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Subsidiary Body for Scientific and Technological Advice

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Methodological guidance for activities relating to reducing emissions from deforestation and forest degradation and the role of conservation, sustainable management of forests and enhancement of forest carbon stocks in developing countries

Views on types of information from systems for providing information on how the safeguards are being addressed and respected and that may be provided by developing country Parties

Submissions from Parties and admitted observer organizations

1. The Subsidiary Body for Scientific and Technological Advice (SBSTA), at its thirty-eighth session, invited Parties and admitted observer organizations to submit to the secretariat, by 24 September 2014, their views on the type of information from systems for providing information on how the safeguards referred to in decision 1/CP.16, appendix I, are being addressed and respected that would be helpful and that may be provided by developing country Parties. It requested the secretariat to compile the submissions into a miscellaneous document for consideration at SBSTA 41.¹

2. The secretariat has received seven such submissions from Parties. In accordance with the procedure for miscellaneous documents, these submissions are attached and reproduced* in the languages in which they were received and without formal editing.²

¹ FCCC/SBSTA/2013/3, paragraph 30.

* These submissions have been electronically imported in order to make them available on electronic systems, including the World Wide Web. The secretariat has made every effort to ensure the correct reproduction of the texts as submitted.

² Also available at


<<http://www4.unfccc.int/submissions/SitePages/sessions.aspx?showOnlyCurrentCalls=1&populateData=1&expectedsubmissionfrom=Parties&focalBodies=SBSTA>>.

FCCC/SBSTA/2014/MISC.7

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3. In line with established practice, the two submissions received from intergovernmental organizations and the nine submissions received from non-governmental organizations have been posted on the UNFCCC website.³

4. The SBSTA also invited developing country Parties to submit to the secretariat, by 24 September 2014, their views on experiences and lessons learned from their development of systems for providing information on how all the safeguards referred to in paragraph 1 above are being addressed and respected and the challenges they face in developing such systems.⁴ These submissions have been compiled into a separate miscellaneous document.⁵

³ <<http://unfccc.int/7482.php>>.

⁴ FCCC/SBSTA/2013/3, paragraph 29.

⁵ FCCC/SBSTA/2014/MISC.6.

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* This submission is supported by Albania, Bosnia and Herzegovina, Montenegro, Serbia, and the former Yugoslav Republic of Macedonia.

2. Views from Parties on the type of information from systems for providing information on how all the safeguards are being addressed and respected that would be helpful and that be provided by developing country Parties (FCCC/SBSTA/2013/3, paragraph 30).

In the context of the approach of the Systems of Life of Mother Earth, Parties should provide integrated information about achieved targets regarding mitigation, adaptation, sustainable development and poverty eradication in forest ecosystems, considering the following:

- a) **Information on mitigation to climate change:** Proxy variables for reduction of emissions in forest landscape and ecosystems, including the following:
- No. of hectares of land use change are a proxy of CO₂ from deforestation;
 - No. of hectares of control of forest fires are a proxy of CO₂ from forest degradation;
 - No. of hectares of areas under protection a proxy of CO₂ from conservation;
 - No. of hectares of forest plan areas a proxy for CO₂ from sustainable forest management, and so on.
- b) **Information on adaptation to climate change:** Following the National Adaptation Plans (NAPs) general criteria and standards should be established in order to follow up adaptation actions oriented towards the Living-well of local populations and communities, including increasing resilience and reducing vulnerability from forest ecosystems and peoples' living in forests.
- c) **Information on sustainable development:** At least the following information should be presented by Parties.
- The extent to which parties are reducing poverty in forest ecosystems should be presented, including data on indigenous peoples.
 - Reduction of inequalities between peoples living within forest areas and outside forest areas, including data on indigenous peoples.
 - Gender indicators about inequalities within and outside forest areas, including data on indigenous peoples.
 - The role and impacts of collective action in the conservation of biological diversity and its ecosystems.

These are the ideas posited by Bolivia in order to overcome the drawbacks and the problems of the current vision of safeguards established in Annex I of decision 1/CP.16 that will undermine Parties' efforts to achieve meaningful sustainable forest management at the national and subnational levels.

Paper no. 2: Chad on behalf of Burundi, Cameroon, Central African Republic, Chad, Congo, Democratic Republic of the Congo, Equatorial Guinea, Gabon, Rwanda, and Sao Tome and Principe

Soumission de la République du Tchad au nom des pays membres de la Commission des Forêts d'Afrique Centrale (COMIFAC)

Les pays du Bassin du Congo (Burundi, Cameroun, Congo, Gabon, Guinée Equatoriale, République Centrafricaine, République Démocratique du Congo, Rwanda, Sao Tomé et Principe et Tchad)

Vues sur les expériences et les leçons apprises du développement des systèmes d'information sur les sauvegardes et sur les types d'information des systèmes d'information sur les sauvegardes

1. Introduction

Conformément à la décision FCCC / SBSTA / 2013 / L.12, le SBSTA a invité les Parties ainsi que les organisations admises en qualité d'observateurs à soumettre au secrétariat, leurs points de vue sur le type d'informations utiles à communiquer par les Parties sur les systèmes d'informations sur les sauvegardes. Ces informations doivent inclure la façon dont les sauvegardes sont abordées et respectées dans les pays en développement Parties dans le cadre de la mise en œuvre des initiatives REDD+.

Selon la décision 12 / CP.17, les systèmes d'information sur les sauvegardes (SIS) doivent fournir des informations sur "la manière dont les sauvegardes sont abordées et respectées", d'une manière qui garantisse "la transparence, la cohérence, l'efficacité et l'exhaustivité". Cette information doit être régulièrement mise à jour et partagée dans les communications nationales des pays, et volontairement sur le centre d'information de la CCNUCC et sur le Web (décision 12 / CP.19). La décision 9 / CP.19 stipule que les pays engagés dans la mise en œuvre du processus REDD + sont invités à partager leur dernier "résumé d'information afin de recevoir des paiements axés sur les résultats".

Les pays membres de la COMIFAC estiment qu'il existe deux principales lacunes dans les directives existantes sur les sauvegardes. Tout d'abord, il n'existe aucune spécification du type

d'information que les résumés peuvent contenir. Deuxièmement, il n'existe pas de directives sur la façon de répondre effectivement aux exigences du SIS en matière de transparence, cohérence, efficacité et exhaustivité.

Par ailleurs, les pays membres de la COMIFAC ayant été précédemment soumis au respect de standards environnementaux et sociaux, y compris les mesures de sauvegarde dans le cadre de la mise en œuvre de projets REDD+, estiment que l'adoption de directives additionnelles par la CCNUCC permettrait d'harmoniser les directives existantes et à venir, afin d'éviter que les entités publiques et privées de financement des mécanismes REDD + cherchent à combler les lacunes existantes en continuant d'imposer leurs propres normes. L'adoption de ces directives sous la CCNUCC permettrait d'éviter la duplication des efforts, les difficultés supplémentaires d'avoir à se conformer à différentes normes et exigences, et potentiellement la confusion chez les investisseurs, les décideurs politiques et autres parties prenantes.

En outre, étant donné que les Parties ont convenu de la nécessité d'un soutien financier et technique adéquat et prévisible - en particulier des pays développés Parties - pour l'application des sauvegardes, de telles orientations aideraient à mieux coordonner et administrer ce soutien.

2. Expérience des pays membres de la COMIFAC sur la façon dont les sauvegardes ont été abordées.

Dans les pays membres de la COMIFAC il existe des expériences d'application des sauvegardes environnementales et sociales. En effet, dans le cadre de la préparation à la REDD+, les pays disposent et s'appuient sur un ensemble de lois, textes en vigueur, plans, programmes et de conventions ratifiées, lesquels constitueront la base sur laquelle seront élaborées les sauvegardes environnementales et sociales propres au pays. Ces dispositions portent sur :

- La gouvernance (Processus FLEGT et la plupart des lois, textes en vigueur)
- Les droits fonciers (Loi foncière)
- La participation et la consultation (Loi forestière, Loi cadre relative à l'environnement, Politiques opérationnelles de la Banque Mondiale, Déclaration des Nations-Unies sur les droits des Peuples Autochtones, Processus FLEGT, Plan de convergence la COMIFAC, Décret régissant les EIES, Manuel de procédures REDD+, Directives nationales sur le consentement libre, informé et préalable, plateforme de concertation régionale etc.)
- Le partage des bénéfices (Ratification du protocole de Nagoya et Loi forestière)
- Le partage des informations (Loi cadre sur la protection de l'environnement)
- La protection de la biodiversité (Ratification de la convention sur la biodiversité ; Loi forestière, Loi cadre sur la protection de l'environnement).

