

Annex B: Overview of Stakeholder Engagement in REDD+ related activities

Introduction

Ensuring the full and effective participation, voice and leading role of stakeholders is central to the 4th Cancun Safeguard (the full and effective participation of the interested parties, in particular the indigenous peoples and local communities), as defined by Brazil in the 2nd SOI. To promote shared management and social control in the implementation of REDD+ actions and their safeguards, extensive engagement and consultation activities with stakeholders were carried out to design and develop the national level safeguards system (SISREDD+), with participation of actors from the public and private sectors and the third sector, especially indigenous peoples, traditional peoples and communities, and traditional and family farmers, as well as NGOs and CSOs.

National REDD+ Strategy development in Brazil, as well as pioneering jurisdictional REDD+ programs in Acre, have had a long history of broad stakeholder engagement since their inception, as shown in Appendix A of SOI. Stakeholder engagement and discussions regarding REDD+ safeguards in Brazil began in 2009, before safeguards were formally defined under the UNFCCC, in December 2010. This process was initiated by non-governmental organizations (NGOs), engaging social movements, smallholders, private sector actors, environmental NGOs and research institutions in workshops, meetings and a public consultation, and produced the report "[REDD+ Social and Environmental Principles and Criteria](#)". In 2011, the MMA promoted the workshop "[Implementing Social and Environmental Safeguards in the National REDD+ Strategy](#)", with the participation of several civil society organizations. In 2014, Brazil submitted to the UNFCCC its [1st SOI](#) as a compilation of the outcomes from all the discussions held up to then, including seminars with National Indigenous Peoples Foundation ([FUNAI](#)) and coordinated with experts from civil society organizations. The engagement process continues in 2018 with improvements in stakeholder representation during meetings and workshops to develop National SISREDD indicators and the second SOI, submitted in early 2018.

The governance for the implementation of REDD+, including regular meetings of CONAREDD+ and the thematic advisory boards, is one of the most participative structures created by the Brazilian government for the implementation of policies in the forest sector. As explained above, the CONAREDD+ and the CCTs participants are numerous, diverse and strive to be representative of Brazilian society. Furthermore, the strengthening of existing governance structures of indigenous peoples, traditional communities and local populations has been a key element of REDD+ implementation. Consultative processes have also increasingly prioritized the participation of indigenous representatives and traditional community representatives in the governance for REDD+ implementation, particularly in regards to the activities in indigenous territories and sustainable conservation units throughout the Legal Amazon.

Stakeholder Participation and representation in REDD+ institutional frameworks

The governance of the CONAREDD+ and the creation of Thematic Advisory Boards (including the CCT-Safeguards advisory board) by the CONAREDD+ are primary indications of progress in the direction of meaningful stakeholder engagement in decision-making processes. The Federal Decree 8576/ 2015 created The National REDD+ committee (CONAREDD+) for coordinating and monitoring the implementation of The National REDD+ Strategy (ENREDD+). The development of ENREDD+ included broad stakeholder engagement, as shown in Appendix A of SOI. There are particularly strong interactions between ENREDD+ and the Indigenous Committee on Climate Change the Climate Change and the Technical Chamber of the Management Committee of PNGATI (The National Policy on Territorial and Environmental Management of Indigenous Lands), as noted in the 2nd SOI.

In 2016, the CONAREDD+ established the Thematic Advisory Chamber on Safeguards (CCT-Safeguards), which develops inputs to support the decision-making of the CONAREDD+ on issues related to monitoring how the Cancun Safeguards (Decision 1 / CP.16) being addressed and respected in the implementation of REDD+ by Brazil. This includes the conceptualizing the safeguards in the Brazilian context (Section 4 of the 2nd SOI), developing the SISREDD+ and reviewing the summary of information on the safeguards, among other activities.

This CCT is responsible for supporting CONAREDD + in the following processes: i) Conceptualization of REDD + safeguards in Brazil; ii) Development of subsidies (information?) for the REDD + Information System (SISREDD +); iii) Development of inputs for and revision of the Summary of Safeguards Information; iv) Development of inputs for the development of an ombudsman procedure on violation of safeguards; v) Development of a training plan on safeguards.

