led multistakeholder assessment of REDD+ program design, implementation and outcomes. The standards are designed for government-led REDD+ programs implemented at the national or subnational level. They provide a comprehensive framework to assist countries in designing, implementing and accessing the social and environmental aspects of their REDD+ program, by supporting and complementing the requirements of mandatory safeguards. The REDD+ SES consists of principles, criteria, indicators, and a process of MRV through multistakeholder assessment (REDD+ SES, 2012).

Information Related to REDD+ Safeguards

The SES framework consists of eight principles and 34 criteria addressing issues such as human rights, poverty alleviation and biodiversity conservation (REDD+ SES, 2011). Drawing on emerging country experiences and a desire to streamline the principles and ensure the framework fully addresses the Cancun safeguards, a revised version of the standards was released for comment in June 2012 (REDD+ SES, 2012). This revised version includes an annex outlining the way in which the principles are aligned with the REDD+ safeguards, shown in Table 3 below.

TABLE 3: RELATIONSHIP BETWEEN REDD+ SAFEGUARDS AND REDD+ SES PRINCIPLES

REDD+ SAFEGUARD	REDD+ SES PRINCIPLE
(a) Actions complement or are consistent with the objectives of national forest programs and relevant international conventions and agreements	Principle 4 - The REDD+ program contributes to good governance, broader sustainable development and social justice Principle 7 : The REDD+ program complies with applicable local and national laws and international treaties, conventions and other instruments
(b) Transparent and effective national forest governance structures, taking into account national legislation and sovereignty	Principle 4 - The REDD+ program contributes to good governance, to broader sustainable development and to social justice
(c) Respect for the knowledge and rights of indigenous peoples and members of local communities, by taking into account relevant international obligations, national circumstances and laws, and noting that the General Assembly has adopted the United Nations Declaration on the Rights of Indigenous Peoples	Principle 1 - The REDD+ program recognizes and respects rights to lands, territories and resources Principle 3 - The REDD+ program improves long-term livelihood security and well-being of indigenous peoples and local communities with special attention to women and the most marginalized and/or vulnerable people Principle 6 - All relevant rights holders and stakeholders participate fully and effectively in the REDD+ program
(d) The full and effective participation of relevant stakeholders, in particular, indigenous peoples and local communities in REDD+ actions	Principle 6 - All relevant rights holders and stakeholders participate fully and effectively in the REDD+ program
(e) Actions are consistent with the conservation of natural forests and biological diversity, ensuring that actions are not used for the conversion of natural forests but are instead used to incentivize the protection and conservation of natural forests and their ecosystem services, and to enhance other social and environmental benefits	Principle 5 - The REDD+ program maintains and enhances biodiversity and ecosystem services Principle 3 - The REDD+ program improves long-term livelihood security and well-being of indigenous peoples and local communities with special attention to women and the most marginalized and/or vulnerable people
(f) Actions to address the risk of reversals	Principle 5 - The REDD+ program maintains and enhances biodiversity and ecosystem services

Source: REDD+ SES (2012, pp. 21-22).

The SES principles are particularly strong on the REDD+ safeguards on the rights and knowledge of indigenous peoples and members of local communities, and effective participation of stakeholders. The REDD+ SES are also very strong on biodiversity, with Principle 5 including the following criteria:

- Biodiversity and ecosystem services potentially affected by the REDD+ program are identified, prioritized and mapped.
- The REDD+ program maintains and enhances the identified biodiversity and ecosystem services priorities.
- The REDD+ program does not lead to the conversion or degradation of natural forests or other areas that are important for maintaining and enhancing the identified biodiversity and ecosystem service priorities.
- There is a transparent assessment of predicted and actual, and positive and negative environmental impacts of the REDD+ program on biodiversity and ecosystem service priorities and any other negative environmental impacts (REDD+ SES, 2012).

The SES also includes a principle on equitable sharing of benefits as well as on the reconciliation of inconsistencies between local and national law and the REDD+ SES or relevant international treaties that are not reflected in the REDD+ safeguards (REDD+ SES, 2012).

Reporting Processes Related to a REDD+ SIS

The REDD+ SES set out reporting processes that could provide lessons to help countries meet the requirements of the Durban guidance:

- **Transparency** – Participating countries are to prepare a monitoring plan, which defines the information to be collected, sources of such information, methods for collection, analysis and responsibility for each element. Stakeholder consultations take place to facilitate review of the draft assessment report, and to ensure transparency and accessibility to the process. The verification process includes reporting by the national-level standards committee as well as review from the international Standards Committee, both including stakeholder representation.
- **Consistency** – The standards are generic (the same across all countries) at the principle and criteria levels.
- **Accessibility** – Following approval by the country-level Standards Committee, the performance report outlining progress against the indicators is to be made publicly available in the relevant official language(s).
- **Flexibility** – Country-specific indicators can be adapted and revised over time. The international SES have recently been revised to reflect stakeholder input and experiences to date. SES Principle 5 also states that the “REDD+ program itself be adapted based on assessment of predicted and actual impacts, in order to mitigate negative, and enhance positive, environmental impacts” (REDD+ SES, 2012, p. 9).
- **Country-driven processes** – At the indicator level, there is a process for country-specific interpretation to develop a set of indicators to be used as a baseline for monitoring and reporting that are tailored to the context of a particular country. A nationally appropriate assessment process is also to be established (REDD+ SES, 2011a).

Indonesia (Central Kalimantan) and Ecuador have elaborated country-specific indicators that have been adopted by their respective national authorities. The country-specific indicators tend to be broad definitions of how the country will meet the requirements of the particular principle. For example, under the principle of ensuring stakeholder participation, Ecuador’s indicators are that a mapping of stakeholders is completed and a participatory approach is established; although details are not provided regarding reporting on these processes. Ecuador is currently developing its monitoring plan (REDD+ SES, 2011b), and it is possibly within this plan that indicators may be elaborated.

Indonesia has not yet made substantial progress with assessment (REDD+ SES 2011c). The State of Accra in Brazil, Nepal and Tanzania are in the process of developing indicators (REDD+ SES, 2011d, 2011e, and 2011f).⁴ Other countries and subnational entities are considering the use of REDD+ SES to guide the development of their REDD+ initiatives.

The country-specific development of indicators and stakeholder participation model used in the SES could be to be used in REDD+ safeguard reporting. The development of nationally appropriate assessment processes under the SES could potentially be applicable to REDD+ SIS. Similar to the UN-REDD and FCPF safeguard processes, because the SES is in early stages, there is considerable opportunity to align information needs and reporting requirements with a REDD+ SIS.

4.4 Building on Existing REDD+ Safeguard Frameworks: Concluding Comments

All three frameworks contain relevant procedures and tools that can help to inform and support the design of REDD+ SIS at the national level, as well as elements of the necessary architecture for rolling information up to the international level (see Table 4). All three systems make information publicly available, encourage stakeholder involvement, collect

⁴ See section 6.4 for further information on Tanzania’s REDD+ SES process.

country-specific information and allow information collected and indicators to be changed over time to account for learning and experience. All three systems collect information on a range of indicators related to REDD+, although the UN-REDD SEPC and the REDD+ SES are most closely aligned with a REDD+ SIS, including the information collected and the processes used to collect and report on the information. These frameworks likely could be adjusted at this early stage to collect the information needed to meet UNFCCC requirements.

Many developing countries with REDD+ programs receive funding from FCPF and the UN-REDD program, and five countries and subnational entities are applying the REDD+SES. Reporting on REDD+ safeguards to multiple authorities with different requirements introduces unnecessary complexities and places undue requirements on REDD+ focal points that are often dealing with various competing demands on their time. These countries might consider requesting the use of a common REDD+ safeguard reporting framework (collection, reporting and verification) that would meet the requirements of the UNFCCC as well as funders of REDD+ projects.

TABLE 4: RELEVANT TOOLS AND PROCEDURES TO INFORM AND SUPPORT THE DEVELOPMENT OF AN SIS

	UN-REDD SEPC AND BERT	FCPF SESA AND ESMF	REDD+ SES
Transparency			
Stakeholder Involvement	✓Countries are to link the use of SEPC-BeRT to the stakeholder participation mechanism used as part of the national program development	✓Promotes consultative and participatory approach to ESMF formulation	✓Multistakeholder process and stakeholder representation on Standards Committee
Monitoring/Reporting	✓Ongoing monitoring of action, no reporting framework	✓Framework for reporting on and mitigating negative impacts to be developed through ESMF	✓Review by multistakeholder committee and international committee
Consistency			
Frequency of reporting	✓No set timelines	✓Delivery partners produce periodic monitoring reports at least once per fiscal year	✓No set timelines
Comparability across countries	✓Use of common BeRT tool brings comparability of information across countries		✓International standards and criteria are the same across countries (with country-specific indicators)
Accessibility			
Accessible by relevant stakeholders	✓Once completed, the BeRT tool is to be presented during the validation meeting of the UN-REDD program	✓Uses a multistakeholder, participatory assessment	✓Supporting national stakeholder involvement via a multistakeholder forum and Standards Committees
Publicly available information	✓Relevant country-level information and international guidance publicly available through online portal	✓Country applications, tools, guidelines, reports and minutes uploaded to central website	✓Progress updates, final reports and comments publicly available in local language on website
Flexibility			
Change over time	✓Iterative process that may be revised as national programs progress; allow for improvements based on user input	✓ESMF can be revised over time as REDD+ readiness process moves forward	✓Country-specific indicators can be adapted over time; international standards being revised
Country-Driven			
Flexibility for nationally appropriate interpretations and approaches	✓Each national program is country-specific ✓Consistent with existing UN policies; room for national interpretation of SEPC criteria ✓Risks and mitigation actions based on national context	✓Country-specific indicators and methods ✓Nationally appropriate methods of gathering information for reporting	✓Sets out country-level indicators for reporting ✓Process for country-specific interpretation of standards through unique indicators ✓Nationally appropriate assessment procedure

5.0 Building on Other Existing International Systems

The three safeguard frameworks discussed in Section 4 are not the only sources of learning or information for a REDD+ SIS. Other systems also collect information and have reporting mechanisms that could be relevant to a REDD+ SIS. This section examines six systems that could be built on in the development of REDD+ SIS:

- Convention on Biological Diversity (CBD)
- United Nations Declaration on the Rights of Indigenous Peoples (UNDRIP) and Free, Prior and Informed Consent (FPIC)
- Global Forest Resources Assessment (FRA)
- Forest Stewardship Council (FSC) Principles and Criteria
- Forest Law Enforcement, Governance and Trade (FLEGT)

Consistent with the methodology set out in Section 3, the analysis first examines information collected by these systems that is relevant to the REDD+ safeguards. The analysis then looks at the reporting frameworks and processes of the existing systems to identify lessons for a REDD+ SIS related to transparency, consistency, accessibility, flexibility and country-driven processes. Not all processes in the existing systems will have applicability to all elements of the Durban guidance on REDD+ SIS.

5.1 Convention on Biological Diversity

The CBD is an international agreement addressing biodiversity, including genetic resources, species and ecosystems. The objectives of the CBD are the conservation of biological diversity; sustainable use of the components of biological diversity; and fair and equitable sharing of the benefits arising out of the utilization of genetic resources (CBD, 2012).