Par ailleurs, ces pays adhèrent aux standards en matière de consultation des populations, des droits des communautés autochtones et aux standards internationaux en matière d'Évaluation Environnementale Sociale et Stratégique (EESS) tels que:

- ✓ L'approche commune FCPF / ONU-REDD sur les sauvegardes sociales et environnementales;
- ✓ Les standards mis en place par CCBA sur la REDD+.

De plus, il existe dans l'espace COMIFAC, des expériences qui ont permis à certains pays de se lancer dans l'élaboration des sauvegardes sur la base d'une participation large de toutes les parties prenantes.

Toutes les politiques et stratégies en vigueur au niveau national et au niveau international jugées pertinentes dans le cadre de la REDD+ ont été passées en revue dans le cadre d'un processus multi-acteurs. Cette analyse a permis l'élaboration préliminaire d'ébauches devant servir à l'établissement d'un système d'information sur les sauvegardes, lequel devra être validé au niveau national et comportant des principes, des critères et des indicateurs.

En termes de défis rencontrés, il est important de noter :

- Le besoin d'un guide pour la mise en place d'un SIS,
- L'insuffisance des moyens pour l'élaboration et la mise en œuvre du SIS,
- Le besoin d'amélioration du contenu et de la diffusion du SIS pour les parties prenantes,
- Le manque de précision sur les informations à fournir à la Convention.

3. Recommandations générales pour de nouvelles orientations de la CCNUCC sur la fourniture d'informations sur les sauvegardes

Il est important dans un premier temps de comprendre l'implication des directives existantes de la CCNUCC, lesquelles requièrent que les sauvegardes REDD+ soient respectées et abordées (traitées ou prises en compte).

- Le respect des mesures de sauvegarde implique la non-violation de l'ensemble des principes convenus depuis Cancun et dans les décisions ultérieures. Ces principes de base doivent, au contraire, constituer le cadre pour la conception et la mise en œuvre des actions de REDD+.
- Aborder les sauvegardes, exige que des actions concrètes soient nécessaires pour s'assurer que ces principes sont effectivement appliqués.

Les pays de la COMIFAC estiment donc nécessaire que les résumés des pays sur la façon dont les sauvegardes sont respectées et abordées (prises en compte) tiennent compte des paramètres suivants:

- Une interprétation des sauvegardes REDD+ dans le contexte particulier de chaque pays, c'est-à-dire comment elles sont traduites en fonction des circonstances et des priorités nationales ;
- Une présentation des cadres existants dans le pays, notamment les cadres juridique et de politique, accompagnée d'une explication sur la manière dont ils opèrent et appuient les sauvegardes REDD+. Cette description peut inclure d'autres accords internationaux ratifiés qui soutiennent la mise en œuvre des sauvegardes REDD+ ;
- Les critères et les indicateurs utilisés par le pays pour mesurer la performance et le progrès;
- Une description de la méthodologie utilisée pour évaluer la façon dont les sauvegardes sont prises en compte et respectées, dans un souci de transparence (par exemple, comment et quand les informations sur les sauvegardes ont été recueillies, comment ce processus a été réalisé de manière participative et socialement inclusive, et comment l'information a été analysée et mise à disposition);
- Les mesures prises et les prochaines étapes pour respecter et aborder les sauvegardes.

Les pays de la COMIFAC considèrent que des directives additionnelles sur les sauvegardes devraient servir uniquement à soutenir les pays en développement dans les efforts pour mettre en œuvre la REDD+, et ne pas constituer un fardeau supplémentaire.

La collecte des données devrait aussi être liée le plus étroitement que possible aux besoins existants de suivi et de rapports. Elle devrait permettre la capitalisation et la recherche de synergies sur le terrain pour collecter, analyser et fournir des informations sur les sauvegardes. Les pays devraient être en mesure de s'appuyer sur des données qui sont déjà recueillies dans le cadre du processus REDD+. Il est important, cependant, que les informations soient davantage spécifiques et portent sur les sauvegardes sociales, environnementales et économiques, surtout si ces informations n'ont pas été capturées dans le processus technique.

Le tableau ci-après présente selon certains types d'information, les positions des pays membres de la COMIFAC à considérer pour les systèmes d'information sur les sauvegardes.

Types d'information	Éléments de position
1. Lois internationales et programmes forestiers	
Garantir la cohérence avec les droits humains (Droits de l'Homme et droits environnementaux)	Les pays membres de la COMIFAC accordent une grande importance à la gestion durable des forêts à travers le plan de convergence, par ailleurs au niveau national il existe les lois, les règlements, les stratégies spécifiques au secteur forêt et des programmes d'action forestières. L'application et la mise en œuvre de cet arsenal contribuent à la mise en œuvre de la REDD+ dans le pays membres de la COMIFAC. Ce dispositif apporte des informations sur les mesures de sauvegardes déjà existantes dans la sous-région.
Garantir la consistance avec les programmes forestiers nationaux	Les sauvegardes dans le mécanisme REDD+ doivent prendre en considération les circonstances nationales et règlements en vigueur dans le pays
2. Gouvernance forestière	
Droit à d'accès à l'information	<p>Les pays considèrent que le droit à l'information est une opportunité et considère que la dite opportunité ne devrait pas constituer un poids supplémentaire.</p> <p>Les pays considèrent aussi qu'ils ont besoin d'appui pour la production d'information en vue de la quantification, qualification et la valorisation de ce qui est quantifié.</p>
Institutions publiques dans leur mandat doivent assurer l'accès et la distribution de l'information	Les pays considèrent que l'accès et la distribution de l'information est une opportunité et fait partie du rôle régalien des Etats. Cependant, afin de le faire dans les normes qu'exige le mécanisme REDD+ les pays doivent recevoir un appui international.
Promouvoir la sensibilisation du public sur l'accès à l'information	Les pays considèrent que la promotion de la sensibilisation du public sur l'accès à l'information, constitue également une opportunité, que devra faire l'objet d'un appui international.
Redevabilité (Accountability)	En ce que concerne la redevabilité elle doit être applicable pour les appuis provenant des fonds internationaux. Les ressources provenant du budget national sont soumises au contrôle en application des lois du pays.
Clarté sur la législation foncière	Les pays membres de la COMIFAC considèrent que pour la clarté sur la législation foncière les lois du pays doivent être respectées.
Distribution équitable des bénéfices	Les pays membres de la COMIFAC considèrent qu'il faut d'abord aider les pays à mieux quantifier des bénéfices, afin de pouvoir les valoriser et en assurer un partage équitable en fonction de la législation nationale.
Egalité de genre	Les pays membres de la COMIFAC considèrent qu'il faut prendre en considération les circonstances nationales et la législation de chaque pays.
Cadre institutionnel adapté à la prise en compte des sauvegardes dans la REDD+	Les pays membres de la COMIFAC considèrent qu'il faut mettre en place et/ou renforcer le cadre institutionnel.

	Toutefois il faut un appui international pour accompagner le pays.
Garantir la participation dans la prise de décisions en matière d'environnement	-
Intégration des considérations sociales, économiques et environnementales et coordination inter sectorielle	Dans le pays membres de la COMIFAC certaines actions sont déjà en cours. Ainsi, cette disposition concourt a l'intégration transversale des considérations sociales, économiques et environnementales et au renforcement de la coordination inter sectorielle. Par ailleurs, un appui de la communauté internationale permettra de renforcer lesdites actions dans les pays.
3. Peuples autochtones et communautés locales	
Les pays membres de la COMIFAC considèrent que les questions relatives aux peuples autochtones tiennent compte des circonstances nationales et sont par conséquent régies par la législation nationale.	
Distinguer les peuples autochtones et les communautés locales	En fonction des circonstances nationales
Respect de la connaissance	
Non discrimination	
Auto détermination	
Droits associés à la culture	
Droit foncier collectif	En fonction des lois du pays
Partage des bénéfices (garantir leur inclusion)	Il faut aider les pays à obtenir des bénéfices, à les quantifier, à les valoriser et à les partager en fonction de la législation nationale
4. Participation	
Les pays membres de la COMIFAC disposent des plateformes de concertations multi-acteur qui permettent la participation de toutes les parties prenantes, spécifiquement les groupes vulnérables. De même ces plateformes contribuent au renforcement de capacités et favorisent l'accès à l'information.	
Reconnaissance et mise en application des droits procéduraux	Législation nationale
Identification des principales parties prenantes	Appui international pour le soutien au cadre de concertation, la clarification du rôle et l'élaboration de mécanismes de fonctionnement et de coordination de l'ensemble des parties prenantes
Provision de l'accès à l'information	
Application des approches participatives	
Mécanismes de résolution des conflits	
Création de cadre favorable pour les peuples autochtones et les communautés locales	Nécessité d'un soutien de la communauté internationale pour revisiter le cadre légal et réglementaire
Consentement libre, préalable et éclairé ¹	

