# SECOND 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

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Thematic Advisory Board on Safeguards - CONAREDD+ Resolution #02, as of July 11th, 2016

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List of Acronyms

ABEMA - Brazilian Association of Environmental State Entities

ANAMMA - National Association of Environmental Municipal Agencies

ARPA - Amazon Region Protected Areas Programme

ATER - Technical Assistance and Rural Extension

ATIX - Xingu Indigenous Land Association

BNDES - Brazilian Development Bank

CAR – Rural Environmental Registry

CCT - Thematic Advisory Boards

CCT-CDRNR - Thematic Advisory Board on Fundraising and Distribution of Non-Reimbursable Resources

CCT-Pact - Thematic Advisory Board on Federative Relations

CCT-Salv – Thematic Advisory Boards on Safeguards

CBD - Convention on Biological Diversity

CEPAL - Economic Commission for Latin America and the Caribbean

CEVA - State Commission for Validation and Monitoring of the SISA

CG PNGATI - Management Committee of the National Policy for Territorial and Environmental Management of Indigenous Lands

CIMC - Indigenous Committee on Climate Change

CNPCT - National Council of Peoples and Traditional Communities

CNPI - National Council of Indigenous Policy

CNS - National Council of Extractive Populations

COFA - Amazon Fund Guidance Committee

CONAREDD+ – National REDD+ Committee

COP – Conference of the Parties

DETER - Real-Time Deforestation Detection System

ENREDD+ - National REDD+ Strategy

FAO – Food and Agriculture Organization of the United Nations

FBMC - Brazilian Forum on Climate Change

FREL - Forest Emissions Reference Level

FUNAI - National Indigenous People Foundation

GEE – Greenhouse Gases

GIZ - Deutsche Gesellschaft für Internationale Zusammenarbeit

GPTI - Permanent Interministerial Working

GTT REDD+ - Working Group of Technical Experts on REDD+

IBGE - Brazilian Institute of Geography and Statistics

ICMBio - Chico Mendes Institute for Biodiversity Conservation

IEF - State Forest Institute

INCRA - National Institute of Colonization and Agrarian Reform

IPAM - Amazon Environmental Research Institute

IPEA - Institute for Applied Economic Research

LULUCF - Land use, land-use change, and forestry

MCTIC - Ministry of Science, Technology, Innovation and Communications

MF – Ministry of Finance

MMA - Ministry of the Environment

MRE - Minister of Foreign Affairs

MRV - Measuring, Reporting and Verifying

OGU - Union General Ombudsman

OIT - International Labor Organization

OTCA - Amazon Cooperation Treaty Organization

PEC – Constitutional Amendment Proposal

PGPM-Bio - Policy to Guarantee Minimum Prices for Sociobiodiversity Products

PIPCTATF - Indigenous Peoples, Traditional Peoples and Communities, and Traditional and Family Farmers

PL – Law Project

PLANAPO - National Plan on Agroecology and Organic Production

PLANAVEG – National Plan for Native Vegetation Recovery

Plano ABC - National Plan for Low Carbon Emission in Agriculture

PMABB - Brazilian Biomes Environmental Monitoring Program

PMFC - National Program of Family and Community Forest Management

PNAPO - National Policy on Agroecology and Organic Production:

PNGATI - National Policy for Territorial and Environmental Management of Indigenous Lands

PNMC – National Policy on Climate Change

PPCD - State Plans to Prevent and Control Deforestation

PPCerrado - Action Plan for the Prevention and Control of Deforestation and Forest Fires in the Cerrado

PPCDAm - Action Plan for the Prevention and Control of Deforestation in the Legal Amazon

ProVeg - National Policy for Native Vegetation Recovery

REDD+ - Reducing emissions from deforestation and forest degradation and the role of conservation, sustainable management of forests and enhancement of forest carbon stocks

SAF – Agroforestry System

SiBBr - Brazilian Biodiversity Information System

SISA – State System of Incentives for Environmental Services of Acre

SISREDD+ - REDD+ Safeguards Information System

TCU - Federal Court of Accounts

TI – Indigenous Land

UC – Conservation Units

UNFCCC - United Nations Framework Convention on Climate Change

## Introduction

This document presents information on the implementation of REDD+ safeguards in Brazil throughout the deployment of initiatives to reduce emissions from deforestation in the Amazon biome, aligned with REDD+ Technical Annex to the Second Brazilian Biennial Update Report (BUR), submitted to the UNFCCC in March 2017. It contains information on how the safeguards have been addressed and respected by Brazil since 2011, in achieving REDD+ results (through the Action Plan for the Prevention and Control of Deforestation in the Legal Amazon and associated policies) and in making use of results-based payments through the Amazon Fund.

In accordance with Decision 17/CP.21 of the UNFCCC, the current summary also lays out information about the national circumstances, describes each safeguard in the Brazilian context, as well as the relevant systems and processes to implement the safeguards and the safeguards information system. The Second Summary of Information on the Safeguards is the result of a progressive approach adopted by Brazil, enhancing information and processes used to elaborate the First Summary, and acknowledging that further enhancements are yet to come along with awareness about the topic in the country and with the full implementation of the safeguards information system.

The document was developed based on guidance from the Thematic Advisory Board on Safeguards (CCT-Salv), established by the National REDD+ Committee to support development and implementation of the topic. Throughout CCT-Salv work, the background of its members was essential to understand and define the safeguards according to the Brazilian context. It was equally important to identify, recognize and show the initiatives conducted in the country that contribute to respect safeguards in actions that lead to REDD+ results and in initiatives that benefit from REDD+ results based payments.

The Second Summary was electronically submitted to the Brazilian society for contributions. The document became available at the redd.mma.gov.br website from September 5th to November 15th, 2017. The document also received inputs from CCT representatives and other civil society members in a workshop held on September 5th, 2017.

## 1. International Context

Decision 1/CP. 16 of the United Nations Framework Convention on Climate Change (UNFCCC) establishes that, when implementing REDD+ activities[1], developing country Parties that aim to be rewarded for their efforts shall promote and support the following safeguards:

(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 carbon emissions.*

Follow-up and reports generated by the developing country Parties about REDD+ safeguards shall cover both the actions that lead to the results and the initiatives funded by results-based payments. Decisions agreed under the UNFCCC establish that developing country Parties aiming to receive REDD+ results-based payments shall allow safeguards to be tracked in two different ways, namely:

i. By establishing a system that provides information to follow-up how safeguards have been addressed and respected throughout the implementation of REDD+ activities, the Safeguards Information System. This system shall be independently developed by each country.

[1] REDD+ activities are the following: reducing greenhouse gas emissions from deforestation and forest degradation, conservation of forest carbon stocks, sustainable management of forests and enhancement of forest carbon stocks (REDD+).

ii. By elaborating a summary of information on the safeguards. This document shall lay out information on how the safeguards were addressed and respected throughout REDD+ implementation.

Throughout the process of negotiating REDD+ international architecture, guidance related to both the system the summary of information on the safeguards was determined in five UNFCCC decisions. Table 1 below lists the decisions and the elements covered.

*Table 1 - UNFCCC Decisions on the Safeguards.*

| **Decision** | **Content Associated with the Safeguards** |
|---|---|
| **1/CP.16** | Determines the seven safeguards for REDD+ and the Safeguards Information System as essential elements to implement REDD+. |
| **12/CP.17** | Offers guidance to develop the system and indicates the safeguards shall be monitored at all REDD+ implementation phases. |
| **9/CP.19** | Establishes the submission of a summary of information on the safeguards as a requirement to receive results-based payments. The summary shall be made available at the *Lima REDD+ Information Hub*, along with the data about REDD+ results. |
| **12/CP.19** | Covers the format and frequency for submitting the summary of information on the safeguards. |
| **17/CP.21** | Provides guidance on how to elaborate the summary of information on the safeguards. |

In accordance with Decision 17/CP.21, the current summary also lays out information about the national circumstances, describes each safeguard in the Brazilian context, as well as the relevant systems and processes to implement the safeguards and the safeguards information system. The Second Summary of Information on the Safeguards is the result of a progressive approach adopted by Brazil, enhancing information and processes used to elaborate the First Summary and acknowledging that further enhancements are yet to come along with awareness about the topic in the country and with the full implementation of the safeguards information system.

## 2. National Circumstances

About 58% of the Brazilian territory is covered by natural and planted forests, which accounts for the second largest forested area in the world, behind only to Russia (SFB,

2016). Brazilian forests, distributed throughout six biomes[2], play important social, economic, cultural and environmental roles, offering a wide range of goods and services. Brazil hosts over 20% of the total volume of fauna and flora species on Earth, and forests stand out as a shelter for most of them.

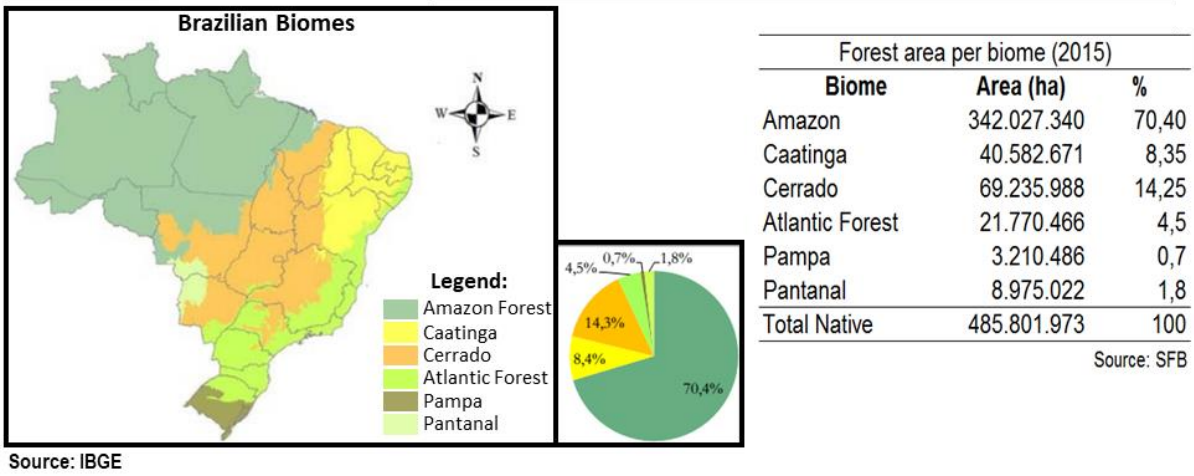
A large portion of forested areas in Brazil is located in territories of indigenous people and traditional people and communities, with which they have historical and unbreakable bonds when it comes to their physical and cultural reproduction. Throughout generations, those peoples have interacted in a sustainable and balanced way with the environment and have built multiple management systems of natural resources, as well as specific knowledge bases about biodiversity and its uses.

Table 2 shows key statistics about the Brazilian forests, and Figure 1 shows the Brazilian biomes and their corresponding forest cover.

*Table 2 - Statistics on forests.*

| | |
|---|---|
| **Total country area** | 851 million ha |
| **Total forest area (2015)** | 493 million ha |
| **Natural forest area (2015)** | 485 million ha |
| **Planted forest area (2015)** | 7.7 million ha |
| **Public forest areas registered (2012)** | 308 million ha |

Source: FAO, 2015.