The CCT-Safeguards is coordinated by the Ministry of Foreign Affairs (MRE) and the National Council of Extractive Populations (CNS) and is composed of 30 members (Table 1). The selection of representatives took place based on the criteria established by CONAREDD + in order to include: a) Representatives of indigenous peoples, traditional peoples and communities, and family farmers; b) Biodiversity experts; c) Specialists in socio-environmental issues; d) Experts on transparency and forest governance; e) Specialists in environmental monitoring; f) Public policy experts on climate change and forests; g) Populations affected by forest carbon projects; and h) Beneficiaries and executors of REDD + results payment initiatives.

Table 1. List of CCT-Safeguards members, as presented in Annex 1, can be seen to indeed reflect the eight categories of participatory representation criteria established by CONAREDD+

Name	Institution
Alice Thuault	Instituto Centro de Vida
Alicia Santana	Movimento das Catadoras de Mangaba
Ana Eunice Aleixo	Instituto de Proteção Ambiental do Amazonas
Antonio José da Silva Sousa	Secretaria de Estado de Meio Ambiente do Pará
Bernhard Javier Lago Smid	Instituto Capital Natural da Amazônia
Camila Monteiro Braga de Oliveira	Associação de Manejadores de Recursos Florestais do Acre
Camila Pianca	Grupo Natureza, Sociedade e Conservação
Clarissa Costalonga e Gandour	PUC-Rio/Climate Policy Initiative
Cláudia Regina Sala de Pinho	Rede Comunidades Tradicionais Pantaneiras
Cristina Maria Batista de Lacerda	Secretaria de Estado de Meio Ambiente do Acre
Daniela Baccas	Banco Nacional de Desenvolvimento Econômico E Social
Denizia Cruz	Articulação dos Povos Indígenas do Nordeste, Minas Gerais e Espírito Santo
Domingos Nunes De Oliveira	Articulação dos Povos Indígenas do Nordeste, Minas Gerais e Espírito Santo
Edel Moraes	Conselho Nacional dos Extrativistas - Coordenadora
Eduardo Valente Canina	WWF-Brasil
Elcio Manchineri	Articulação dos Povos Indígenas do Brasil
Eliezer de Oliveira	Secretária de Estado do Desenvolvimento Ambiental de Rondônia
Elisa dos Santos Rezende França	Secretaria de Estado do Meio Ambiente de Mato Grosso
Fernanda Bortolotto	Instituto de Pesquisa Ambiental da Amazônia
Fernanda Lopes da Fonseca	Embrapa Acre
Francis Rinaldi Frigeri	Secretaria do Meio Ambiente e Recursos Hídricos de Tocantins
Janete dos Santos Oliveira	Terreiro de Umbanda Caboclo Sete Flechas
Jhonny Martins de Jesus	Coordenação Nacional de Articulação das Comunidades Negras Rurais Quilombolas
Kutanan Waiapi Waiana	Associação dos Povos Indígenas Wayana e Aparai

Larissa Ambrosano Packer	Terra de Direitos
Leticia Tura	FASE/ Grupo Carta de Belém
Luiz De Andrade Filho	Ministério das Relações Exteriores - Coordenador
Maria de Jesus Ferreira Bringelo	Movimento Interestadual das Quebradeiras de Coco Babaçu
Maria Jocicleide Lima De Aguiar	Rede GTA
Maura Ney Piemonte	Associação Centro de Estudos e Discussão Romani
Nathali Germano dos Santos	Fundação Nacional do Índio
Patricia Frederighi	Trench, Rossi & Watanabe Advogados
Raimundo Nonato Pereira da Silva	Associação Cultural de Preservação do Patrimônio Bantu - Acbantu
Rubem Taverny	Associação dos Retireiros do Araguaia

CONAREDD+ more broadly, as well as CCT-Safeguards advisory board itself, include representatives from state and local governments, indigenous peoples and traditional peoples and communities. Civil society representatives have also been elected by the Brazilian Forum of Climate Change (FBMC; <https://www.fbmc.com.br/>), which also appointed the representatives from indigenous peoples and traditional peoples and communities to be part of CONAREDD+. Overall, the governance for the implementation of REDD+ is one of the most participative structures created by the Brazilian government for implementing policies in the forest sector. Participants in the CONAREDD+ and the CCTs are numerous, diverse and seek to be representative of stakeholders (Figure 1).