¹ En ce qui concerne l'orientation sur la façon de veiller à ce que les dispositions de mise en œuvre en matières de REDD+ sont transparentes, efficaces, complètes et cohérentes avec les sauvegardes convenues, une première étape importante est de reconnaître et d'adopter explicitement le principe de « consentement libre, préalable et éclairé ». Il est essentiel pour assurer la participation pleine, efficace et socialement inclusive des parties prenantes dans la conception et la mise en œuvre chaque fois que possible et approprié du programme. Cela nécessite qu'une attention particulière soit accordée aux

5. Diversité biologique et forêts naturelles	
Les pays membres de la COMIFAC ont adhéré aux Conventions internationales sur la diversité biologique et disposent entre autres de lois et règlements qui régissent la préservation de la diversité biologique et la gestion durable des forêts naturelles. La mise en œuvre de ces lois garantit le respect des mesures de sauvegarde.	
Définir les forêts naturelles	
Appliquer les mesures pour protéger la biodiversité	
Identifier les forêts naturelles et la biodiversité	
Soutenir la recherche en matière de conservation et la sensibilisation	
Intégrer la biodiversité dans les politiques intersectorielles	
Renforcer d'autres bénéfices	Avec l'appui de la communauté internationale
6. Permanence et fuite	
Les pays membres de la COMIFAC sont préoccupés par les fuites dans le cadre de la mise en œuvre des activités de REDD+. Dans le cadre de l'élaboration de la stratégie nationale REDD+, des pistes de solutions sont envisagées par les pays. Il est souhaitable que la communauté internationale soutienne les pays dans cet effort.	
Suivi-évaluation	
Mesures générales	
Mesures pour lutter contre les revirements	
Mesures pour lutter contre les déplacements	
Coopération internationale	

groupes qui n'ont en général pas d'influence dans les décisions d'utilisation des terres, mais qui jouent un rôle important dans la gestion des ressources, comme les populations locales et / ou autochtones, les communautés dépendantes de la forêt, les femmes et les minorités ethniques. Fournir des informations transparentes et accessibles exige qu'elles soient mises à disposition dans un langage adéquat et partagé, ainsi que dans un format qui soit socialement et culturellement adaptés pour assurer l'accessibilité à toutes les parties prenantes.

Submission from the Republic of Chad on behalf of the Central Africa Forests Commission (COMIFAC) member countries.

1. Introduction

According to decision FCCC/SBSTA/2013/L.12, the SBSTA has invited Parties and admitted observer organizations to submit to the Secretariat, their views on the type of information from systems for providing information on how the safeguards are being addressed and respected by developing country Parties in implementing their REDD+ programmes.

According to Decision 12/CP.17, the Information System on Safeguards (SIS) should provide information on “how the safeguards are being addressed and respected”, in a manner that ensures “transparency, consistency, effectiveness and comprehensiveness”. Such information is to be periodically updated and shared through countries’ national communications, and voluntarily on the UNFCCC web-based information hub. In order to receive results-based payments, REDD+ implementing countries are to share their latest “summary of information” (Decision 9/CP.19).

COMIFAC member countries believe that there are two key gaps in the existing guidance on safeguards. First, there is no specification of what type of information the summaries should contain. Second, there is no guidance on how to actually meet the SIS requirements of transparency, consistency, effectiveness and comprehensiveness.

Further, COMIFAC member countries, building on their experiences in applying many guidances on environmental and social standards, including safeguards in implementing REDD+ projects, believe that further UNFCCC guidance will contribute existing and future guidance and will avoid that REDD+ public and private financiers fill those gaps and require to comply with their own standards. Further guidance would thus help to avoid the duplication of efforts, the additional work of having to comply with different sets of requirements, and potentially confusion among investors, policy-makers and other stakeholders.

In addition, given that Parties agreed on the need for adequate and predictable financial and technical support – particularly from developed country Parties – for safeguards implementation, such guidance would help coordinate and focus this support.

2. Experience from COMIFAC member States on how the safeguards are being addressed and respected

In COMIFAC member countries, relevant experiences are being gathered with respect to the application of environmental and social safeguards. Indeed, in the context of REDD+ preparation activities, countries have developed and are implementing a set of laws, regulation in force, plans, programs, and ratified conventions, which form the basis for the development of environmental and social safeguards to be further developed in the relevant context of these countries. These provisions relate to:

- Governance (FLEGT process and mostly all the laws, regulations in force)
- Land rights (Land Law)
- Participation and consultation (Forest Act, Framework law on environment, Operational Policies of the World Bank, the United Nations Declaration on the Rights of Indigenous Peoples, FLEGT process, the COMIFAC Convergence Plan, Decree governing Environmental and Social Impacts Assessments, procedural manual for REDD +, national Guidelines on the free, prior and informed consent, platform for regional dialogue etc.)
- Benefits sharing (Ratification of the Nagoya Protocol and Forest Law)
- Information sharing (Framework law on environment protection)
- Protection of biodiversity (Ratification of the Convention on Biological Diversity, Forest Act, Framework law on environment protection).

Moreover, these countries adhere to specific standards relevant for public consultation, the rights of indigenous communities as well as the international standards for Social and Strategic Environmental Assessment (SESA), such as:

- The common approach FCPF / UN-REDD on social and environmental safeguards;
- The standard set up by the CCBA on REDD +.

In addition, in the Congo Basin, some COMIFAC member countries have embarked on the development of safeguards based on broad stakeholders participation and thus have experiences on that matter.

All policies and strategies in place at both national and international levels that are relevant in the context of REDD + have been reviewed in the context of a multi-stakeholder process. This analysis allowed the preliminary development of a framework to collect information on safeguards to be used for the establishment of an information system. This process has, at final, to be validated at national level and lead to the adoption of a set of principles, criteria

and indicators.

In terms of challenges, it is important to note:

- The need for a guide in the process of setting up a SIS,
- The lack of resources for the development and implementation of SIS,
- The need to improve the elements of SIS and information sharing among stakeholders,
- The lack of clarity as regards the elements needed to be shared at the Convention level.

3. General recommendations for further UNFCCC guidance on the provision of information on safeguards

First of all, it is important to understand the implication of the existing UNFCCC guidance, which requires information on how REDD+ safeguards are being respected and addressed.

Respecting the safeguards can be understood as not violating those principles agreed upon in Cancun and thereafter. Rather, they are to be the framework for the design and implementation of REDD+ actions.

Addressing safeguards, in turn, suggests that action may be needed to ensure that those principles are effectively fulfilled.

The COMIFAC countries members therefore recommend that the UNFCCC requests the following information for the countries' summaries on how safeguards are being respected and addressed:

- An interpretation of the REDD+ safeguards in the particular country context, i.e. how they are translated into the given national circumstances and priorities;
- A presentation of the existing policy and legal framework in the country (including other ratified international agreements that can support the implementation of REDD+ safeguards), explaining how they operate and support the REDD+ safeguards;
- The criteria and indicators utilized by the country to measure performance and progress;
- A description of the methodology utilized to assess how safeguards are being addressed and respected, for the sake of transparency (e.g. how and when information was collected, how this process was carried out in a socially-inclusive participatory manner, how the information was analysed and made available);
- The actions taken and next steps to respect and address safeguards.

The COMIFAC country members think that further guidance on safeguards should be supportive of developing countries efforts to implement REDD+, not a burden.

Data collection should be linked as closely as possible to existing requirements for monitoring and reporting. It should require capitalizing and seeking synergies on the ground for countries to collect, analyse, and provide information on safeguards. Countries should be able to rely on data that is already being collected under the REDD+ process. It is important, however, that such information be specified on safeguards (social safeguards), especially if this information has not been captured in the technical process.

The following table presents, according to specific types of information, COMIFAC countries' positions on SIS.