Most REDD+ countries are also signatories of the CBD. The linkages between the two processes have been recognized and are beginning to be explored in more detail. The CBD Secretariat and Subsidiary Body on Scientific, Technical and Technological Advice (SBSTTA) are actively exploring the application of relevant REDD+ safeguards for biodiversity, and indicators and potential mechanisms to monitor or assess impacts of REDD+ measures on biodiversity.⁵

Information related to REDD+ Safeguards

The Aichi targets adopted by the CBD in 2010 (as part of the Strategic Plan for Biodiversity 2011-2020) are closely aligned with a number of REDD+ safeguards, as described below in Table 5.

⁵ The CBD SBSTTA, at its 16th session held in Montreal, April 30–May 5, 2012, adopted a recommendation regarding REDD+ biodiversity safeguards, and possible indicators to measure impacts of REDD+ on biodiversity and indigenous and local communities (CBD, 2012c, p. 27).

TABLE 5: RELATIONSHIP BETWEEN REDD+ SAFEGUARDS AND CBD AICHI TARGETS

REDD+ SAFEGUARDS	AICHI TARGETS
(d) The full and effective participation of relevant stakeholders, in particular, indigenous peoples and local communities in REDD+ actions	Target 14 – Ecosystems that provide essential services, including services related to water, and contribute to health, livelihoods and well-being, are restored and safeguarded, taking into account the needs of women, indigenous and local communities, and the poor and vulnerable
(e) Actions are consistent with the conservation of natural forests and biological diversity, ensuring that actions 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.	<p>Target 5 – The rate of loss of all natural habitats, including forests, is at least halved and where feasible brought close to zero, and degradation and fragmentation is significantly reduced.</p> <p>Target 7 – Areas under agriculture, aquaculture and forestry are managed sustainably, ensuring conservation of biodiversity.</p> <p>Target 11 – At least 17 per cent of terrestrial and inland water, and 10 per cent of coastal and marine areas, especially areas of particular importance for biodiversity and ecosystem services, are conserved through effectively and equitably managed, ecologically representative and well-connected systems of protected areas and other effective area-based conservation measures and integrated into the wider landscapes and seascapes.</p> <p>Target 15 – Ecosystem resilience and the contribution of biodiversity to carbon stocks has been enhanced, through conservation and restoration, including restoration of at least 15 per cent of degraded ecosystems.</p>
(f) Actions to address the risk of reversals	Target 15 – Ecosystem resilience and the contribution of biodiversity to carbon stocks has been enhanced, through conservation and restoration, including restoration of at least 15 per cent of degraded ecosystems.

Source: Adapted from Swan (2012, p. 5); CBD (2012b).

The CBD is a multilateral environmental agreement and some of its aims and objectives—although not explicitly stated in the Aichi Targets—could include additional information related to REDD+ safeguards. Actions under the CBD will likely be consistent with national forest programs and relevant international agreements, and respect the knowledge and rights of indigenous peoples and local communities.

CBD reporting requirements and information systems could be used for a REDD+ SIS. For example, a country could report under a REDD+ SIS that they comply with reporting requirements under the CBD, which would suffice as a threshold for providing information on how biodiversity safeguards are addressed and respected at the national level under REDD+. The provision of links to specific data available on the CBD website could help align indicators for biodiversity monitoring at the national level with that of REDD+ national programs or specific REDD+ activities.

Reporting Processes Related to a REDD+ SIS

The CBD sets out processes that could provide lessons to help countries meet the requirements of the Durban guidance:

- **Consistency** – National reporting guidelines request the provision of information based on a set of guiding questions. Parties are requested to adhere to the headings of the main parts of the reports and to structure the subsections of each part according to the questions. These guidelines allow for comparability across countries, though the content of each section is flexible. National reports are to be submitted every four years, with the fifth national reports to be completed in 2014. Parties have been encouraged to emphasize the use of indicators to measure progress toward the 2010 Aichi Biodiversity Targets in their 2015 reporting (CBD, 2012e).

- **Accessibility** – The CBD Secretariat compiles national reports, which are publicly available on a searchable database. The website and reports are available in multiple languages.
- **Flexibility** – The indicators for reporting to the CBD have changed, and an exercise is underway to adopt new indicators (CBD, 2012f). National targets can also be revised, and several countries are in the process of revising national targets in line with the framework of the Aichi Biodiversity Targets and national strategies in line with the new CBD Strategic Plan for Biodiversity 2011–2020 (CBD, 2012d).
- **Country-driven** – At the national level, National Biodiversity Strategies and Action Plans—as the principal instruments for implementing the CBD—provide a country-driven approach and support the development of national and regional targets. Currently, 175 countries have developed these plans.

These same types of processes could be applied to a REDD+ SIS, as reports from countries could be made publicly available on a searchable, interactive database, perhaps hosted by the UNFCCC Secretariat or independently. The resource manual could be an example for REDD+ safeguards reporting. The 2015 reporting, and the process to assist countries in their reporting, offers a good opportunity for countries to consider the ways in which CBD reporting can complement reporting on REDD+ biodiversity safeguards, and vice versa. The development of indicators that could provide information for both processes would be one such example. The recent CBD SBSTTA decision also urged Parties to continue to build synergies between national biodiversity strategies and action plans and national REDD+ plans, something that is being actively pursued in countries like Vietnam (see Section 6.5).⁶

5.2 United Nations Declaration on the Rights of Indigenous Peoples and Free, Prior and Informed Consent

Adopted in 2007, UNDRIP is a declaration that sets out a number of individual and collective rights of indigenous people, including rights to culture, identity, language and other issues. It also emphasizes the rights of indigenous peoples to “maintain and strengthen their own institutions, cultures and traditions, and to pursue their development in keeping with their own needs and aspirations,” prohibits discrimination and promotes the full and effective participation of indigenous peoples in all matters that concern them. As a declaration, it is not a legally binding instrument, but the UN has described it as setting “an important standard for the treatment of indigenous peoples” (UN Permanent Forum on Indigenous Issues, 2007, p. 2). UNDRIP has been endorsed by 149 countries (UN, 2008).⁷

FPIC, generally viewed as the implementation of UNDRIP, is understood as the right of indigenous peoples to approve or reject proposed actions or projects that may affect them or their lands, territories or resources (see Box 3). Article 19 of UNDRIP notes that “States shall consult and cooperate in good faith with the indigenous peoples concerned through their own representative institutions in order to obtain their free, prior and informed consent before adopting and implementing legislative or administrative measures that may affect them” (UN, 2008, p. 8).

⁶ The SNV-Netherlands Development Organisation is working with the Vietnam Administration of Forestry to implement the project, Exploring Mechanisms to Promote High-Biodiversity REDD+: Piloting in Vietnam, as part of the German government’s International Climate Initiative. The project has published the paper, *High-Biodiversity REDD+: Operationalizing Safeguards and Delivering Environmental Co-Benefits*, which identifies a range of options for implementing the UNFCCC Cancun safeguards and contributing to meeting the relevant Aichi Targets (5, 7, 11, 14, and 15) under the CBD (Swan & McNally, 2011).

⁷ The original vote was 143 countries in favour, four against, and 11 abstaining. Since then, all four countries that previously opposed (Australia, Canada, New Zealand and the United States) have moved to endorse the declaration.

BOX 3: FREE, PRIOR AND INFORMED CONSENT

What is FPIC?

Each part of the term has important meanings for a community:

- **Free** from force, intimidation, coercion or pressure by anyone (it can be a government, a company or any organization).
- **Prior** implies that consent has been sufficiently sought in advance of any authorization or commencement of any project. Also, local communities must be given enough time to consider all the information and make a decision.
- **Informed** means that the community must be given all the relevant information to make its decision about whether to agree to the project or not.
- **Consent** requires that the people involved in the project must allow indigenous communities to say “Yes” or “No” to the project. This should be according to the decision-making process of their choice.

Source: Edwards, Triraganon, Silori & Stephenson (2012, p. 32-33).

Information Related to REDD+ Safeguards

The REDD+ safeguards under the UNFCCC make an explicit commitment to UNDRIP. The guidance provided through UNDRIP, such as the right to self-determination and FPIC, could help shape the type of information countries use to show they are addressing and respecting the REDD+ safeguards related to stakeholder engagement and indigenous rights. Countries do not report under UNDRIP and FPIC is operationalized through other mechanisms at the national level, such as REDD+. Table 6 highlights the relationship between the REDD+ safeguards and the main tenants of FPIC.

TABLE 6: RELATIONSHIP BETWEEN REDD+ SAFEGUARDS AND FPIC

REDD+ SAFEGUARDS	FPIC
(a) Actions complement or are consistent with the objectives of national forest programs and relevant international conventions and agreements	In some countries, FPIC is legislated or is part of national forest (or natural resources) decision-making approaches.
(c) Respect for the knowledge and rights of indigenous peoples and members of local communities, by taking into account relevant international obligations, national circumstances and laws, and noting that the United Nations General Assembly has adopted the UNDRIP	Adherence to FPIC principles in REDD+ actions is one way in which countries could show adherence to UNDRIP.
(d) The full and effective participation of relevant stakeholders, in particular indigenous peoples and local communities, in REDD+ actions	FPIC provides a framework for ensuring the effective participation of relevant stakeholders through community-based and self-determined decision-making processes.

Source: UNFCCC (2011 p. 26-27).

Countries are only beginning to address FPIC under the auspices of REDD+, and experience is limited. Many REDD+ countries have experience with FPIC in other land-use sectors, the relative success or failure of which should be used to inform the application of FPIC to REDD+. For example, learning from FPIC experiences in mining and other resource sectors is being applied to forestry and REDD+ in the Philippines (see Section 6.3). Countries that have enshrined FPIC in national law may have reports on how FPIC has been implemented that could inform REDD+.

Demonstrating adherence to the principle of FPIC could help countries show that they are respecting the rights of indigenous peoples and local communities, and that national programs are implemented with the FPIC of these groups. REDD+ safeguards reporting will need to demonstrate how FPIC is implemented.

Reporting Processes Related to a REDD+ SIS

FPIC processes could provide lessons to help countries meet the requirements of the Durban guidance:

- **Transparency** – The goal of FPIC is increased transparency through broad community consultation. Most FPIC guidance suggests that the FPIC processes and outcomes should be well documented and made publicly available.
- **Consistency** – FPIC can have different interpretations and its application is not necessarily consistent across countries. One broad lesson learned is that FPIC should not be viewed as merely a “checkbox” in policy or project development, but rather as an iterative process that should be conducted consistently throughout the various stages of the activity (Edwards et al., 2012).
- **Flexibility** – FPIC has been applied in REDD+ pilot activities and the FSC certification process in several countries.
- **Country-driven** – Each country interprets the UNDRIP principles within its own national context and while FPIC can be used on the basis of common guidance, the process remains very locally and culturally driven.

Several guidance documents and tools have been developed to help integrate FPIC into REDD+ activities. For example, the Center for People and Forests, Institute for Global Environmental Strategies and Norad published a training manual for integrating FPIC into REDD+ initiatives.⁸ UN-REDD is finalizing guidelines for FPIC in program activities, building on the joint FCPF and UN-REDD *Guidelines on Stakeholder Engagement in REDD+ Readiness with a Focus on Indigenous Peoples and other Forest Dependent Communities* (UN-REDD Programme, 2012b). The draft guidelines have identified a number of lessons learned, outlined below in Box 4.

