



**Summary of information on how the Cancun  
safeguards were addressed and respected by Brazil  
throughout the implementation of actions to reduce  
emissions from deforestation in the Amazon biome  
between 2006 and 2010**

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**Developed by:**

Ministry of the Environment

Secretariat for Climate Change and Environmental Quality

Department of Policies to Combat Deforestation

Climate Change and Forests Division

**Members of the Technical Panel of National Experts on REDD+ Safeguards (2012):**

Ana Raquel Garcia Mosque

André Nahur

Alice Thault

Brenda Brito

Camila Pianca

Felipe Almeida

Fernanda Carvalho

Leonardo Hasenclever

Mariana Christovam

Priscilla Feller

Tatiana Vilaca

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## 1. Introduction

In November 2013, after eight years of negotiations, the Parties to the United Nations Framework Convention on Climate Change (UNFCCC) defined an international architecture to provide incentives for developing countries to reduce greenhouse gas emissions from deforestation and forest degradation and the role of forest conservation, sustainable management of forests and enhancement of forest carbon stocks (REDD+).

The Warsaw Framework for REDD+ ([Decisions 9-15 / CP.19](#)) establishes the main international rules and procedures for mitigation efforts in the forest sector by developing countries to be recognized by the UNFCCC and compensated through payments for performance. These decisions present definitions of aspects such as reference levels, national forest monitoring systems, results-based financing, among others.

Several definitions about REDD+ activities were included in previous UNFCCC decisions, particularly in decision 1/CP.16, which is another important milestone for REDD+.

Paragraph 72, decision 1/ CP.16 requests developing country Parties, when developing and implementing their national REDD+ strategies, to address the safeguards [\[1\]](#) detailed in Appendix I, paragraph 2 of decision 1/ CP.16, ensuring the full and effective participation of relevant stakeholders, inter alia indigenous peoples and local communities.

Paragraph 2 in the Appendix I states that developing countries should promote and support the following safeguards during the implementation of the activities referred to in paragraph 70 decision 1/ CP. 16:

- (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 the actions referred to in paragraphs 70 and 72 of this decision;
- (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 ;
- (f) Actions to address the risks of reversals;
- (g) Actions to reduce displacement of emissions.

Decision 1/ CP 16 also requests, developing country Parties aiming to undertake REDD+ activities, in the context of the provision of adequate and predictable support, to develop a system for providing information on how the safeguards referred to in appendix I to this decision are being addressed and respected throughout the implementation of these activities.

The development of these safeguards information systems should take into account national circumstances and the respective capabilities of developing countries, whereas acknowledging national sovereignty, the relevant international obligations and agreements, and respecting gender considerations.

Decision 12 / CP.17 states that the national safeguards information systems should [\[3\]](#):

- (a) Be consistent with the guidance identified in decision 1/CP.16, appendix I, paragraph 1;*
- (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.*

The communication from developing country Parties to the UNFCCC on how the safeguards of Cancun are addressed and respected throughout the implementation of REDD+ will take the form of a summary of information [\[4\]](#), which will be part of the National Communication or may be submitted voluntarily by the country via the REDD+ platform on the UNFCCC website [\[5\]](#). This submission is a requirement for obtaining results-based payments, according to decision 9 / CP.19, paragraph 4.

This report lays out preliminary information on how the REDD+ safeguards were addressed and respected by Brazil throughout the implementation of initiatives to reduce emissions from deforestation in the Amazon. The sources of information are diverse and were collected at different periods during the implementation of public policies that contributed to Brazil's REDD+ results presented in the REDD+ Annex submitted to the UNFCCC in December 2014.

The information presented in this summary of information on how the Cancun safeguards have been addressed and respected are strictly related to the results achieved by Brazil reducing emissions from deforestation in the Amazon biome between 2006 and 2010, having the period between 1996 to 2005 as reference, the same timeframes referred to in Brazil's Forest Reference Emission Levels to the UNFCCC [\[6\]](#).

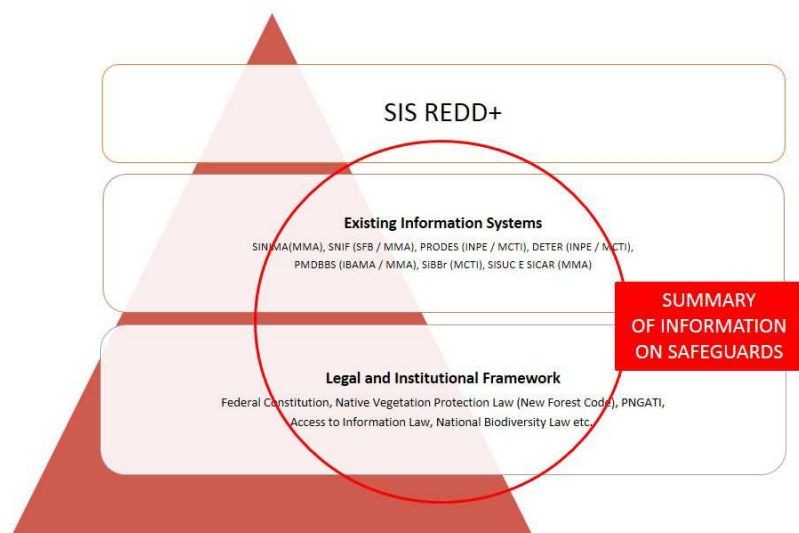
The choice of this period is explained by the implementation of the Action Plan for the Prevention and Control of Deforestation in the Legal Amazon (Plano de Prevenção e Controle do Desmatamento na Amazônia Legal, PPCDAm), launched in 2004, which to a

great extent was responsible for Brazil's emission reductions from deforestation during those years. This summary also presents information on how the Cancun safeguards were implemented by the Amazon Fund investing the resources received from REDD+ payments since 2009. Additional information on how the safeguards are addressed and respected will be included in the following summaries of information, as the country submits the results achieved reducing emissions from deforestation and forest degradation in other biomes.

Preliminarily, this summary also presents information regarding the process of setting up the national REDD+ Safeguards Information System (SIS REDD+), with a view to provide transparency to this process.

**It's worth noting that the summary of information and the SIS REDD+ are two distinct instruments.** The first is intended to provide information on the implementation of the Cancun Safeguards with respect to the results for which payments will be claimed. Such document, presented on regular basis, offers a picture of the implementation of the safeguards, focused on REDD+ results, being a requirement to access REDD+ payments. The second is a system that, in Brazil, is still at its early stage of development and should enable the constant monitoring of the implementation of REDD+ safeguards in Brazil.

When the SIS REDD+ becomes fully operational, the country will be able to generate its summary of information from it. For the moment, however, this summary of information on safeguards had as its basis the existing sources of information (information systems, websites, reports, etc.) and the relevant legal and institutional frameworks in place. **Figure 1** below shows schematically the distinction between these two instruments.



**Figure 1:** The national REDD+ Safeguards Information System (SIS REDD+) and the Summary of Information on Safeguards as distinct instruments

## 2. Methodology

This summary of information about how the Cancun safeguards were addressed and respected by Brazil throughout the implementation of REDD+ activities was built on the basis of the *report Survey to identify information and sources to feed the Safeguards Information System*, from April 2013, an internal document to the Ministry of Environment (MMA) developed by a panel of national experts in REDD+ safeguards (Technical Panel) created to provide a preliminary, non exhaustive, survey of information and sources on safeguards.

Most members of this *ad hoc* Technical Panel were from Brazilian civil society organizations and their selection by the MMA was based on their relevant contributions to the safeguards debate and on their availability and willingness to participate. Such format proved to be very effective and should be replicated for the development of the SIS REDD+, allowing interested experts and stakeholders to provide support to the federal government during the REDD+ SIS development process in 2015.

The work for the survey by the Technical Panel on safeguards was carried out on a voluntary basis in the course of the second half of 2012, with four meetings and the preparation of preliminary outcomes.

For identifying the relevant information and its sources, each representative of the Technical Panel had to answer a set of questions aimed at harmonizing their understanding. After that, an exercise was undertaken applying the World Resources Institute (WRI) methodology described in the report “A Framework for Designing a National System to Implement REDD+ Safeguards” [7], which seeks to map the main elements of a national safeguards information system - institutions, objectives, functions and rules. According to this methodology, goals define what the safeguards are meant to achieve. Safeguard functions are the processes by which those goals are achieved, while the rules are the institutions that operationalize the national safeguards system.

The literature consulted had as a basis the national legislation and international agreements, federal policies and programs, administrative processes, forums, committees, existing institutions and systems considered relevant to the implementation of the Cancun safeguards.

This summary was based on information from the survey report prepared by the Technical Panel. A draft of this summary was made available at the REDD+ Brazil website for contributions for two weeks, from 27 October to 7 November, (<http://mma.gov.br/redd/index.php/pt/salvaguardas/sum%C3%A1rio-sobre-salvaguardas>) to collect inputs from stakeholders and give publicity to the process. The draft was then presented, during a meeting organized by the MMA on November 7, 2014, to the Technical Panel members and other experts referred by them, for quality control purposes. The revised document, with the inputs received through the website and from the meeting, was then forward by the MMA to the Ministry of Science, Technology and Innovation (MCTI), so that it could be incorporated into Brazil's National Communication to the UNFCCC and

submitted to the public consultation process conducted by the MCTI. The report was then sent on a voluntary basis to the UNFCCC Secretariat so it could be made available through the web platform as per paragraph 3, decision 12/ CP.19.

It should be noted that this summary of information presents the state of the art of the implementation of the Cancun safeguards by Brazil throughout the implementation of the actions for reducing emissions from deforestation in the Amazon biome (through PPCDAm) between 2006 and 2010 and the projects funded with REDD+ results-based payments received through the Amazon Fund.

This document is a non-exhaustive preliminary assessment of the implementation of the Cancun safeguards by Brazil. The goal is to take the first step towards the creation of an effective dialogue process with the Brazilian society about the implementation of Cancun safeguards and about the creation of the SIS REDD+, acknowledging that its effective implementation should rely on a gradual and participatory approach. This process is still incipient in Brazil and it demands a coordinated structure that enables the full and effective participation of all relevant stakeholders.

### 3. REDD+ in Brazil

#### 3.1. National Context

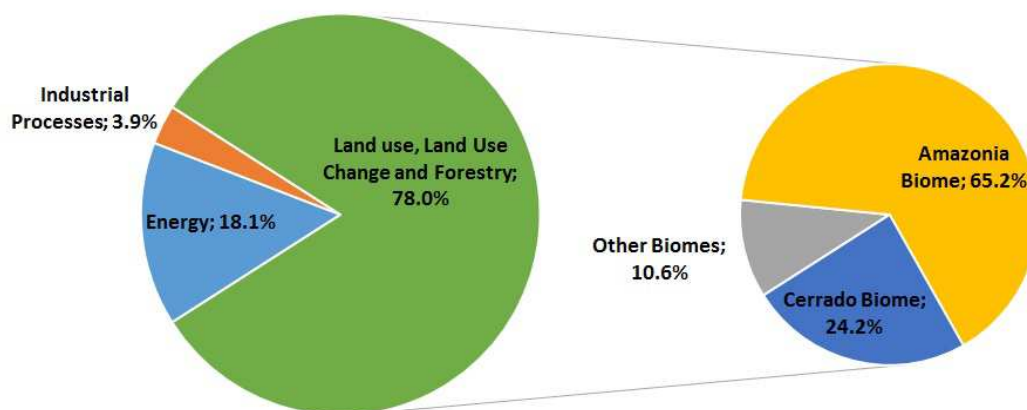
Brazil is a mega diverse country with the largest continuous forested area in the world. Brazilian forests, by providing a variety of goods and environmental services, play important social, economic and environmental roles. About 60% of the country is covered by native vegetation, spread across biomes with particular sets of characteristics.

*Table 1:* National statistics, reference year 2009. **Source:** Brazilian Forest Service, SFB, 2010

<b>Total population (2010)</b>	<b>191 million</b>
<b>Total country area</b>	851 million ha
<b>Total forest covered area</b>	516 million ha
<b>Forested area share of total country area</b>	60.7%
<b>Forested area per inhabitant</b>	2.7 ha
<b>Natural forest areas</b>	509.8 million ha
<b>Planted forest areas</b>	6.8 million ha
<b>Federal Protected areas</b>	74 million ha
<b>Indigenous lands</b>	106 million hectares
<b>Registered public forests (2010)</b>	290 million ha
<b>Federal community forests</b>	128 million ha
<b>Public forest under forest concession</b>	146 000 ha



About 78% of Brazil's CO<sub>2</sub> emissions in 2000 came from the land use, land use change and forestry sector (LULUCF) - see **Figure 2**.