Types of information	Elements of position
1. International laws and forests programmes	
Ensuring consistency with international law (Human rights and Environment agreements)	COMIFAC member countries provide a great importance to sustainable forest management through their convergence plan. Furthermore, at national level, there are specific laws, regulations; strategies directing the forest sector, as well as forestry action plans. The implementation of this framework in member countries leads to effective implementation of REDD+ activities. This framework provides information on existing safeguards measures in the region.
Ensuring consistency with national forest program	Safeguards in the REDD+ mechanism need to take into account consideration of national circumstances and regulations in force in the country.
2. Forest Governance	
Right of Access to information	COMIFAC countries believe that access to information is an opportunity and consider that this opportunity should not constitute additional burden. COMIFAC countries also consider that they need support to be in the position to produce information, in quality, quantity and to value these information.
Public institutions within their mandates must ensure access and	COMIFAC countries believe that information access and sharing is an opportunity pertaining to countries'

distribution of information	regulatory roles. However, international support is needed to allow Parties to produce relevant information that satisfy REDD+ norms.
Promoting public awareness	COMIFAC countries consider that promotion of public awareness on information access also constitutes an opportunity, which should be supported through international cooperation.
Accountability	Accountability should be applied as appropriate. Countries should be internationally accountable on the use of international funds. But when it concerns national resources, countries' laws should be applied.
Clear land tenure rights	COMIFAC members' countries consider that national regulations should be applied
Equitable distribution of benefits	COMIFAC countries believe that countries need to first be supported to assess the benefits in order to improve their valorisation and equitable sharing, in accordance with national legislation.
Gender equality	COMIFAC member countries consider that national circumstances are to be taken into account while applying gender equality principle.
Appropriate institutional framework	COMIFAC member's countries consider that institutional framework should be reinforced or put in place. However, international support is relevant in supporting countries achieving this objective.
Ensuring participation in decision making processes that affects the environment	
Integration of social, economic and environmental considerations and cross sectorial coordination	In COMIFAC member countries, some actions are being implemented that support mainstreaming of social, economic and environmental considerations, as well as cross-sectorial coordination. International support will allow to strengthen these actions in countries.
3. Indigenous people and local communities	
<i>COMIFAC member countries believe that issues related to indigenous people are specific to national circumstances and should therefore be addressed under national laws.</i>	
Defining indigenous people and local communities	According to national circumstances
Respecting knowledge	

Non discriminatory	
Self determination	
Right associated with culture	
Collective land rights and tenure	In accordance with national regulations
Benefit sharing	Countries need support in identifying these benefits, in quantifying, value and sharing them. Such considerations should follow national legislation.
4. Participation	
<i>COMIFAC member countries have multi stakeholders concertation platforms, that promote participation of all stakeholders, in particular vulnerable groups. Furthermore, these platforms contribute to capacity building and information access.</i>	
Recognition and implementation of procedural rights	National legislation
Identification of relevant stakeholders	International support is needed to support national dialogue framework, clarification of the role of all the relevant actors, as well as the elaboration of mechanisms of functioning and coordination of all stakeholders.
Providing access to information	
Implementing participatory approaches	
Conflict resolution mechanisms	
Creating enabling environment for indigenous people and local communities	International support is necessary to revisit the existing institutional framework
Free, prior and informed consent	
5. Biological diversity and natural forests	
<i>COMIFAC member countries have ratified International convention on biological diversity and have, among other laws and regulations that govern the preservation of biological diversity and sustainable management of natural forests. Implementation of these laws ensures respect of safeguards measures.</i>	
Defining natural forests	
Identifying natural forests and biodiversity	
Supporting conservation and awareness rising-oriented research	
Integration of biodiversity in cross	

sectorial policies	
Enhancements of other benefits	With the support of international cooperation.
6. Permanence and leakage	
<i>COMIFAC member countries are concerned by leakage in the implementation of the REDD+ activities. In the context of the elaboration of national REDD+ strategies, countries envisage various options. It is desirable that international community support countries' efforts in this area.</i>	
Monitoring and assessment	
General measures	
Measures to tackle reversals	
Measures to tackle displacements	
International cooperation	

Paper no. 3: Indonesia on behalf of Brunei Darussalam, Cambodia, Indonesia, Lao People's Democratic Republic, Malaysia, Myanmar, Philippines, Singapore, Thailand, and Viet Nam

BACKGROUND

Subsidiary Body for Scientific and Technological Advice at thirty-eighth session invited :

- 1. developing country Parties to submit to the secretariat, by 24 September 2014, their views on experiences and lessons learned from their development of systems for providing information on how all the safeguards are being addressed and respected and the challenges they face in developing such systems,*
- 2. parties and admitted observer organizations to submit to the secretariat, by 24 September 2014, their views on the type of information from systems for providing information on how the safeguards are being addressed and respected that would be helpful and that may be provided by developing country Parties.*

1. Experiences, lessons learned, and challenges in the development of Safeguards Information System (SIS)-REDD+

ASEAN Member States (AMS) undertaking REDD+ are at different stages in developing REDD+ infrastructure as mandated by dec. 1/CP. 16 paragraph 71, including system for providing information on how safeguards in Annex I.2 of dec. 1/CP 16 are addressed and respected (SIS-REDD+). Within the different stages of progress in developing SIS-REDD+, experiences so far have shown that AMS started with reviewing their existing forest and forest related policies and safeguards related instruments in terms of their relevance to the Cancun safeguards.

AMS are of the view that the approach and design of the SIS-REDD+ including how the system works are influenced by national circumstances, policies, capacities and capabilities. Within the different stages of SIS-REDD+ development in AMS, AMS note some common challenges such as diversity in knowledge, capacities and capabilities of the actors involved in developing SIS-REDD+, capacities in ensuring the continuity in operability of the system, coordinating between and among stakeholders at national and subnational level, and costs for developing and maintaining the system. AMS also recognize the benefit of sharing experiences and lessons as countries develop and improve their system. AMS note that support is needed in developing, maintaining and improving the system.

2. Type of Information from SIS-REDD+ that would be helpful and may be provided by developing country Parties

ASEAN Member States (AMS) are of the view that the type of Information from SIS-REDD+ that would be helpful and may be provided by developing country is qualitative and as appropriate quantitative information, which may include the following information :

- a. Description of national REDD+ related policies and/or programmes and/or activities,
- b. Design of the system
- c. Description of processes in developing the system, including stakeholder participation
- d. Description of implementation approaches on how safeguards are addressed and respected,
- e. Plan for improvement,
- f. Other information that the country consider necessary.

AMS recognize the need to ensure transparency, consistency, comprehensiveness, and effectiveness when informing on how all safeguards are addressed and respected, through National Communication, UNFCCC Web platform for REDD+/Information Hub, and SIS-REDD+. However, AMS also recognize that ways of addressing and respecting safeguards in REDD+ implementation are influenced by national circumstances, policies, capacities and capabilities. AMS are of the view that drawing from experiences and lessons in developing and operationalizing SIS-REDD+ are crucial in assessing transparency, consistency, comprehensiveness, and effectiveness of information provision through various channels on how all safeguards are addressed and respected.

This submission is supported by Albania, Bosnia and Herzegovina, the Former Yugoslav Republic of Macedonia, Montenegro and Serbia.

Rome, 22 September 2014

Subject: Views on systems for providing information on how safeguards are addressed and respected in the context of reducing emissions from deforestation and forest degradation, and the role of conservation, sustainable management of forests and enhancement of forest carbon stocks in developing countries

This submission sets out the views of the EU on the type of information to be provided by "systems for providing information on how safeguards are addressed and respected" (hereafter referred to as 'SIS') in the context of the activities referred to in decision 1/CP.16, paragraph 70, as per the invitation contained in paragraph 30 of FCCC/SBSTA/2013/3.

In addition, the EU stresses the importance of the invitation to developing country Parties contained in paragraph 29 of FCCC/SBSTA/2013/3 to submit their views on experiences and lessons learned from their development of SIS, and the challenges they face in developing such systems, as well as of the encouragement to developing country Parties and observer organizations to share these experiences and lessons learned also via the Web Platform on the UNFCCC website.

Finally, the EU considers in this submission the need for further and/or additional guidance when informing on how all safeguards are addressed and respected as laid out in paragraph 33 of FCCC/SBSTA/2013/3.

Key messages from the EU:

- SIS should provide consistent, comprehensive, objective, up-to-date and reliable data in a transparent, accessible and effective manner, and consistent with relevant decisions;
- SIS should allow for reassuring institutions providing finance for REDD+ that REDD+ actions are in line with decision 1/CP.16, Appendix I and are not generating negative social and environmental effects;
- Parties are encouraged to also provide information on the generated positive effects, as well as on their efforts to strive for non-carbon benefits contributing to the sustainability of REDD+ implementation, hence providing them with increased visibility;
- Further guidance on SIS could be supported, e.g. as a common framework that would clarify Parties' expectations regarding the type of information that should be included and the type of information that might be included (e.g. at different phases/scales), while minimizing the reporting burden through stepwise harmonization of requirements;

- A review process of the SIS (if any) should be independent, contribute to quality assurance and enhance its credibility vis-à-vis all relevant stakeholders groups.