BOX 4: LESSONS LEARNED IDENTIFIED IN UN-REDD DRAFT GUIDELINES ON FPIC

The guidelines draw on the historical experience of select cases relevant to the integration of FPIC into national strategies and activities, and include the following lessons learned:

- If designed in a culturally appropriate manner that is compatible with local communities' own governing structures, national or subnational processes can help support traditional rights to lands, territories and resources when faced with competing use interests.
- An unwillingness to recognize and respect community rights to resources can make FPIC processes more difficult and limit prospects for achieving conservation or sustainable management outcomes.
- Consent is an ongoing process and is more achievable when the planning process is responsive to community needs. All parties should approach FPIC as a process rather than a one-time decision.
- Negotiations may be more successful when they incorporate the community's perspective of what constitutes equitable benefit sharing.
- The failure to obtain consent from communities for a given protected area proposal does not necessarily preclude a continued commitment by local communities to conservation objectives. Additionally, continued engagement can lead to alternative solutions for which the communities would provide consent.

Source: UN-REDD Programme (2011, p. 3– 4).

⁸ Available at: http://www.recoftc.org/site/uploads/content/pdf/FPIC%20Training%20Manual%20Full%20Version_239.pdf. See also Annex V: *Tools and Resources in the UN-REDD Programme Draft Guidelines on Free, Prior and Informed Consent*, available at: http://www.unredd.net/index.php?option=com_docman&task=cat_view&gid=1333&Itemid=53.

The guidelines developed by UN-REDD could help countries establish or improve on FPIC processes within REDD+ actions, and provide an operational framework for reporting on FPIC.

5.3 Global Forest Resource Assessment

Coordinated by the Forestry Department at the Food and Agriculture Organization (FAO), the Global Forest Resource Assessment (FRA) supports international cooperation by working to harmonize and share multi-country forest resource information in common formats, and report to relevant international bodies. Countries representing some 75 per cent of the world's forest area are contributing to the FRA 2015. The upcoming assessment will include country- and global-level information on a series of thematic areas, such as the legal, policy and institutional frameworks related to forests, the extent of forest resources and their contribution to the global carbon cycle, forest health and vitality, forest biological diversity, and the socioeconomic and protective functions of forests (FAOa, 2012).

Information Related to REDD+ Safeguards

The seven thematic elements monitored in the 2010 FRA have direct relevance to REDD+ safeguards. Table 7 compares REDD+ safeguards to the FRA thematic areas and relevant variables.

TABLE 7: RELATIONSHIP BETWEEN REDD+ SAFEGUARDS AND FRA THEMATIC AREAS AND VARIABLES

REDD+ SAFEGUARDS	FRA THEMATIC AREAS AND VARIABLES
(a) Actions complement or are consistent with the objectives of national forest programs and relevant international conventions and agreements	Legal, policy and institutional framework related to forests – Policy and legal framework, institutional framework, education and research
(b) Transparent and effective national forest governance structures, taking into account national legislation and sovereignty	Legal, policy and institutional framework related to forests – Policy and legal framework, institutional framework, education and research
(e) Actions are consistent with the conservation of natural forests and biological diversity, ensuring that actions 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	Extent of forest resources and their contribution to the global carbon cycle – Forest area and forest area change, forest characteristics, selected forest types and species groups, growing stock, biomass, carbon stock Forest health and vitality – Area of primary forests, forest area designated for conservation of biological diversity, area of forest in protected areas, tree species composition Forest biological diversity – Insects and diseases, forest fires, other disturbances Productive functions of forests – Areas designated for productive functions, planted forests, afforestation and reforestation, removals of wood products, removals of non-wood forest products Socioeconomic functions of forests – Ownership and management rights, public expenditure and revenue collection, value of wood and non-wood forest product removals, employment, area of forest designated for social services
(f) Actions to address the risks of reversals	Extent of forest resources and their contribution to the global carbon cycle – Forest area and forest area change, forest characteristics, selected forest types and species groups, growing stock, biomass, carbon stock
(g) Actions to reduce displacement of emissions	Extent of forest resources and their contribution to the global carbon cycle – Forest area and forest area change, forest characteristics, selected forest types and species groups, growing stock, biomass, carbon stock

Source: UNFCCC (2011, p. 26–27); FAO (2010, xiii).

Countries could point to relevant data under the FRA to show how they have addressed safeguards 2(a), (b) and (e); and the information may have relevance to the permanence and leakage safeguards. The FRA has particular relevance to reporting on REDD+ safeguard (e) through the examination of the current status and recent trends for about 90 variables covering the extent, condition, uses and values of forests and other wooded land, with the aim of assessing all benefits from forest resources. Monitoring related to carbon baselines, biological diversity and socioeconomic functions of forests is of particular relevance to a REDD+ SIS.

A recommendation of the first technical consultation for FRA 2015 held in March 2012 was that “an experts group of data providers ... be formed with the objective to elaborate a work plan on feasible variables for data sharing among interested data providers” (FAO, 2012b, p. 1). The experts group might consider data that has direct applicability for REDD+ safeguard reporting.

Reporting Processes Related to a REDD+ SIS

The FRA sets out processes that could provide lessons to help countries meet the requirements of the Durban guidance:

- **Transparency** – FAO works closely with countries and specialists through regular contact, expert consultations, training for national correspondents and regional and subregional workshops. Individual country reports are subject to validation by forestry authorities in the respective countries.
- **Consistency** – The FAO has been monitoring the world’s forests at 5 to 10 year intervals since 1946. Country-level monitoring is based on a common questionnaire framework provided by the FAO. A common reporting format is used with information provided in a number of thematic areas.
- **Accessibility** – Information and reports are available on the FRA website. An interactive, searchable online database—the FRA online portal—provides public access to the country-level and aggregate data sets from FRA 2010 and will be used for FRA 2015 as well.⁹
- **Flexibility** – The scope of monitoring and indicators used have improved and expanded over time. For example, FRA 2015 will take a new approach that builds on updating FRA 2010 country reports rather than blank templates. The FRA 2015 will also use a new questionnaire format, the Collaborative Forest Resources Questionnaire that attempts to coordinate the collection of data for several processes within one questionnaire under the FRA.¹⁰ The approach is intended to reduce burden on countries and ensure that they do not need to report on the same variables more than once (FAO, 2012b.) The FRA 2015 will include an indication of data quality, similar to greenhouse gas emissions inventories, the first time such information has been included (FAO, 2012b).
- **Country-driven** – Country-level experts undertake data collection and validation, and the information collected by the GRA is based on country context and capacity to report on the various elements of measurement.

The FRA online portal is an example of a clearing-house approach that could be employed for a REDD+ SIS. The FRA online portal also offers samples of satellite data that has direct applicability for REDD+ planning and monitoring at the national level. By combining the knowledge provided by these images on forest cover change with required field verification, methods for measuring REDD+ safeguards (particularly those related to multiple benefits) and understanding drivers of deforestation may be improved. The monitoring methods from FRA could be used to build capacity amongst relevant actors for REDD+ monitoring and reporting on safeguards through an SIS.

⁹ To access the database, visit: <http://countrystat.org/index.asp?ctry=for&HomeFor=for>.

¹⁰ The questionnaire will include input from the International Tropical Timber Organization, Forest Europe, United Nations Economic Commission for Europe and the Observatory of Central African Forests.

FRA's robust reporting framework and monitoring process can potentially provide information on safeguards; or countries could point to the information in their FRA, for example on legislation and forest cover, in their safeguard reporting.

5.4 Forest Stewardship Council Principles and Criteria

FSC provides a system for voluntary accreditation and independent third-party certification of forest management and chain of custody operations, with the aim of promoting responsible management of forests. The international certification and labelling system provides certification against a set of environmental and social standards, known as the FSC Principles and Criteria. FSC-certified wood, paper and other forest products are sold with the FSC logo by certified companies (FSC, 2012d). There are 1,124 FSC-certified forests located in 80 countries. These include a number of countries that are undertaking REDD+ activities, such as Cameroon, Ghana, Kenya, Tanzania, Indonesia, Vietnam and Brazil (FSC, 2012b).

Information Related to REDD+ Safeguards

The FSC Principles and Criteria (P&C) include a series of ten principles that describe how forests are to be managed to meet social, economic, ecological, cultural and spiritual needs. They include managerial, environmental and social requirements. The FSC principles relate to a number of REDD+ safeguards, as outlined in Table 8 below.

TABLE 8: RELATIONSHIP BETWEEN REDD+ SAFEGUARDS AND FSC PRINCIPLES AND CRITERIA

REDD+ SAFEGUARD	FSC PRINCIPLES AND CRITERIA
(a) Actions complement or are consistent with the objectives of national forest programs and relevant international conventions and agreements	Principle 1: Compliance with Laws - The Organization shall comply with all applicable laws, regulations and nationally ratified international treaties, conventions and agreements.
(c) Respect for the knowledge and rights of indigenous peoples and members of local communities, by taking into account relevant international obligations, national circumstances and laws, and noting that the United Nations General Assembly has adopted the United Nations Declaration on the Rights of Indigenous Peoples	Principle 3: Indigenous Peoples' Rights - The Organization shall identify and uphold indigenous peoples' legal and customary rights of ownership, use and management of land, territories and resources affected by management activities.
(e) Actions are consistent with the conservation of natural forests and biological diversity, ensuring that actions 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	<p>Principle 4: Community Relations - The Organization shall contribute to maintaining or enhancing the social and economic well-being of local communities.</p> <p>Principle 5: Benefits from the Forest - The Organization shall efficiently manage the range of multiple products and services of the Management Unit to maintain or enhance long-term economic viability and the range of environmental and social benefits.</p> <p>Principle 6: Environmental Values and Impacts - The Organization shall maintain, conserve and/or restore ecosystem services and environmental values of the Management Unit, and shall avoid, repair or mitigate negative environmental impacts.</p> <p>Principle 9: High Conservation Values - The Organization shall maintain and/or enhance the High Conservation Values in the Management Unit through applying the precautionary approach.</p>

Source: UNFCCC (2011, p. 26-27); FSC (2012, p. 12-22).

FSC is not a national, government-led program, but experiences with the process and the information collected could potentially inform a national SIS. A number of the principles included under the FSC could help countries address and respect the REDD+ safeguards. For example, adhering to Principles 4, 5, 6 and 9 could all help meet safeguard 2(e). Principle 9 includes the High Conservation Value (HCV) concept. Under the principle, forest managers are required to identify any HCVs that occur within their individual forest management units, to manage them in order to maintain or enhance the values identified, and to monitor the success of this management. Since its introduction by the FSC in 1999, more detailed methodologies have been developed and the approach has gained broader usage in conservation and resource management policy. Jennings, Nussbaum, Judd, & Evans (2003) have noted the applicability of the concept beyond FSC, and the willingness of forest managers to comply with best management practices such as HCV framework even in the absence of a ratified FSC national standard. The use of HCV methodologies could have particular applicability within a specific REDD+ activity, which could then feed into national reporting.