**Figure 2:** Share of total anthropogenic CO<sub>2</sub> emissions by sector in 2000. **Source:** Second National Communication to the UNFCCC.

According to the Amazonian Gross Deforestation Monitoring Project (PRODES), from the National Institute for Space Research (INPE), MCTI, 2004 had the second highest annual deforestation rate on record in the Legal Amazon, reaching 27,772 km<sup>2</sup>. In the same year, PPCDAm was launched, with the participation of representatives from the Chief of Staff of the Presidency of the Republic, 13 Ministries and the civil society.

Brazil has achieved significant results with its efforts to reduce greenhouse gas emissions from deforestation and forest degradation since 2006. International recognition for these efforts materializes through results-based REDD+ payments. For the purpose of earning the recognition of its REDD+ results under the UNFCCC, Brazil must, *inter alia*, present its National REDD+ Strategy (ENREDD+), undergo evaluation of its reference levels (completed for the reference level for reducing emissions from deforestation in Amazon biome in November 2014), undergo verification process of the results presented in the REDD+ Annex to the Biennial Update Report (BUR) in December 2014 and present a summary of information on how the Cancun safeguards were addressed and respected in the implementation of REDD+ activities as part of its National Communication to the UNFCCC.

The ENREDD+ was developed through a broad and participatory process initiated in 2010. The ENREDD+ aims to coordinate and promote synergies between the National Climate Change Policy (Law no. 12.187 / 2009), the Native Vegetation Protection Act (New Forest Code), the plans to prevent and control deforestation in the biomes (see details on the

PPCDAm in the next section) and other laws, policies and regulations that aim to reverse the loss of forests, a government priority.

**Figure 3** presents an illustration of some of the instruments that are part of the legal and institutional framework for REDD+ in Brazil.



**Figure 3:** Legal and Institutional Framework for REDD+

In the following sections and throughout this summary, the PPCDAm and the Amazon Fund will be described in detail. These are initiatives from the federal government linked to Brazil's REDD+ results in the Amazon biome since 2006.

### **3.2. Action Plan for the Prevention and Control of Deforestation in the Legal Amazon (PPCDAm)**

Brazilian environmental policies take into account the specificities of each biome from its formulation through its implementation. A biome is an eco-region, a set of ecosystems comprising similar vegetation physiognomic characteristics in a given region. The Brazilian biomes are: Atlantic Forest, Amazon, Caatinga, Cerrado, Pantanal and Pampa.

The first biome to have a plan to combat deforestation was the Amazon, the largest rainforest in the world. Brazil has 60% of this biome in its territory. For administrative purposes, the Brazilian government adopts the geographic region known as "Legal Amazon" to develop its initiatives, which includes portions of the Cerrado and the Pantanal biomes. [PPCDAm](#) is the main framework of actions to protect the Brazilian Amazon rainforest.

The PPCDAm is a tactical-operational plan, created in 2004, which clearly defines the actions, the responsible actors and the goals to be achieved in order to control and prevent illegal deforestation and promote sustainable regional development in the Amazon. It consists of coordinated governmental efforts to facilitate the transition from the predatory growth to a sustainable development model, taking into consideration the importance of keeping forests standing, of its associated natural resources and of the promotion of economic and social means to benefit the 25 million inhabitants of the Amazon.

In order to promote the continuous reduction of deforestation and forest degradation in the Amazon, PPCDAm was structured in three thematic axes that guide government action, namely:

1. Land tenure regularization and land use planning;
2. Environmental Monitoring and Control; and
3. Fostering Sustainable Production Activities.

To implement the actions set out on PPCDAm's three axes, each participating institution channels funds from their own budget or from other sources.

PPCDAm fostered, since its creation, the development of public policies to meet the challenges of reducing illegal deforestation in the Amazon. To achieve such goal, the plan acts as an umbrella for several public policies, programs and initiatives. Among these are the following:

- *Plano de Desenvolvimento Regional Sustentável do Xingu – PDRS Xingu* (“Xingu Sustainable Regional Development Plan”);
- *Plano Nacional de Promoção das Cadeias de Produtos da Sociobiodiversidade – PNPSB* (“National Plan for Promoting the Supply Chains of Sociobiodiversity Products”);
- *Política de Garantia de Preços Mínimos para Produtos da Sociobiodiversidade – PGPM-Bio* (“Minimum Price Guarantee of socio-biodiversity products Policy”);
- *Política Nacional de Gestão Territorial e Ambiental das Terras Indígenas – PNGATI* (“National Policy on Territorial and Environmental Management of indigenous lands”);
- *Programa Agricultura de Baixa emissão de Carbono - ABC* (“Low Carbon Emission Agriculture Program”);
- *Programa Áreas Protegidas da Amazônia – ARPA* (“Amazon Region Protected Areas Program”);
- *Programa de Apoio à Conservação Ambiental – Bolsa Verde* (“Environmental Conservation Support Program - Green Grant” - part of Brazil without extreme Poverty Plan);
- *Programa de Manejo Florestal Comunitário e Familiar – PMFC* (“Community and Family Forest Management Program”);

- Programa de Regularização Ambiental – PRA (“Environmental Regularization Program”);
- Programa Nacional de Fortalecimento da Agricultura Familiar - PRONAF (“National Program for Strengthening Family-based Agriculture”);
- Programa Terra Legal (Regular Land Program”).

Each of these governmental programs have their own resources, goals, and target groups set to converge with the objectives proposed under PPCDAm, spanning from environmental conservation to the promotion of sustainable agricultural production systems. This approach was taken after the federal government recognized that effectively tackling deforestation would entail joint and coordinated efforts in various fronts, since drivers often go beyond the environmental sector.

In addition to the federal government initiatives, the active participation of state governments through the Planos Estaduais para Prevenção e Controle do Desmatamento – PPCDs (“States’ Plan for Prevention and Control of Deforestation”), is of great importance to the implementation of the PPCDAm. The dialogue with the State governments has been gaining strength since the second phase of PPCDAm, when a coordinated strategy at the federal and state levels has become more robust with greater integration between the PPCDAm and the PPCDs.

Important results have been achieved during the first and second phases of the PPCDAm. In the Land tenure regularization and land use planning axis, 25 million hectares of Federal Protected Areas were created and another 10 million hectares of indigenous lands have been approved, mostly around the expansion front for deforestation. In addition to that, approximately 25 million hectares of state as well as municipal Protected Areas have been created since 2004, meaning that all levels of government contributed to the expansion of Protected Areas in the Amazon biome. Besides the expansion of protected areas, the Amazon Ecological-Economic Macro zoning Plan was created and 25,618 rural possessions have been georeferenced by *Terra Legal*.

The Environmental Monitoring and Control axis had hundreds of integrated law enforcement operations, based on technical criteria and territorial priorities, as well as significant improvement of environmental monitoring systems, which involved satellite imagery analysis, such as PRODES, the Sistema de Detecção do Desmatamento na Amazônia Legal em Tempo Real – DETER (Real Time Deforestation Detection System) which serves as a guide for integrated enforcement operations and, more recently, the Sistema de Detecção da Exploração Seletiva de Madeira – DETEX (Selective Logging Detection System), the Mapeamento da Degradação Florestal na Amazônia Brasileira – DEGRAD (“Forest Degradation in the Brazilian Amazon Mapping System”) and the TerraClass Project to assess land use and occupation dynamics of deforested areas.

On the Fostering Sustainable Production Activities axis the highlights have been the initiatives to promote a forest economy in the Amazon, with 13,852 families cared for in projects that aim at promoting sustainable management practices in rural settlements and

the *Bolsa Verde* Program, whose target group is, among others, populations living in sustainable use Protected Areas. It is also noteworthy that 225,000 hectares of forests are now under concession for Sustainable Management and the creation of that the Sustainable Forest District of BR 163 has been created.

In its third phase (2012-2015), the following strategic objectives were stated for the three axes of PPCDAm (**Table 2**).

**Table 2:** Strategic objectives on PPCDAm's three axes **Source:** PPCDAm (2012-2015)

<b>Axes</b>	<b>Strategic Goals</b>
<b>Land tenure regularization and land use planning</b>	<ul style="list-style-type: none"> <li>• Promote land use planning of public lands</li> <li>• Implement regional land use planning instruments to advance forest conservation</li> <li>• Management of rural landholdings grid according to its diverse categories</li> </ul>
<b>Monitoring and Control</b>	<ul style="list-style-type: none"> <li>• Speed up the licensing of forest management plans and forest concessions</li> <li>• Improve the efficiency of law enforcement and deforestation command and control activities</li> <li>• Enhance the government's presence in the Amazon</li> <li>• Reduce administrative and criminal impunity related to illegal deforestation</li> <li>• Promote environmental accountability of the main supply chains related to illegal deforestation</li> </ul>
<b>Fostering Sustainable Production Activities</b>	<ul style="list-style-type: none"> <li>• Promote sustainable supply chains that provide alternatives to deforestation</li> <li>• Promote good practices in agriculture, including replacing the use of fire as a management tool</li> <li>• Increase the wood production and trade from sustainable management of forests</li> <li>• Promote environmental compliance and foster sustainable production activities in agrarian reform settlements and family farming</li> <li>• Generate science, technology and innovation about the Amazon to support sustainable development</li> </ul>

PPCDAm identifies and addresses the drivers of deforestation, constituting the basis for REDD+ implementation. The implementation of REDD+ in Brazil in turn creates new positive incentives for the implementation of the PPCDAm through economic instruments that promote sustainable initiatives in the Amazon biome, thereby strengthening the third axis of PPCDAm (Fostering Sustainable Production Activities).

REDD+ has the potential to contribute to the permanence of the emission reductions achieved by reducing deforestation through PPCDAm, with new and additional resources to be raised internationally as results based payments. In addition to that, the lessons

learned in the PPCDAm serve not only to improve public policies aimed at reducing deforestation in the Amazon but also in other Brazilian biomes and tropical countries.

Once approved, the ENREDD+ will tie the tactical-operational plan defined by PPCDAm, with specific REDD+ goals defined by Brazil, namely: (i) to improve the monitoring and impact assessment of public policies for REDD+, in order to maximize their contribution to global climate change mitigation, observing the Cancun safeguards; (ii) to integrate the management structures of the National Climate Change Plan and the Action Plans for the Prevention and Control of Deforestation in the biomes, seeking the convergence between climate and forest policies at the federal, state and municipal levels; and (iii) to contribute to the mobilization of international resources at a scale that is compatible with the voluntary national commitments to mitigate greenhouse gas emissions in the Brazilian biomes by 2020, as established by the National Climate Change Policy.

### **3.3. Amazon Fund**

The [Amazon Fund](#) is currently Brazil's main funding instrument based on compensation for REDD+ results. Established by the [Decree No. 6527 of August 1, 2008](#), its goal is to raise donations for non-reimbursable investments in efforts to prevent, monitor and combat illegal deforestation and to promote conservation and sustainable use of forests in the Amazon biome. Its creation was an outcome of the success achieved by the PPCDAm in reducing deforestation in the Amazon biome since 2004 and took place even before the definition of an international architecture for REDD+ under the UNFCCC.

The Amazon Fund supports [projects](#) in the following areas:

- Management of public forests and protected areas;
- Environmental control, monitoring and inspection;
- Sustainable forest management;
- Economic activities created with sustainable use of forests;
- Ecological and economic zoning, territorial arrangement and agricultural regulation;
- Preservation and sustainable use of biodiversity; and
- Recovery of deforested areas.

The Amazon Fund may use up to 20% of its resources to support the development of systems to monitor and control deforestation in other Brazilian biomes and in other tropical countries. The decree that created the Amazon Fund also recommends that the initiatives to be financed follow the guidelines of the Sustainable Amazon Plan and the PPCDAm.

The institution responsible for managing the Amazon Fund is the Brazilian Economic and Social Development Bank (Banco Nacional de Desenvolvimento Econômico e Social,

BNDES), which is also in charge of fundraising results based payments, in coordination with the MMA, and contracting and monitoring the projects and actions supported. The Amazon Fund has a Guidance Committee (COFA), which is responsible for determining the guidelines and for monitoring the projects results; and a Technical Committee (CTFA), appointed by the MMA, whose role is to attest the emission reductions achieved in the Amazon.