General remarks

The EU seeks to increase mobilisation of resources to support the full implementation of results-based REDD+ actions, with the aim of halting global forest loss by 2030 at the latest, and reducing gross global deforestation by at least 50% compared to 2005-2010 levels level by 2020. This can only be achieved by ensuring broad participation of Parties and the reinforcement of confidence and credibility through transparent communication on the efforts from Parties to live up to the sound methodologies they have agreed upon, including on the efforts undertaken by Parties to address and respect the safeguards listed in Appendix I, paragraph 2 of decision 1/CP.16.

The EU emphasizes that well-designed and carefully implemented REDD+ strategies and action plans with due attention to social and environmental safeguards will also contribute to the Strategic Plan for Biodiversity 2011-2020 of the Convention on Biological Diversity and the achievement of its Aichi Biodiversity Targets. The EU would therefore like to draw attention to CBD decision XI/19, which provides advice on the application of biodiversity-related safeguards, and would like to encourage Parties to consider this advice when developing and implementing their REDD+ strategies and action plans.

Related decisions

The EU would like to recall

- The guidance and safeguards for policy approaches and positive incentives on issues relating to REDD+ which have been listed in Appendix I of Decision 1/CP.16;
- The guidance on Safeguards Information Systems as set out in Decision 12/CP.17, I, paragraphs 1-6;
- Decision 12/CP.19 on the timing and frequency of presentations of the Summary of information on how all safeguards referred to in Decision 1/CP.16, Appendix I, are being addressed and respected;
- Decision 9/CP.19 paragraph 4 which states: "*Agrees that developing countries seeking to obtain and receive results-based payments in accordance with Decision 2/CP.17, paragraph 64, should provide the most recent summary of information on how all of the safeguards referred to in Decision 1/CP.16, appendix I, paragraph 2, have been addressed and respected before they can receive results-based payments*"
- Decision 11/CP.19 paragraph 5 which states: "*Acknowledges that Parties' national forest monitoring systems may provide, as appropriate, relevant information for national systems for the provision of information on how safeguards in decision 1/CP.16, appendix I, are addressed and respected.*"

The EU stresses that any decision on types of information from SIS should build upon and complement these decisions while avoiding redundancy.

The EU would also like to draw attention to Decision XI/19 of the Convention on Biological Diversity, in particular to its Annex, as it provides advice on the application of relevant safeguards for biodiversity with regard to REDD+.

Types of information from Safeguards Information Systems

Through the implementation of SIS and the information it provides, a country assesses whether the social and environmental impacts of its REDD+ actions are in line with the safeguards as contained in paragraph 2 of Appendix I to decision 1/CP.16. The SIS also contributes to strengthening confidence and transparency, thus facilitating the dialogue among local, national and international actors, hence the importance of previous decisions on guidance and on timing and frequency of SIS for pacing these dialogues. In addition it is also important to provide guidance on which type(s) of information from SIS would be helpful to gain insight on how countries are addressing and respecting the safeguards when planning and implementing REDD+ actions and activities.

In this regard, the EU would like to recall the table on core information on how each safeguard is being addressed and respected, which it proposed in Appendix III of its submission of 20 September 2011¹, which has been slightly updated for this submission:

<i>Safeguards as contained in paragraph 2 of Appendix I to decision 1/CP.16</i>	<i>Information requirements</i>
(a) That actions complement or are consistent with the objectives of national forest programmes and relevant international conventions and agreements;	Description of : - how REDD+ actions are incorporated in the implementation of national forest programmes and relevant international conventions, agreements and processes; - how REDD+ actions contribute to achieving their objectives.
(b) Transparent and effective national forest governance structures, taking into account national legislation and sovereignty;	Description of relevant policy, legal, institutional and regulatory frameworks, including on law enforcement, grievance and redress mechanisms.
(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;	- Identification of different right holders and their rights; - Description and assessment of impacts of REDD+ actions on Indigenous Peoples and local communities and of measures taken in the context of respecting these rights, especially where different rights and objectives may result in conflicts (e.g. statutory, customary, international);

¹ Following the invitation in paragraph 31 of SBSTA conclusions FCCC/SBSTA/2011/2.

	- Outline of respective grievance and conflict resolution mechanisms.
(d) The full and effective participation of relevant stakeholders, in particular indigenous peoples and local communities, in the actions referred to in paragraphs 70 and 72 of this decision;	- Description of the participatory process and planned opportunities to provide input in the design and implementation of a national REDD+ strategy or action plan; - Information how this process was implemented, including a description of approaches taken to ensure transparency in the context of disseminating and receiving information from stakeholders;
(e) That actions are consistent with the conservation of natural forests and biological diversity, ensuring that the actions referred to in paragraph 70 of this decision are not used for the conversion of natural forests, but are instead used to incentivize the protection and conservation of natural forests and their ecosystem services, and to enhance other social and environmental benefits;	- National definition of natural forests; - Up-to-date spatially explicit information about the extent and locations of natural forest areas; - Identification of the positive and negative impacts of a national REDD+ strategy (or action plan) on biodiversity, ecosystem services and natural forests, including a description of relevant key variables such as natural forest cover change, or whether REDD+ actions are affecting biodiversity-rich and/or poor areas.
(f) Actions to address the risks of reversals;	- Information on implemented and planned actions to mitigate the risk of reversals, as well as information about liabilities; - risk analyses and respective risk management approaches (e.g. buffer or insurance solutions).
(g) Actions to reduce displacement of emissions;	- Description of the planned and implemented actions to prevent leakage - Risk analysis in relation to key drivers, and respective risk management approaches.

In addition, a country's SIS should also contain:

- **a list of indicators** which were used for each safeguard, quantified where possible. For example: for the full and effective participation of stakeholders (safeguard d) this could comprise amongst others the progress in registering different groups of stakeholders, the indication of the announcement, number, location and duration of participative workshops/consultation processes that have been carried out and/or the number and gender balance of participants attending. Some indicators should be related to *policies and processes* (input, output, process indicators), and some should be related to *impacts* (outcome indicators), information on the *roles and responsibilities attributed to different institutions* in the SIS as well as the degree of decentralization, the budgeting, monitoring & evaluation and review;
- **a description of the barriers for the application of safeguards** and the steps undertaken to overcome those barriers;
- **information on feedback, grievance and redress possibilities**, such as the nature and number of reported conflicts, existing types of mediation by law or by specific grievance and redress mechanisms, average time to resolve a conflict and % of resolved conflicts, accessibility of institutions, etc. The grievance and redress mechanism of the Forest Carbon Partnership Facility's Methodological Framework is a useful example (<http://www.forestcarbonpartnership.org/grievance-redress>).

If deemed appropriate and desirable by a developing country Party it could go a step further by also providing information regarding the positive effects generated through the implementation of the safeguards, for example on the role of traditional management systems and gender considerations in the implementation of REDD+ activities, or how biodiversity is being considered in relation to activities such as the restoration and enhancement of carbon stocks, as well as showcasing efforts which have been undertaken to strive for non-carbon benefits, hence providing them with increased visibility, which might enhance the overall credibility and appeal of forest mitigation and mobilise additional resources.

The EU believes it is important to strike a right balance between:

- the need for the SIS to ensure transparency and to build confidence and credibility, and
- the importance of limiting the reporting burden to what is strictly necessary.

Sharing of experiences, lessons learned and challenges faced in developing Safeguards Information Systems

In line with the invitation to developing country Parties to submit their views on experiences and lessons learned from their development of a Safeguards Information System, and the challenges they face in developing such a system (FCCC/SBSTA/2013/3, paragraph 29) and the encouragement to developing country Parties as well as observer organizations to share these experiences and lessons learned also via the Web Platform on the UNFCCC website (FCCC/SBSTA/2013/3, paragraph 31), the EU would like to stress the value of this process and the importance of South-South cooperation and exchange. Hence the EU would like to encourage developing country Parties to respond to this invitation to the extent possible in order for all to learn from these experiences, to gain from the lessons learned and to contribute to solutions to challenges faced when developing SIS, feeding into the discussions at SBSTA 41.