Forest area per biome (2015)

| Biome | Area (ha) | % |
|---|---|---|
| Amazon | 342.027.340 | 70,40 |
| Caatinga | 40.582.671 | 8,35 |
| Cerrado | 69.235.988 | 14,25 |
| Atlantic Forest | 21.770.466 | 4,5 |
| Pampa | 3.210.486 | 0,7 |
| Pantanal | 8.975.022 | 1,8 |
| Total Native | 485.801.973 | 100 |

Source: SFB

*Figure 1 - Forest cover in Brazilian biomes.*

The dynamics of land use and tenure in Brazil – particularly in conversion of natural areas – has a significant impact on greenhouse gas (GHG) emissions in the country. Figure 2 presents the emission profile in Brazil from 1990 to 2014.

[2] A biome is a set of life (vegetable and animal) formed by groupings of contiguous types of vegetation identifiable in regional scale, with similar geo climate conditions and a shared history of changes, which results in a unique biological diversity.

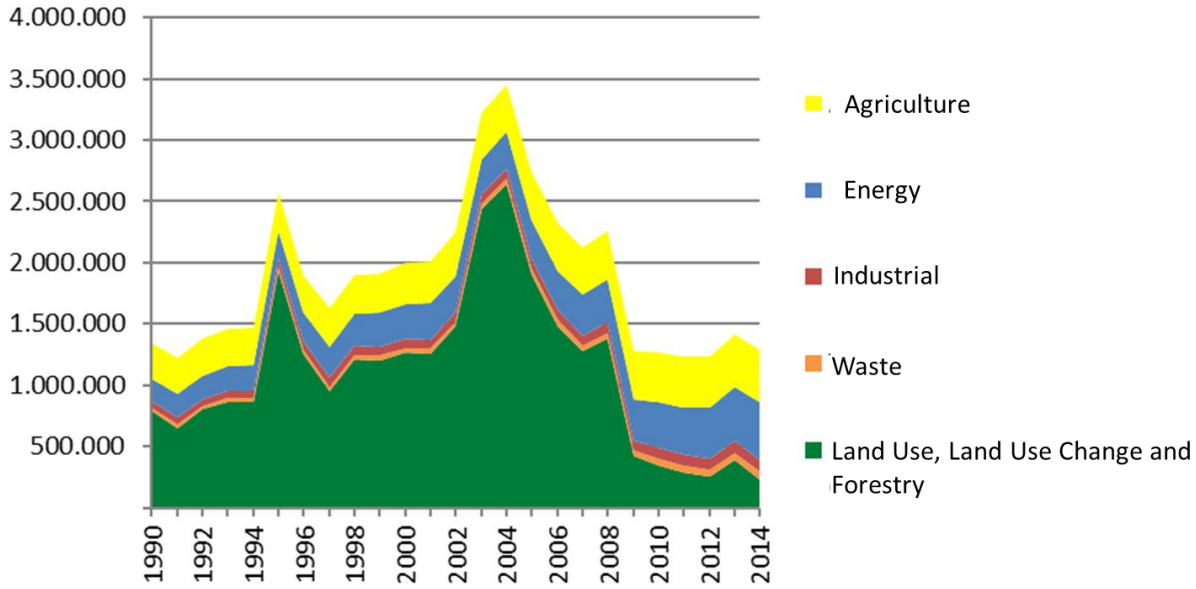



*Figure 2 - GHG emission profile in Brazil (1990-2014). Source: MCTI, 2016*

In spite of the historical contribution of the Land Use, Land Use Change and Forestry (LULUCF) sector to the emission profile, with great influence on the deforestation rates in the Brazilian Amazon, the relative contribution of the sector has dramatically decreased with the implementation of public policies to combat and prevent deforestation. According to the most up-to-date data (MCTIC, 2016), the percentage dropped from about 75% in 2005 to about 18% in 2014 (Figure 3).

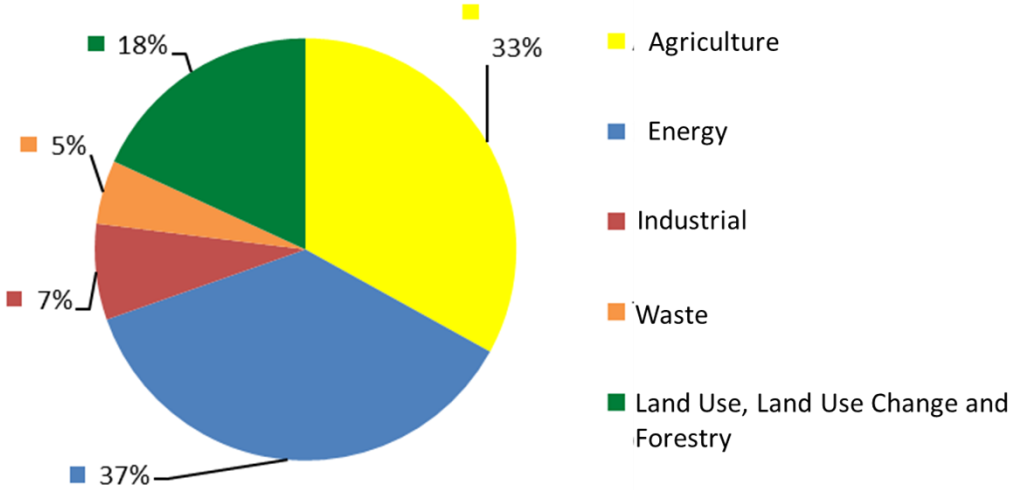



*Figure 3 - Sector contribution for GHG emissions in 2014. Source: MCTIC, 2016.*

Through national efforts to reduce greenhouse gas emissions from deforestation and forest degradation, Brazil has achieved significant results since 2006 (as showed in Figure 2) – being one of the countries which contributed most in the global effort to reduce emissions.

## 2.1. REDD+ in Brazil

Brazil started implementing REDD+ before the international architecture had been stablished under the UNFCCC. In addition to public policies that enabled achieving the results, Brazil developed a pilot initiative to receive results-based payments for deforestation reduction, the Amazon Fund.

### 2.1.1. Action Plan for the Prevention and Control of Deforestation in the Legal Amazon

Brazil has been monitoring the Amazon Forest since 1988. Between 1994 and 2004, the Legal Amazon has been accruing high rates of deforestation, and the deforestation rates had their peak in 1995 and 2004, with almost 30,000 $km^2$/year. In order to control high deforestation rates, the federal government created a Permanent Inter-Ministry Working Group, established by a Decree as of July 3rd, 2003. The measures proposed by that Working Group were gathered in the Action Plan for the Prevention and Control of Deforestation in the Legal Amazon (PPCDAm).

The purpose of PPCDAm is to continuously reduce deforestation and enable the transition to a sustainable development model in the Legal Amazon. Coordinated by the Office of the Chief of Staff of the Presidency until March 2013, and from that time on by the Ministry of the Environment (MMA), the Plan has been jointly executed by over ten ministries. PPCDAm was structured in order to broadly combat deforestation drivers, in an integrated and intensive way, basing their actions on three thematic areas: (i) land tenure and territorial planning, (ii) environmental monitoring and control, (iii) promotion of sustainable productive activities, and (iv) normative and economic instruments.

By approaching deforestation vectors in thematic areas, it is essential to integrate them with a number of public policies, namely: Low-Carbon Agriculture Plan – ABC; Community and Family Forest Management Program – PMFC; National Policy for Territorial and Environmental Management of Indigenous Lands – PNGATI; Legal Land Program; Environmental Conservation Support Program – Green Grant; Policy to Guarantee Minimum Prices for Sociobiodiversity Products – PGPMBio; Amazon Protected Areas Program – ARPA, among others.

Throughout 3 execution phases (2004 to 2008; 2009 to 2011; and 2012 to 2015), PPCDAm has played a significant role in dramatically reducing deforestation in the Amazon and encouraged initiatives to combat deforestation in other sectors in the Brazilian society, such as the Soy Moratorium – a pact between the private sector, non-governmental organizations and the federal government to curb the advancement of soybean crops over the Amazon rainforest. For PPCDAm fourth phase (2016-2020), a fourth pillar was created, related to normative and economic instruments, intended to foster economic and regulatory mechanisms that encourage the forest-based economy and contribute to develop a productive matrix that is economically competitive and impacts forests as little as possible.

Successful in reducing deforestation in the Amazon Forest, which is undeniably a relevant region for the planet climate and biodiversity, Brazil became a reference in the reduction of greenhouse gas emissions from tropical forest deforestation.

### 2.1.2. The Amazon Fund

Created in 2008, the Amazon Fund aims to contribute to reduce greenhouse gas emissions from deforestation and forest degradation. It is a fundraising instrument that receives results-based payments and uses them in non-reimbursable actions to prevent, monitor and combat deforestation, promote conservation and sustainable forest use in the Legal Amazon, pursuant to the terms in Decree # 6,527, as of August 1st, 2008. It is a fund acknowledged as a financial instrument of the National REDD+ Strategy (ENREDD+) in Brazil.

The Amazon Fund management was assigned to the Brazilian Development Bank (BNDES), who is responsible for raising and distributing the funds, for monitoring the supported actions and projects, and for accountability and communication of the results achieved in a continuous and transparent way.

The Amazon Fund relies on an Amazon Fund Steering Committee (COFA), whose purpose is to ensure the alignment of the Fund to the PPCDAm and the ENREDD+, establish the guidelines and criteria for the application of the Fund resources and approve its annual report. It is a committee based on three pillars: the federal government, state governments and civil society. For each topic voted, votes are separately counted, per segment, and decisions are made by consensus among representatives of the three segments. The Ministry of the Environment is in charge of COFA's presidency, and BNDES is in charge of its Executive Secretary.

In order to meet its goals, the Amazon Fund can support projects in seven thematic areas, as presented in Figure 4. To be eligible, initiatives supported by the Amazon Fund shall comply with ENREDD+, PPCDAm priority action lines, guidelines and criteria

established by COFA, as well as BNDES operational policies.

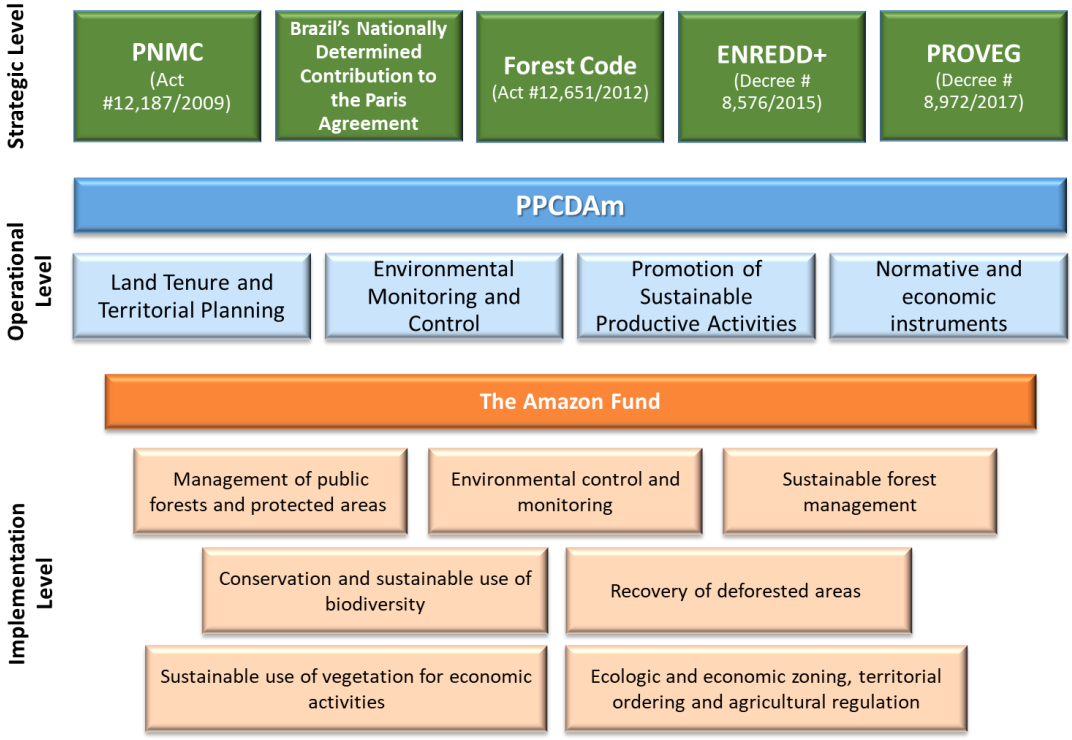



*Figure 4 - Strategic and operational guidance for the Amazon Fund.*

Combining experience and results from PPCDAm and the Amazon Fund laid the foundation for Brazil to develop the National REDD+ Strategy.