Reporting Processes Related to a REDD+ SIS

The FSC certification sets out processes that could provide lessons to help countries meet the requirements of the Durban guidance:

- **Transparency** – FSC working groups at the national level develop FSC national standards. The interpretation of the P&C through national standards is done through a multistakeholder process. FSC certification involves the evaluation of a forest by an independent third-party certifier. Annual audits of the FSC-certified organization are performed by an independent third-party accreditation body. The certified organizations do not have any outward reporting requirements, and there are no penalties for non-compliance as the FSC is a voluntary accreditation.
- **Accessibility** – The results of the evaluation are made publicly available, and FSC certification information is to be provided in relevant local languages.
- **Consistency** – The FSC recently launched a process to develop a set of international generic indicators in order to help forest managers, stakeholders and certification bodies interpret and apply the P&C (FSC, 2012a).
- **Flexibility** – The development of international generic indicators follows the 2012 revision of the P&C and the lessons learned from FSC experiences that called for greater consistency and transparency across the FSC processes.
- **Country-driven** – The FSC P&C are applicable and relevant to various forest areas and ecosystems, and at the principle level are consistent across various regions. FSC working groups at the national level develop FSC national standards, which help provide context-specific interpretations of the P&C in practice.

The generic indicators and information collected could have applicability to REDD+, although they will be for a specific forest area. The most relevant areas for a REDD+ information system are the FSC's coverage of social and environmental issues, and the reporting frameworks for these issues could inform reporting on safeguard (e).

5.5 Forest Law Enforcement Governance and Trade

The European Union's FLEGT regulation establishes Voluntary Partnership Agreements (VPAs) between the European Union (EU) and timber exporting countries. The aim of these VPAs is to ensure that only legally harvested timber is imported into the EU from countries agreeing to take part in the scheme (EU FLEGT Facility, 2012a). As of May 2012 a VPA had been formally concluded between the EU and Ghana; and VPAs with Cameroon, the Central African Republic, Indonesia, Liberia and the Republic of Congo are in the ratification process. Negotiations are ongoing with the Democratic Republic of Congo, Gabon, Guyana, Honduras, Malaysia and Vietnam; and several other countries have expressed interest in negotiating VPAs (EU FLEGT Facility, 2012b).¹¹

Information Related to REDD+ Safeguards

All countries negotiating FLEGT agreements also have REDD+ programs. The EU FLEGT Facility, hosted by the European Forest Institute, has identified several potential connections and synergies between the two processes, as outlined in Box 5.

BOX 5: POTENTIAL REDD+ AND FLEGT LINKAGES

Addressing drivers of forest loss: Fundamental to the success of REDD+ is finding effective ways to reduce forest loss in practice. Many of the drivers are directly or indirectly related to the illegal activities that FLEGT addresses.

Addressing challenges of governance and illegality: Both FLEGT and REDD+ have to address the crucial issue of poor governance that not only underlies illegal logging and trade, but also drives both legal and illegal forest loss.

Effective processes: Much has already been learned from FLEGT about effective ways of undertaking national processes relating to forest governance and management. REDD+ processes could benefit from this and in turn contribute new lessons to FLEGT.

Mechanisms for MRV: MRV will be major issues for both FLEGT and REDD+ with considerable potential synergies. FLEGT is establishing monitoring systems to ensure legal compliance and independent third-party checks and will establish governance monitoring in some cases.

Harmonized aid delivery: Relatively large amounts of development finance are planned to flow into REDD+ programs. Some development finance is already being targeted at actions to improve forest governance. There is strong commitment and much relevant experience to harmonize and coordinate aid delivery.

Source: ProForest (2011)

Each VPA is country-specific and there are no overarching principles, but an examination of the content of the VPAs negotiated to date reveals connections between the FLEGT provisions or approaches and REDD+ safeguards reporting, outlined in the table below.

¹¹ All documentation and VPAs negotiated to date can be accessed via the EU FLEGT Facility, at: http://www.euflegt.efi.int/portal/home/vpa_countries/

TABLE 9: RELATIONSHIP BETWEEN REDD+ SAFEGUARDS AND FLEGT VPA APPROACHES

REDD+ SAFEGUARD	FLEGT VPA PROVISIONS OR APPROACH
(a) Actions complement or are consistent with the objectives of national forest programs and relevant international conventions and agreements	Ensure actions are consistent with national legislation, and are undertaken in a transparent and accountable way – VPAs to date include provisions to ensure the agreements are implemented in the context of existing national legislation. Objective of agreements include the sustainable management of forests – Provides a legal framework aimed at ensuring that all imports to the European Community covered by VPAs have been legally produced and (among other things) contribute to sustainable management of forests in the partner country.
(b) Transparent and effective national forest governance structures, taking into account national legislation and sovereignty	Establish legality matrices – Establishes a “map” of the relevant national laws and legislation to support or provide information for the meeting of criteria and verifiers as part of the VPA.
(c) Respect for the knowledge and rights of indigenous peoples and members of local communities	Develop better understanding of livelihoods of potentially affected indigenous and local communities – In some VPAs reached to date, parties will monitor impacts on affected communities and work to mitigate adverse impacts; may agree on additional measures to address adverse impacts in future.
(d) The full and effective participation of relevant stakeholders, in particular indigenous peoples and local communities, in REDD+ actions	Establish national monitoring committees and/or regular consultation with stakeholders – Conduct regular consultations with stakeholders to guarantee their involvement in the monitoring and implementation of the agreement.

Sources: UNFCCC (2011, p. 26–27); EU-FLEGT Facility (2012b); EU (2011a); EU, (2011b); Council of the European Union (2011, Annex II); European Community and Republic of Ghana (2009, Annex II).

Several VPAs (such as Ghana, Central African Republic, Republic of Congo and Cameroon) include legal matrices. These matrices provide a map of the relevant national laws and legislation to support or provide information for the meeting of criteria and verifiers as part of the VPA.¹² The matrices could be used or modified to report on national forest programs and governance structure—safeguards (a) and (b).

Reporting Processes Related to a REDD+ SIS

The development and implementation of VPAs include processes that could provide lessons to help countries meet the requirements of the Durban guidance:

- **Transparency** – Legality Assurance Systems at the national level are to be audited by independent auditors. Auditors are selected by the country at the approval of EU and according to transparency procedures. In most cases, a national monitoring committee is also established to conduct regular consultations with stakeholders and to guarantee their involvement in the monitoring and implementation of the agreement. In Cameroon, the committee includes representatives of the administrations involved, members of parliament, representatives of the forestry communities, representatives of civil society organizations, representatives of the private forestry and timber sector and unions active in the sector.

¹² For example, see pages 22–63 of the EU-Cameroon VPA, available online at: [http://eur-lex.europa.eu/LexUriServ/LexUriServ.do?uri=CELEX:22011A0406\(02\):EN:NOT](http://eur-lex.europa.eu/LexUriServ/LexUriServ.do?uri=CELEX:22011A0406(02):EN:NOT)

- **Consistency** – Annual reporting details the activities, progress and statistics surrounding the agreement. The general framework and key elements of the VPA are consistent across those signed to date.
- **Accessibility** – All legislation and information in the VPA process is to be made accessible to the public. In the case of Cameroon, an accessible online database and monitoring system has been established to collect relevant technical data and facilitate the issuance of licenses under the VPA (EU, 2011a).
- **Flexibility** – Most VPAs indicate the intention to revise the process over time as lessons are learned, with flexibility to allow country-specific details to be included.
- **Country-driven** – The VPAs are set out in a general framework that include country-specific details. Each VPA includes one or more legality matrices (discussed above), reflective of each country's legal and institutional foundations of the agreement, as well as capacity to implement. For example, Cameroon's VPA legality matrices include criteria, indicators, verifiers and references to relevant laws for the implementation of FLEGT. Ghana's VPA legality matrices establish principles and criteria, and reference relevant laws, but do not include indicators or verifiers.

Many of the same authorities (such as relevant government department staff or foresters) and information sources (data collection under national forest management policies, for example) are involved in REDD+ and FLEGT; and in many cases the two planning processes are taking place in parallel.¹³ This should be recognized and coordination improved, especially as many VPAs are being developed or are in the preparatory phase. REDD+ and FLEGT could use similar stakeholder processes, as initial consultations have involved similar groups in many countries. These stakeholder groups could be utilized as important sources of information on how REDD+ safeguards are addressed and respected. Countries should work to improve coordination between FLEGT and REDD+ process, and draw on FLEGT information and data, especially on governance processes, for reporting on REDD+ safeguards.

¹³ For example, Ghana was the first country to agree to a VPA under FLEGT. A broad stakeholder dialogue was convened as part of the negotiation process. When REDD+ planning began in the country, consultations were limited and the FLEGT stakeholder group was not utilized. Many civil society and industry groups felt this undermined the work that had been done to build relationships through the FLEGT process, and that existing processes under FLEGT could have been built upon for REDD+. Subsequent engagement of the FLEGT group members improved the REDD+ consultation process (ProForest, 2011).

6.0 Country Experiences Developing REDD+ SIS

For many countries, the development of a REDD+ SIS is anchored in its national REDD+ strategy. Some countries are beginning to establish formal or informal bodies that are tasked with developing the REDD+ SIS within the national REDD+ planning processes. Other countries are undertaking a more piecemeal approach, with individual actors, governments departments or civil society groups working toward the elaboration of a REDD+ SIS. This section provides an overview of how select countries—Ethiopia, Indonesia, Philippines, Tanzania and Vietnam—are beginning to contextualize REDD+ SIS at the national level.

6.1 Ethiopia

Forests cover 12.3 million hectares in Ethiopia, accounting for approximately nine per cent of the total area in the country (Amente, 2012). Ethiopia is an observer under the UN-REDD program (UN-REDD Programme, 2012a), and is undertaking REDD readiness activities with support of the FCPF (FCPF, 2012c).

Ethiopia launched its Climate Resilient Green Economy Programme at COP 17, with the goal of achieving middle-income status by 2025 based on carbon-neutral growth (Federal Democratic Republic of Ethiopia, 2011). REDD+ is one of the pillars and is expected to contribute to the goals of the program. Ethiopia has identified Participatory Forest Management (PFM) as a key process to build on in the elaboration of its national REDD+ process under the Climate Resilient Green Economy Programme (Amente, 2012).

Building on PFM Experiences for a REDD+ SIS

Ethiopia has worked to revitalize traditional systems of forest management, recognizing that an overemphasis on centralized management systems was resulting in the exclusion of local communities and leading to increased deforestation. The new approach, which combines modern approaches with local knowledge and systems, has led to improved forest conditions, the reduction of illegal logging due to regular patrolling by user groups, controlled grazing, increased quality of natural regeneration and the reappearance of wildlife. The experiences contributed to forest policy reforms and the institutionalization of PFM within the government structure, as well as increased participatory decision-making, local responsibility and bargaining power of communities. The key lesson learned from the process was that government alone is unable to safeguard a forest, and the local communities need to be involved in the process (Amente, 2012).