Considering the need for further and/or additional guidance on SIS

Finally, with a view to the consideration at SBSTA 41 of the need for further and/or additional guidance to ensure transparency, consistency, comprehensiveness and effectiveness when informing on how all safeguards are being addressed and respected through all phases of REDD+, as laid out in paragraph 33 of FCCC/SBSTA/2013/3 following paragraph 6 of Decision 12/CP.17, the EU would like to recall and build upon views it has already expressed previously in its submission of 20 September 2011². This with a view to complement and improve the guidance to ensure transparency, consistency, comprehensiveness and effectiveness of SIS:

Safeguards Information Systems

- **Stakeholder involvement** in the design of a country's SIS and review is of paramount importance. Moreover, involving local communities in the collection and processing of information can enhance cost-effectiveness and ownership. Independent inputs from third parties, including non-governmental actors should be encouraged;
- **Transparency**: information should be collected and processed in a transparent manner and be disclosed for public availability;
- **Independent monitoring** including broad stakeholder consultation, periodically. This has proved to be an effective tool in providing reliable information and synergies in the Forest Law Enforcement, Governance and Trade (FLEGT) context;
- **Independent review/performance assessment** of core information to ensure compliance with the agreed requirements would increase the SIS' credibility, hence also the credibility and sustainability of REDD+ results;
- **Simplicity and accessibility**, which are closely interlinked;
- **Comprehensiveness**: the information provided should demonstrate how each safeguard has been addressed, respected and their success assessed throughout the implementation of REDD+ as described in 1/CP.16 paragraph 72 and 73;
- **Continuous improvement**, relating to the information system as well as to safeguards implementation, should be aimed for; based on minimum SIS reporting standards, countries can define trajectories for gradual improvement in depth and coverage of safeguards provisions;
- to enhance **efficiency**, the SIS should build upon and integrate information and indicators from existing institutions, processes and mechanisms where possible, including those under relevant agreements and processes. The existing monitoring schemes for biodiversity and the Biodiversity Indicators Partnership (BIP) are useful examples to this end. The monitoring of safeguards, non-carbon benefits and carbon should be done in a coordinated way (e.g. as "one map").

² Following the invitation in paragraph 31 of SBSTA conclusions FCCC/SBSTA/2011/2.

Summary of information

Increasing comparability and consistency of information provided by countries is important for transparency at international level as well as for maintaining and increasing the credibility and legitimacy of the REDD+ mechanism. It is also important to keep the reporting burden as low as possible to facilitate broad country Party participation. The EU would therefore be in favour of harmonising safeguard requirements and work towards developing ultimately a common framework, which would allow for the collection and harmonisation of the information requirements in a simple, easily accessible and transparent manner.

The types of information listed above could be used as a basis for this.

In this regard, the EU would be in favour of asking the Secretariat to collect experiences for a while and to prepare a technical paper in this regard, based upon submissions from Parties, for consideration by e.g. COP 22, 23 or 24.

Views from Parties on the type of information from systems for providing information on how all the safeguards are being addressed and respected that would be helpful and that may be provided by developing country Parties (FCCC/SBSTA/2013/3, paragraph 30)

1. The type of information will be based on the national circumstance and capabilities of a country.
2. The information provided should be country driven, transparent, consistent, comprehensive and effective in reflecting how safeguards are addressed and respected.
3. Information to be included in the REDD+ Safeguards Information System could be as follows:
 - a. National legislation, regulation policies and programmes and/or activities related to REDD+ or REDD+ policy/program/strategy/action plans.
 - b. Description of initiatives undertaken on how the safeguards are addressed and respected.
 - c. Other relevant information.

October 2014

**Submission to the Subsidiary Body for Scientific and Technological Advice (SBSTA)
on the types of information from Safeguards Information Systems for REDD+ that
could be provided in summaries by developing country Parties.**

Introduction

Decision 1/CP.16 of the Cancun Agreement established a set of seven safeguards for REDD+ (“The Cancun safeguards”) to be addressed and respected throughout the implementation of REDD+ activities. It further requested developing country parties aiming to undertake REDD+, to develop a safeguards information system (SIS). Decision 12/CP.17 provided additional guidance for the development of such systems and also agreed that developing country Parties should provide a summary of how the Cancun safeguards are being addressed and respected. The Warsaw Framework on REDD+, decisions 9/CP.19 and 12/CP.19, agreed that developing country parties should periodically provide a summary of information, as well as the most recent summary before results-based payments can be received.

The existing decisions on REDD+ under the UNFCCC do not provide guidance on which types of information about the Cancun safeguards should be provided by developing country Parties before results-based finance can be received. It is therefore Norway’s view that there is a need for further guidance to ensure transparency, consistency, comprehensiveness and effectiveness when informing on how all safeguards are being addressed and respected.

The rationale for providing information

Social, environmental and governance safeguards are sustainability elements that contribute towards successful REDD+ outcomes. Being able to provide information on how these safeguards are addressed and respected will increase the confidence of the international community in REDD+ and thereby help attract long-term investments and payments for performance. Providing information on safeguards could in addition have an intrinsic value for developing country Parties by informing national policy making and strengthening the credibility of REDD+ among domestic constituents.

Types of information to be provided

It is Norway’s view that the types of information to be provided should be based on the agreement to provide information on how safeguards are “addressed” and “respected”. We

further believe that REDD+ countries should provide information on how they have interpreted the Cancun Safeguards, as this is a necessary context for understanding how safeguards are addressed and respected.

In Norway's understanding the term "addressed" relates to the governance arrangements that have been put in place to ensure that REDD+ is implemented in accordance with the Cancun safeguards. REDD+ countries should provide information about policies, measures, institutional arrangements and other mechanisms relevant to the implementation of safeguards and providing information about such implementation.

It is further Norway's understanding that the term "respected" refers to the degree to which the Cancun safeguards have been achieved when implementing REDD+ activities. REDD+ countries should therefore provide an analysis of to which degree governance arrangements have been effective in realizing a country's safeguards framework. Such an analysis should also include a description of remaining challenges; measures identified to address them; as well as a proposed timeline for implementation. REDD+ countries could also provide a brief description of grievances raised in relation to REDD+ implementation and measures taken to redress them.

In addition to providing information on how safeguards have been addressed and respected, REDD+ countries should also provide information on how they have interpreted the Cancun Safeguards according to their national circumstances. The description of the seven safeguards in Appendix I of decision 1/CP.16 is general in nature. Information on how the Cancun safeguards have been interpreted will therefore be essential to understand the specific information provided by countries on how each safeguard has been addressed and respected. REDD+ countries should therefore describe the national circumstances on the basis of which they interpreted the Cancun safeguards, as well as how each of the seven safeguards and its constituent elements have been determined by the Party.

The depth of information provided in each category above would necessarily vary from country to country, according to their different national circumstances, capacities and capabilities. Given different circumstances it is sensible for the provision of safeguards information to be approached in a stepwise manner. Developing country Parties could provide information according to their stage of REDD+ implementation, noting that the UNFCCC requires countries to provide information on safeguards throughout the implementation of REDD+ activities. Norway does not expect perfection in safeguards information provision from the start. Rather we expect REDD+ countries to be transparent about gaps and challenges and improve their provision of safeguards information over time.

Further information to be provided

In addition to the three types of information described above, Norway expects REDD+ countries to also provide meta-information related to how safeguards information has been prepared and collected, as well as references to further sources of information.

Meta-information, or information about how the safeguards information has been collected and prepared, may be of particular value to ensure transparency, consistency, comprehensiveness and effectiveness in provision of information. REDD+ countries should describe how they have structured their safeguards information system, including information about the process that was taken to develop the system, demonstrating how all relevant stakeholders were involved in the collection and preparation of safeguards information. This would also apply to the process of preparing the summary of information.

Recognizing that a summary of information will only provide an abridged set of information, further detailed information should be made available to all relevant stakeholders to demonstrate the robustness of the country safeguards implementation to both domestic and international constituencies. REDD+ countries should provide references to information material used as a basis for developing the summary and sources of information on country safeguards implementation including information platforms, databases, publications, reports, assessments or other relevant information.

At its 38th Meeting in Bonn in June 2013, the Subsidiary Body for Scientific and Technological Advice (SBSTA) “invited Parties and admitted observer organizations to submit to the secretariat, by 24 September 2014, their views on the type of information from systems for providing information on how the safeguards are being addressed and respected that would be helpful and that may be provided by developing country Parties.”