### 2.2. The National REDD+ Strategy

ENREDD+ is the document that formalizes, to the Brazilian society and to the UNFCCC signatory nations, how the federal government has been structuring its efforts and how it expects to enhance them by 2020, focusing on coordinated actions to prevent and control deforestation and forest degradation, foster forest recovery and sustainable development.

ENREDD+ is the result of a collaborative process initiated in 2010[3]. After five years of discussions coordinated by the federal government, participation in events related to REDD+ organized by state governments, and other REDD+ governance forums to which the Brazilian Ministry of the Environment was invited to participate, Decree # 8,576 was published, as of November 26th, 2015, establishing REDD+ National Commission (CONAREDD+). The Decree assigned the Minister of the Environment the task to

[3] Further details about that process can be found in Appendix A.

establish ENREDD+, which was done through MMA Ordinance # 370, as of December 02nd, 2015.

The overall purpose established by ENREDD+ is to contribute to climate change mitigation by eliminating illegal deforestation, promoting conservation and restoration of forest ecosystems and fostering a low-carbon and sustainable forest economy, delivering environmental, social and economic benefits.

In order to achieve the overall objective, the following specific objectives have been defined:

- 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 social and environmental safeguards agreed under the UNFCCC;
- To integrate the governance structures of climate change, forest and biodiversity related policies, seeking to promote consistency and synergies among them at the federal, state and municipal levels;
- To contribute to the mobilization of 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 Policy on Climate Change;

The Strategy is structured upon three action lines:

1. Coordinating Public Policies on Climate Change, Biodiversity and Forests, including Safeguards – the main activities planned are the development of a **matrix to assess the impact and results of public policies** on climate change and forests (aiming at supporting decision making in the allocation of REDD+ investments); and developing a system for providing information on how the safeguards are being addressed and respected (**SISREDD+**), compliant with UNFCCC decisions, to support the management of risks associated with REDD+ implementation and provide transparency.

2. Measuring, Reporting and Verifying (MRV) of Results – the main activities planned are **preparing Brazil's REDD+ technical submissions to the UNFCCC**, that includes establishing Forest Reference Emission Levels for measuring REDD + results and the REDD+ Technical Annex to obtain recognition for the achieved results; and following and **providing additional information throughout the Verification** processes of submissions.

3. Fundraising for REDD+ Results-Based Payments and Benefit Sharing - among CONAREDD+ tasks, it is worth highlighting the **creation of criteria and rules for eligibility** to access REDD+ results-based payments achieved by the country and acknowledged by UNFCCC; **determining guidelines** to fundraise and use resources, as well the rules to monitor agreements.

CONAREDD+ is responsible for coordinating, overseeing and monitoring the implementation of the National REDD+ Strategy, relying on the counseling of the Executive Secretary (MMA) and Thematic Advisory Boards (CCT) to support the work. The Committee is formed by the Ministry of the Environment, as its chair; Ministry of Finance; Ministry of Foreign Affairs; Ministry of Agriculture, Livestock and Food Supply; Ministry of Science, Technology, Innovation and Communications; Government Secretariat; Special Secretariat for Family Farming and Agrarian Development and Office of the Chief of Staff of the Presidency. Two representatives and two deputy members from the state governments, appointed by the Brazilian Environmental State Agencies Association – Abema; a representative and a deputy member of the local governments, appointed by the Brazilian National Association of Municipal Environmental Bodies – Anamma; and two representatives and two deputy members of the Brazilian organized civil society, appointed by the Brazilian Forum of Climate Change (FBMC) are invited to join CONAREDD+. Currently, the government is revising how CONAREDD+'s seats are distributed, aiming at extending participation of guest members.

Thematic Advisory Boards (CCT) are formed by 30 representatives from civil society and public and private entities, which is key for a successful REDD+ implementation in Brazil throughout all phases. Up to the present moment, CONAREDD+ has created three CCTs: (i) Safeguards; (ii) Federative relations; and (iii) Fundraising and distribution of non-reimbursable resources. CCTs are operational structures that enable the implementation of lines of action 1 and 3, with broad social participation.

In order to implement the action line related to Measuring, Reporting and Verifying (MRV) of Results, the REDD+ Technical Working Group (GTT REDD+) has been integrated into ENREDD+ governance structure. The Group relies on the participation of experts on topics such as forests, climate, ecology, remote sensing and international negotiations within UNFCCC. GTT REDD+ supported the elaboration of the forest reference emission level (FREL) for deforestation in the Amazon biome, subsequent calculations of RED results for that biome, and FREL for deforestation in the Cerrado biome.

Figure 5 shows ENREDD+ management structure.

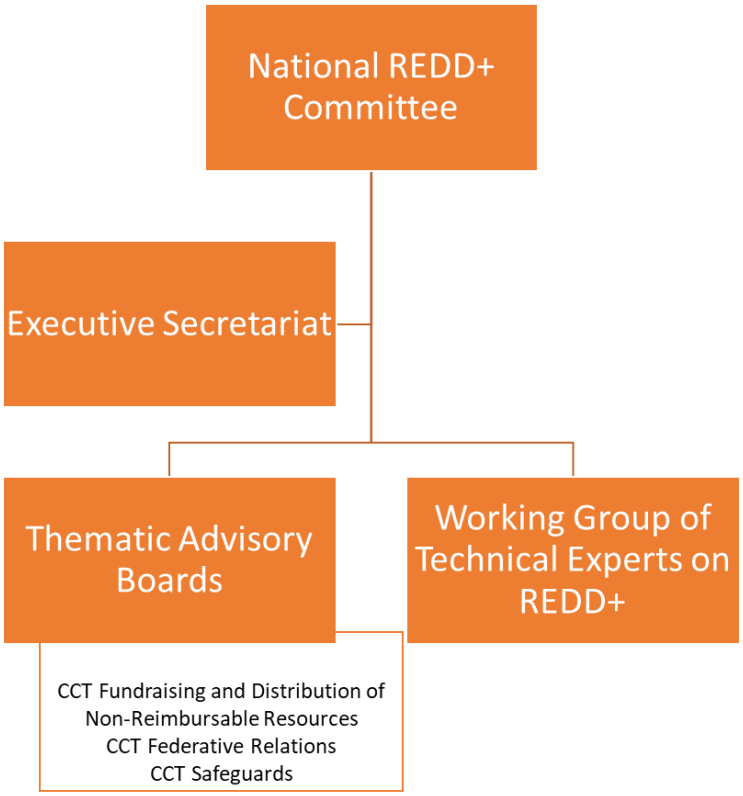



*Figure 5 - ENREDD+ management structure.*

CONAREDD+ operates based on CCT deliverables. CCT have determined their work plans and, as discussions advance and they come to a consensus about a certain product, the Executive Secretary writes a draft Resolution about the topic and submits it for CONAREDD+ discussion and approval. CCT and CONAREDD+ meetings are documented so as to reflect different points of view expressed by their members.

CONAREDD+ established in its Internal Regulation that decisions shall be made by consensus and, whenever it is not possible to vote, it shall ensure that at least one representative besides the federal government agrees with the resolution, which prevents a unilateral resolution on behalf of the federal government.

Up to now, CONAREDD+ has held seven meetings and has approved 12 resolutions, as shown in Figure 6, below.

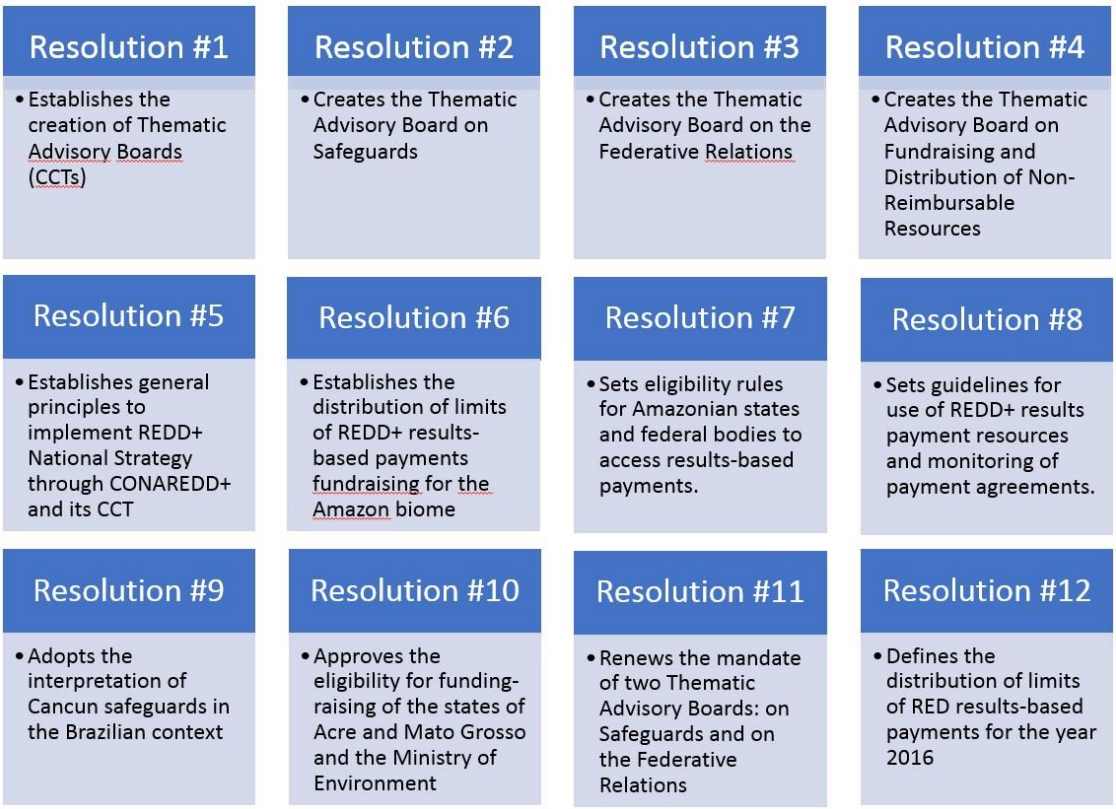



*Figure 6 - CONAREDD+ resolutions.*

### 2.2.1. Thematic Advisory Board on Safeguards

The Thematic Advisory Board on Safeguards (CCT-Salv) provides inputs to support CONAREDD+ decision making on how the Cancun Safeguards have been addressed and respected throughout REDD+ implementation in Brazil.