This active decision-making, participatory-management approach includes elements that can be used to develop a REDD+ SIS (Amente, 2012):

- Organized communities and stakeholder groups
- Clearly defined roles and responsibilities
- Forest resource assessment methods that are simple and understandable and regularly conducted by the communities
- Community bylaws and sanctions in the case of non-compliance
- Innovative participatory monitoring combined with the conventional MRV methodologies to engage forest dependent communities in MRV

While the national level is responsible for reporting internationally on how REDD+ safeguards are addressed and respected, the PFM approach highlights the importance of local and community-level involvement in the process. As the primary stakeholders in REDD+ at the activity level, community involvement through participatory approaches to data collection and information sharing are critical for ensuring the accuracy, transparency and accessibility of a REDD+ SIS. To effectively engage local stakeholders, an SIS should be simple and understandable, and build on approaches that are familiar to communities. As such, PFM processes may be used as an entry point and vehicle to engage communities in reporting on safeguards.

6.2 Indonesia

Indonesia is home to the third largest tropical forest in the world. There are currently more than 30 REDD+ demonstration and pilot activities, as well as national planning and implementation (Sukadri, 2012). Indonesia became a UN-REDD country in 2009 following approval of the Indonesia National Programme, and a readiness grant under the FCPF was signed in 2011 (FCPF, 2012b). The country has started to identify the steps needed to institutionalize a REDD+ SIS and the roles of both national and subnational authorities.

Designing an Institutional Framework for a REDD+ SIS

Indonesia's National Council on Climate Change has set out the steps required to build a REDD+ SIS (Sukadri, 2012):

- Interpret the Durban decision on guidance for providing information on safeguards in the national context
- Undertake policy analysis of existing safeguard-related laws, regulations and other instruments that comply with the national REDD+ plan and satisfy the Durban decision
- Search for the most suitable structure and mechanism for a REDD+ SIS for Indonesia
- Design and establish a reliable institution for REDD+ SIS
- Set out the principles, criteria and indicators for safeguard implementation

The National Council on Climate Change envisions an institutional setting for REDD+ SIS that builds on existing relevant REDD+ authorities at both the subnational and national levels (see Figure 1). The devolution of authority for data collection to the provincial level in Phase 3 will help to roll up reporting from site and sub-district levels. Furthermore, the designation of a safeguard and climate change focal point is intended to help ensure information is relayed to the UNFCCC Secretariat in an appropriate manner.

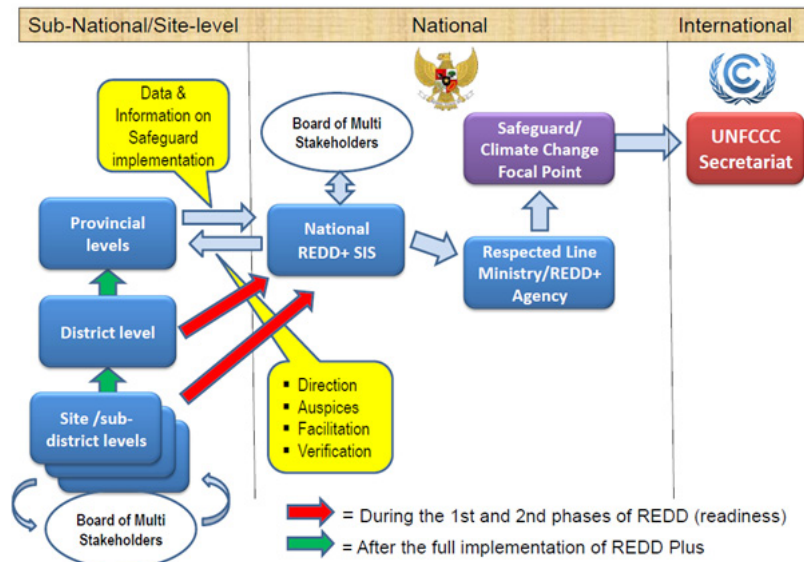


FIGURE 1: PROPOSED INSTITUTIONAL SETTING FOR REDD+ SIS

The roles and responsibilities envisioned for the various entities are listed below:

- **National REDD+ SIS**
 - Clearing house of incoming safeguard information at the national level
 - Data consolidation, validation and verification
 - Reporting to the Focal Point on a regular basis

- **Subnational REDD+ SIS**
 - Clearing house of incoming safeguard information at provincial and district levels
 - Data and information collection and verification at subnational level
 - Reconciliation of data obtained at site level
 - Safeguard monitoring and supervision at the site level
 - Reporting to the national level

- **Board of Multistakeholders**
 - Communication and coordination with relevant agencies
 - Advisory body and conflict resolution
 - Liaison for information on safeguard implementation
 - Monitoring and evaluation, and making recommendations for further implementation (Sukadri, 2012).

The Indonesian experience demonstrates the importance of engaging subnational entities in data collection, with the national level rolling up and compiling information and then reporting on to the UNFCCC. The clear establishment of roles and responsibilities across jurisdictions can help ensure that safeguard information feeds up from the activity level. Transparency and accessibility is brought into the process through the establishment of multistakeholder boards at the sub-district and national levels. Indonesia is an early mover in developing institutions for a REDD+ SIS, and the lessons it learns as it moves through the process could inform action in other countries.

6.3 Philippines

Forest cover in the Philippines is estimated to be 7.2 million hectares, equivalent to 24 per cent of the total land area. Deforestation and forest depletion have been caused by logging, inadequate forest protection and agricultural expansion, among other factors (UN-REDD Philippines, 2012). The Philippines National REDD+ Strategy was finalized in 2010, and formally adopted for implementation under the National Climate Change Action Plan the following year. Also in 2011, the country joined the UN-REDD Programme and submitted an expression of interest to join the FCPF (FCPF, 2011b). Several donors, including Germany, the EU, the United States and Switzerland are involved in REDD+ planning and pilot activities in the country.

The Philippines provides lessons learned from the perspective of: 1) stakeholder involvement in the REDD+ process and provision of information, 2) REDD+ SIS development at the activity level and 3) donor safeguard frameworks at the activity level.

Stakeholder Participation in a REDD+ SIS

Civil society groups and other relevant stakeholders have been instrumental in the development and implementation of the Philippines REDD+ strategy. For example, CoDe REDD Philippines (Community Development through REDD, Communities Developing REDD, Conservation and Development through REDD), a coalition of forest-based communities and civil society organizations, has played a unique role in working to create a demand-driven mechanism and worked to identify FPIC processes appropriate for REDD+ projects (see Box 6) (M. Munez, CoDe REDD, personal communication, March 2012). Civil society actors have worked to prioritize the safeguards discussion and identify relevant points of entry for a REDD+ SIS in the national strategy. The strategy calls for the establishment of a National Multistakeholder REDD+ Council as a main coordinating body, and this committee could play a role as a clearinghouse for information under a REDD+ SIS (L. Ang, Anteneo School of Government, Philippines, personal communication, March 2012).

BOX 6: FPIC IN THE PHILIPPINES

CoDe REDD+, with the support of the German International Cooperation Agency (GIZ), is undertaking an assessment of the implementation of FPIC in the country, with an eye to informing the development of a robust safeguards approach as articulated in the Philippines National REDD+ Strategy. FPIC is a nationally legislated norm in the Philippines, and no mining permits are to be issued without the FPIC of impacted indigenous peoples. On a smaller scale, the legislation has also been applied in other sectors including mini-hydro and forestry. Effective implementation can be a challenge. The Philippine Asset Reform Report Card (2008) reported that a majority (72.1 percent) of extractive activities are in operation without having gained FPIC from the impacted indigenous populations.

Sources: Republic of the Philippines (1997, Sec. 3(g)); Habito et al. (2008); CoDe REDD (2012).

While the engagement of civil society in REDD+ is critical, the dynamics in the Philippines highlight the need for a balance between government and stakeholder participation. Issues of capacity, jurisdiction and scope of authority within relevant government departments have made government engagement, information gathering and coordination a challenge in the process (Ang personal communication, March 2012; B M. Liss, GIZ, personal communication, March 2012). Several civil society representatives and government stakeholders have identified the need to work together to build government capacity for REDD+ implementation moving forward, with civil society organizations helping to fill gaps capacity gaps (Munez, Ang, Quintos-Natividad, Department of Environment and Natural Resources, Philippines and Liss, personal communication, March 2012). Within the context of an SIS, this coordination ensures that data collection and analysis is accessible and centrally available, and that relevant stakeholders and government departments contribute to the process.

REDD SIS Development at the Activity Level

A REDD+ SIS is understood as a national system, and could include information that flows up from discrete REDD activities (or pilot projects). The reporting systems at the activity level in the Philippines provide lessons learned for a national REDD+ SIS; the MRV system designed as part of German-funded REDD+ pilot project in Southern Leyte is an example. This MRV system includes basic tools to combine the REDD+ SES and FCPF frameworks, to assess both greenhouse gas reductions and sinks, and compliance with safeguards. The system includes an approach to MRV greenhouse gas emissions and sinks, as well as the Before/After Control/Intervention (BACI) approach to measure compliance with biodiversity and socioeconomic safeguards. The information to establish the baselines for the BACI approach is highlighted in Box 7 below. The system will build the biodiversity baseline using information from the Forest Resource Assessment (forest inventory), remote sensing (forest fragmentation) and biodiversity inventory completed by Flora and Fauna International, demonstrating that information collected under other systems can be used to report on how safeguards are addressed and respected.

The tools and methodologies developed at the activity level could feed information into a national SIS, and robust methodologies for data collection potentially could be shared with other projects to allow for the development of comparable and consistent information. Countries could develop an online registry or database of activity-level approaches that could be utilized by other project developers or REDD+ policy-makers, encouraging transparency and accessibility.

Donor Safeguard Frameworks at the Activity Level

REDD+ activities in the Philippines highlight the increasing donor involvement in REDD+ and their growing emphasis on safeguards. Several donor agencies—such as the Asian Development Bank (ADB), GIZ and the United States Agency for International Development (USAID)—are exploring ways to apply their broad safeguard policies to a REDD+, and to REDD+ SIS in particular (A. Srinivasin, ADB, personal communication, March 2012; O. Agoncillo, USAID, personal communication, March 2012; Liss, Personal Communication, March 2012).

BOX 7: MRV SYSTEM FOR BIODIVERSITY AND SOCIAL SAFEGUARDS DEVELOPED FOR A REDD+ PROJECT IN SOUTHERN LEYTE, PHILIPPINES

1) Biodiversity Baseline

MRV covers areas inside and outside of intervention zones (to account for leakage) and reports change over time. Sources of data:

- **Forest Inventory:** Tree species diversity, forest resilience, standing timber volume and vegetation structure
- **Forest Fragmentation Analysis:** Deforestation rates and patterns can be related to other sources on biodiversity distribution.
- **Biodiversity Inventory:**
 - Habitat characteristics
 - Species richness
 - Key species population
 - Habitat extent

2) Socioeconomic Baseline

Indicator sets:

- Socio-demographic characteristics of households and communities
- Credit and loan information
- Marketing of farm products
- Access to land and natural resources
- Farm characteristics and upland farming system
- Income and expenditure
- Household characteristics, amount of income and expenditure by income clusters
- Environmental activities and awareness

Source: Adapted from Seifert-Granzin (2012).