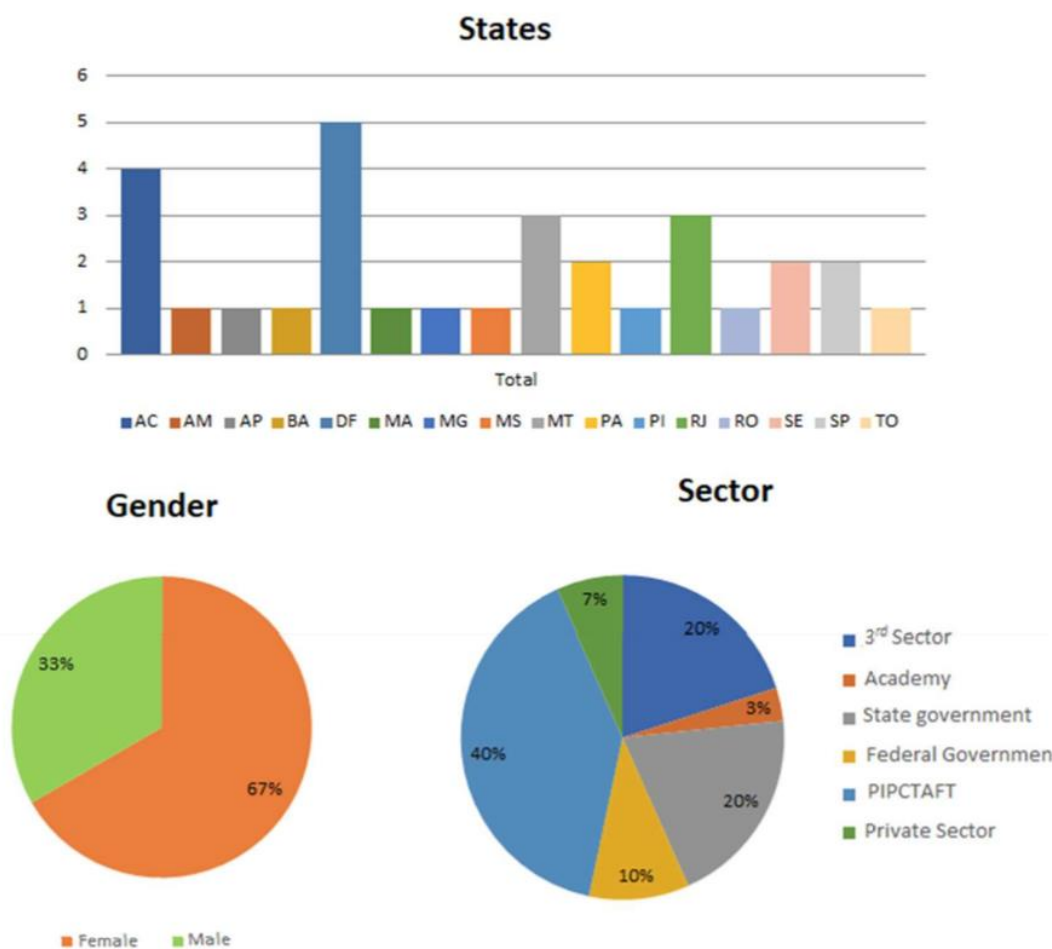


Figure 1. Profile of CCT-Safeguard participants, adapted from Brazil's Second SOI

The CCT-Safeguards advisory board when summarizing past consultations and discussions, considered the work previously conducted on the topic and updated it. The first step in the consultation process was the participatory definition of the safeguards in the Brazilian context by the CCT. This exercise is the basis for all the systematization of the safeguards implementation in Brazil. Brazil's understanding is that the implementation of the safeguards encompasses a large set of laws, policies and programs established in the national context, and the rationale is that all those laws, policies and programs implemented together ensure addressing and respecting the safeguards. As suggested by the CCT-Safeguards advisory board, the interpretation of Cancun safeguards in the Brazilian context presents a "Definition", "Objectives" and "Further details" for each of the safeguards, aiming at providing a clear scope for the implementation and monitoring of the safeguards by Brazil. It should be mentioned that the three sections (definition, objective and further details) are equally important and complementary.