CCT-Salv is responsible for supporting CONAREDD+ in the following processes:

i) Interpreting and defining the Cancun safeguards according to the Brazilian context;

ii) Supporting the development of SISREDD+;

iii) Developing guidelines for the elaboration and revision of the Summary of Information on the Safeguards by the Brazilian government;

iv) Elaborating guidelines for an ombudsman system targeted on safeguards violation; and

v) Elaborating guidelines for the training plan on safeguards.

CCT-Salv is coordinated by the Ministry of Foreign Affairs (MRE) and by one of the CONAREDD+'s civil society members. The representatives were selected based on criteria established by CONAREDD+ aiming to include:

a) Representatives from indigenous peoples, traditional peoples and communities, and family farmers;

b) Experts on biodiversity;

c) Experts on socio-environmental topics;

d) Experts on transparency and forest governance;

e) Experts on environmental monitoring;

f) Experts on public policies related to climate change and forests;

g) Populations affected by forest carbon projects;

h) Beneficiaries and executors of REDD+ results-based payment initiatives.

CCT composition meets regional and gender distribution criteria according to CONAREDD+ Resolution #1, as of July 11th, 2016. Participants were selected from a public call on the internet and on public policy governance instances, with an active search for representatives of indigenous peoples, traditional peoples and communities, and traditional and family farmers. The Executive Secretary led the process, which was carefully considered by CONAREDD+. In addition to the coordinators, two members of CONAREDD+ follow-up CCT work. The profile of CCT-Salv participants is shown bellow.

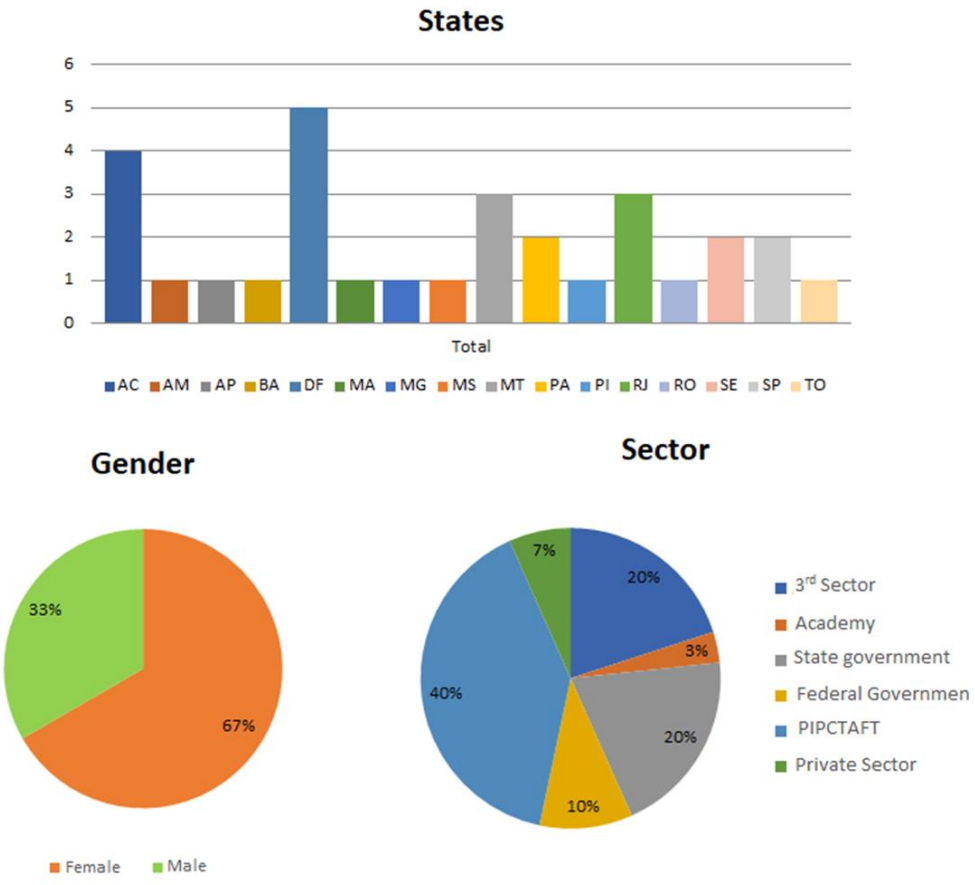



*Figure 7 - Profile of participants at CCT-Salv.*

### 2.2.2. Thematic Advisory Board on Federative Relations

The Thematic Advisory Board on Federative Relations (CCT-Pact) develops inputs to support CONAREDD+ decision making on topics related to convergence and complementarity between climate change and forest policies at the federal, state and local levels. This CCT is responsible for supporting CONAREDD+ in the following processes:

i) Developing a plan to provide for training on REDD+ under the UNFCCC and the Brazilian approach for state and local technical staff;

ii) Mapping different stages of implementation of REDD+-related initiatives in the states;

iii) Determining guidelines to make legal subnational programs comply with the National REDD+ Strategy; and

iv) Elaborating reports on the progress of current REDD+ strategic initiatives at the federal, state and local levels, and proposing measures to foster convergence and complementary in policies.

CCT-Pact is coordinated by the Government Secretariat at the President's Cabinet (SG/PR) and by Acre State Secretary of the Environment. The representatives were selected based on criteria established by CONAREDD+, aiming to include:

a) Representatives of as many states as possible;

b) Representatives of municipalities involved in initiatives to combat deforestation along with the federal government; and

c) Specialists in climate change and forests related public policies and initiatives.

### 2.2.3. Thematic Advisory Board on Fundraising and Distribution of Non-Reimbursable Resources

The Thematic Advisory Board on Fundraising and Distribution of Non-Reimbursable Resources (CCT-CDRNR) develops inputs to support CONAREDD+ decision making on topics related to REDD+ results-based payments fundraising and distribution of benefits. This CCT supports CONAREDD+ definition of guidelines, rules and criteria about:

I) Eligibility to access REDD+ payments according to the results achieved by the Country and acknowledged by the UNFCCC;

ii) Fundraising, by eligible entities, of resources from REDD+ results-based payments;

iii) Use of REDD+ results-based payments received by eligible entities.

CCT-CDRNR, which developed its work during 2016 and 2017, was coordinated by the Ministry of the Environment (MMA) and by the Ministry of Finance (MF). The members were selected based on criteria established by CONAREDD+, aiming to include:

a) Representatives of institutions that operate (small, medium and large) Brazilian funds targeted at environmental conservation;

b) Experts on international climate finance;

c) Economists and experts on economic instruments for environmental conservation and intergovernmental transfer schemes;

d) Representatives from indigenous peoples, traditional peoples and communities, and family farmers;

e) Experts on public policies related to climate change and forests.

This CCT completed its work in August 2017, delivering three resolution minutes to CONAREDD+ to enable decentralization of REDD+ results-based payments in Brazil (Resolutions #6, #7 and #8, in Portuguese only).

## 3. Development of the Second Summary on the Safeguards by Brazil

### 3.1. Pioneering: The First Summary on the Safeguards Submitted to the UNFCCC

The First Summary of Information on Safeguards produced by Brazil was a non-exhaustive preliminary survey on the implementation of the Cancun safeguards and was based on the information from the report *Survey to Identify Information and Sources to Feed the Safeguards Information System*, as of April 2013, developed by a Technical Panel of national experts in REDD+ safeguards. The Ministry of the Environment received and analyzed several feedbacks and suggestions from Brazilian and international society regarding its first summary of safeguards. These contributions were taken into account to elaborate this second summary.

### 3.2. Methodology

The Second Summary on the Safeguards was based on the guidelines provided in Decision 17/CP.21 and with broad participation of CCT-Salv. It aims to assess the implementation of the Cancun safeguards in the Amazon biome, whose results from deforestation emissions reduction were presented between 2011 and 2015[4]. Reporting

[4] REDD+ Technical Annex to the Second Brazilian Biennial Update Report (BUR), available at: http://redd.mma.gov.br/images/central-de-midia/pdf/Documentos/anexotecnico_20161223_portugues.pdf

of safeguards starts in 2011 but, with the purpose to provide the most up-to-date information, it is not restricted to 2015.

The elaboration of the Second Summary on the Safeguards in Brazil was guided by CCT-Salv. The first step to elaborate the document was the definition of the safeguards in the Brazilian context by CCT, which is presented in the next section (section 4). 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 stablished in the national context, keeping the sorveinty aspect essential to this issue. The rationale is that all those laws, policies and programs implemented together ensure addressing and respecting the safeguards. Until this moment, it is not used an approach to singularize laws and policies for each of the safeguards. Building upon this, they held discussions on general guidelines to elaborate the Second Summary. Inputs from handling safeguards in other spheres, such as state (subnational) initiatives and the Amazon Fund, helped CCT-Salv considerations. The first results obtained from this exercise were compiled in Figure 8 and permeated the elaboration of the entire document.

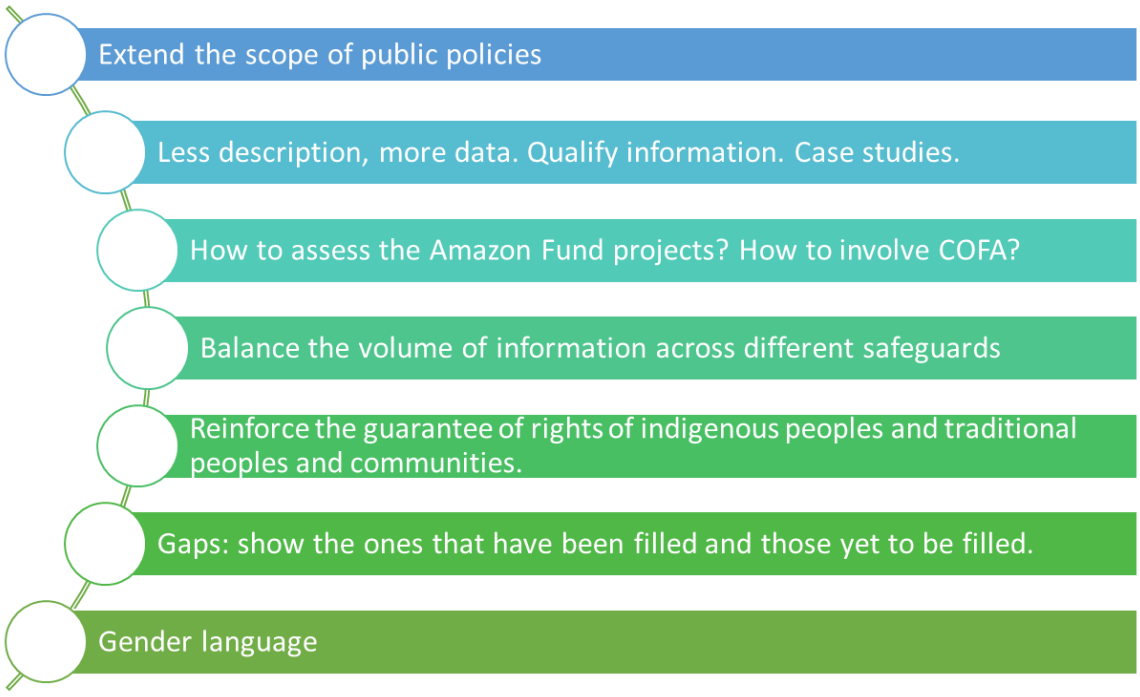



*Figure 8 - Aspects proposed by CCT-Salv to be taken into account in the Second Summary on the Safeguards.*

Section 5 presents how each safeguard was addressed and respected by Brazil throughout the implementation of initiatives to reduce emissions from deforestation in the Amazon biome. The main data source is information on:

- Public policies regarding forests and combating deforestation – particularly ENREDD+ and PPCDAm (which encompasses a number of different policies and relies on a monitoring routine of actions); and
- The Amazon Fund, as a financial mechanism to receive and distribute REDD+ results-based payments.