Donor agencies are exploring REDD+ safeguard reporting from two angles. First, do existing donor safeguard frameworks apply to REDD+, and can they provide information or have broader applicability to a REDD+ SIS? For example, USAID has a series of indicators to monitor safeguards in all development projects, and a new project plans to develop a monitoring scheme that would cover USAID and REDD+ safeguards. The planned five-year Sustainable Landscapes project in the Philippines will build on lessons learned from the implementation of USAID safeguard processes, including ensuring that safeguards are tracked and reported on as an integral part of project implementation (Agoncillo, personal communication, March 2012).

Donors are also considering how existing projects might address or respect REDD+ safeguards. For example, GIZ is mapping out how existing REDD+ activities might complement efforts to address and respect REDD+ safeguards. GIZ, the National Commission on Indigenous Peoples and the Non-Timber Forest Products Exchange Program for South and Southeast Asia will undertake an independent evidence-based assessment of FPIC implementation, which would then be the basis for the commission to amend their FPIC guidelines and formulate related policies and protocols. This is expected to be used as the basis for FPIC processes for REDD+ with indigenous peoples and local communities, helping to address and respect safeguards (c) and (d) (Liss, personal communication, March 2012).

Donors are beginning to undertake stocktaking exercises to ensure that their REDD+ and broader engagement is complementary to the principles set out in the REDD+ safeguards. Many donors are working to identify where and how information and approaches being used in their own projects may be of broader applicability (for example, there may be significant complementarity with other forestry, agroforestry, biodiversity or improved cookstoves projects). Strengthened communication and coordination between actors involved in pilot- and project-level activities and policy-makers at the national level can help ensure synergies are effectively communicated and capitalized on in the creation REDD+ SIS at the national level.

6.4 Tanzania

Roughly 40 per cent of Tanzania is covered by forests and woodlands, of which half are unprotected forests characterized by unsecured land tenure, shifting cultivation, annual wild fires, harvesting of wood products and heavy pressure to convert to other land uses, such as agriculture. Tanzania is working with the UN-REDD Programme, receiving support for the implementation phase of Tanzania's national program beginning in May 2012. Tanzania is a leader in REDD+ implementation in Africa, having two national projects to develop and implement a REDD+ strategy and nine pilot projects implemented by such groups as CARE Zanzibar, WWF and Forests Conservation Group (Vice President's Office, 2012). Early efforts to establish REDD+ safeguards and reporting systems provide important lessons on governance structures and engagement of stakeholders. Civil society organizations (CSOs) and project implementers are important stakeholders that are able to provide lessons learned to the government.

Governance

Tanzania has established a National REDD Task Force and five technical working groups, including one tasked with "Legal, governance and safeguards." This working group is considering REDD+ safeguards and the standards of four groups—UNFCCC, FCPF, UN-REDD and REDD+SES—to identify clear national REDD+ safeguards by the end of 2012. The working group is facilitating an assessment process to collect, review and report information on social and environmental performance, based on the country-specific indicators (Mjumita, 2012). Part of their work is the development of a system for reporting on safeguards. The group recognizes that the safeguards and standards of the four groups vary significantly and each have strengths and weaknesses.

Tanzania's draft REDD+ strategy recognizes the need to develop institutional arrangements for REDD+ governance and safeguards, including the development of REDD+ national safeguards. REDD+ projects in Tanzania require a Strategic Environmental and Social Impact Assessment, consistent with the Tanzania's Environmental Management Act. This assessment will result in an environmental and social management plan that includes a monitoring system and is consistent with national and World Bank policies. Tanzania's strategy calls for an MRV system that includes integrated methods to quantify REDD+ and other forest benefits such as biodiversity, ecotourism and water catchment related to payment for environmental services (Vice President's Office, 2012, pp. 34 & 48). A Standards Committee is expected to oversee the safeguards and reporting (Mjumita, 2012).

Tanzania's strategy encourages active participation of stakeholders (including private sector and CSO representatives). A variety of stakeholders, including project implementers and CSOs, are active in the five technical working groups, allowing the government to draw on the expertise of these groups and have an open dialogue with REDD+ practitioners (D. Lopa, EPWS Programme, CARE Zanzibar, personal communication, March 30, 2012). One of Tanzania's concerns

is developing a system for reporting on safeguards that meets donor and international criteria, while still being suited to the national level and addressing Tanzanian priorities. CSOs and project groups are pushing for the development of a credible, effective safeguard reporting system and trying to ensure that safeguards are being implemented in a manner that is effective for the community and local beneficiaries.

Institutional Arrangements Encourage REDD+ Reporting from the Project to the National Level

The institutional and governance arrangements facilitate a flow of information from pilot projects to the national level. The National REDD+ Task Force, which holds quarterly meetings to assess progress on and challenges facing REDD+ projects, includes representatives from CSOs and pilot projects. Members of the task force also undertake site visits to better understand on-the-ground issues. Projects and CSOs not represented on the task force can channel information through a written exchange or deal directly with the CSO representatives who will take forward pertinent issues. The REDD+ Task Force consultation groups include representatives from different sectors, including CSOs (B. N. Luwuge, Tanzania Forest Conservation Group, personal communication, March 30, 2012).

Other structures also facilitate reporting up to the national level, which could eventually include REDD+ safeguard information. The Tanzania Natural Resources Forum, a CSO that coordinates REDD+ pilot project implementation in Tanzania, provides a coordinated advisory structure, through which it is possible for CSOs and project implementers to submit issues related to REDD+. This group is also well placed to bring together leading research and lessons on safeguards to feed into the national REDD+ system. District officers are engaged in planning for forestry, land-use and agriculture activities and projects, and could receive and pass on information on the projects (Luwuge, personal communication, March 30, 2012).

The governance structure of the REDD+ project can also facilitate the flow of information. For example, the Forest Conservation Group project's advisory body meets every six months to address the project plans, challenges, progress and budget. This collaborative body includes representatives of the REDD+ Secretariat, REDD Task Force members, Ministry of Natural Resources, Ministry of Forest, and members of other pilot projects (A. Athanas, African Wildlife Foundation, Tanzania, personal communication, March 2012; Luwuge, personal communication, March 2012).

The institutional structure in Tanzania offers important avenues for sharing information and for moving information from the project to the national level. These reporting avenues could potentially be used for reporting on safeguards. Learning from early action is important in Tanzania for determining what is doable and realistic in regard to an SIS.

6.5 Vietnam

Vietnam has high forest coverage of about 40 per cent. Despite an overall increase in forest area in recent years, various regions of Vietnam still have high rates of deforestation (UN-REDD Vietnam, 2012). Vietnam has been a UN-REDD pilot country since 2009, following the final approval of their National Programme document. Since that time, the programme has worked to make progress on the inception and implementation of REDD (UN-REDD Vietnam, 2012). A second phase of activities under the UN-REDD Programme is expected to begin in late 2012, which could see an increase in pilot sites from one to six (T. Langhelle, UNDP/UN-REDD, Vietnam, personal communication, March 2012); and an FCPF readiness grant will become active in 2012 (FCPF, 2012c).

Vietnam has made significant progress to elaborate an SIS within the national and UN-REDD program processes, and provides lessons with regard to the establishment of a REDD SIS Sub-Technical Working Group (as an institutional framework) and the identification of existing initiatives that could be built on in developing an SIS.

Establishment of REDD+ SIS Sub-Technical Working Group

Vietnam established a sub-technical working group on safeguards (STWG-SG) in early 2012 with the aim of further exploring and operationalizing safeguards to promote social and environmental co-benefits in national REDD+ activities (Swan, 2012). The group's objective is to provide and coordinate technical assistance to the Government of Vietnam and stakeholders. The STWG-SG is one of six working groups formed as part of the national REDD+ planning process; the others are: benefits distribution system, governance, local implementation, MRV and the private sector (V. T. Hien, Centre of Research and Development in Upland Areas, Vietnam, personal communication, 2012).

The STWG-SG is co-chaired by representatives from the Vietnam Forest Administration and SNV Vietnam. The STWG-SG has set indicators and milestones for success, including (Swan, 2012):

- The hosting of six STWG meetings throughout 2012
- Understanding of options for operationalizing REDD+ safeguards in Vietnam through development of an options paper identifying existing and potential actions
- Development of national REDD+ environmental and social safeguards through the production of a coherent draft of principles at national level
- Establishment of national SIS, with a first draft of an SIS framework intended to be produced in 2012

Using Information from Existing Initiatives to Inform a REDD+ SIS

Several initiatives are underway in Vietnam that could provide lessons and insights for the development of an SIS, discussed below.

- **National MRV Framework Document** – The MRV Framework, developed under the UN-REDD Programme, references safeguards information (Vietnam National REDD+ Program, 2011). A web-based portal for MRV-related information will be established under Phase II of UN-REDD Programme (Langhelle, personal communication, March 2012).
- **FPIC** – Also under the UN-REDD Programme, FPIC guidelines have been developed, applied and evaluated in Lam Dong province. FPIC is not nationally legislated policy in Vietnam, and this work was the first of its kind. The lessons learned and challenges faced, such as lack of time for internal discussion in the village and lack of a grievance and review mechanism, are providing lessons for the broader implementation of FPIC (Nguyen, Luong, Nguyen & K'tip 2010).
- **Participatory governance assessment** – A multistakeholder assessment of governance aims to inform the development of an in-country information sharing system, including a SIS. The consultation process, under the UN-REDD Programme, will identify the most pressing governance issues for REDD+; work with the government, CSOs and stakeholders to analyze the options for addressing the challenges; create a set of indicators for success; and publish the results. The participatory governance assessment is also being piloted in Indonesia, Nigeria and Ecuador (Langhelle, personal communication, March 2012).

- **Forest Management Information System** – The development of a Forest Management Information System for Vietnam is underway as part of the National Assessment and Long Term Monitoring of the Forest and Tree Resources in Vietnam initiative, as part of a global Finland-FAO program (FAO, 2012b). The information system is to be a database for MRV in the country, and the UNDP (which is leading the work on safeguards under the UN-REDD Programme) has noted the potential for including safeguard monitoring and reporting under the system (D. T. Hoan, ICRAF, Vietnam, personal communication, March 2012).
- **Benefit distribution system** – At the national level, a benefits distribution system for REDD+ activities is under development, guided by a technical working group. A close link between the successful implementation of benefits distribution system and the addressing and respecting of safeguards is expected; although formal connections between the two processes have not yet been made (Hien, personal communication, March 2012).
- **Other relevant national legislation** – Other national legislation and supporting policies may be drawn on in the elaboration of an SIS, including strategic environmental assessments, laws on information provision (stating that government offices have to provide relevant information on land-use decisions), the Local Communities Decree, and Land Allocation Law that includes community consultations in land-use planning (Hoan, personal communication, 2012).

Next steps are to prioritize the systems to be built upon, seek to more clearly understand the discrete links to an SIS within these processes, and identify critical gaps in information and capacity in the further elaboration of a national-level SIS.

7.0 Conclusions and Recommendations

Systems for providing information on how REDD+ safeguards are addressed and respected can build on existing systems that include information related to REDD+ safeguards, following the advice set out in the Durban guidance. This concluding section summarizes the main information from other systems that pertain to REDD+ SIS, and lessons from early action in select developing countries. The policy paper concludes with a discussion of issues for consideration by REDD+ negotiators and practitioners.