[Brazil's 2nd SOI](#), submitted to the UNFCCC in 2018, is equally the result of a participative process, guided by the CCT-Safeguards advisory board. In addition to ordinary meetings, a specific workshop about the content of the summary on the safeguards was conducted with the CCT members and other stakeholders. The document was made available on the Internet for contribution for two months, making use of social media and REDD+ Brazil monthly newsletter (which has over 900 subscribers) as means to communicate the collection of face-to-face and virtual contributions. It is also important to mention through this process relevant stakeholders would provide inputs and suggestions to both interpretation of the safeguards (section 4) and their implementation (section 5). The CCT-Safeguards advisory board members were also encouraged to consult with their peers and to take a proactive role as multipliers of information throughout the process.

Brazil's 2nd SOI was developed in a progressive manner, enhancing information and processes used to elaborate the 1st SOI, while acknowledging that further enhancements are yet to come along with awareness about the topic in the country and with the full implementation of the SISREDD+. The methodology for the development of Brazil's 2nd SOI was created by the CCT-Safeguards and is described in section 3.2 of the 2nd SOI. This section details how the information from actions and initiatives that contribute to the achievement of the results (PPCDAm, ENREDD+, etc.) and the investments made through payments received for these results (Amazon Fund) were assessed to determine how the Cancun Safeguards had been addressed and respected by Brazil for results achieved from 2011.

With the conclusion of the conceptualization of safeguards in the Brazilian context and the contributions to the 2nd SOI, the CCT-Safeguards advisory board is now entirely dedicated in the SISREDD+ improvement. To assist the CCT and to ensure a broad and participatory process for the definition of indicators for the SISREDD+, a series of workshops has been conducted, bringing together a range of stakeholders from the national to local level, and including representatives of Indigenous People, traditional communities, state governments, NGOs, academia and the private sector.

Table 2 presents the number of representatives per sector that participate in the workshops for the development of the 2nd SOI and SISREDD+ indicators. These 158 representatives mentioned above came from eighteen different states¹ of Brazil, with 80 female and 78 male stakeholders, ensuring regional and gender balance.

Table 2. REDD+ safeguards representatives per sector/ group

Sector/Group	Number of representatives
Indigenous people	21
State government	49
Federal government	8
Traditional people and communities and family farmers	31
University	17
Private sector	8
Grassroots movements	4
NGOs	20
Total	158

Source: MMA, 2018

Through CONAREDD+ and its CCTs, participatory processes were the basis to create the rules for decentralizing the fundraising of payments for REDD-plus results. This process lasted a few months and actively involved more than 30 stakeholders from various sectors, through a Consultative Chamber on Fundraising and Distribution of Non-Reimbursable Resources (CCT-CDRNR). The principles and rules for access to direct fundraising (i.e. having the appropriate policies in place, presenting results, etc.), as well as rules regarding fundraising (that is, after having been authorized by CONAREDD+, and without the transfer of results, etc.) and how investments should be made with these resources (reinvested in initiatives that lead to more results, contribute to the implementation of ENREDD+ and NDC, in compliance with safeguards, etc.) were defined through CONAREDD+ Resolutions 6 to 8. The driving force behind these consultations was to create a coherent but decentralized process, with a set of common rules and principles, in order to enhance effectiveness, with the participation of all the States in the Amazon region, for raising new and additional large-scale resources to support Brazil's efforts in the forest sector.

¹ Brazil has 26 states and the Federal District. The Amazon region comprises 9 states.