The cap for fundraising is set annually by the MMA, taking into account the actual emission reductions from deforestation in the previous year, after being attested by the CTFA. Based on this information, the BNDES is authorized to raise donations to the Fund and in return issue certificates recognizing the contribution of the donors to the Fund. These certificates are nominal, non-transferable and do not generate rights or claims of any kind.

Entities from governments (federal, state and municipal), public and private companies and also from the civil society can submit projects to the Amazon Fund.

The following are the [social and environmental safeguards applicable to the Amazon Fund projects](#):

- Legal Compliance
- Acknowledgement and guarantee of rights
- Distribution of benefits
- Economic sustainability, improving standards of living and reducing poverty
- Environmental conservation and remediation
- Participation
- Monitoring and Transparency
- Governance.

The document "REDD+ Social and Environmental Principles and Criteria", consolidated by Imaflores in 2010, served as a reference for defining these safeguards. The document was the result of an initiative that engaged representatives from the private sector, environmental organizations, indigenous peoples, traditional communities, smallholders and research institutions. **Table 3** presents the correlation between these Principles and Criteria and the Cancun Safeguards.

**Table 3:** Comparative Matrix of the Cancun Safeguards and REDD+ Social and Environmental Principles and Criteria conceived by the Brazilian civil society

CANCUN SAFEGUARDS [8]	REDD+ SOCIAL AND ENVIRONMENTAL PRINCIPLES AND CRITERIA
(A) That actions complement or are consistent with the objectives of national forest programs and relevant	1.1 REDD+ actions shall respect the Brazilian labor legislation, including requirements on health and safety and repression of any form of slave and child labor, while respecting the distinctiveness of the organization of labor of Indigenous Populations,

<p>international conventions and agreements.</p>	<p>smallholders and local communities.  1.2 REDD+ actions shall respect the Brazilian environmental legislation.  1.3 REDD+ actions shall respect all international social, environmental, cultural, labor and commercial agreements ratified by Brazil.</p>
<p>(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.</p>	<p>2.1 There shall be the recognition and respect of the constitutional, statutory and customary rights associated with land ownership, the official designation of occupied lands, and the use of natural resources of Indigenous Peoples, smallholders, including complete respect to the UN Declaration on the Rights of Indigenous Peoples, to the FAO Treaty on Agriculture and Food, and to the ILO Convention 169.  2.2 REDD+ actions shall recognize and value the socio-cultural systems and traditional knowledge of Indigenous Peoples, smallholders and local communities.  2.3 REDD+ actions shall respect the rights to self-determination of the Indigenous Peoples and local communities.  2.4 In the areas where REDD+ actions are implemented, lawful ownership and possession rights shall be respected, as well as those rights associated with the use of land and natural resources.  2.5 There shall be formal mechanisms for conflict resolution associated with REDD+ actions, through dialogues that include the effective participation of all involved stakeholders.  3.1 Benefits generated by REDD+ actions shall be accessed in a fair, transparent and equitable form by those who hold the rights to the use of land and/or natural resources and promote activities related to conservation, sustainable use and forest restoration.</p>
<p>(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.</p>	<p>5.1 REDD+ actions shall contribute to the conservation and recovery of natural ecosystems and avoid causing significant negative impacts to biodiversity and ecosystem services  5.2 Species or ecosystems that are rare, endemic or threatened with extinction, as well as any other high conservation value attribute, shall be previously identified, protected and monitored.  5.3 In case of restoration activities in degraded areas, REDD+ actions shall use native species.</p>
<p>(D) The full and effective participation of relevant stakeholders, in particular indigenous peoples and local communities.</p>	<p>6.1 Conditions for the participation of the beneficiaries shall be ensured in all phases of REDD+ actions and in the decision making processes, including the identification, negotiation and distribution of benefits.  6.2 Decision making processes relating to REDD+ actions shall effectively ensure the right to free, prior and informed consent, considering local representatives and respecting the traditional forms of electing representatives by Indigenous Peoples, smallholders and local communities.  6.3 Populations living in areas affected by REDD+ actions shall be informed about them.</p>



<p>(B) Transparent and effective national forest governance structures, taking into account national legislation and sovereignty.</p>	<p>7.1 Beneficiaries shall have free access to information relating to REDD+ actions, in simple language, so they can participate in the decision making process in a previously informed and responsible manner.</p> <p>7.2 Transparency of information about REDD+ actions shall be guaranteed, including at least those related to the methodology, location and size of the area, definition and participation of involved and affected stakeholders, activities to be executed, time length of the project and conflict resolution mechanisms.</p> <p>7.3 In public lands, protected areas and in other areas that involve Indigenous Peoples, smallholders and local communities, or in REDD+ actions supported by public funds, there shall be ensured transparency of information regarding the raise, use and distribution of benefits generated by REDD+, as well as periodic financial reporting.</p> <p>7.4 There shall be periodic monitoring of the socio-environmental, economic and climate related impacts and benefits of REDD+ actions, while respecting the traditional way of life and practices of Indigenous Peoples, smallholders and local communities, and results of this monitoring shall be made publicly available.</p>
<p>(B) Transparent and effective national forest governance structures, taking into account national legislation and sovereignty.</p>	<p>8.1 REDD+ actions shall be coordinated and consistent with national, state, regional and municipal policies and program on climate change, conservation, sustainable development and deforestation prevention.</p> <p>8.2 REDD+ actions shall meet the requirements of state or national REDD+ policies.</p> <p>8.3 Emission reductions and carbon sequestration generated by REDD+ actions shall be quantified and registered in a way to avoid double counting.</p> <p>8.4 REDD+ government actions shall contribute to strengthen public instruments and processes for forestry and territory management.</p>
<p>(F) Actions to address the risks of reversals. (G) Actions to reduce displacement of emissions.</p>	<p>4.1 REDD+ actions shall promote economic alternatives based on standing forest valorization and on the sustainable use of natural resources and deforested areas.</p> <p>4.2 REDD+ actions shall contribute to poverty alleviation, social inclusion and improvement of livelihoods for people who live in REDD+ implementation areas and in areas affected by it.</p> <p>5.1 REDD+ actions shall contribute to the conservation and recovery of natural ecosystems and avoid causing significant negative impacts to biodiversity and ecosystem services.</p> <p>8.3 Emission reductions and carbon sequestration generated by REDD+ actions shall be quantified and registered in a way to avoid double counting.</p>

This summary of information presents some information on the Amazon Fund's safeguards procedures. The risks and impacts assessment is a major component of BNDES' review process for the Amazon Fund projects. All the projects submitted to the BNDES receive an environmental risk rating, and social and environmental recommendations to be observed during the analysis process. Across the wide array of institutions and types of projects supported by the Fund, there is an effort to ensure compliance with standards and guidelines from public policies associated with each project, while taking into consideration the territorial and social particularities of the region.

The cases in which greater territorial impact is identified, specific actions are implemented. Apart from the direct impacts, the assessment of a project aims at measuring and fostering the positive externalities or co-benefits, and avoiding or minimizing potential risks of negative impacts. The risks and impacts encountered in the project assessment are discussed with the applicants, to explore ways to eliminate or reduce them to an acceptable level. This assessment can lead to changes in the design, in the text of a given agreement with other entities or even lead to tailoring specific contractual clauses.

### **3.4 Implementation of the Warsaw Framework for REDD+ by Brazil**

In early 2014, a Technical Working Group on REDD+ was established by the MMA, comprised of renowned experts in fields of climate change and forests to provide inputs for the development of high quality technical submissions and to support the federal government team during the assessment of such submissions by the experts appointed by the UNFCCC. The group had three meetings in 2014.

On June 6, 2014 in Bonn, Germany, Brazil submitted its [Forest Reference Emission Level \(FREL\) for reducing emissions from deforestation in the Amazonia biome for REDD+ results-based payments under the UNFCCC](#). This submission was developed with support from the Technical Working Group on REDD+ and marked the beginning of the implementation of the Warsaw Framework for REDD+, one of the major outcomes of the COP 19 held in Poland on November, 2013.

Brazil's FREL focuses on the gross emissions from deforestation, defined as clear-cutting, in the Amazon biome between 1996 and 2005. Brazil has a consistent forest monitoring time series from PRODES (INPE), which made this submission possible. Gross CO<sub>2</sub> emissions were spatially calculated, having as a reference the carbon map from Brazil's Second National Inventory of Greenhouse Gas Emissions, the latest available when the FREL was submitted to the UNFCCC. The submission included the carbon pools below and above ground and litter, the calculation of emissions followed the IPCC guidelines and methodologies (2003).

Between August and November 2014 Brazil's FREL underwent a rigorous evaluation process conducted by two LULUCF experts appointed by the UNFCCC. This facilitative process contributed to improve the clarity of the submission and also identified areas that will require further technical development for future submissions.

In December 2014, Brazil submitted to UNFCCC its results reducing emissions from deforestation in the Amazon biome, since 2006, through a technical annex to the BUR. The document, developed with support from the Technical Working Group on REDD+, will undergo the international consultation and analysis process (ICA) in 2015 (**Figure 4**).



**Figure 4:** Process that developing countries go through to obtain the recognition of their REDD+ results under the UNFCCC. **Note:** The purple boxes represent initiatives from developing countries that strive for recognition of their REDD+ results and the green boxes represent the initiatives from the UNFCCC Secretariat.

#### 4. The safeguards of Cancun in the Brazilian context

Although the PPCDAm (2004) and the Amazon Fund (2008) were launched before decision 1/CP. 16 (2010), parallels can be drawn between the Cancun safeguards and the processes and actions undertaken during the implementation of activities under such initiatives. The sections below present an interpretation of the seven Cancun safeguards in the Brazilian context and a brief analysis of how they were treated throughout the implementation of the PPCDAm, which drove Brazil's REDD+ results since 2006, and the financing of projects by the Amazon Fund.

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

In order to understand what this safeguard means in the Brazilian context and the means for its effective implementation, the Technical Panel sought to ascertain what are the national programs and international agreements relevant to REDD+ that have been ratified by Brazil. The Technical Panel also took into consideration administrative proceedings, institutions and working groups that could assist in ensuring consistency or complementarity with the implementation of relevant policies and international agreements.

Brazil has numerous programs and initiatives to promote the reduction of deforestation and forest degradation, conservation, sustainable management of forests and reforestation (REDD+ activities). Among them: [the Federal Constitution](#), [the Native Vegetation Protection Law](#) (New Forest Code), [National Policy on Territorial and Environmental Management of Indigenous Territories](#), [Public Forests Management Law](#), [National Environmental Policy](#), [National Climate Change Policy](#), [Amazon Region Protected Areas Program](#), [Ecologic-Economical Macro zoning](#), [Rural Environmental Registry](#), [National Biodiversity Policy](#), [Amazon Degraded Areas Recovery Program](#), [National Community and Family Forest Management Program](#), [National Agrarian Reform Program](#), [Brazil Quilombola Program](#), the United Nations Declaration on the Rights of Indigenous Peoples, ILO-Convention 169, Convention on Biological Diversity, Ramsar Convention, Agenda 21, among others.

The complementarity and consistency of these actions in the Amazon biome is driven by the PPCDAm. PPCDAm aims to coordinate and direct the policies and initiatives identified as linked to the dynamics of deforestation. The three axes of PPCDAM serve as a means of harmonizing such policies.