It was sought to generate a history of how each safeguard is approached by the Brazilian public policies and by the Amazon Fund, as well as identify the current and future challenges. The exercise of listing the challenges was done with a logic of recognizing them and consider that ENREDD+ and REDD+ safeguards will be implemented to overcome them. However, it is necessary to acknowledge that many identified challenges go beyond the governance of ENREDD+. In order to facilitate reading, it was chosen using a structure with topics, highlighting the key aspects considered in the approach and how the safeguard was respected.

In order to showcase the implementation of the safeguards, additional information for each of them was provided in charts. The charts must be read as *one of the examples* of concrete action related to each safeguard. The document was submitted to CCT-Salv for approval, and it proposed guidelines for the process of opening up for consultation in the society. In addition to ordinary meetings, a specific workshop about the content of the summary on the safeguards was conducted with 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. CCT members were also encouraged to consult with their peers and to take a proactive role as multipliers of information throughout the process.

## 4. The Cancun Safeguards in the Brazilian Context

Implementing safeguards requires efforts to adjust to the reality of each country, considering the national context, alignment with policies and actions in the country, and sovereignty to implement REDD+ actions.

This section summarizes CCT-Salv conclusions about the meaning assigned to each safeguard in the Brazilian context.

*Chart 1 - Process of interpreting safeguards in Brazil*

**DEFINING SAFEGUARDS IN BRAZIL**

Discussions about safeguards in Brazil started in 2009, when a group of people from different sectors gathered to discuss and elaborate "REDD+ Socio-environmental Principles and Criteria". The result of that experience was published in the document entitled "REDD+ Socio-environmental Principles and Criteria for Developing and Implementing Programs and Projects in the Brazilian Amazon". In discussions coordinated by MMA for the development of a REDD+ national strategy, the topic was also covered, between 2010 and 2011, by a working group and a specific workshop. Between 2012 and 2013, MMA formed a Technical Panel with experts who gathered data for the Safeguards Information System. The group adopted an initial definition for each safeguard, based on the discussions they had until then. The Panel work is documented in the report Survey to Identify Information and Sources to Feed the Safeguards Information System.

CCT-Salv, when resuming the discussions, took into account the work previously conducted about the topic and updated it.

The definition of the safeguards was developed based on debates among CCT-Salv members conducted in three ordinary meetings and a two-day workshop, in addition to virtual debates and remote tasks performed by CCT members, divided into smaller groups. CCT-Salv also gathered relevant laws and policies for the implementation of safeguards, shown in the Matrix of Relevant Laws and Policies for REDD+ Safeguards (Appendix B). CCT-Salv understanding is that the implementation of the safeguards encompasses a large set of laws, policies and programs stablished in the national context. All those laws, policies and programs implemented together ensure addressing and respecting the safeguards.

After discussions in CCT-Salv, the document was submitted for CONAREDD+ approval, ratifying the definition of the Cancun safeguards as proposed by CCT-Salv in Resolution #9.

The definition of the safeguards in the Brazilian context is the foundation for elaborating this current Summary of Safeguards and for developing SISREDD+. It also supports the work of the other Thematic Advisory Boards, in such a way as to guide processes, such as monitoring of how REDD+ resources have been used and guidelines for harmonization of REDD+ state initiatives with ENREDD+. Finally, it will support the identification of opportunities for capacity building, raising awareness and social participation concerning REDD+ and safeguards.

### 4.1. How Brazil interprets the Cancun Safeguards

As suggested by CCT-Salv, 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 among them. The underlined texts in each safeguard refer to important aspects considered for the information provided in Section 5 and also in the development of indicators for the SISREDD+ (Section 6).

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

1. Definition:

Complementarity or consistency of REDD+ actions with national and international policies, laws, decrees, plans, strategies and commitments aimed at conserving, recovering and sustainable using of forests and other natural ecosystems, acknowledging subnational efforts that are consistent with federal efforts.

2. Objective:

The objective of this safeguard is to ensure that the implementation of REDD+ actions in Brazil will increase the positive impact of existing public policies on forests (including international agreements ratified by the country) and are aligned with those instruments. This safeguard also guides national efforts to prevent and minimize risks and negative impacts from other policies (mining, land use, infrastructure, etc.) on forest policies, contributing to converge public actions.

3. Further Details:

Brazil has a long history of forest policies at the federal, state and local levels. Those policies have contributed in different manners and according to the competences of the different federal entities to the results achieved by the country in the reduction of emissions from deforestation.

The Matrix of Relevant Laws and Policies for REDD+ Safeguards (Appendix B) lists the relevant instruments to meet the goals of this safeguard. When considering the relevant laws and policies to develop and implement REDD+ actions, one shall also assess their objectives, goals and content. As sources for the assessment, the information produced by bodies and entities accountable for the implementation of the policies can be used,

including reports generated by committees, commissions or working groups related to them.

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

1. Definition:

Governance structures that contribute to REDD+ targets and to compliance with the safeguards in Brazil shall be transparent and effective, in order to ensure (i) society can access proper and quality information about the implementation of relevant laws and policies; (ii) full and effective participation of the society in decisions that positively or negatively impact conservation, sustainable use, recovery of forests and natural ecosystems and livelihoods associated with them; and (iii) achievement of REDD+ results in a consistent and robust way, through shared and accountable management, guided by common objectives.

2. Objective:

Ensure that the government and relevant social actors, particularly indigenous peoples, traditional peoples and communities, and traditional and family farmers actively participate in the processes of planning, implementing, monitoring and assessing policies related to conservation, recovery and sustainable use of forests and natural ecosystems, especially in the decision making, ensuring transparency in those decisions. Those structures shall ensure broad participation of the society, compliance with the applicable laws, guarantee of rights and sustainability, according to the fundamentals and objectives of the Federal Constitution.

3. Further Details:

The governance structures that contribute to achieve REDD+ objectives shall propose social control mechanisms based on the principles of representativeness, participation, commitment, accountability, transparency, effectiveness and integrity.

The effectiveness of a governance structure is associated with the way its corresponding policy is conducted. It will be effective if it follows the planning - implementation - monitoring - policy assessment cycle, which can be checked by indicators that monitor the results. It is also worth noting the application of corrective measures, if necessary, to ensure the safeguards are observed and minimize negative impacts. A system of monitoring and assessment that tracks progress consists of a parameter to assess effectiveness, and so does the existence and operation of an ombudsman instance.

For the governance to be effective, the transparency of ENREDD+ information shall be ensured (in that case, structuring of REDD+ Brazil Portal, which will include SISREDD+[5] and its ombudsman, InfoHub Brazil[6] and the Matrix of Public Policies Impact[7]). That information refers to REDD+ actions planning, implementation, monitoring and assessment, including data about how safeguards have been met, fundraising and distribution of resources, and monitoring of their effective destination. It shall be guaranteed instances of REDD+ governance and policies or bodies that receive REDD+ resources are guided by the same principles. Those participation instances shall be composed in a balanced manner, including representatives of indigenous peoples, traditional peoples and communities, and traditional and family farmers of the private sector, taking into consideration representativeness of gender and age.

In regard to transparency, as a way to ensure social control, data and documentation reporting the meetings shall be made available and published, and shall be posted in REDD+ Brazil Portal as well, in compliance with the Access to Information Law (Law #12,527/2011), thus helping to foster the rights of REDD+ action beneficiaries. Content communication means shall be transparent and reach from indigenous peoples and traditional peoples and communities to international entities, making use of a simplified and easy to understand language.

The Matrix of Relevant Laws and Policies for REDD+ Safeguards (Appendix B) shall be used as reference for the monitoring of safeguards. Most of the instruments and policies listed there have governance structures that include the participation of governments and the civil society. Those instances may benefit from the work developed under the umbrella of CONAREDD+ and ENREDD+.

**(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.**

1. Definition

This safeguard refers to the guarantee and respect to the knowledge and rights of indigenous peoples, traditional peoples and communities, and traditional and family farmers (PIPCTATF) in the implementation of REDD+ actions.

[5] A structure to assess whether the Cancun safeguards have been addressed and respected in policies that lead to REDD+ results and in the use of resources from results-based payments.
[6] Info Hub Brazil is a platform to communicate REDD+ results achieved by Brazil and information from results-based payment agreements, according to CONAREDD+ guidance.
[7] A tool to assess effectiveness and efficacy of public policies that contribute to achieve REDD+ results.

Traditional knowledge is associated with the management of the genetic heritage and territory by those peoples, as well as the conservation and sustainable use of biodiversity and natural resources in different ecosystems.

The rights guaranteed in relevant national laws and international obligations, in summary, refer to: (i) the guarantee of their territories to those people ; (ii) the originating rights of indigenous peoples; (iii) self-determination of indigenous peoples and traditional peoples and communities; (iv) acknowledgment of sociocultural autonomy; (vi) protection and valuation of sociocultural heritage and ethnic and regional diversity; (vi) standing for the ways of being, living and doing of these peoples and their own forms of organization; (vii) valuation and enhancement of their leading role; and (viii) improving their quality of life and providing full conditions for their physical and cultural reproduction.

2. Objective

Ensure the knowledge and rights of indigenous peoples, traditional peoples and communities, and traditional and family farmers, acknowledged by international and national instruments[8], are respected in the context of implementing REDD+ actions in Brazil.

3. Further Details

The rights of indigenous peoples, traditional peoples and communities, and traditional and family farmers shall include[9]:

a) Prohibition of restrictions on the use and management of territories and traditional practices.

b) Non-discrimination: these groups shall have the same rights as other citizens, especially regarding human rights and fundamental freedoms, without discrimination, including gender equality.

c) Self-determination: the ability to freely determine their political condition, to seek their economic, social and cultural development, and to freely use their natural wealth and resources to provide for their livelihood.

[8]Namely, Articles 231 and 48 of ADCT of the Federal Constitution; Legislative Decree # 2/1994; Decrees # 5,051/2004, 6,040/2007, 6,476/2008, 7,747/2012; Laws # 11,326/06, 13,123/15; and the United Nations Declaration on the Rights of Indigenous Peoples. Please refer to the Matrix of Relevant Laws and Policies for REDD+ Safeguards.

[9] Adapted from: Rey, D., Roberts, J., Korwin, S., Rivera, L., and Ribet, U. (2013) Guía para Comprender e Implementar las Salvaguardas REDD+ de la CMNUCC (A Guide to Understanding and Implementing the UNFCCC REDD+ Safeguards). ClientEarth, London, United Kingdom.

d) Rights associated with culture: respect for identity, ancestry, customs, traditions and institutions.

e) Collective land tenure[10]: a right of special relevance because of the unique connection and cultural dependence of the peoples upon their traditional territories.

f) Fair and equitable sharing of benefits: these peoples shall have an effective participation in any benefit-sharing agreement and differentiated access to REDD+ funds and other financing instruments.

g) Procedural rights: because they are especially vulnerable, indigenous peoples and traditional peoples and communities require additional procedural guarantees, in certain circumstances, compared to those provided to the population in general, such as the right to free, prior and informed consent, according to the community agreements, protocols and institutions developed by these peoples and ensuring the resources necessary to carry out the consultations.

h) Contribution to strength existing national policies for the demarcation, creation, implementation and management of the PIPCTATF territories.