CONAREDD+ has approved the development and submission of a single funding proposal by the MMA to the GCF for REDD+ results-based payments..

Participation and representation of Indigenous Peoples and Traditional Communities

The strengthening of existing governance structures of indigenous peoples and traditional peoples and communities has also been a key element of the REDD+ implementation in indigenous territories. The increased participation of indigenous representatives in the governance for REDD+ implementation indicates progress in that direction.

In regards to Free, Prior and Informed Consent, Brazil legislation has provisions that support these instruments, including the Federal Constitution, Art. 231; Decree n. 5051/2004 promulgating ILO Convention 169, Decree n. 6040/2007, Act n. 13.123/15 and Decree n. 8772/16, the last two specific for access to traditional knowledge associated with biodiversity. Of particular interest in this regard is Chart 6 of Brazil's 2nd SOI, which presents consultation protocols developed since 2014 by indigenous peoples and traditional peoples and communities in Brazil.

A groundbreaking initiative in Brazil, that also supports full and effective participation of stakeholders, in particular indigenous peoples, is the practice of creating Indigenous Environmental and Territorial Management Plans (PGTAs). The National Policy on Territorial and Environmental Management of Indigenous Lands (PNGATI), mentioned above, was developed by a collation including 150 indigenous groups and other institutions to endorse indigenous-led conservation, natural resource management and environmental restoration, while officially recognizing the PGTAs. The PGTAs reflect the specific visions Indigenous Peoples' for their lands, covering three main priorities: 1) Territorial control and protection, including indigenous-led surveillance and monitoring practices 2) Sustainable management of natural resources for the promotion of food security and income generation, as well as conservation, restoration and sustainable land use and 3) Capacity building and institutional strengthening for local organizations. To implement the policy and plans, the Ministry of Environment (MMA) and the Brazilian Foundation for Indigenous Affairs (FUNAI), along with the Global Environment Facility (GEF), the Nature Conservancy and UNDP implemented PGTAs in 32 indigenous lands, serving as a pilot phase for policy implementation to be shared throughout the almost 700 indigenous lands in Brazil².

As a preliminary step, MMA has held dialogues with indigenous leaderships through a meeting of the Technical Chamber of Climate Change of the Management Committee of the National Policy of Environmental and Territorial Management in Indigenous Territories (CT-MC/CG-PNGATI). In this forum, the concept of this proposal was considered as an opportunity for indigenous people to effectively access resources through their own organizations, to meeting their climate change adaptation and mitigation needs, as well as for improving the management of their territories, according to the guidelines of PNGATI. Indigenous stakeholders have emphasized and reinforced the need of effective participation in developing and implementing the project. Further discussions in regards to access to REDD+ GCF funds were also held on August 16th, 2018 with the Management Committee of PNGATI. All future consultations and management plans, will also account for ongoing processes of indigenous consultations and autonomous development, including incorporation of the use of Indigenous Environmental and Territorial Management plans (PGTAs for the acronym in Portuguese), and support of this process. An Indigenous Peoples Plan will be completed in order to ensure that indigenous perspectives, traditional knowledge and autonomy are respected throughout planning and implementation. This Indigenous Peoples Plan and the Cultural Heritage Plan recommended by the ESMF will serve as the cornerstones in guiding the above efforts and ensure that sufficient indicators of progress related to indigenous peoples are incorporated into the monitoring systems and SISREDD+.

² Indigenous Lands Developing Environmental and Territorial Management Plans, The Nature Conservancy: <https://www.nature.org/.../land.../indigenous-environmental-and-territorial-plans.pdf>

For further information, please refer to the definition objectives and details related to the interpretation of safeguard (d) by Brazil are presented in section 4.1 of the 2nd SOI. The CCT-Safeguards advisory board has also defined in more detail in section 4.1 of the 2nd SOI actions to ensure the full and effective participation of all relevant stakeholders including determining specific criteria for representativeness (e.g. regional distribution, gender and different forms of knowledge). Section 5 of the 2nd SOI presents details about how safeguard (d) has been addressed and respected by the policies and initiatives aimed at reducing deforestation in the Amazon biome. The main challenges related to the implementation of this safeguard identified by the CCT-Safeguards advisory board are also presented in the table in Section 5 of the 2nd SOI. Finally, additional information on this safeguard is also provided in the ESA found in the Annex.