Types of information that would be helpful

Addressing and respecting safeguards is complex. Providing information on how safeguards are addressed and respected can be equally complex. By breaking down the type of information that may be helpful, however, the exercise may become simpler. In the annex to this submission, we have included a set of questions which we feel might be useful as Parties contemplate how to provide information showing how each of the safeguards included in decision 1/CP.16, appendix 1 is being “addressed” and “respected,” and further ideas on the periodicity of updates, and on potential information sources. These questions are not meant to be an exhaustive list, or all required. They are meant to serve as a set of guiding questions that could help countries formulate systems that provide the types of information that may be sought by stakeholders and partners. This information is broken down into the following categories:

- **“Addressed” and “Respected”**

Paragraph 71(d) of 1/CP16 requires Parties to report on how the safeguards “are being addressed and respected throughout the implementation of the activities referred to in paragraph 70 above...” These terms can mean very different things. The SBSTA Expert Workshop held in Panama City in October 2011 roughly defined these terms, and we have followed these definitions for this submission. “**Addressed**” has been taken to mean institutions, policies, regulations, strategies, agreements, etc. in place that are relevant to a safeguard. “**Respected**” has been taken to mean the safeguard is being implemented effectively.

- **Updates**

The frequency with which information on safeguards is updated may vary greatly. Some information relevant to how safeguards are being addressed and respected may not change often. Other information may change more frequently. For example, information on national laws or policies, national REDD+ strategies or action plans, MRV systems, or international treaties would be updated only if there were a change to those instruments. Data on reversals might be updated with the same frequency with which reporting from a national forest monitoring systems or MRV system is provided. On the other hand, information on the impacts of REDD+ activities on biodiversity or natural forests, or summaries of the participation of stakeholders in the implementation of a national strategy, would likely be updated more often, as this information is dynamic. Recognizing not all information need be updated with each report may help reduce the reporting

burden. We have given examples of the periodicity with which different types of information might be updated.

- **Information sources**

Much of the information relevant to how safeguards are being addressed and respected can likely be found in existing reports, systems, or databases. These information sources will of course vary from country to country. We have attempted to provide examples of potential information sources that may be relevant.

UNFCCC decisions

The SBSTA request for views complements past decisions related to safeguards, and to systems for providing information on how safeguards are addressed and respected. Our submission takes the following decisions into account:

Decision 12/CP.17 “*notes* that the implementation of the safeguards referred to in appendix I to decision 1/CP.16, and information on how these safeguards are being addressed and respected, should support national strategies or action plans and be included in, where appropriate, all phases of implementation referred to in decision 1/CP.16, paragraph 73, of the activities referred to in paragraph 70 of the same decision.” The same decision also “*decides* that the summary of information referred to in paragraph 3 above should be provided periodically and be included in national communications.” Decision 9/CP.19 created additional voluntary channels for submitting this information.

Decision 9/CP.19 “*agrees* that developing countries seeking to obtain and receive results-based payments in accordance with decision 2/CP.17, paragraph 64, should provide the most recent summary of information on how all of the safeguards referred to in decision 1/CP.16, appendix I, paragraph 2, have been addressed and respected before they can receive results-based payments.”

As these decision texts indicate, Parties have already decided that safeguards should be addressed and respected in all phases of REDD+ implementation, information should be provided on how safeguards are being addressed and respected, and this information should be reported at a minimum through the national communications of relevant Parties. Parties also have decided that Parties seeking to obtain and receive results-based payments need to provide the most relevant summary of safeguard information.

Additional value of safeguard information

Information on how safeguards are addressed and respected during the implementation of REDD+ has a value far beyond meeting UNFCCC requirements. This information is critical for governments, and their stakeholders, to design REDD+ strategies and interventions well, to develop land use plans, to meet the needs of their populations, and to protect their forest ecosystems. Such information allows for adaptive management, early identification of problems,

and the scaling-up of approaches that are working well. Understanding how the safeguards are addressed and respected is important to help secure the long-term sustainability of results achieved under REDD+. And the information generated for REDD+ has value to other programs, including forest management committees, rural development agencies, investment programs, and environmental ministries.

Perhaps equally important, information on how safeguards are addressed and respected is attractive to those who finance REDD+, whether public or private sector. Experience has shown that private sector investors favor investments, and purchase emissions reductions, with the lowest risk – including social and environmental risk. (The prevalence of dual certification in the voluntary carbon market, with projects seeking both certifications for carbon accounting and social and environmental soundness, is an example of this.) As public and multilateral results-based financing grows, it is likely that programs with good, quality, transparent information on safeguards will better attract financing. Conversely, programs with little information on how safeguards have been addressed or respected are likely to be seen as more risky, and less attractive.

In the annex to this submission we have provided examples of questions which would permit each Party to define terms in the manner most appropriate for national circumstances, respecting national sovereignty. We have also attempted to provide examples of the frequency with which information might be updated, and of potential information sources. We note that other Parties have also provided recommended guidance on what information might be relevant in previous submissions, and believe these constructive suggestions also merit consideration. We hope that this initial thinking on potential information types and update frequency will prove useful as Parties begin to construct their systems for providing information on how safeguards are addressed and respected.

Annex 1

Questions that Parties might consider addressing as they report on how the safeguards as contained in paragraph 2 of Appendix I to decision 1/CP.16 are addressed and respected:

(a) That actions complement or are consistent with the objectives of national forest programmes and relevant international conventions and agreements;

How is this safeguard addressed?

- What are the objectives of the national forest programme?
- What are relevant national laws, policies, institutions and regulations?
- Which relevant international conventions and agreements has the Party ratified, and what other relevant international commitments has the Party made?

How is this safeguard respected?

- How is the design and implementation of actions contemplated in the national REDD+ strategy or action plan (and interim subnational strategies, if relevant) consistent with the objectives of the national forest program; laws, policies and regulations; conventions and agreements ratified, or other international commitments a country has made?
- What challenges and tradeoffs, if any, does the Party perceive in implementing their REDD+ strategy or action plan related to these objectives, and how are these being resolved?

Updates

Updates might be provided if and when the national forest program, national REDD+ strategy or action plan, relevant laws and policies, or international commitments are modified, or new commitments are made.

Information sources

Relevant information may come from national forest program documents; text of relevant laws, policies, institutions and regulations; communications on international commitments; and national REDD+ strategy or action plan documents.

(b) Transparent and effective national forest governance structures, taking into account national legislation and sovereignty;

How is this safeguard addressed?

- What are the relevant formal forest governance structures at the national, subnational, and local levels? And how do they function?
- What are relevant administrative bodies, laws, policies, regulations, and law enforcement mechanisms, including permitting and/ or certification (ie for harvesting, planting, clearing or transport of timber and non-timber forest products)?

- What are relevant traditional forest governance structures at the national, subnational, and local levels?
- Do these traditional structures work together with formal structures?
- Are land tenure and/or land rights clearly defined and stable in areas eligible for REDD+ activities? If not, is there a system that can be described for determining land tenure or land rights in these areas?
- Is there a local or national mechanism for dispute resolution in cases of conflicting land claims in REDD+ eligible areas?
- How are the rights to carbon and carbon-related (REDD+) incentives, and arrangements for the transfer of incentives to relevant stakeholders, defined?

How is this safeguard respected?

- How is information about relevant laws, policies, and regulations, and carbon rights, made easily available to stakeholders (i.e. translation into local languages, posting in local communities)?
- How have traditional forest governance structures, including customary tenure or usage, been respected in the design and implementation of REDD+ activities?
- How are carbon-related (REDD+) incentives being provided to relevant stakeholders (e.g. awareness-building activities, arrangements created, programs established, funds transferred, accountability mechanisms put in place)?
- Have any changes in land tenure or land rights been associated with REDD+ programs?

Updates

Updates might be provided when relevant laws, regulations, or policies are modified; if there are changes to the land tenure or land rights in the program area; as conflict resolution mechanisms are implemented; and to reflect the implementation of benefit distribution systems.

Information sources

Institutional information on ministries or agencies with responsibilities that relate to forests; land registries or cadastres, and related surveys; design documents or studies on conflict redress mechanisms; laws or regulations relevant to carbon rights; communications strategies for laws, policies, regulations, and REDD+ programs; REDD+ program design documents, consultation summaries, and staff input; design and reporting documents related to benefit distribution systems; surveys or reports on land tenure and land rights; community surveys.

(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;

How is this safeguard addressed?

- Which rights-holders may be affected by a national REDD+ strategy or action plan (and interim subnational strategies, if relevant), and what are their unique rights?
- What are relevant laws, policies and regulations? How have they been implemented?
- Which relevant international conventions and agreements has the Party ratified, and what other relevant international commitments has the country made?
- What indigenous peoples and local communities in areas eligible for REDD+ activities might be affected by REDD+ activities (including explicit location, population, governance structure, and any unique rights allocated)?
- Are there any legally declared or formally claimed indigenous territories in the areas being considered for REDD+ actions?