7.1 Information Collected under Existing Systems

Table 10 provides a summary of the information collected under existing systems that could help countries report on REDD+ safeguards.

TABLE 10: SUMMARY OF INFORMATION ON CANCUN SAFEGUARDS WITHIN EXISTING PROCESSES

REDD+ SAFEGUARD	EXISTING PROCESS							
	UN-REDD SEPC AND BERT	FCPF SESA AND ESMF	CCBA REDD+ SES	CBD	UNDRIP AND FPIC	FRA	FLEGT	FSC P&C
(a) Consistency with existing laws	✓		✓		✓	✓	✓	✓
(b) Transparent governance and sovereignty	✓		✓			✓	✓	✓
(c) Respect for knowledge of indigenous people, UNDRIP	✓	✓	✓		✓		✓	✓
(d) Full and effective participation of stakeholders	✓	✓	✓	✓	✓		✓	✓
(e) Conservation, biological diversity and enhancement of benefits	✓	✓	✓	✓		✓	✓	✓
(f) Address risk of reversals	✓		✓	✓		✓		
(g) Reduce displacement of emissions	✓		✓			✓		

Some processes providing especially relevant information for particular safeguards are discussed below.

- The UN-REDD SEPC and CCBA REDD+ SES collect information that is applicable to most of the REDD+ safeguards. These two processes are most closely aligned to the REDD+ safeguards. With appropriate planning and coordination, countries could collect information that would meet the reporting needs of both REDD+ safeguards and the UN-REDD or CCBA process.
- The FLEGT process is especially strong on the governance safeguards (a) and (b), providing information on national forest laws, policies, regulations and programs; the effectiveness of legal frameworks and gaps; and barriers and challenges to their implementation. Countries could build on the FLEGT analysis to determine which of these policies, laws and programs help to implement safeguards.
- Countries with FPIC processes may have reporting processes in place relevant to safeguard (c), respect for knowledge of indigenous peoples. The World Bank principles also address respect for indigenous peoples, and this reporting could pertain to the REDD+ safeguard.
- Stakeholder participation is an important element in most processes, and many of the processes may provide information on reporting on safeguard (d). Countries may consider the reporting on this participation, or use

the reporting as an example. Countries could also consider using established stakeholder processes to collect information on safeguards.

- The Convention of Biological Diversity provides information on biodiversity that is applicable to reporting on safeguard (e). Countries may be able to directly use information reported to the CBD to report on the REDD+ biodiversity safeguard.
- The Forest Resource Assessments provide information related to safeguard (e). FRA information may help countries report on the state of natural forests and biodiversity. The CBD's reporting on the rate of loss of natural habitat may also provide information on permanence at the national level—safeguard (f); and possibly on the leakage safeguard (g) at the national level.
- The FSC information tends to be at the level of a specific forest and is not as applicable to REDD+ safeguard reporting as the other processes.

7.2 Addressing the Principles in the Durban Guidance

These existing processes can also provide lessons on how to address the principles set out in the Durban guidance: transparency, consistency, accessibility, flexibility and country-driven. Table 11 provides a summary of how the various existing processes deal with these issues. The main lessons that emerge are:

- **Transparency** – Information needs to be collected using broad multistakeholder processes. Country experts can compile information. Validation is important, with some processes using national experts, others using national and international.
- **Consistency** – Set timelines for reporting can help ensure consistency and comparability across countries, across years within countries. For example, reporting to the CBD takes place every four years, with the next reports in 2012; the next FRA reports will be delivered in 2015; and the FCPF ESMF requires annual monitoring reports. Common reporting frameworks can help with the collection of information that is comparable across countries. Tools can help ensure consistency, such as reporting guidelines and resource manuals (CBD), common questionnaire (FRA), and the BeRT tool (UN-REDD SEPC). The CCBA SES use common international standards, for which countries develop nationally specific indicators, and VPAs have a similar general framework.
- **Accessibility** – Information should be made publicly available in an accessible manner (also contributes to transparency). Most processes use online portals or databases to make information available. Availability in local languages can help increase accessibility.
- **Flexibility** – Processes are flexible to evolve and improve as lessons are learned. Some processes have changed their indicators (FRA, ESMF, CBD, FSC) as knowledge has improved and monitoring processes have adopted new methodologies. Processes should be iterative because the REDD+ international mechanism and national processes will evolve.
- **Country-driven processes** – All processes encourage country-driven processes. This often includes a general framework that is consistent across countries, with flexibility to develop country-specific details, indicators, reporting and monitoring processes. The UN-REDD SEPC and the CCBA SES have developed international standards and principles, with country-specific interpretations of specific indicators. Country-level experts undertake the FRA data collection and validation, and ESMF are country-specific based on the national SESA process. FLEGT VPAs reflect a country's legal and institutional foundations to develop country-specific agreements (that follow a general framework across countries).

TABLE 11: SUMMARY OF LESSONS RELATED TO A REDD+ SIS WITHIN EXISTING PROCESSES

REDD+ SAFEGUARD	EXISTING PROCESS							
	UN-REDD SEPC AND BERT	FCPF SESA AND ESMF	CCBA REDD+ SES	CBD	UNDRIP AND FPIC	FRA	FSC P&C	FLEGT
Transparency How transparent information is collected and provided	<ul style="list-style-type: none"> ✓ Countries are to link the use of SEPC-BERT to the stakeholder participation mechanism used as part of the national program development 	<ul style="list-style-type: none"> ✓ Promotes participatory approach in formulation ✓ Country reports verified by FCPF delivery partners 	<ul style="list-style-type: none"> ✓ Multistakeholder process and stakeholder representation on Standards Committee ✓ Verification of progress reports by national Standards Committee and review from international Standards Committee 		<ul style="list-style-type: none"> ✓ Goal is increased transparency of resource decision-making through broad community consultation ✓ Encourages full documentation and publicly available info 	<ul style="list-style-type: none"> ✓ FAO works closely with country experts in compiling assessments ✓ Country reports are subject to validation by forestry authorities in the respective countries 	<ul style="list-style-type: none"> ✓ Evaluations by third-party certifier ✓ Annual audits of certified bodies done by third party ✓ Interpretation of the P&C through national standards uses multistakeholder process 	<ul style="list-style-type: none"> ✓ Legality Assurance Systems at national level are to be audited by independent auditor ✓ National monitoring committees to conduct regular stakeholder consultations
Consistency The availability of consistent and comparable information	<ul style="list-style-type: none"> ✓ Ongoing monitoring of action, no set timelines ✓ Iterative review at country level and by UN-REDD Programme 	<ul style="list-style-type: none"> ✓ Monitoring reports to be completed (by delivery partners) at least once per year ✓ Consistent with World Bank safeguards, but ESMFs will differ by country 	<ul style="list-style-type: none"> ✓ No set timeline for reporting ✓ Sets out country-level indicators for reporting 	<ul style="list-style-type: none"> ✓ International reporting guidelines provide framework for national reports; guiding questions for reporting included in resource manual ✓ National reports to be submitted every four years; next in 2014 ✓ Use of common indicators encouraged 	<ul style="list-style-type: none"> ✓ FPIC process is interpreted and implemented differently in different communities/countries ✓ Should be iterative process conducted consistently throughout the various stages of the activity 	<ul style="list-style-type: none"> ✓ Reporting at 5- to 10-year intervals ✓ Country reports based on common questionnaire framework with thematic areas ✓ Countries report using common format 	<ul style="list-style-type: none"> ✓ Uses a set of international generic indicators to help forest managers, stakeholders and certification bodies interpret and apply the P&C 	<ul style="list-style-type: none"> ✓ General framework of the VPA and key elements therein is consistent across those signed to date, though with flexibility to allow country-specific details to be included. ✓ Annual reporting
Accessibility The availability of the information and ability for stakeholders to access it	<ul style="list-style-type: none"> ✓ BeRT tool presented at validation meeting of the UN-REDD Programme ✓ Country information and international guidance publicly available through online portal 	<ul style="list-style-type: none"> ✓ Relevant documentation, tools, guidelines, reports and minutes to be uploaded to central website 	<ul style="list-style-type: none"> ✓ Multistakeholder forum and Standards Committees ✓ Progress updates, final reports and comments publicly available in official language on website 	<ul style="list-style-type: none"> ✓ Relevant reports, international decisions, guidance, tools available on a publicly available, searchable database. ✓ Available in multiple languages 		<ul style="list-style-type: none"> ✓ Public access to country-level and aggregate data sets on interactive, searchable online database 	<ul style="list-style-type: none"> ✓ Dispute Resolution System to launch online tracking of complaints ✓ Results of certification made publicly available. ✓ Information provided in local languages ✓ Evaluation results made publicly available 	<ul style="list-style-type: none"> ✓ Relevant legislation and information publicly accessible. ✓ Online database and monitoring system established in some countries
Flexibility The ability to allow for improvements over time.	<ul style="list-style-type: none"> ✓ Iterative process that may be revised as national programs progress 	<ul style="list-style-type: none"> ✓ ESMF can be revised over time as REDD+ readiness process moves forward 	<ul style="list-style-type: none"> ✓ Country-specific indicators can be adapted over time; international standards currently being revised 	<ul style="list-style-type: none"> ✓ National targets can be revised, (currently being revised to reflect Aichi targets) 	<ul style="list-style-type: none"> ✓ Encourages flexibility and learning over time and from other applications 	<ul style="list-style-type: none"> ✓ Scope of monitoring and indicators used have improved and expanded over time 	<ul style="list-style-type: none"> ✓ P&C revised in 2012 to account for lessons learned 	<ul style="list-style-type: none"> ✓ Most VPAs indicate the intention to revise the process over time as lessons are learned
Country-driven processes The enabling of nationally appropriate or country-specific systems.	<ul style="list-style-type: none"> ✓ Each national program is country specific ✓ Common BeRT tool provides context-specific results. 	<ul style="list-style-type: none"> ✓ ESMFs are country-specific based on the national SESA process 	<ul style="list-style-type: none"> ✓ Process for country-specific interpretation of standards through unique indicators 	<ul style="list-style-type: none"> ✓ Country-driven approach to set national targets and reporting process to address international Aichi targets. 	<ul style="list-style-type: none"> ✓ While FPIC can be used on the basis of common guidance, the process should remain very locally and culturally driven 	<ul style="list-style-type: none"> ✓ Country-level experts undertake data collection and validation, which is based on country context and capacity 	<ul style="list-style-type: none"> ✓ National working groups to develop FSC national standards as context-specific interpretations of the P&C 	<ul style="list-style-type: none"> ✓ Bilateral, country-specific agreements ✓ General approach similar but VPAs reflect individual country's legal and institutional foundations

7.3 National Experiences: Early Lessons on REDD+ Safeguard Information Systems

Early experiences in developing systems for reporting on REDD+ safeguards provide important insights. A summary of lessons learned from the early experiences in Ethiopia, Indonesia, Philippines, Tanzania and Vietnam are discussed below.