Record of previous stakeholder engagement activities coordinated by the CCT-safeguards

The CCT-Safeguards held two virtual seminars from October to November 2016. Five meetings, to date, between December 2016 and March 2018, followed these. In addition, the group has held five workshops, from February to August 2018, focusing on the Development of a REDD+ Safeguards Information System (SISREDD+) Methodology.

Focus of work of CCT has followed closely assigned responsibilities as described above. The group started by developing a Brazil-specific conceptualization of the Cancun safeguards, following a suggestion by CONREDD+ for a clear understanding of the safeguards. A collective decision was made to elaborate a “concept, objective and details” for each safeguard. This was then provided as input towards the drafting of Brazil’s Second Summary of Information (SOI). The CCT also worked to identify possible shortcomings in the first SOI, to support the process of preparing the second version of the document. For example, the need for more gender language in the Second SOI was raised.

The representatives of the CCT then discussed the importance and usefulness of developing an ombudsman procedure related to the safeguards, including clarification of what ombudsman roles should entail and best practices. For example, it was determined that issues related to traditional peoples and communities should be directed to the National Commission of Traditional Peoples and Communities (CNPCT).

Attention has since turned towards the development of the REDD+ Safeguards Information System (SISREDD+). Workshops have focused on: (i) SISREDD+ purpose and requirements (concepts, approach, objectives, users, analyses and communications), (ii) development of dimensions and criteria for indicators (to assess respect for and compliance with REDD+ Safeguards), and (iii) REDD+ ombudsman grants. The five workshops held thus far have been well represented. For example, 59 people, including experts, representatives of indigenous and traditional peoples and communities, and members of the CCT-Safeguards, attended the first workshop. Seventeen states and 41 different institutes were represented. The subsequent workshops have garnered similar levels of participation. The Climate Change Policy Program (PoMuC), collaboration between the Ministry of Environment (MMA) and the German Cooperation Agency (GIZ), has supported the workshops. Within PoMuC, the Nature Society and Conservation Group (NSC Group) is responsible for technical and methodological support in the development of the methodologies for evaluating REDD+ safeguards.

Workshop summaries

The 1st Workshop to Develop the REDD + Safeguards Assessment Methodology took place in the city of Rio Branco-AC Between February 27 and March 1, 2018. This was the first step in the process of participatory construction of the indicators for assessing respect for and compliance with REDD + Safeguards. The event had as its objective to gather information about: SISREDD+ requirements (concepts, approach, objectives, participants, users, analyses and communications); attributes of the indicators (dimensions and criteria); and REDD+ ombudsman grants. Fifty-nine people, 17 states and 41 institutes attended the event.

The 2nd Workshop took place between April 09 and 11, 2018, in the city of Cuiabá-MT. Its objectives were: further conceptual improvement of the SISREDD + requirements built in the 1st workshop, proposition of targets, and

identification of indicators. Particularly, the indicator dimensions and criteria for Safeguards A, B and F were developed and refined further. Fifty-six people, 8 states and 35 institutes attended the event.

The 3rd Workshop was held in Belém, Brazil, from May 2 to 4. Its work consisted in the evaluation of Safeguards C and D. Work on Safeguard C focused on respect for the knowledge of indigenous peoples, traditional peoples and communities, and traditional and family farmers (PIPCTAFT). Work on Safeguard D focused on full and effective participation of stakeholders, in particular those considered to be the direct beneficiaries of REDD+. The morning was also spent aligning and clarifying concepts (at the request of PIPCTAFT) in order to make better use of the debates within the groups. After a day of introductory presentations, the work developed within groups, which focused on specific monitoring targets. The results were shared on the last day, in order to obtain input from participants from other groups. Forty-nine people, 5 states and 36 institutes attended the event.