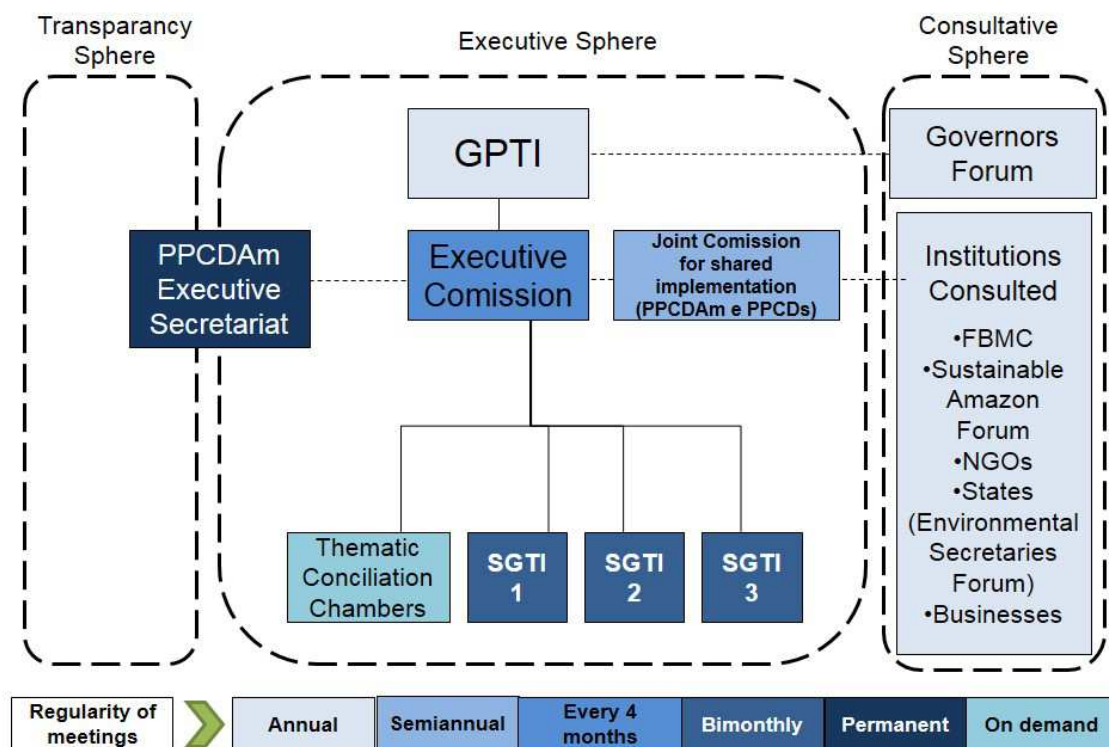
Among those safeguards adopted by the Amazon Fund, the one concerning “Governance” is the one more closely related to this Cancun safeguard. The Amazon Fund has a Guidance Committee in its operating structure, [COFA](#), which sets the guidelines and priorities to be adopted for analyzing project applications. One of the conditions for approval is whether projects can demonstrate clear consistency with actions planned in the PPCDAm and the PPCDs. In addition to that, the compliance with the Fund's environmental and social safeguards is assessed through the reports to monitor the project activities.

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

When assessing compliance with this safeguard, the Technical Panel set basic criteria for evaluating the transparency and effectiveness of existing governance structures related to REDD+ activities. Note that this set of criteria does not preclude the inclusion of new criteria, as appropriate.

The criteria were divided into two categories to ease the collection of information: (i) institutional arrangements and (ii) transparency. For institutional arrangements, the information gathered covered the composition (e.g. parity between government and civil society), regularity (number of meetings), assignments, structure, decisions guided by these structures, capillary and gender issues. Regarding transparency, information about availability and publicity of data were considered.

PPCDAm's current governance model is divided into three spheres: Executive, Consultative and Transparency (**Figure 5**).



**Figure 5:** PPCDAm's phase 3 governance structure.

The Executive Sphere is where decision-making, guidance, implementation and monitoring of activities take place, whereas the Consultative Sphere promotes dialogue with State governments and civil society, which is vital to the success of the PPCDAm. The Transparency Sphere aims to give greater publicity to the PPCDAm implementation, using several means to reach out to other government entities and the Brazilian society by publicizing the monitoring of activities carried out.

The Grupo Permanente de Trabalho Interministerial (“Permanent Inter-Ministerial Working Group” - GPTI) created by the Decree of [July 3, 2003](#) is responsible for decision-making and proposing strategic measures. The GPTI consists of 17 ministries (initially they were 13) under the coordination from the MMA since 2013 (it was initially coordinated by the Chief of Staff of the Presidency).

The PPCDAm also has an Executive Committee, coordinated by the Chief of Staff of the Presidency between 2004 and 2013 and by the MMA since then. The Executive Committee is responsible for monitoring and proposing measures to overcome the challenges associated with the implementation of the activities planned under the PPCDAm and the ones defined by the GPTI. The Committee has representatives from the

Ministries involved. The MMA has the role of Executive Secretariat, responsible for examining and monitoring the PPCDAm implementation. The Executive Committee is tied to the Legal Amazon Environment Secretaries Forum in a Joint Committee for Shared Implementation (PPCDAm and PPCDs).

Dialogue with civil society pervades the whole design of the PPCDAm, especially by taking advantage of already established channels such as the [Sustainable Amazon Forum](#), which also includes representatives from the business sector. This dialogue was further developed during the technical-scientific seminars designed for deforestation data analyses. The aim is to strengthen the channels for communication with key Brazilian stakeholders in order to promote the effective implementation of PPCDAm activities.

Another innovation of PPCDAm was the creation of Subgroups for each thematic Axis, creating a space for constant monitoring and problem solving to meet the targets - although each subgroup has its own dynamics and regularity of meetings, mainly determined by how the items on the agenda progress in a subgroup.

As for the Amazon Fund, the COFA determines the guidelines for supporting projects and monitoring the results achieved. COFA has representatives from the Federal government, the State governments in the Legal Amazon region and the civil society (see composition in **Table 4** below). Voting rights in the COFA are granted only to those State governments with a PPCD. This conditionality helped the PPCDAm in getting the State governments engaged with implementing actions to reduce deforestation.

**Table 4:** Amazon Fund Guidance Committee composition.

<b>Blocks</b>	<b>Entity</b>
Federal Government	Ministry of the Environment
	Ministry of Development, Industry and Foreign Trade
	Ministry of External Relations
	Ministry of Agriculture, Livestock and Food Supply
	Ministry of Agrarian Development
	Ministry of Science, Technology and Innovation
	Chief of Staff of the Presidency of the Republic Office
	Strategic Affairs Secretariat of the Presidency of the Republic
	Brazilian Economic and Social Development Bank - BNDES
Amazonian states	Acre
	Amapá
	Amazonas
	Maranhão
	Mato Grosso
	Pará
	Rondônia
	Roraima
	Tocantins
<b>Civil Society</b>	Brazilian Forum of NGOs and Social Movements for Environment and Development - FBOMS

	Brazilian Amazon Indigenous Organizations Coordination Office - COIAB
	National Confederation of Industry - CNI
	National Forum of Forest-Based Activities - FNABF
	National Confederation of Agricultural Workers - CONTAG
	Brazilian Society for the Progress of Science - SBPC

To ensure transparency in the Amazon Fund's decision-making processes, COFA meetings are recorded in "Technical Provisions Registries" - Registros de Encaminhamento Técnico (RETs) made available on the Amazon Fund's website: [http://www.fundoamazonia.gov.br /FundoAmazonia/fam/site\\_pt/Esquerdo/Fundo/cofa.html](http://www.fundoamazonia.gov.br /FundoAmazonia/fam/site_pt/Esquerdo/Fundo/cofa.html). Furthermore, to give publicity and transparency to the projects in progress and/ or in implementation, the Amazon Fund offers a [section for consulting the projects approved](#), [fortnightly bulletins with an overview of the projects submitted](#) and [annual activity reports](#) on its website.

**(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**

The Technical Panel focused on determining which norms contemplate the rights of indigenous peoples, traditional communities and smallholders, as well as on the rights associated with traditional knowledge, taking into account relevant international obligations, national circumstances and law and the United Nations Declaration on the Rights of Indigenous Peoples.

Fourteen instruments that provide for rights and respect for knowledge and customs were identified, among them, the ILO Convention 169, the Federal Constitution, the [National Policy on Territorial and Environmental Management of indigenous lands \(Política Nacional de Gestão Territorial e Ambiental de Terras Indígenas, PNGATI\)](#), [National Policy for the Sustainable Development of Traditional Peoples and Communities](#) and the [Indigenous Peoples Statute \(Law 6,001 / 1973\)](#). Among the rights mapped out, some of the most important are the rights for free, prior and informed consent, rights to the territory, rights to the use of resources and benefit-sharing.

To understand how this safeguard was respected during the implementation of the PPCDAm it is necessary to evaluate how the right for free, prior and informed consent was exercised, the occurrence and allegations of environmental crimes and of violation of rights, the demarcation of indigenous and quilombola lands, management plans, processes submitted to the [Conselho de Gestão do Patrimônio Genético](#) ("Genetic Heritage Management Council" CGEN in Portuguese) from MMA's Biodiversity and Forests Secretariat.

Throughout the PPCDAm's implementation, 10 million hectares of indigenous lands were demarcated between 2004 and 2011. However, the experts from the Technical Panel pointed out that although the data on demarcation of indigenous lands is relevant to the context of this safeguard, it does not suffice for assessing its compliance. For example, there is no mention of data on conflicts and violence related to demarcation, approval and recognition of indigenous lands in the reports from the National Indigenous People's Foundation (Fundação Nacional do Índio - FUNAI) and civil society institutions. A more comprehensive assessment of processes that provides more details on how this safeguard is being respected is required.

The Amazon Fund, in partnership with the MMA and FUNAI, launched in May 2014, [a Call for Proposals](#) to select applicants for non-reimbursable financial support for the development and implementation of Territorial and Environmental Management Plans (Planos de Gestão Territorial e Ambiental de Terras Indígenas - PGTAs) in indigenous lands in the Amazon biome. This Call for Proposals contributes directly to the implementation of the PNGATI. The total amount of resources for this call is up to R\$ 70 million and up to ten projects will be selected for the design and implementation of PGTAs in the Amazon. The design of PGTAs must take into consideration the document "[Guidelines for designing Land and Environmental Management Plans for Indigenous Lands](#)" by FUNAI [\[9\]](#) .

[FUNAI](#) has actively participated in the Inter-Ministerial Working Group for the ENREDD+ and, along with the MMA, has prepared the document with the premises for developing of REDD+ activities in indigenous lands. In addition to that, throughout the 4 years of the ENREDD+ drafting process, a series of meetings with representatives from the Brazilian Amazon Indigenous Organizations Coordination Office ([Coordenação das Organizações Indígenas da Amazônia Brasileira](#) - COIAB) and the National Articulation of the Indigenous People of Brazil ([Articulação dos Povos Indígenas do Brasil – APIB](#)). The MMA's technical team participated in a series of meetings on climate change organized by indigenous representations in the Amazon states and by the FUNAI to present the context and development of REDD+ under the UNFCCC and in Brazil.

The absence of a national regulation on the ILO 169, of a forum or specific body to file representations (charges) about violation of rights in REDD+ initiatives was identified as an area that requires improvements on the Brazilian government side, for the effective implementation of this safeguard.



**(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**

*Processes at the federal level*

Full and effective participation depends on the availability of information that is qualified, accessible, transparent and adequate to REDD+ stakeholders. The Technical Panel interpreted that a fundamental condition for the full and effective participation of stakeholders is to ensure that indigenous peoples and traditional communities have representativeness in decision-making processes for the design and implementation of REDD+ policies and initiatives. Representatives of indigenous peoples and local communities should be considered and encouraged to take leading roles in REDD+ initiatives in their territories.

During the preparation of PPCDAm's third phase, a series of meetings for designing the elements of each axis took place with stakeholders' participation. A Consultative Sphere was established in the governance structure, enabling the participation of a wide range of social sectors. The Governors Forum tied to the GPTI and to the [Brazilian Forum on Climate Change](#) at the executive level, the Sustainable Amazon Forum, NGOs, the Environment Secretaries Forum and the productive sector. It should be noted that this Consultative sphere was created and functioned solely during the preparation of the third phase of PPCDAm; it will not be in place for its evaluation.

Members of the Technical Panel point out that in spite of the opportunities opened for participation, such debates were predominantly technical. Therefore these forums do little to truly engage grassroots organizations, putting the voice and protagonism of some stakeholders in jeopardy. In recent years, thematic workshops regularly organized by FUNAI have brought basic information to this audience, enabling more qualified engagement from indigenous leaders in discussions on climate change, forests and indigenous peoples.

When considering the Amazon Fund's project proposals review process, guidance on the effective participation of stakeholders is provided by their social and environmental safeguards. COFA is structured as a tripartite committee, composed by: the federal government, state governments and civil society. Each block being entitled to one vote for the decisions.