- **REDD+ information systems are building on existing systems.** The Philippines is using data from its FRA to inform its safeguards reporting, as well as using biodiversity assessments established for other processes. The Philippines is also considering harmonizing the international safeguards reporting requirements with that of bilateral donors. Tanzania is exploring the safeguard reporting requirements under UN-REDD, FCPF and CCBA SES to identify national safeguards and reporting information. Vietnam's REDD SIS STWG-SG is looking at existing REDD+ systems—such as the national REDD+ MRV framework, REDD+ benefits distribution system, forest management information system, UN-REDD'S Participatory Governance Assessment and FPIC experiences—for linkages with REDD+ safeguards reporting. Tools and reporting processes developed at the activity level in Tanzania and the Philippines are being explored for their applicability to national REDD+ safeguard reporting.
- **Institutional structures for REDD+ safeguards reporting can build on existing structures** – Indonesia's National Council on Climate Change envisions an institutional setting for its REDD+ SIS that builds on existing relevant REDD+ authorities at the subnational and national levels. Most countries consider REDD+ focal points as the logical entity for reporting to the UNFCCC, being well placed to access and coordinate information using existing lines of communication.
- **Institutional structures can facilitate feeding information up into a national REDD+ information system** – Indonesia has evolved data collection to the provincial level, with the national focal point rolling up information and reporting internationally. Tanzania has institutional processes in place that allow CSOs and REDD+ project implementers to feed information on REDD+ projects to the national level, and are exploring using these avenues for conveying safeguard information. The project-level MRV system in the Philippines that assesses emissions and safeguards is providing lessons and input to the national level.
- **Stakeholder participation is central to REDD+ success** – All countries stressed the importance of stakeholder processes to provide and validate REDD+ safeguard information. Ethiopia, informed by PRM experiences, stresses the importance of community-level involvement in safeguard reporting, including data collection, monitoring and measurement. The Philippines' experience shows the importance of stakeholders, particularly CSOs, in filling capacity gaps. Indonesia's institutional structure includes a board of multistakeholders, and Tanzania and Vietnam's work to develop an SIS has included multistakeholder working groups.
- **International guidance is needed, but country-driven processes are critical** – International guidance is needed to assist countries in safeguard reporting, and could include guidance documents and suggested reporting frameworks. This international guidance must recognize that countries have varied levels of information on REDD+ and forests in general, and varied capacities to collect, monitor and report on safeguards. The information and capacity will improve, but early reporting requirements should respect the situation at the country level and not add large burdens, or impose requirements that will require the use of international consultants. The aim should be to build on and improve existing in-country capacity.

- **Safeguard reporting needs to consider how benefits flow to local communities** – REDD+ success will be largely dependent on benefits flowing to local communities and safeguards reporting should address this. CSOs are considering how Vietnam’s work on a benefits distribution system could be linked to the REDD+ SIS.

7.4 Issues for Consideration by REDD+ Negotiators, Policy-Makers and Practitioners

The analysis in this policy report demonstrates that countries can build on existing processes in developing their REDD+ SIS, consistent with the Durban guidance. Systems for reporting on how REDD+ safeguards are addressed and respected are at an early stage of development, offering opportunity to build on early lessons to design systems that meet developing country needs. Issues for consideration by REDD+ negotiators, policy-makers and practitioners as they move forward to build on the Durban guidance are discussed below.

Harmonize REDD+ Safeguard Reporting Requirements

A unified REDD+ safeguard reporting framework (collection, reporting and verification) is needed that meets the requirements of the UNFCCC as well as funders of REDD+ activities. REDD+ countries are involved in numerous processes related to safeguards at the national and subnational levels. These include processes imposed by funders (UN-REDD SEPC, FCPF SESA and ESMF, and bilateral donors) and voluntary standards (CCBA SES). Reporting on REDD+ safeguards to multiple authorities with different requirements introduces unnecessary complexities. In addition, onerous reporting requirements could be placed on REDD+ focal points that are often dealing with various competing demands on their time or lack capacity (in terms of both human and financial resources). These countries might consider requesting the use of a common REDD+ safeguard reporting framework (collection, reporting and verification) that would meet the requirements of the UNFCCC as well as funders of REDD+ projects. Tanzania is exploring the safeguard requirements of the four processes, and with international support, could potentially expand this work to develop a pilot reporting framework that covers the four processes.

Coordinate collection of REDD+ safeguard information requirements with other processes. Over the next two to three years, countries will be developing reports for the CBD and the Global FRA, and coordination with these processes is needed to ensure coherence and prevent duplication of effort. Other processes, such as the FRA, CBD and FLEGT, collect information that could be used to report on addressing and respecting REDD+ safeguards. The legality matrices developed under FLEGT can provide information for the governance safeguards; the CBD can provide information on biodiversity and natural forests; the FRA on natural forest conversion and biodiversity; and FPIC may have information on respecting the rights of indigenous peoples and local communities. Some work is taking place to identify synergies and this should be built on. The CDB is exploring the application of relevant REDD+ safeguards for biodiversity, and of indicators and potential mechanisms to monitor or assess impacts of REDD+ measures on biodiversity; and the FRA process is determining feasible variables for data sharing among interested parties, including REDD+.

Provide International Guidance

Under the UNFCCC, a draft reporting template and draft online database should be developed to provide guidance to developing countries. REDD+ policy-makers and practitioners have expressed the need for international guidance on safeguard reporting, providing further clarity about minimum standards or thresholds for REDD+ SIS. This could include a reporting template, checklist or guiding questions. UN-REDD’s BeRT could be examined for applicability for reporting internationally, and SBSTA might consider developing a draft reporting template as well as a draft online database to provide guidance to developing countries.

Ensure that reporting on REDD+ safeguards is country-driven and country-appropriate. Future guidance on REDD+ safeguard reporting needs to be sufficiently flexible, and should aim to build on and improve existing in-country capacity. While international guidance is needed, REDD+ SIS must be country-driven and sensitive to national circumstances. Countries have varied levels of information on REDD+ and forests, and different capacities to collect, monitor and report on safeguards. The information and capacity will improve as REDD+ programs are implemented, but early reporting requirements should respect the situation at the country level. The aim should be to build on and improve existing in-country capacity.

Use Existing Stakeholder Processes where Possible

Given in-country capacity concerns, safeguard reporting processes need to be imbedded in stakeholder processes established for existing systems. The stakeholder processes established for other processes could be built on for REDD+ safeguard reporting. For example, many of the same government authorities, stakeholder groups and private sector actors have an interest in both FLEGT and REDD+. The stakeholder groups established for UN-REDD SEPC, FCPF SESA and CCBA SES could be the basis on which to build an appropriate stakeholder group. Critical stakeholders in other processes, such as the FRA and CBD, could be brought into the REDD+ SIS stakeholder group to facilitate information sharing.

Provide Financial and Capacity-Building Support

Many developing countries require international financial and capacity-building support to develop effective systems to provide information on how REDD+ safeguards are addressed and respected.

Disseminate Lessons Learned and Tools Developed

Countries are establishing institutions and processes for reporting on REDD+ safeguards and there is a need for sharing information and lessons learned. Workshops under the UNFCCC are one way to share country experiences. Another option is workshops supported by groups not linked to the negotiations, such as the series of REDD+ experts meetings held by IISD and the ASB Partnership at the Tropical Forest Margins with support of the Government of Norway. Country representatives often are able to speak more frankly about experiences in less formal, non-negotiation sessions. Furthermore, a systematic assessment of the applicability and usefulness of REDD+ tools and methods is needed across the REDD+ supply chain. In this respect, there is a need and desire for continued dialogue to address the various concerns and needs of governments, the private sector and civil society.

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Annex 1: List of Persons Interviewed

- Oliver Agoncillo, USAID, Philippines
- Lawrence Ang, Anteneo School of Government, Philippines
- Andrea Athanas, African Wildlife Foundation, Tanzania
- Delia Catacutan, ICRAF
- Vu Thu Hien, Centre of Research and Development in Upland Areas (CERDA), Vietnam
- Do Trong Hoan, ICRAF, Vietnam
- Anja Hoffman, Southern African Development Community (SADC) Forestry Programme
- Mohammed Nasimul Islam, ADB, Indonesia
- Larissa Kosanovic, Royal Norwegian Embassy (Hanoi), Vietnam
- Tore Langhelle, UNDP, UN-REDD Vietnam
- Rodel Lasco, ICRAF, Philippines
- Tony La Vina, Anteneo School of Government, Philippines
- Bernd-Markus Liss, GIZ, Philippines
- Dosteus Lopa, CARE Tanzania
- Bettie Nanyonjo Luwuge, Tanzania Forest Conservation Group
- Marlea Pinor Munez, CoDE-REDD/Women's Initiatives for Society, Culture and Environment, Philippines
- Rahima Njaidi, MUMJIDA, Tanzania
- John Parr, Fauna and Flora International, Vietnam
- Mayumi Quintos-Natividad, Department of Environment and Natural Resources, Philippines
- Yeb Sano, Climate Change Commission, Philippines
- Indira Simbolon, ADB, Philippines
- Anders Sorlien, Royal Norwegian Embassy (Hanoi), Vietnam
- Ancha Srinivasan, ADB, Philippines
- Steve Swan, SNV, Vietnam
- Morten Fauerby Thomsen, CARE, Vietnam
- Loung Thri Truong, Centre for Sustainable Development in Mountainous Areas (CSDM)
- Randy Vinluan, USAID, Philippines

Annex 2: Expert Meeting Participants

- Juan Acay, Jr., Conservation International, Philippines
- Girma Amente, Oromia Forest and Wildlife Enterprise, Ethiopia
- Thomas L. Ball, Royal Norwegian Embassy, (Nairobi) Kenya
- Suchitra Changtragoon, Department of National Parks, Wildlife and Plant Conservation, Thailand
- Emmanuel Ekakoro, Camco, Kenya
- Anton Espira, Eco2libirium, Kenya
- Alfred Gichu, Kenya Forest Service, Kenya
- Julie Greenwalt, UN-REDD Programme (UNEP)
- Pham Quoc Hung, Ministry of Agriculture and Rural Development, Vietnam
- Laxman Joshi, ICIMOD, Nepal
- Deuteronomy Kasaro, National REDD+ Coordinator, Zambia
- Alexis Lapiz, Climate Change Commission, Philippines
- Tony LaViña, Anteneo School of Government, Philippines
- Emma Liwenga, University of Dar Es Salaam, Tanzania
- Vu Thanh Nam, Ministry of Agriculture and Rural Development, Vietnam
- Bettie Nanyonjo Luwuge, Forest Conservation Group, Tanzania
- Jean Muneng, Ministry of Environment, Nature Conservation and Tourism, Democratic Republic of Congo
- Rahima Njaidi, MJUMITA, Tanzania
- Mayumi Quintos-Natividad, Department of Environment and Natural Resources, Philippines
- Julia Randimbisoa, HELVETAS Swiss Intercooperation, Madagascar
- Maminaiaina Rasamoelina, WWF, Madagascar
- Tom Rukundo, National Forestry Authority, Uganda
- Fred Stolle, World Resources Institute, Washington
- Doddy Sukadri, National Council on Climate Change, Indonesia
- Steve Swan, SNV-Netherlands Development Organization, Vietnam
- Erastus Wahome, Ministry of Finance, Kenya

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