Regarding the knowledge of indigenous peoples, traditional peoples and communities, and traditional and family farmers, there are examples of innovations, practices and technologies developed and applied by these populations that are particularly relevant to REDD+ actions, such as: i) knowledge and practices related to management systems and conservation of natural resources, biodiversity and agrobiodiversity; ii) knowledge related to traditional and forest medicine, spiritual and traditional healing and the use of medicinal plants; iii) knowledge about plant genetic resources; iv) knowledge about the spiritual value of nature and v) knowledge about fauna and flora. When interpreting this safeguard, it is essential to consider all the knowledge related to the management of the territories and PIPCTATF livelihoods, in their most varied forms, such as oral traditions, rituals and cultural practices that might otherwise be disregarded or impacted by REDD+ actions.

**(d) The full and effective participation of relevant stakeholders, in particular indigenous peoples and local communities.**

1. Definition

[10] The right to land can be interpreted as a prevailing right, consisting of a number of other rights, such as the right to full possession and legal security in possession of land; the right to effective dispute resolution mechanisms; the right to install basic, public and differentiated services, respecting cultural and local specificities; the right to protection and territorial and environmental management.

The full and effective participation of stakeholders shall occur through: (i) transparent governance structures and instruments that ensure stakeholder representation and engagement, observing sociocultural diversity and gender equality; (ii) facilitated access to adequate and quality information, according to the needs, specificities and contexts of the individuals involved, in particular indigenous peoples, traditional peoples and communities, and traditional and family farmers (PIPCTAFT); (iii) participation in all stages of the process, from conception to monitoring, observing, for indigenous peoples and traditional peoples and communities, the legal provision for consultation and free, prior and informed consent, in order to promote spaces for qualified, inclusive and democratic debates.

2. Objective

Ensure the full and effective participation, voice and leading role of stakeholders, including the public and private sectors and the third sector, especially indigenous peoples, traditional peoples and communities, and traditional and family farmers, in order to promote shared management and social control in the implementation of REDD+ actions and their safeguards.

3. Further Details

In order to ensure the full and effective participation of the stakeholders, it is necessary to:

a) Broadly communicate relevant information, in a timely and culturally appropriate manner, at all stages of REDD+ actions;

b) Provide for qualified and effective access to decision-making processes and the continuous monitoring of REDD+ actions, promoting social control;

c) Ensure stakeholder consultation in decision making at the local, regional and national levels, respecting traditional decision-making and governance systems in indigenous lands and territories, traditional peoples and communities, and traditional and family farmers;

d) Encourage local and participatory monitoring of these actions; and

e) Provide mechanisms for grievance, diligence, appeal and resolution of conflicts through, among others, ombudsman systems.

For this safeguard to be effective, it requires that REDD+ action management structures allow the participation of different actors, and it is necessary to mobilize budgetary and financial resources, as well as use tools, methodologies and participatory procedures that are fit to different contexts, using accessible language to enable:

(a) Free, prior and informed consultation through representative institutions with regard to indigenous peoples, peoples and traditional communities (Article 6.1 a of ILO Convention 169), with respect to the existing consultation protocols, as well as the encouragement and support for the production of autonomous consultation protocols throughout the country, according to their own organization.

(b) The right to participate in decision making at the national level on matters relating to conservation and sustainable use of agrobiodiversity in relation to family and peasant agriculture (Art. 9.2 c of the International Treaty on Plant Genetic Resources for Food and Agriculture – ITPGRFA/FAO).

c) Free, prior and informed consent with the participation and approval of holders of traditional knowledge associated with the conservation and sustainable use of biological diversity (Arts. 8 j, 10 c and 15 of the Convention on Biological Diversity - CBD).

It is also necessary to seek the strengthening and active engagement of existing consultative and deliberative bodies and instances of which indigenous peoples, traditional peoples and communities, and traditional and family farmers are part, such as the National Council of Indigenous Policy (CNPI, for its acronym in Portuguese); the National Council of Peoples and Traditional Communities (CNPCT, for its acronym in Portuguese); and the Management Committee of the National Policy for Territorial and Environmental Management of Indigenous Lands (CG PNGATI, for its acronym in Portuguese).

Conducting training and capability building processes for stakeholders is essential for full and effective participation. Particularly for the PIPCTATF, these processes shall take into account the local and regional context, their representative institutions and their own training procedures, preferably carried out in person and in the specific region.

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

1. Definition

This safeguard is based on the concept that values the standing forest, its multiple functions and benefits, and the livelihoods associated with it. The term “natural forest”, in the context of this safeguard, is considered to encompass natural ecosystems, their structures, functions and dynamics that contribute to environmental and social benefits.

2. Objective

Ensure that REDD+ actions are not implemented to convert natural ecosystems into systems with poor biodiversity (even though it represents a high potential for mitigation of greenhouse gases), nor into activities that could compromise the provision of ecosystem services or the guarantee of rights. It is about avoiding the creation of perverse economic incentives (contrary to the objectives of safeguards) that could hinder the protection, conservation and sustainable use of natural resources, ecosystem services provided by them, and existing social and environmental benefits.

3. Further Details

The promotion and effectiveness of this safeguard are associated with: (i) conservation and sustainable use of natural ecosystems, their biodiversity and ecosystem services, and (ii) restoration of native vegetation and recovery of degraded ecosystems.

For protected areas, the conservation of natural ecosystems and biological diversity is linked to the creation and effective implementation of conservation units, as well as to the acknowledgment, demarcation and implementation of indigenous lands and territories of traditional peoples and communities. The sustainable use of these territories and the support and encouragement of community-based territorial management protocols stand out as essential instruments for the conservation of natural ecosystems, biodiversity and their co-benefits.

For private lands, the valuation of natural ecosystems will contribute to the valuation of native vegetation and associated livelihoods, rather than converting these areas. Such valuation shall include not only the intrinsic value of natural ecosystems, but of all ecosystem services and social and environmental benefits.

This safeguard takes into account Decision XI/19 of the 2012 Convention on Biological Diversity (CBD), which determines that REDD+ and biodiversity conservation actions shall cooperate with each other and be consistent. As a result, they shall reduce the risks of negative impacts of REDD+ activities on biodiversity, such as those identified in the Annex to CBD Decision XI/19, but not limited to them. Some potential negative impacts listed by this Decision and that should be taken into account for this safeguard are:

a) Conversion of natural ecosystems into plantations or other land uses of low biodiversity value and low resilience[11];

b) Increased pressure on non-forest ecosystems with high biodiversity value;

c) Afforestation in areas of high biodiversity value;

[11] Resilience is the ability of the environment to recover after an impact.

d) The loss of traditional territories and restriction of rights of indigenous peoples and local communities to access to, use of and/or ownership of land and natural resources;

e) Lack of tangible livelihood benefits to indigenous and local communities and lack of equitable benefit-sharing;

f) Loss of traditional ecological knowledge.

In addition to the recommendations made by CBD Decision XI/19, the coherence of REDD+ and biodiversity actions will be ensured through the integration of actions of the National Biodiversity Policy, the National Biodiversity Strategy and Action Plan (NBSAP) and the guidelines from the National Commission for Biodiversity, with information provided by the Brazilian Biodiversity Information System – SiBBr, and with programs and policies whose objectives are to identify, monitor and conserve endemic, rare or endangered or of high biodiversity value species or ecosystems. Policies and programs that guarantee livelihoods associated with natural ecosystems are also included.

REDD+ actions shall be directed toward strengthening social and environmental co-benefits, interacting and leveraging positive impacts of public policies that foster: i) sustainable use and management of natural and genetic resources, ii) valuation of sociobiodiversity[12] and its products; and iii) building and structuring of productive chains and arrangements of sociobiodiversity, agrobiodiversity and agroecology, guided by values of cooperation, solidarity and ethics.

Analyses of synergies and conflicts between REDD+ actions and programs and impacts on biodiversity and socio-environmental rights shall be part of the Brazilian REDD+ Safeguards Information System.

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

1. Definition

"Reversals" means the increase of greenhouse gas emissions from deforestation and forest degradation after reduction of emissions from these activities in a given time period.

[12] Sociobiodiversity is the result of the interrelationship between biological diversity and sociocultural systems diversity (MDA, 2009), being the result of cultural practices and reciprocal influences between the environment and culture (Albagli, 1998). From this interrelationship, products and services are originated, associated to the knowledge and management of species by indigenous peoples, traditional peoples and communities and family farmers (MDA, 2009).

2. Objective

This safeguard is intended to promote long-lasting reduction of greenhouse gas emissions from deforestation and degradation achieved within the scope of REDD+ actions, ensuring consistent and continuous results.

3. Further Details

The time horizon to consider reversal shall be consistent with the periods covered in the submissions of forest reference emission levels in order to seek for REDD+ results-based payments. It is recommended that this time horizon be determined during the process of developing the indicators for their measurement.

There are two key aspects to the promotion of this safeguard. First, effective, comprehensive, frequent and accurate monitoring of all relevant areas shall be ensured, so that measures can be taken over time to achieve positive environmental results. Also, REDD+ actions shall be continuously monitored for positive and negative impacts, under the social, economic and climate perspectives, which will be possible through the complementary and synergistic action of the Safeguards Information System, Matrix of Public Policies Impact, and Info Hub Brazil, as established in ENREDD+. This will allow the analysis of the main and potential vectors of deforestation and forest degradation in the country through a continuous assessment of sector public policies in REDD+ operation areas.

In addition to that, the reversal in REDD+ results may occur differently than originally observed – i.e.; the reduction in emissions caused by a decrease in deforestation rate can be reversed, even though partially reversed, by increased forest degradation. By acknowledging there is no single measurable or verifiable dimension for forest conservation, it is recommended that the reversion verification addresses (i) multiple indicators and measures to achieve REDD+ objectives, (ii) periodic review and improvement of indicators and measures, and iii) local contexts and specificities to assess local results.

Instruments to promote this safeguard involve extensively regularizing land tenure; creating, effectively implementing and maintaining conservation units; acknowledging, demarcating and effectively regularizing indigenous lands and territories of traditional peoples and communities; and fostering sustainable productive activities (especially strengthening productive chains of sociobiodiversity), ensuring a greater scale and effective reach of REDD+ initiatives beneficiaries.

Other instruments involve maintaining and regularly enhancing the forest cover and land use monitoring system, and addressing competing sector policies that would have the potential to reverse the results of REDD+ actions. Examples of actions that may contribute to long-lasting REDD+ results include participatory monitoring, allocation of

government resources to implement and regularize protected areas, and fostering transformative activities that enable structural changes and reduction of associated emissions.

**(g) Actions to reduce displacement of emissions.**

1. Definition

"Displacement of emissions" means the increase of greenhouse gas emissions from deforestation and degradation in one location, as a consequence of achieving REDD+ results in another location. In the scope of the National REDD+ Strategy, only the domestic displacement of emissions is considered.

2. Objective

The safeguard aims to prevent that reducing deforestation or degradation, conserving and increasing forest carbon stocks, and sustainably managing forests in one area has the opposite effect in another typically more vulnerable area.