The resolutions must be approved by consensus. COFA has representatives from the following segments of civil society: (1) [Fórum Brasileiro de ONGs e Movimentos Sociais para o Meio Ambiente e o Desenvolvimento](#) ("Brazilian Forum of NGOs and Social Movements for Environment and Development" FBOMS in Portuguese), (2) the COIAB, (3) the [Confederação Nacional dos Trabalhadores na Agricultura](#) ("National Confederation of Agricultural Workers" CONTAG in Portuguese), (4) the [Sociedade Brasileira para o](#)

[Progresso da Ciência](#) (“Brazilian Society for the Progress of Science SBPC in Portuguese), (5) the [Confederação Nacional da Indústria](#) (“National Confederation of Industry” CNI in Portuguese), (6) the [Fórum Nacional das Atividades de Base Florestal](#) (“National Forum of Forest-Based Activities” FNABF in Portuguese).

The Fund guidelines approved by COFA state that: (1) the project must include acceptance by all partners and co-executors; and (2) projects involving traditional communities and indigenous peoples must necessarily present a document to demonstrate free, prior and informed consent from those communities or their representative institutions.

The development of the ENREDD+, by its turn, involved a broad and participatory process that lasted four years. The process began in 2010 when the federal government created three Working Groups [10] with stakeholders; they generated the "[Synthesis report with multi-stakeholder input for preparing the National Strategy](#)". The main recommendation from this dialogue with society was that the federal government should institute a formal process to develop a National REDD+ Strategy.

In the course of the process to develop Brazil’s National REDD+ Strategy, a series of formal and informal meetings were held with various segments of society, including representatives from indigenous communities, state governments, the private sector and civil society organizations. Among the opportunities for discussion, the highlights were the workshop on "[The implementation of social and environmental safeguards in the ENREDD+](#)" and the discussion about safeguards with indigenous peoples in the COIAB event held in Manaus, in 2011 (see the details in the Annex I of this document).

All the information was made available on the MMA's REDD+ website ([www.mma.gov.br/redd](http://www.mma.gov.br/redd)) to promote transparency and the participation of the Brazilian stakeholders throughout the process. It is expected that in 2015, when the ENREDD+ is launched, the dialogue process with the society will intensify.

Despite the provisions for participation both in the PPCDAm governance structure and in the Amazon Fund, some representatives of the Brazilian civil society, in response to the publication of the draft of this summary on the web (from 27 October to 7 November), emphasized that the participation of non-state and state government actors in REDD+ processes should be further fostered by the federal government [11].

#### *Carbon projects and harmful contracts*

Decision 1 / CP. 16 UNFCCC brings, among other things, the definition of the scope of REDD+ actions. REDD+ results are measured and reported at the national level, based on a national forest monitoring system. On an interim basis, developing countries may opt for a sub-national implementation, being the responsibility of the federal government to communicate with the UNFCCC and to obtain the recognition for the national REDD+ results. Since Cancun, the carbon projects approach to REDD+ has been dropped.

Following UNFCCC guidance, the implementation of REDD+ in Brazil will be carried out at the biome level as an interim measure. This scale was defined for the purpose of maintaining consistency with the action plans for prevention and control of deforestation. Hence, when preparing its National REDD+ Strategy, Brazil made the option to centralize in the federal government the measuring and reporting of REDD+ results. The carbon projects and jurisdictional approaches were rejected.

Since 2009, it is noteworthy the implementation of voluntary carbon projects in Brazil and other tropical countries. In some of these voluntary carbon projects involving indigenous populations and territories, the agreements signed between indigenous peoples representatives and international private companies had unconstitutional provisions that violated the Cancun Safeguards, especially with regards to legal requirements and relevant international agreements, such as:

- Project activities in violation of Art. 231, § 2 of the Federal Constitution and of Art. 18 of the Indian Statute (Law 6,001 / 1973) that determine the right of exclusive use by indigenous peoples of indigenous lands traditionally occupied by these communities.
- Negotiations between the parties that disregarded the full and effective participation of relevant stakeholders, such as indigenous peoples, as well as free, prior and informed consent.
- Lack of evidence on record of any inclusive initiative towards indigenous communities.
- Lack of evidence on record of FUNAI participating as an interested party, capable to supervise or interfere.
- Lack of any clarification on technical issues regarding the implementation of such project and on the measures to be adopted for ensuring its effectiveness in terms of emission reductions and the environmental integrity of the activities in question.
- Lack of detail about aspects related to the commercialization of carbon credits and the risks assumed by the parties in such transactions.

The need to address these cases of contracts that harm indigenous rights led Brazilian governmental agencies to organize a quick response. In 2011, FUNAI compiled a list of around 20 companies that tried to sign contracts with indigenous communities with no regard to the minimum criteria established by national legislation.

The MMA has been keeping track of some cases of foreign private companies attempts to sign illegal contracts with indigenous communities for the development of carbon projects, in collaboration with the Federal Attorney General's Office and the Comissão Pro-Índio de São Paulo – CPISP (“São Paulo Pro-indigenous Commission”). The surveillance proved to be successful, as in the years 2013 and 2014 fewer cases were reported.

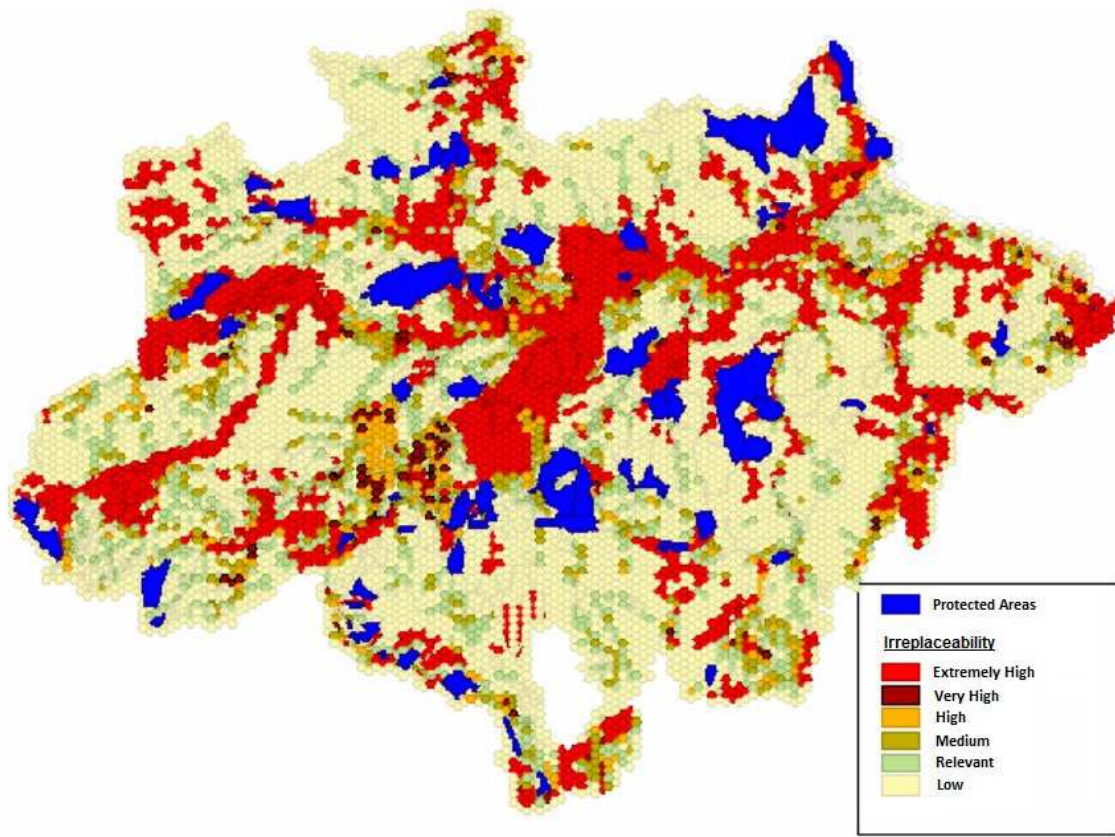
**(e) That actions are consistent with the conservation of natural forests and biological diversity, ensuring that the actions referred to in paragraph 70 of this decision are not used for the conversion of natural forests, but are instead used to incentivize the protection and conservation of natural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

This safeguard indicates that REDD+ actions should be consistent with the conservation of native forests and biodiversity, ensuring that the risk of conversion of natural forests are averted, especially in regards to the increase of carbon stocks.

Brazil currently has specific legal instruments for biodiversity conservation, such as the Política Nacional da Biodiversidade (“National Biodiversity Policy” - [Decree 4339/2002](#)), the Programa Nacional da Biodiversidade e a Comissão Nacional da Biodiversidade (“National Program for Biological Diversity and the National Biodiversity Commission” - [Decree 4703/2003](#)), [Decree 2519, which enacts the Convention on Biological Diversity \(CBD\)](#), the Política Nacional do Meio Ambiente (“National Environmental Policy” - [Law 6938/1981](#)), the [Plano Nacional de Promoção das Cadeias de Produtos da Sociobiodiversidade](#) (“National Plan for the Promotion of Sociobiodiverse Supply Chains” - Interministerial Ordinance by the Ministry of Agrarian Development/ Ministry of Social Development/ Ministry of Environment 239/2009), among others. The effective implementation of these instruments is a condition for promoting this safeguard.

Throughout PPCDAm's implementation, 50 million hectares of Protected Areas were created, 25 million by the federal government and 25 million by the State Governments.

These Protected Areas shelter high biodiversity and were created in areas under deforestation pressure (**Figure 6**).



**Figure 6:** Amazon biome map of Priority areas for conservation, according to their biodiversity and irreplaceability. **Source:** [http://www.mma.gov.br/estruturas/chm/\\_arquivos/biodiversidade31.pdf](http://www.mma.gov.br/estruturas/chm/_arquivos/biodiversidade31.pdf)

Following the trend of the Amazon biome, deforestation in Protected Areas has significantly reduced in the past decade. In 2011, deforestation in Protected Areas managed by the federal government was reduced by 86% in comparison with 2004. In state managed Protected Areas, deforestation in 2011 was 69% lower than in 2004 (MMA, 2013).

**Figure 7** shows the historical deforestation series in federal and state Protected Areas in the Amazon (2001-2011). The contribution of federal Protected Areas to the total deforestation in the period remained below 4% for federal areas and 6% in state areas throughout the whole period.

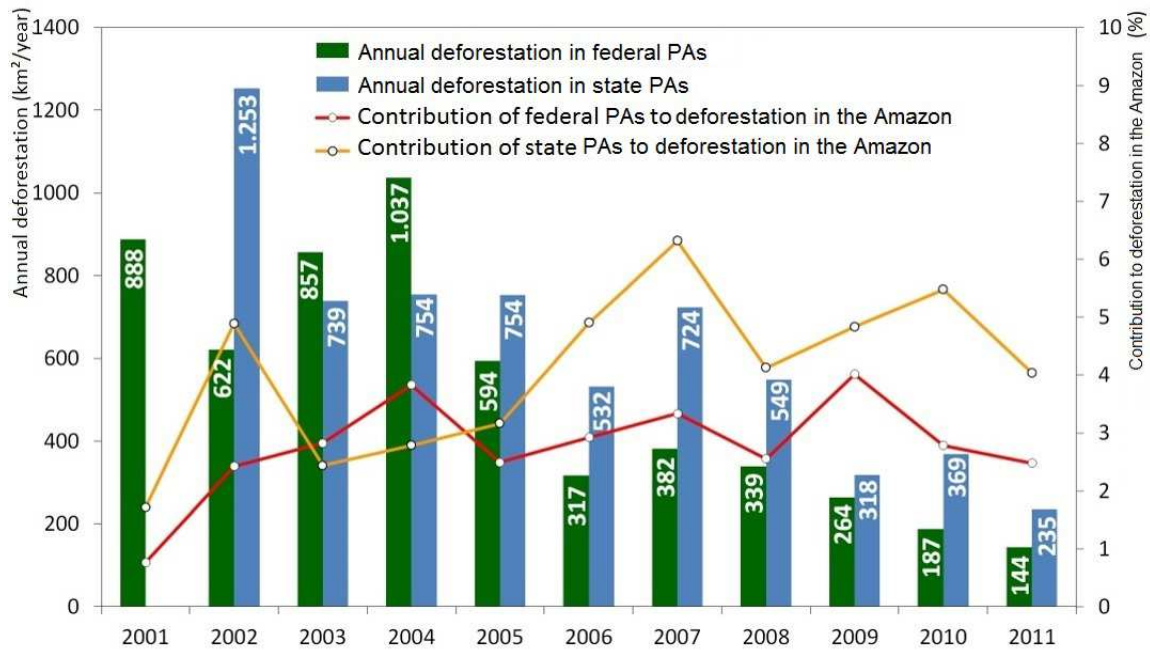


Figure 7: Deforestation in Protected Areas in the Brazilian Amazon

Despite the significant areas designated as Protected Areas in the Amazon biome - which can stop land grabbing, an initial step in the deforestation process - Technical Panel members pointed out that an important step for the respect of this Cancun safeguard is the full implementation and consolidation of protected areas and their surroundings.