After three months of work, the 4th Workshop took place in Belo Horizonte, between June 4 and 6, and ended the stage of information collection at the regional level. Participants worked in groups to develop indicators based on the monitoring targets defined in the 1st workshop, held in Rio Branco, AC. The workshop was also an opportunity for the development process to contemplate visions from the other biomes, especially the Cerrado. With representatives of traditional communities in Minas Gerais and other states in the Central-West region of Brazil, it was possible to address the concerns related to the displacement of emissions (Safeguard G) between the Amazon and Cerrado biomes. In addressing safeguard E (conservation of socio-biodiversity), the group was able to elaborate the indicators related to the valorization of the standing forest, its multiple functions and benefits, and the ways of life associated with it. Like previous workshops, members were able to assess the work of all the groups to refine contributions. Forty-two people attended the event.

The 5th workshop took place in Brasilia from July 31st to August 2nd, 2018. The objective of this workshop was to refine the indicators proposed in the regional stages and discuss ways of measuring and implementing them.

Jurisdictional REDD+ programs in Acre

The Government of the State of Acre in Brazil has been pioneering a state-level, Jurisdictional REDD+ program Initiative since 2010. The REDD+ SES is being applied under the System of Incentives for Environmental Services (SISA). A [SISA law](#) was created, outlining social and environmental principles that need to be addressed and respected, and includes indicators and processes for monitoring, based on the [REDD+ Social & Environmental Principles & Criteria](#)

SISA was designed and validated with input and feedback gathered during a comprehensive stakeholder consultation process³. A draft law was first published in 2009 and was sent to 120 people from more than 72 national and international organizations for evaluation, it was also made available online. In addition, public consultation meetings with more than 170 people were organized by the State Secretariat of Environment to discuss the SISA proposal and to work toward a fair and efficient structure of benefit sharing⁴. This included representatives from 35 indigenous territories (out of 36 in the state), FUNAI, and indigenous NGOs, demonstrating the commitment to hearing the voices and integrating the needs of indigenous peoples in the state. Representatives from diverse groups also participated, including universities, companies, banks, family farmers, small producers, and traditional extractivist communities. Five meetings were held with technical staff from local NGOs, three workshops brought together potential beneficiaries, and a technical seminar included 10 national and international organizations that represented civil society, as well as representatives of seven State Secretariats⁵.

To oversee the implementation of SISA, a multi-stakeholder Commission of Validation and Monitoring of the SISA (CEVA - Comissão Estadual de Validação e Acompanhamento) was created. State law No. 2.308, Article 12, in

3 <http://imc.ac.gov.br/wp-content/uploads/2016/09/SISA-Construcao-Participativa.pdf>

4 Duchelle et al. Acre's State System of Incentives for Environmental Services (SISA), Brazil. CIFOR.

5 *ibid*

October 2010 and functions established the Commission as a balanced representation of government and civil society. The Commission held its first meeting in December 2011 and in early 2012, [the duties and functions of the Commission](#) were approved by the members. The Instituto de Mudanças Climáticas (IMC) facilitates the use of REDD+ SES in close coordination with CEVA.

Participants in the CEVA include the following state-level government bodies:

- Institute of Climate Change and Environmental Services Regulation (IMC)
- Secretary of Environment (SEMA)
- The State General Public Attorney (PGE)
- Brazilian Agricultural Research Company (EMBRAPA)

Civil society and stakeholder participation occurs through CEVA, as well as through public consultations. The following Civil society actors participate in CEVA:

- World Wildlife Fund (WWF)
- Single Center of Workers (CUT)
- Amazon Working Group (GTA)
- Association of Industries of Timber from Forest Management of the State of Acre (ASIMMANEJO)

The SISA law also created an Indigenous People's working group and a technical advisory committee to oversee activities of the SEVA, which includes representatives of FUNAI, of indigenous groups/federations and indigenous-led NGOs. This serves as another mechanisms to ensure that there is transparent decision-making and participatory monitoring and evaluation of SISA and SEVA activities in the state of Acre.