3. Further Details

Since Brazil is temporarily implementing REDD+ per biome, the territorial unit used to check emission displacement are the biome boundaries. Although variations in rates of deforestation and degradation are recurrent in territorial units within a biome, it is a complex task to interpret the variation as a possible displacement. In any case, monitoring variations in deforestation and degradation rates in the same biome is relevant for planning REDD+ actions and for long-lasting results.

Achieving this safeguard relies fundamentally on keeping a robust and transparent monitoring system throughout the national territory, adapted to each biome ecological specificities. This safeguard shall foster environmental protection in all Brazilian biomes, as well as free access to data to allow regional analysis of deforestation and degradation. It is worth noting that the emission displacement can occur after the reduction of emissions in a given locality, which requires continuous monitoring of environmental results in different biomes. Examples of actions that may contribute to reducing emissions displacement include the allocation of government resources to the development of a nationwide remote monitoring system and the implementation of mechanisms to reward those that ensure the protection of natural vegetation.

The assessment of this safeguard can also consider analyzing the consistency of general policies with REDD+ objectives, at different administration levels. Coordination and

coherence between forest policies and the promotion of agricultural production or other sector policies, such as infrastructure, in different states and biomes are critical to implement safeguards f) and g). Other valuable instruments include credit policies, Rural Environmental Registry, ecological-economic zoning, creation and implementation of conservation units, and acknowledgment of indigenous lands and territories of traditional peoples and communities not yet demarcated.

## 5. Implementation of the Cancun Safeguards by Brazil in Reducing Deforestation in the Amazon

Brazil has a long history of forest policies that contributed to the country's achievements in reducing emissions from deforestation and implementing safeguards in the national context. The tables below and the legislation and policy matrix (Appendix B) list relevant actions, instruments and policies to the application of safeguards in the Brazilian context from 2011 on.

| **Cancun Safeguard** | **(a) That actions complement or are consistent with the objectives of national forest programs and relevant international conventions and agreements.** |
|---|---|
| **How they have been addressed and respected throughout the achievement of RED results** | • CCT-Salv listed the policies, programs and international agreements relevant for REDD+ during the process of defining safeguards in the Brazilian context, consolidated in the matrix of legislation and policies relevant to REDD+, and expects this matrix (Appendix B) will be regularly revisited to analyze compliance with this safeguard.<br>• PPCDAm, as the main mediator instrument of other public policies in the territory, contributing to reduce deforestation (please refer to Section 2.1.1 and http://combateaodesmatamento.mma.gov.br/) and having the Amazon Fund as an important finance instrument to induce and potentialize actions (see Chart 2).<br>• The nine Amazonian states prepared their Action Plans to Prevent and Control Deforestation, in addition to the federal effort. These plans are in different stages of implementation and/or undergoing revision and the monitoring of part of those plans might be followed with the 'Indicar Estados' (Indicate States) Platform (see Chart 3).<br>• CONAREDD+ was created with the purpose of promoting, among others, integration and synergy among public policies on forests, biodiversity and climate change at different administrative levels.<br>• CCT-Pact as a forum for debate, participation and transparency between federal, state and local entities to align their policies. CCT-Pact conducted a mapping of REDD+-related policies in the states, identifying state's legal and institutional issues and arrangements that contribute to REDD+ in order to pursue measures for harmonization between the national and subnational levels.<br>• Respecting safeguards also calls for mobilization of policies at the federal level.<br>• Engaging common actors to manage ENREDD+, PPCDAm and the Amazon Fund makes it possible to promote synergies between policies. The MMA coordinates the governance instances of these three policies. |

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| **How they have been addressed and respected in the use of resources** | • Decree # 6,527/2008, which provides for the establishment of the Amazon Fund, stands at its art. I, § 2 that support to projects shall observe PPCDAm guidelines. Decree # 8.773/2017 incorporated ENREDD+ as guideline for the use of resources by projects.<br>• Compliance audits conducted by independent consultants assess whether BNDES has met the requirements listed in Decree # 6,527 / 2008 with regard to the supporting actions, guidelines and criteria established by the Amazon Fund Steering Committee (COFA).<br>• Since 2013, COFA has established biennial resource allocation focus in order to further align the allocation of fund resources with PPCDAm priorities, and establishing review and monitoring requirements for State Plans to Prevent and Control Deforestation. |
| **Challenges** | • Maximizing complementarity and consistency among public policies depends on organizing objectives and results of forest policies and systematically fostering the debate between the governance spheres.<br>• Implementing the Matrix of Public Policies Impact associated with the Safeguards Information System will provide coordination improvement.<br>• Harmonization and compatibility of national and subnational policies related to REDD+ (under discussion in CCT-Pact). |

*Chart 2 - The Amazon Fund: consistency and complementarity to forest policies.*

**THE AMAZON FUND: SUPPORT TO IMPLEMENT PPCDAM AND SAFEGUARDS**

The Amazon Fund has been an important instrument to guarantee resources to implement the actions planned and/or aligned with PPCDAm. As part of the Amazon Fund support focus, states shall revise their State Plans to Prevent and Control Deforestation if the plans are outdated, in order to access the resources of this fund.

In 2013, the Amazon Fund selected 18 projects under the "Public Call for Sustainable Productive Projects", out of which 13 were contracted in 2014 and 2015, totaling BRL 65 million in support. In 2015, nine projects were selected, benefitting 40 Indigenous Lands as part of the "Public Call for Projects to Support Territorial and Environmental Management Plans in Indigenous Lands" located in the Amazon biome, six of which had their support approved by May 2017, totaling BRL 63 million.

By February 2018, the Fund's portfolio of projects totaled 96 projects supported by state governments, municipal administrations, federal agencies, universities, civil society organizations and an international project to support the monitoring of forest cover in the Amazon region. The supported project portfolio amounts to BRL 1.45 billion (USD 655 million), out of which BRL 878 million (US $ 394 million) were disbursed. The largest groups benefitting from the resources of the Amazon Fund are the Third Sector (38%) and the States (34%), followed by the Union (26%). The resources allocated to the states are an important financial complement to execute their State Plans to Prevent and Control Deforestation, as well as the support to the structural projects of the Federal Government under PPCDAm.

Although the creation of the Amazon Fund precedes the approval of the Cancun safeguards, since the beginning COFA established a set of guidelines and criteria that, combined with BNDES operational policies, acted as safeguards, leveraging positive socio-environmental impacts and reducing negative impacts.

The Amazon Fund observes the safeguards for REDD+ and also the BNDES operational policies during the project analysis stage. Verification of project adherence to safeguards continues during the monitoring stage of the project execution, and there is another verification during *ex-post* assessment[13] of finished projects.

[13] The *ex-post* assessment can be accessed at the link: http://www.fundoamazonia.gov.br/en/monitoramento-e-avaliacao/independent-evaluations/

| Cancun Safeguard | (b) Transparent and effective national forest governance structures, taking into account national legislation and sovereignty. |
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| **How they have been addressed and respected throughout the achievement of RED results** | • Assessments of the implementation of PPCDAm. In addition to the annual monitoring of actions, each implementation phase pass through general evaluations.<br>• Independent assessment of the second phase of the implementation of PPCDAm (IPEA, GIZ, ECLAC, 2011[14]): whose main objective was to evaluate the performance of the PPCDAm during the years of its implementation (2007 to 2010) based on the objectives established by the plan, analyzing positive experiences, lessons learned and problems identified.<br>• PPCDAm third phase (2012-2015[15]): based on the results of the independent assessment, a new governance model was created – for greater integration and coordination among the agencies and entities participating in the actions. The PPCDAm's new governance model has been divided into three spheres: Executive, Consultative and Transparency. This sought to facilitate the exchange of information, adjustments of paths, decision-making by the Ministry of the Environment as a coordinating body and the solution of problems and conflicts that may arise between federal agencies and even between federal and state agencies.<br>• Balance from PPCDAm third phase (MMA, 2016[16]): difficulties in implementing governance in the years 2014 and 2015, especially regarding the frequency of meetings and articulation with the state governments.<br>• Planning and designing of PPCDAm fourth phase (2016-2020[17]): transparency and social participation, focusing at improving governance and action monitoring:<br>– Regular meetings.<br>– Representatives from the Legal Amazon Secretaries of the Environment Forum.<br>– State representatives from specific existing technical chambers: 1. Law enforcement and 2. Sustainable forest management.<br>– Monitoring of result indicators, which will support the Matrix of Public Policy Impact established in ENREDD+.<br>The figure below shows information about transparency and social participation during PPCDAm planning cycle. |

[14] The independent evaluation of the 2nd stage of the PPCDAm can be accessed at the link: http://www.mma.gov.br/images/arquivo/80120/Avaliacao%20do%20PPCDAm%202007-2010.pdf.
[15] The PPCDAm third phase can be accessed at the link: http://combateaodesmatamento.mma.gov.br/images/conteudo/PPCDAM_3aFase.pdf
[16] The balance sheet report for the 3rd phase of the PPCRP can be accessed at the link: http://www.mma.gov.br/images/arquivo/80120/PPCDAm%203%20fase_Balanco_versao%20BETA.pdf.
[17] The PPCDAm fourth phase can be accessed at the link: http://combateaodesmatamento.mma.gov.br/images/conteudo/Planos_ultima_fase.pdf