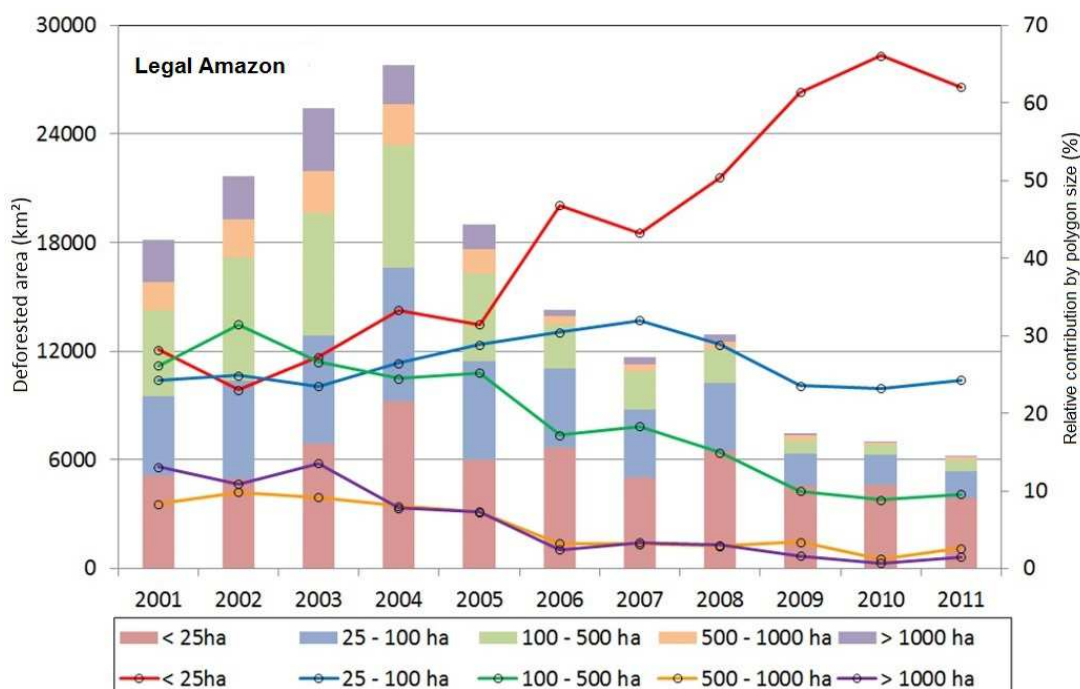
As for the Amazon Fund, respect for this safeguard is expressed in its lines of action. The Amazon Fund must support, among other categories, (1) Management of public forests and protected areas; (2) Recovery of deforested areas; and (3) Conservation and sustainable use of biodiversity. The conservation and recovery of natural ecosystems, biodiversity and ecosystem services is essential to the very existence of the Amazon Fund.

**(f) Actions to address the risks of reversals**

Among Brazil's existing instruments to ensure the continuity of the REDD+ results achieved, are the [Native Vegetation Protection Law](#) (New Forest Code), which states that landholders should keep 80% of the area of a property covered with native vegetation, as Legal Reserve, in those rural properties located in originally forested areas; the [Programa de Fomento às Atividades Produtivas Rurais](#) ("Fostering Rural Productive Activities Program - Law n.12,512 / 2011); and the programs and vegetation monitoring systems that assist in the enforcement and implementation of existing laws (Project [PRODES](#), [DETER](#), etc.).

REDD+ results-based payments are a key incentive to address the risk of reversal. The emission reductions results from the Amazon biome were largely achieved through the environmental monitoring and law enforcement activities financed by the federal budget.

At present, deforestation affects predominantly areas smaller than 25 hectares (**Figure 8**), which impairs the effectiveness of the command and control approach. Land management initiatives and fostering sustainable production activities (PPCDAm's axes 2 and 3) become more and more relevant. In this context, it is necessary to create new and additional incentives for achieving a paradigm shift in the regional economy, thus ensuring the permanence and expansion of REDD+ achieved results. This paradigm shift can be triggered with investments made with REDD+ results based payments received.



**Figure 8:** Deforested areas by polygon size in the Brazilian Amazon

### (g) Actions to reduce displacement of emissions

Initiatives to eliminate leakage risks should include a robust, comprehensive and constant monitoring of the forest cover, ensuring the environmental integrity of REDD+. In Brazil, just as with the reversal safeguard, PRODES data provides information on the scale of implementation of actions to combat deforestation – i.e. within the Legal Amazon. The Federal Government established, with [Decree 6321, of December 21, 2007](#), a number initiatives to prevent, monitor and control illegal deforestation in the Amazon.

Besides monitoring deforestation, Brazil also has a forest degradation monitoring system for the Amazon biome. INPE developed the [DEGRAD](#) to map the occurrence and

progression of degraded areas in the Amazon using satellite imagery (Landsat-class, with spatial resolution of up to 30 meters).

DEGRAD has a time series with annual data for the period 2007-2013. The maps generated by DEGRAD, with evidence of forest degradation, are also available to the public as part of INPE's open data distribution policy (<http://www.obt.inpe.br/degrad/>). The causal relationship between the reduction of deforestation in some areas and the increase in forest degradation in other areas cannot be determined. **Table 5** presents DEGRAD and PRODES 2007-2013 data to assess the extent to which the areas affected by forest degradation in a year are converted to clear-cut in subsequent years.

**Table 5.** Share of degraded areas identified by DEGRAD that were subsequently converted to clear-cut (deforestation) and included in the PRODES, 2007-2012.

% conversion of the area degraded (DEGRAD) to clear cut (PRODES)		PRODES (year)					
		2008	2009	2010	2011	2012	2013
DEGRAD (year)	2007	12	2	2	2	1	2
	2008		1	2	1	1	1
	2009			2	2	2	2
	2010				3	1	2
	2011					2	4
	2012						4

One of the initiatives in place to ensure the permanence of the reductions achieved in the Amazon biome and to reduce the risk of leakage is the [Priority Municipalities List](#). The name of this initiative is due to the fact that these municipalities will be prioritized by measures to integrate and improve monitoring and control actions from federal bodies, land tenure and land use planning actions and incentives to environmentally sustainable economic activities (**Figure 9**).

Art. 2 of [Decree 6.321 / 07](#) states the MMA is responsible for issuing an annual Ordinance with the list of municipalities considered as priorities for prevention and control of deforestation in the Amazon. The criteria for listing a municipality are: (1) total area of forest cleared in the municipality; (2) total area of forest cleared in the last three years; and (3) increases in the rate of deforestation in at least three out of the last five years.



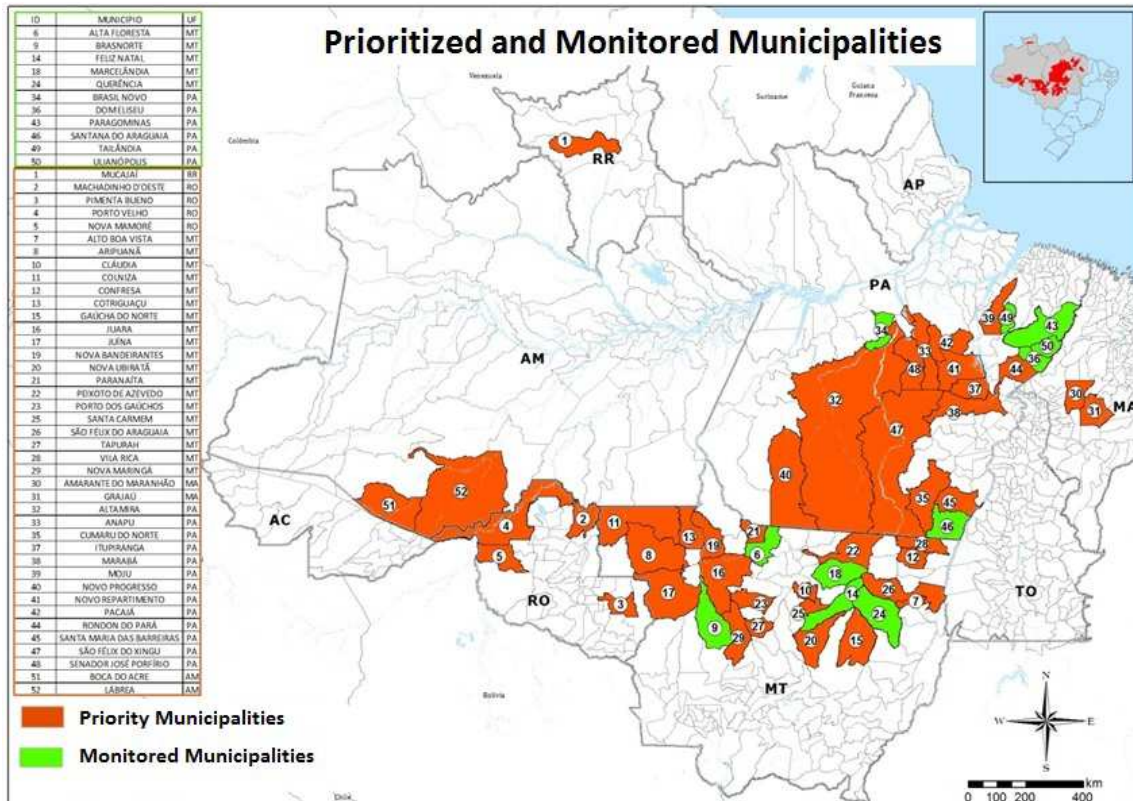


Figure 9: Priority and Monitored Municipalities

Besides the Ordinance with the list, an Ordinance defining the criteria for municipalities to leave the priority list is also published in the Diário Oficial (the government's official communication channel).

Once listed, the municipality will be monitored and receive support from the federal government in the implementation of actions aimed at reducing deforestation rates, whereas seeking to facilitate the transition to a sustainable based economy. As a result, it is expected that the municipality can be taken out from the list, being reclassified as a municipality where deforestation is monitored and under control.

Improving the forest monitoring systems for other biomes is a fundamental step to ensure the effective implementation of this safeguard. Brazil is planning on expanding its forest monitoring system for the Amazon (PRODES) to other biomes. It is expected that by 2016 Brazil will have a national forest monitoring system that provides data on an annual basis.

To date, monitoring data for the Cerrado biome from the [Projeto de Monitoramento do Desmatamento dos Biomas Brasileiros por Satélite](#) (“Brazilian Biomes Satellite Monitoring Project” PMDBBS in Portuguese) indicates that a reduction of deforestation took place in that biome in 2009 and 2010 compared to the average area measured between 2002 and

2008. However, such data still requires improvements, which is why Brazil chose to submit only the Amazonian deforestation reduction results at this moment.

Moreover, the ENREDD+ aims to expand Brazil's REDD+ actions from the biome (PPCDAm and PPCerrado) to the national level, in order to avert the risk of carbon emissions leakage coming from REDD+ activities. Brazil is also investing on the expansion of the Amazon monitoring system to all biomes.

## 5. Existing information systems in Brazil

The information gathered by the Technical Panel described a series of information systems and databases already established in Brazil, which can meet the information systems requirements for some of the Cancun Safeguards, although in an independent and uncoordinated manner. They should eventually serve as a basis to feed the SIS REDD+.

**Table 6** presents Brazil's main existing environmental information systems, which can be used and/or adapted for data collection to feed the SIS REDD+. It is necessary to analyze these systems and their implementation in more detail, in order to provide inputs for identifying potential interoperability opportunities with the SIS REDD+.