How is this safeguard respected?

- How are the design and implementation of actions contemplated in the national REDD+ strategy or action plan (and interim subnational strategies, if relevant) consistent with the rights (including usage rights) of indigenous peoples, and members of local communities, (including the relevant laws, policies and regulations and international conventions described)?
- How have the traditional extractive uses and non-extractive forest management practices of indigenous and local communities been recognized, respected and incorporated into the national REDD+ strategy (and interim subnational strategies, if relevant), and the activities contemplated therein?
- How has the knowledge of indigenous peoples and members of local communities, been incorporated into the national REDD+ strategy (and interim subnational strategies, if relevant), and the activities contemplated therein?
- What opportunities have indigenous peoples and local communities, had to provide input on whether and how their knowledge and rights have been protected, and how can this input be accessed?

Updates

Updates might be provided as the national REDD+ strategy or action plan is modified; if there are changes to relevant laws, policies, regulations, or international commitments; if new implementation of these laws, policies, regulations, or international commitments has occurred; if a new indigenous territory is created; and to reflect recent consultations and input from indigenous peoples.

Information sources

Relevant information may come from the national strategy or action plan; the text of relevant laws, regulations, or policies; census information; indigenous peoples associations or agencies; land titling agencies; and records of consultations and input by indigenous peoples, among other sources.

(d) The full and effective participation of relevant stakeholders, in particular indigenous peoples and local communities, in the actions referred to in paragraphs 70 and 72 of this decision;

How is this safeguard addressed?

- Has a comprehensive mapping of stakeholders that could be involved in and impacted by REDD+ activities been carried out? What methodology was used?
- What stakeholders, including indigenous peoples, members of local communities, and women are involved in or affected by the actions referred to in paragraphs 70 and 72 of the Cancun agreement?
- What relevant national laws, policies, or regulations outline required consultation or participation?
- What provisions for consultation and participation of stakeholders are included in the national REDD+ strategy or action plan, if any?
- What participatory process was used in the design of the national strategy or action plan?
- What systems are used to provide information to, and receive information from, stakeholders?

How is this safeguard respected?

- How has each identified stakeholder group participated in the design and implementation of the national strategy or action plan, and actions referred to in paragraphs 70 and 72 (eg stakeholder committees, stakeholder representatives on national REDD+ councils, local community control over locally-implemented activities, referenda, stakeholder consultations and participants, communication channels for stakeholders)?
- What opportunities do stakeholders have to provide comment on their full and effective participation, and how can these comments be accessed?
- How has information on carbon rights, and potential carbon-related incentives, been made available to local communities?

Updates

Updated information might be provided to reflect newly-implemented activities; modifications to laws, policies, regulations, or the national REDD+ strategy or action plan; additional consultations; or updates to communication plans or systems.

Information sources

Relevant information may come from the results of stakeholder mapping exercises; from relevant laws, policies, regulations, or the national REDD+ strategy or action plan; records of participatory and consultative processes; communications plans or systems; and records of indigenous peoples associations and local community organizations, among other sources

(e) That actions are consistent with the conservation of natural forests and biological diversity, ensuring that the actions referred to in paragraph 70 of this decision are not used for the conversion of natural forests, but are instead used to incentivize the protection and conservation of natural forests and their ecosystem services, and to enhance other social and environmental benefits;

How is this safeguard addressed?

- What nationally- or internationally-recognized biodiversity priority areas (e.g. national parks and protected areas, critical habitats, indigenous reserves, national biodiversity priority areas, High Conservation Value Areas, Key Biodiversity Areas, Alliance for Zero Extinction sites, UNESCO World Heritage Sites, Ramsar Wetlands of International Importance) are included in or affected by the national REDD+ strategy or action plan (and interim subnational strategies, if relevant)?
- What surveys, inventories, studies, or monitoring systems will be used to monitor biodiversity included in or affected by the national REDD+ strategy or action plan (and interim subnational strategies, if relevant)?
- What natural forests, spatially identified by type, are included in or affected by the national REDD+ strategy or action plan (and interim subnational strategies, if relevant), and what definition was used to identify these forests?
- What spatially identified plantations are included in or affected by the national REDD+ strategy or action plan, and what definition was used to identify these plantations?
- What provisions in the national REDD+ strategy or action plan (and interim subnational strategies, if relevant) are used to incentivize the protection and conservation of natural forests and their ecosystem services, and to enhance other social and environmental benefits?
- What surveys, inventories, studies, or monitoring systems will be used to assess the impact of REDD+ actions on the protection of natural forests, ecosystem services, and other social and environmental benefits?

How is this safeguard respected?

- What changes in forest cover or management regime in any of the identified biodiversity priority areas occurred as a result of the implementation of the national REDD+ strategy or action plan (and interim subnational strategies, if relevant)?
- What changes in biodiversity occurred in the areas included in or affected by the national REDD+ strategy or action plan (and interim subnational strategies, if relevant), and how much of this change may be attributed to REDD+-related activities?
- Does monitoring show any natural forests converted to plantation forests, and if so which?
- What impact does the national REDD+ strategy or action plan (and interim subnational strategies, if relevant) have on the protection of natural forests and their ecosystem services, and other social and environmental benefits?

Updates

Information might be updated as the national strategy or action plan is modified to include new activities or additional areas; to reflect results of new biodiversity inventories, studies or surveys; or to include new information from the national forest monitoring system or other forest inventories.

Information sources

Information might be drawn from the national strategy or action plan; national forest monitoring system, national forest inventories, or other forest monitoring; biodiversity inventories, studies, or surveys; reporting to the Convention on Biological Diversity or other international processes;

or other monitoring and reporting carried out by the national protected areas system, biodiversity agency, forest agency, private sector forestry association, universities, communities, or non-governmental associations.

(f) Actions to address the risks of reversals;

How is this safeguard addressed?

- What are the primary factors behind the risks of reversals, temporary or permanent*?
*Examples of reversals include sustainable forest management activities resulting in short term emissions that may later be recaptured in tree growth, or a regrowing forest that is claimed as enhanced stock, but from which stored carbon is released in the future by disturbance and can no longer be counted as net emissions reductions
- What systems are in place, or actions are implemented, to address reversals (e.g. conservation easements, land contracts/laws, buffers, reserve banks, fire/pest management)
- What is the system/infrastructure for identifying reversals in carbon stocks, temporary or permanent, so that they may be measured and reported on in a Party's MRV system?

How is this safeguard respected?

- How are the identified key risks of reversals monitored?
- How are systems or actions to address such risks implemented?
- What major dynamic stock changes were captured by the MRV system, and what were the causes and approximate volumes?

Updates

Updated information may be provided if there are changes in potential factors leading to reversals or in the systems implemented to address reversals; when forest monitoring results are compiled and reported; and in the case of significant reversal events .

Information Sources

Relevant information might be drawn from national REDD+ strategies or action plans; national forest monitoring systems, forest management systems, and national forest inventories; forest management plans; reversal risk assessments; and reversal management mechanisms; and reporting on results for results-based financing arrangements, among others.

(g) Actions to reduce displacement of emissions;

How is this safeguard addressed?

- What are the possible causes of emissions that might be displaced internationally (leakage) as a result of the implementation of REDD+-related activities, and what are the locations from which these emissions might be displaced?

- (If implementing REDD+ activities at a subnational scale on an interim basis), what are causes of emissions that might be displaced within country (leakage) as a result of the implementation of REDD+-related activities, and what are the locations from which these emissions might be displaced?
- How are related activities (e.g. wood product production, agriculture production, trade in associated products, etc.), and the associated land areas, monitored?
- What systems are in place, or measures are planned, to mitigate the risk of this displacement?

How is this safeguard respected?

- What measures were implemented to avoid emissions from displacement of activities associated with REDD+ within the country?
- Are avoided or increased emissions from displacement calculated, and if so how?
- How is information on emissions associated with displacement used to improve the effectiveness of measures to mitigate displacement risk?

Updates

Updates might be provided to reflect changes to the drivers of deforestation, relevant markets, or land tenure systems; modifications of plans to minimize leakage risk; information from national forest monitoring systems, national forest inventories, or carbon accounting systems of the relevant country; or similar information from neighboring countries or those with similar markets.

Information Sources

Potential sources of information included assessments of drivers of deforestation and forest degradation, and of leakage risk; sectoral reports associated with major drivers; land use surveys; market statistics; strategies or plans designed to address leakage risk; and carbon accounting systems, among other sources.

Additional information

For all safeguards, information on which stakeholders contributed information for the reporting, and which were consulted as the reports were prepared, may also be helpful.