**Table 6:** Relevant environmental information systems for the REDD+ SIS

<b>Systems</b>	<b>Goal</b>	<b>Type of information</b>
<b><u>SINIMA</u></b> <b>(MMA)</b>	Information management under the National Environmental System.	Environmental licensing (PNLA), net carbon emissions (PNIA)
<b><u>SNIF</u></b> <b>(SFB / MMA)</b>	Identification, recording and analysis of information related to natural and planted forests of Brazil (SINIMA integrated).	Stocks, structure, diversity, distribution, forest dynamics and forest-based supply chains, licenses to clear native vegetation, management plans.
<b><u>PRODES</u></b> <b>(INPE / MCTI)</b>	<i>Satellite Monitoring of vegetation cover, with regular reports to society.</i>	<i>Annual deforestation rates in the Amazon</i>
<b><u>DETER</u></b> <b>(INPE / MCTI)</b>	<i>Warning system to assist environmental enforcement and deforestation control.</i>	<i>Monthly report of clear-cut areas and areas in process of forest degradation by deforestation.</i>
<b><u>PMDBBS</u></b> <b>(IBAMA / MMA)</b>	<i>Satellite Monitoring of vegetation cover</i>	<i>Deforestation data on the Cerrado, Caatinga, Atlantic Forest, Pantanal and Pampas biomes (periods: prior to 2002 and between 2002 and 2008).</i>
<b>SiBBr</b> <b>(MCTI)</b>	<i>To integrate information from several national and foreign</i>	<i>Biodiversity and Brazilian ecosystems.</i>

	<i>sources, providing inputs for research and support for formulating and implementing public policies.</i>	
<b><i>SISUC (Collaborative public system)</i></b>	<i>Assessment, planning and environmental monitoring, in order to strengthen participatory management and to advance social control.</i>	<i>Environmental services, nature conservation, human welfare, agro-extractive production, participatory management.</i>
<b><i>SICAR (MMA)</i></b>	Integrate spatial information on rural landholdings to ensure the implementation of the Native Vegetation Protection Law.	Information from the Rural Environmental Cadastre.
<b><i>SNIRH (ANA)</i></b>	This is a broad collection system, treatment, storage and retrieval of information on water resources and intervening factors for its management.	

Note: The systems already in full operation are in italics.

The SIS REDD+ shall:

- Be national, simplified, reliable, comparable and cost effective.
- Be created and implemented by the Brazilian government and coordinated by the MMA.
- Be periodically reviewed and adapted to new challenges and priorities.
- Ensure transparency, understanding, effectiveness and consistency.
- Be an online system that integrates information on how the REDD+ safeguards are implemented, promoted and respected.
- Support REDD+ initiatives, and support decision makers in the creation and implementation of public policies.

## **6. Developing and implementing Brazil's National REDD+ Safeguards Information System (REDD+ SIS)**

In 2015, Brazil will initiate the development of the SIS REDD+. This process will draw upon this summary of information on safeguards and on the dialogue processes with relevant stakeholders.

Arranging information of diverse nature and from different sources is a challenge for the implementation of the SIS REDD+. It is necessary to make use of different computational resources to automate data provision to the SIS, which would entail a gain in quality and timeliness of information. To ensure proper functioning of the SIS REDD+ careful consideration is necessary from the time of its planning, through its computer modeling, to the validation of its functionality and its routine maintenance stage.

Integrating different sources of information will be the first step in the development of the SIS REDD+, to ensure better availability of information and reduce operation costs. The development of an integrated information system depends, among other factors, on establishing connections between its modules with the existing databases and information systems (interoperability). Investigating the best way to establish such integration between systems is a complex step for the SIS REDD+ construction, due to the diversity of information and of implementation status of the information sources readily available.

Throughout the time preceeding the introduction of this information system in its digital and open for analyses format, descriptive information on how the safeguards are being implemented in Brazil will continue to be available on Brazil's REDD+ website (<http://mma.gov.br/redd/index.php/en/security/what-are-safeguards>).

## **Annex I: REDD+ in the Brazilian context**

### **Social and Environmental Principles and Criteria**

In 2009, several organizations meeting at the Katoomba Seminar held in Cuiaba, decided to start a process for developing social and environmental safeguards for REDD+ programs and projects in Brazil. The event enabled the production of a document to provide references for developing and implementing forest carbon projects, government REDD+ programs and for independent evaluation and validation of REDD+ projects in Brazil.

The process of conceiving the document comprised the following steps:

- Creating a multistakeholder steering committee for development and revision of the Principles and Criteria;
- Development of the first version of the Principles and Criteria by this committee;
- Submission of the first version to public consultation for a period of 150 days (December 1st, 2009, to April 31st, 2010), open to all sectors of society concerned with the subject;
- Holding regional meetings in the Amazon with representatives of traditional communities and Indigenous Peoples to present the document and record the contributions from these stakeholders;
- Meetings with several stakeholders involved in or affected by REDD+ issues in Brazil to present the document and record their contributions;
- Preparation of the final version of the Principles and Criteria by the steering committee, incorporating all the comments received during the public consultation period.

As a result of this process, the following eight principles and criteria have been defined:

1. Legal Compliance: meeting the legal requirements and relevant international agreements;
2. Rights Recognition AND Guarantees: recognizing and respecting the rights to lands, territories and natural resources;
3. Benefit Sharing: fair, transparent and equitable distribution of the benefits resulting from REDD+ actions;
4. Economic sustainability, improvements in quality of life and poverty alleviation: contributing to diversify the economic and sustainable use of natural resources;
5. Environmental conservation and recovery: contributing to the conservation and recovery of natural ecosystems, biodiversity and environmental services;
6. Participation: participation of stakeholders in the development and implementation of REDD+ actions and in decision making processes;

7. Monitoring and transfer: full availability of information related to REDD+ actions;
8. Governance: promoting better governance, coordination and alignment with national, regional and local policies and guidelines.

### **Developing the ENREDD+ (2010-2014)**

Between July and December 2010, the MMA coordinated a dialogue process that supplied the initial inputs for developing Brazil's ENREDD+. With the schedule of activities set, four meetings were held and three working groups organized to address the following topics:

- GT1: Coordination, Institutional Arrangements and Participation
- GT2: Benefits Sharing, Dominion and Safeguards
- GT3: Funding sources and Financial Mechanisms

The working groups open to public and private organizations consisted of 120 representatives from 58 institutions. In December 2010, each group presented a report of their contributions to the process of drafting the ENREDD+, as well as valuable context information. The final report titled "*REDD+: Synthesis Document with multi-stakeholder inputs for the preparation of a National Strategy*", has as its main elements:

- Identifying REDD+ related federal public policies and state initiatives;
- Assimilating the social and environmental principles and criteria proposed by Brazilian civil society REDD+;
- Preliminary analysis of operational principles for a REDD+ mechanism;
- Identifying possible funding sources and financing mechanisms for REDD+ activities;
- Proposal of a tentative schedule for the development of the ENREDD+.

The synthesis document provided guidance to MMA's coordination work as of 2011, which had been assigned by the Executive Group on Climate Change (GEx), by means of coordinating an Interministerial Working Group on REDD+ (GT REDD+) for drafting the National SREDD+ Strategy (ENREDD+). Since then, the activities have involved building understanding among the Ministries, dialogue with civil society through meetings and thematic workshops, and inputs provision, in the form of specific studies.

During this period, even prior to the approval of the Warsaw Framework for REDD+, the issue of the safeguards was discussed by the federal government with various stakeholders at different moments, obtaining important input from the [workshop on the Implementation of Social and Environmental Safeguards in the ENREDD+](#), held in Brasilia in November 2011. Approximately 60 participants from various civil society organizations attended the event to: (1) identify the main risks associated with the implementation of REDD+ in Brazil; and (2) formulate recommendations on the implementation and the approach for REDD+ safeguards in Brazil, based on their experiences.

Throughout the two days of work, the group shared their visions and experiences, which resulted in recommendations about the public consultation process for Brazil's ENREDD+. The main guideline stated that regional workshops should be organized, in order to seek integration with other agendas and to optimize the discussion forums at events already programmed.

In 2012, the MMA assembled the Technical Panel with experts from civil society whose goal was to address the issue of the safeguards in the Brazilian context. The details from this study have been reported by this summary.

### **State frameworks for REDD+**

Since 2009, the Brazilian government received demands from Brazilian stakeholders to institutionalize REDD+ operation in the country, which also included a great deal of expectations. Some viewed this as a way to give legitimacy to the initiatives already underway, others as a means to provide structure for operating in a voluntary market for REDD+ projects.

While the process to develop the ENREDD+ was underway at the federal level, the states turned their attention to building their own legal frameworks for climate change and forests.

The study [\*REDD +: Initiatives and Challenges for the integration of sub-national and national policies in Brazil\*](#), commissioned by the MMA in 2012, aimed to present an overview of the status of climate change, environmental services and REDD+ related policies and initiatives, in seven out of the nine states in the Brazilian Amazon.

In addition to identifying the actions in place, a section that discusses the challenges of integrating national and sub-national policies is among the main elements from this study. It is possible to draw a parallel between the challenges identified and specifically two of the safeguards of Cancun:

- Complementarity or consistency with policies, programs and international agreements: it is necessary to harmonization commitments to reduce deforestation made on the federal and state level.
- Benefit sharing and social and environmental impacts on local communities: the study states as a recommendation that the funds originating from REDD+ initiatives must be equitably distributed among the social actors involved. It should also be ensured that initiatives to promote forest conservation do not generate negative social and environmental impacts on local communities whose livelihoods dependent on natural resources.

## **Annex II: Amazon Fund's Social and Environmental Safeguards**

Transcribed below is the information provided by the Amazon Fund on its safeguards. The texts are available in Portuguese at:

[http://www.fundoamazonia.gov.br/FundoAmazonia/fam/site\\_pt/Esquerdo/Fundo/Salvaguardas](http://www.fundoamazonia.gov.br/FundoAmazonia/fam/site_pt/Esquerdo/Fundo/Salvaguardas)

### **i. Legal Compliance**

BNDES adopts, in accordance with its general rules, several procedures to verify legal compliance and the eligibility of beneficiaries, which are also applicable to the projects submitted to the Amazon Fund. Among these procedures, we may highlight:

- Eligibility checking to verify whether an applicant is listed on the Registry of employers convicted for keeping workers under conditions analogous to slavery;
- Applicants must present documents certifying that they have not received any administrative sanction or been sentenced with a final decision from the Judiciary on cases related to gender or racial discrimination, child or forced labor, moral or sexual harassment or environmental crimes.;
- Beneficiaries must abide, during the term of the contract, to the legislation applicable to persons with disabilities; and
- The environmental license for project installation, officially published, must be presented, whenever it is applicable to a given intervention type. As well as keeping all operations in accordance with the obligations prescribed by the environmental agencies during the term of the contract.

### **ii. Acknowledgement and guarantee of rights**

Acknowledgement and respect for rights related to land tenure and use of territories and natural resources are guiding principles to the Amazon Fund, the Priority Guidelines include:

- Consolidate protected areas, especially the Conservation Units for Sustainable Use and Indigenous Land (A2.d);
- Defining a destination for Public Forests that have not yet been assigned one, with priority to community forest initiatives (A2.e); and
- Efforts to address illegal appropriation of land, to promote land-title regularization and land-use planning, preferably in areas with a higher concentration of wealth and/or conflicts (A2.f).



### **iii. Distribution of benefits**

The commitment to fair, transparent and equitable distribution of benefits is among the Amazon Fund guidelines. In order to achieve that the following criteria have been established:

- Implement payment for environmental services systems associated with the maintenance of and/or increase in forest coverage and/or forest and agro-forestry systems (A2.b);
- Projects with economic purposes should deliver collective and public use benefits (B14); and
- Concentration in the allocation of resources should be avoided, no states or category of applicants (public agencies, research institutions, civil society organizations etc.) should be privileged (E1 and E2).

### **iv. Economic sustainability, improving standards of living and reducing poverty**

Cracking down on illegal deforestation is not enough. Building decent alternatives for employment and income generation is essential in the Amazon, while placing environmental and social sustainability as central issue.

In line with this need, the Amazon Fund gives priority to sustainable productive activities and scientific and technological development projects that can facilitate the development of a suitable development model for the region. The guidelines set out the following priorities:

- Promote and increase the scale of production of timber and non-timber forest products from sustainable forest management, including management plans, research, innovation, science and technology dissemination, market development, training and qualification (A2.a ); and
- Projects involving direct benefits for traditional communities, agrarian reform settlements and small landholders / family farmers (A4).

### **v. Environmental conservation and restoration**

Among the Amazon Fund's attributions, established by the Presidential Decree 6527 of 2008, are (i) management of public forests and protected areas; (ii) restoration of deforested areas; and (iii) the conservation and sustainable use of biodiversity. The conservation and restoration of natural ecosystems, biodiversity and ecosystem services is fundamental to the Amazon Fund's very existence. Therefore when structuring the Amazon Fund's Logical Framework, an instrument that supports planning, management and monitoring of impacts, the following aspects have been contemplated:

- Expansion of protected areas;
- Consolidate the management of public forests and protected areas; and

- Support for the restoration of deforested and degraded areas, rendering them suitable for economic use or ecological conservation.

Accordingly, the Amazon Fund's guidelines set as priorities:

- Consolidate protected areas, especially the Conservation Units for Sustainable Use and Indigenous Land (A2.d); and
- Develop and implement recovery models for Permanent Protection Areas (APPs in Portuguese) and Legal Reserve (both are provisions from the Forest Code), with an emphasis on economic use (A2.c).

## **vi. Participation**

The COFA is responsible for establishing the Amazon Fund's Guidelines and Criteria for Selection, as well as for approving the Amazon Fund's Annual Report and the communications on resource allocation. It is structured as a tripartite committee, composed by: the federal government, state governments and civil society. Each block is entitled to one vote and the decisions are reached by consensus.

The COFA also has the role of ensuring the initiatives supported by the Amazon Fund are consistent with its goals, with the policies from the PPCDAm and PPCDs and the Sustainable Amazon Plan strategic guidelines.

The Amazon Fund's guidelines, approved by this committee, state that:

- Projects must include an agreement between all partners and co-executors (B2); and
- Projects involving traditional communities and indigenous people must necessarily present documents to certify the free, prior and informed consent from these communities or their representative institutions. (B3).

## **vii. Monitoring and transparency**

Being a donation only Fund, the full disclosure of information on its actions and on supported initiatives is essential.

In order to meet this condition, the Amazon Fund publishes a full annual report of its activities the "[Amazon Fund's Annual Report](#)", which after being approved by the COFA is made available on its website in three languages (Portuguese, Spanish, and English).

The Amazon Fund also provides information on projects proposals, their status in BNDES' assessment process, the total budget that they have applied for, their purpose, as well as detailed information about the projects under implementation. This information can be found on its website, which also provides detailed monthly project portfolio bulletins and newsletters covering Fund related issues, events and activities.

Two external audits are carried out annually: a financial audit and a compliance audit, to verify and certify the accounting and financial management of the Fund's resources and its correct allocation.

The Fund's guidelines state that supported projects must:

- Offer some platform to publicize their implementation on the Internet (B11);
- Include measurable results indicators that are directly related to the Amazon Fund's goals (B1).

### **viii. Governance**

An important feature of the Amazon Fund is its sound governance, which is due to its integration into one of the largest development banks on the global stage, but also to its effective instruments for participation, monitoring and transparency. Such efforts are extended to the projects supported, with a view to promote better governance in their structures and alignment and integration with national, regional and local policies and guidelines.

Besides the COFA, the Amazon Fund has a Technical Committee that assembles notorious experts in forest carbon emissions, whose main task is to verify and attest the measurements of reduced emissions from deforestation carried out by the MMA. The results are then used to back the Amazon Fund's annual fundraising efforts.

The Fund has set in its guidelines the following conditionalities and priority criteria:

- Projects must present clear evidence that they are consistent with PPCDAm and PPCDs' actions (B5);
- Projects must present clear evidence that they are consistent with the Sustainable Amazon Plan (B6);
- Priorities:
  - Provide support for structuring the state agencies responsible for environmental management (A2.g);
  - Provide support to the implementation of municipal monitoring and environmental enforcement systems (A2.h);
  - Help the development and integration of control systems for forest management, for rural properties environmental licensing process and for tracking the chain of custody of agricultural, livestock and forestry products (A2.i);
  - Supporting more comprehensive and robust deforestation and forest degradation monitoring systems (A2.j); and
  - Projects involving actors from multiple sectors, i.e. public sector, private sector, NGOs or local communities, shall have a shared governance structure (A3).

**Annex III. Summary of the results from the survey on the information and sources required for the SIS REDD+ and recommendations from the Panel of Experts to the MMA**

<b>Safeguard</b>	<b>Instruments</b>	<b>What should be done</b>	<b>Sources</b>	<b>Information Description</b>	<b>Opportunities for further improvement</b>
<b>Complementarity or consistency with policies and programs</b>	19 relevant instruments have been identified. e.g. CBD, Ramsar Convention, Forest Code, National Protected Areas Registry (SNUC in Portuguese), Programa Nacional de Florestas ("National Forest Program"), PGTAs.	Assessment of goals, targets, content and implementation of these instruments in order to identify complementarity and consistency with REDD+ actions. Promote federative integration.	Public institutions related to the implementation these instruments, as well as national communications, committees, commissions and working groups.	Consistency and complementarity between the instruments and REDD+ actions. Assessment of the Implementation of Forest Concession Plans, PGTAs, protected areas management plans etc.	There is no provision analogous to the PGTA for territorial and environmental management on Quilombola areas. There is no guarantee that these instruments will be implemented.
<b>Transparent and effective governance structures</b>	22 relevant structures have been identified (the focus was on committees only). e.g. Interministerial Committee on Climate Change, Public Forests Management Committees, PPCDAm's and PPCerrado's executive	Identify and assess the availability of relevant information.	Activity reports, meeting minutes, reports, bulletins and websites published by these structures. Independent systems.	Composition, structure (e.g. joint), regularity of meetings, attributions, decisions guided by these structures, capillarity, gender issues, data disclosure.	Implementation of the Lei de Acesso à Informação ("Access to Information Law") which makes online information disclosure by public

	committees, PAs's Management Boards, PNGATI management Committee, ombudsmen.				institutions mandatory.
<b>Rights and respect for knowledge</b>	14 instruments have been identified, they address rights and respect for knowledge and customs, biodiversity conservation and benefit-sharing. e.g. ILO 169, CBD, The Federal Constitution, PNGATI, the National Biodiversity Policy.	Ensure that REDD+ policies, programs and projects are in line with established rights. Evaluate whether the ombudsman model is suitable for REDD+. National regulation of ILO 169.	Public institutions related to the implementation of these instruments, as well as committees, commissions and working groups. Independent systems.	Evaluating the implementation of free, prior and informed consent, complaints and incidents related to environmental offenses and violation of rights, indigenous and Quilombola lands demarcation, PAs management plans CGEN proceedings.	Lack of national regulation on the ILO 169, lack of a forum or specific body to file representations (complaints) about violation of rights in REDD+ initiatives.
<b>Participation, voice and leadership</b>	8 instruments for participation have been identified. e.g. Regulation on public consultation processes, ILO 169, Lei de Acesso a Informação ("Access to Information Law"), ombudsman systems, and social control forums.	Regulating the ILO 169, Integrate REDD+ related Information on the SIS REDD+, integration with the Office of the Comptroller General (CGU in Portuguese) for conflict resolution.	Public institutions related to the implementation these instruments, as well as monitoring centers and forums, working groups, committees and national funding agencies.	Projects with provisions for participation from indigenous peoples and traditional communities, registered REDD+ initiatives, training opportunities, complaints and how they have been address, as well as related indicators.	Create a body or specific instance for conflict resolution in the national REDD+ governance structure.

<b>Biodiversity and benefit-sharing</b>	15 instruments have been identified. e.g. CBD, Forest Code, SNUC, National Biodiversity Policy, Lei da Mata Atlântica (“Atlantic Forest Law”), Lei de Gestão de Florestas Públicas (“Public Forest Management Law”).	Implement the CAR and PRA, fauna and flora inventories, provide positive incentives for REDD+, identify priority areas for conservation, creation and implementation of protected areas, national or regional biodiversity monitoring.	Secretariats and departments of public institutions related to the implementation these instruments, as well as national communications, committees, commissions and existing systems.	Number of CAR and PRA, number of priority areas identified, management plans, Protected Areas Management Boards created, lists of endangered species, CGEN proceedings, Community forest concessions, and PES programs for biodiversity.	Legal framework for protecting Genetic Resources and Traditional Knowledge, previous assessments and monitoring of biodiversity. Effective instruments for local development for the buffer areas of PAs.
<b>Keep forests standing</b>	12 instruments have been identified. e.g. Ramsar Convention, Forest Code, National Climate Change Policy, Lei da Mata Atlântica (“Atlantic Forest Law”), ENREDD+, Amazon Fund and Climate Fund.	Assessing the implementation, scope and impact matrix of these instruments.	Public institutions related to the implementation of these instruments, as well as committees, commissions and working groups. Independent systems.	Annual rate of deforestation, Ramsar sites, PAs management plans, licenses to clear vegetation, CAR and PRA data, sustainable management of forests plans and PES programs for carbon.	Consolidation at the federal level of data on the licensed areas cleared in all states. Annual rate of deforestation in all biomes. Setting targets for native forests recovery and data collection.

<p><b>Carbon emissions displacement</b></p>	<p>9 instruments have been identified. e.g. Forest Code, Environmental Licensing, vegetation monitoring systems, ENREDD+.</p>	<p>Monitoring the rural landholdings registered on the CAR, impact assessment of the Sustainable Forest Management Plans (PMFS in Portuguese), and assessment of Economical-Ecological Plans (EEZs).</p>	<p>Secretariats and departments of public institutions related to the implementation of these instruments, as well as committees, commissions and working groups. Independent systems.</p>	<p>TerraClass Project data (biennial), State EEZs, PMFS licenses and plans under implementation, priority municipalities list.</p>	<p>Updated DEGRAD data, systems or analysis to assess emissions displacement.</p>
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- [1] (a) That actions complement or are consistent with the objectives of national forest Programmed and Relevant international conventions and agreements;
- (B) Transparent and effective national forest governance structures, taking into account national sovereignty and Legislation;
- (C) Respect for the knowledge and rights of indigenous peoples and members of the local communities, by taking into account Relevant international obligations, national laws and Circumstances, and noting 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 communities place, in the actions Referred to in paragraphs 70 and 72 of this decision;
- (E) That actions are consistent with the conservation of natural forests and biological diversity, Ensuring 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;
- (F) Actions to address the Risks of reversals;
- (G) Actions to reduce displacement of emissions.
- [2] <http://unfccc.int/resource/docs/2010/cop16/eng/07a01.pdf>
- [3] (a) Be consistent with the guidance Identified in decision 1 / CP.16, appendix I, paragraph 1;
- (B) Provide transparent and consistent information accessible by all That Is 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.
- [4] <http://unfccc.int/resource/docs/2011/cop17/eng/09a02.pdf>
- [5] <http://unfccc.int/resource/docs/2013/cop19/eng/10a01.pdf#page=33>
- [6] <http://www.mma.gov.br/redd/index.php/nivel-referencia>
- [7] Safeguarding forest and People. A Framework for Designing a National System to Implement REDD+ Safeguards. Daviet & Larsen, 2012. Available on <http://www.wri.org/publication/safeguarding-forests-and-people>.
- [8] The letters in parentheses in the first column refer to the text format in Annex I to the Decision 1/CP.16 of the UNFCCC.
- [9] More information on:  
[http://www.fundoamazonia.gov.br/FundoAmazonia/export/sites/default/site\\_pt/Galerias/Arquivos/Chamada\\_PN\\_GATI\\_23\\_09\\_14.pdf](http://www.fundoamazonia.gov.br/FundoAmazonia/export/sites/default/site_pt/Galerias/Arquivos/Chamada_PN_GATI_23_09_14.pdf)
- [10] The three working groups were divided into the following areas: GT1 - Coordination, Institutional Arrangements and Participation, GT2 - Benefits Distribution, Dominion and Safeguards, GT3 - Funding Sources and Financial Mechanisms.
- [11] For more details about the letter sent by the Observatório do Clima ("Climate Observatory") regarding the summary of information on the safeguards and the Brazilian government's response see:  
<http://mma.gov.br/redd/index.php/pt/salvaguadas/sum%C3%A1rio-on-safeguards>
- [12] The general rule is to keep 80% of natural coverage, but in the case of deforestation, the percentage can range from 0% to 80% depending on the landholding size and on when the deforestation occurred, before or after 2008.