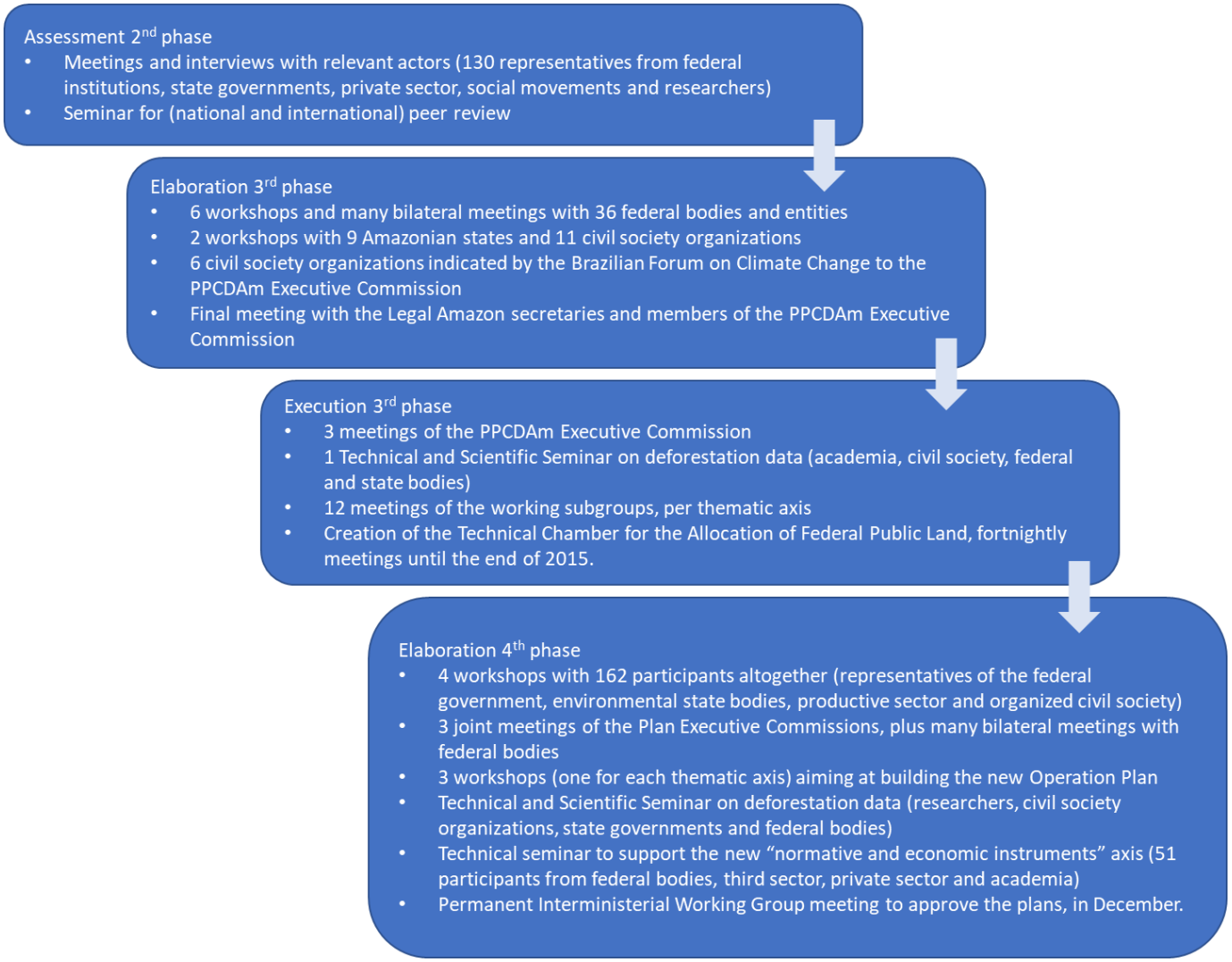


*Figure 9 - PPCDAm social participation and revision cycles.*

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| | • ENREDD+ transparency tools:<br>– REDD+ Brazil Website: sections with static thematic content and News, Meetings, CONAREDD+ Resolutions, with an average about 1.4 k users per month in 2016 and 2017.<br>– Monthly Newsletter: 18 issues, 938 subscribers.<br>– Newsletter in English: 1 issue, 218 subscribers.<br>• Reformulation of MMA website on the control of deforestation to offer greater transparency of information from PPCDAm: http://combateaodesmatamento.mma.gov.br/. |
| **How they have been addressed and respected in the use of resources** | • Tripartite Steering Committee (COFA) formed by the federal and state governments, plus the civil society.<br>• Amazon Fund Activity Report (RAFA), produced annually. The supported projects are monitored and assessed based on performance (products and services) and effectiveness (impacts) indicators. These are then aggregated for a more global view of the impact of the Amazon Fund. In addition to these indicators, the Amazon Fund identified in its Logical Framework some regional or systemic indicators related to the public policies for which the Fund aims to contribute.<br>• Annual accounting and compliance audits carried out separately.<br>• Evaluation of the effectiveness of completed projects, including, among other criteria, the seven Cancun safeguards. The assessment is carried on following the methods and criteria established in the Amazon Fund Conceptual Framework for Evaluating the Effectiveness of Completed Projects, available at http://www.fundoamazonia.gov.br/FundoAmazonia/fam/site_pt/Esquerdo/como_apresentar_projetos/.<br>• The Amazon Fund website:<br>– Minutes from COFA meetings.<br>– Consultation to supported projects.<br>– Monthly reports with the project portfolio, quarterly newsletters with an overview of the Fund activities. |
| **Challenges** | • Continuous monitoring of the results and impacts of policies that lead to reduction in deforestation might help to promote this safeguard. To do this is envisioned the development of the Matrix of Public Policies Impact.<br>• Improvement of the REDD+ Brazil website, also hosting interfaces to the systems envisaged in ENREDD+: Matrix of Impact, Info Hub Brazil and SISREDD+, including an ombudsman channel for REDD+ issues. |

*Chart 3 - Assessment of public policies and governance: the 'Indicar Estados' platform.*

**THE 'INDICAR ESTADOS' PLATFORM**

State plans to prevent and control deforestation (PPCD) face similar challenges as the federal plan. In order to meet the challenge associated with monitoring the impact of implementing the state plans, a platform was developed to follow up PPCD common indicators, the 'Indicar Estados' platform. The 'Indicar Estados' Platform was developed by the Institute for Environmental Research in the Amazon (IPAM) and is the first initiative to systematically monitor the impacts of state policies to prevent and control deforestation. Its goal is to support the organization, dissemination, transparency and analysis of data on public policies to prevent and control deforestation, through general and specific indicators, applied to the states of Acre, Amazonas, Mato Grosso and Para.

The tool enables viewing the state policy impact indicators per PPCD's thematic areas: Monitoring and Control, Land Tenure Regularization and Land Use Planning, and Promotion of Sustainable Productive Activities. It is possible show data for the four states simultaneously, or separately. By clicking at a specific state, it is shown the indicator results in further details, with the results shown in graphic format. Some indicators show how effective state policies are per municipality.

In addition to that, the platform offers a map to view deforestation and hot spots in the states, as well as information about the methodology used to build indicators, the methodology to calculate effectiveness, besides a number of documents and links containing relevant information on controlling deforestation policies, and public policy monitoring initiatives.

Source: IPAM, 2017. © 2017 Indicar Estados (http://indicar.org.br/)

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| **Cancun Safeguard** | **c) Respect for the knowledge and rights of indigenous peoples and members of local communities, by taking into account relevant international obligations, national circumstances and laws, and noting that the United Nations General Assembly has adopted the United Nations Declaration on the Rights of Indigenous Peoples.** |
| **How they have been addressed and respected throughout the achievement of RED results** | ▪ Acknowledging and guaranteeing the rights and knowledge of indigenous peoples, traditional peoples and communities, and traditional and family farmers relies on the elaboration, implementation and consolidation of specific policies targeting that audience, of which it is mentioned:<br>▪ The National Policy for Territorial and Environmental Management of Indigenous Lands (PNGATI[18]) aims to guarantee and promote protection, recovery, conservation and sustainable use of the natural resources found in indigenous lands and territories, ensuring the integrity of the indigenous heritage, improvement of their quality of life and full conditions of physical and cultural reproduction of indigenous peoples current and future generations, respecting their sociocultural autonomy.<br>▪ Creation, in 2013, of the Management Committee of PNGATI (CG-PNGATI), the governance body of PNGATI, responsible for the coordination, execution and monitoring of the Policy. The CG-PNGATI is composed of eight representatives of agencies and entities from the federal public administration and eight representatives of indigenous organizations from all over the country who have the right to speak and vote. The chair of the Committee is alternated between the federal government and indigenous organizations.<br>▪ PNGATI's Integrated Plan of Implementation (PII[19]) (2016), designed as a priority instrument for mobilizing government agencies, indigenous peoples and their partner organizations and entities.<br>▪ The National Council of Traditional Peoples and Communities – CNPCT[20] was established in 2016, after having acted as a National Commission since 2006. Now, as a consultative collegiate body, the CNPCT integrated to the structure of the Ministry of Social Development and Fight against Hunger – MDS up to September 2017, when it became part of the structure of the Ministry of Human Rights. |

[18] More information about PNGATI can be found at the link: http://www.funai.gov.br/pngati/

[19] The PNGATI's Integrated Plan of Implementation can be accessed at the link: http://cggamgati.funai.gov.br/files/8514/8839/5235/Plano_Integrado_de_Implementacao_da_PNGATI.pdf

[20] More information about CNPCT can be found at the link: http://www.mma.gov.br/desenvolvimento-rural/terras-ind%C3%ADgenas,-povos-e-comunidades-tradicionais/comiss%C3%A3o-nacional-de-desenvolvimento-sustent%C3%A1vel-de-povos-e-comunidades-tradicionais

– CNPCT: achieved greater visibility in the government structure; held 13 meetings between 2011 and 2015, and made recommendations for the Pluriannual Planning (PPA)[21] 2012-2016.
– In 2014, the II National Meeting of Traditional Peoples and Communities took place, producing recommendations for prioritization of PNPCT activities.

▪ Demarcation of indigenous lands – categories shown in Table bellow go since the initial stages of the demarcation process (under study) until the full possession of the territory by the indigenous people (homologated):

| Year / stage of demarcation | Under study | Delimited | Declared | Homologated |
|---|---|---|---|---|
| 2011 | 47 | 09 | 05 | 03 |
| 2012 - 2015 | | 26 | 09 | 15 |
| 2016 | | 12 | 12 | 03 |

▪ Launching of the Monitoring System for Policies to Promote Racial Equality, which includes the "Brazil Quilombola Program" (http://monitoramento.seppir.gov.br/), in 2013. From 2014, a new stage of the data integration process for this system was initiated to broaden the monitoring and assessment of these policies.
▪ Completion, in 2015, of the registration of families residing in protected areas of Sustainable Use and of the socio-productive diagnosis of traditional populations. In this action, 60,000 families residing in 77 Sustainable Use Conservation Units were identified. This registration will be the basis for the Information System of Families in Federal Conservation Units (SIS Família).

**How they have been addressed and respected in the use of resources**

- Public call for strengthening PNGATI - 9 projects were selected (benefitting more than 40 indigenous lands), 6 are being implemented.
- In addition to the call, 16 other projects have actions targeting indigenous peoples as beneficiaries, in a direct or indirect manner.
- 63% of the area of all indigenous lands (TIs) in the Amazon Region (96 TIs) have projects that receive financial support from the Amazon Fund, totalling BRL 156 million (most of these projects are from indigenist institutions).

[21] The PPA is an instrument provided for in art. 165 of the Federal Constitution aimed at organizing and making public action feasible, in order to comply with the foundations and objectives of the Republic. Through it, the public policies of the government are declared for a period of 4 years and the paths are traced to make feasible the planned goals.

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| | • Seeking the autonomy and protagonism of indigenous peoples and traditional peoples and communities in managing resources. E.g. Alto Jurua Project of Amonia River Ashaninka Association - APIWTXA (2015): first project with a direct agreement with an indigenous peoples association (see more in the chart below). |
| **Challenges** | • Ombudsman on the violation of safeguards in REDD+ initiatives is focus of CCT-Salv work, exploring the formats of offices of the ombudsman in Brazil and considering its integration with other existing ombudsman arrangements, directed to specific audiences.<br>• Land conflicts have increased significantly in recent years. The Amazon Region accounts for 57% of conflicts in 2016, and 54% of families involved in land conflicts (CPT, 2016).<br>• Expansion of the processes to demarcate and regularize tenure in indigenous lands and territories of traditional peoples and communities.<br>• Standardizing and systematizing on data availability about the different types of demarcation and homologation processes of traditional territories, on an annual basis.<br>• Increasing the visibility for PIPCT policies outside the Amazon, enclosing all the diversity of traditional peoples and communities.<br>• Proposing legislative measures that may threaten indigenous peoples, traditional peoples and communities and the conservation of native vegetation areas.<br>• Expending of knowledge of PIPCT on the content of the Law #13,123/2015 (on genetic heritage and traditional knowledge) in contexts of REDD+ initiatives and programs, promoting the empowerment and qualified participation of this public in related governance instances and process. |

*Chart 4 - Right to territory and protection of forests.*

**ENTITLEMENT TO TERRITORY AND ITS CONTRIBUTION TO REDD+**

The total area of Brazilian indigenous lands covers more than 1.1 million km$^2$, accounting for 13.8% of the national territory and 22.6% of the Amazon Region. In addition to the fundamental role played by these territories in keeping the wealth of native peoples[22] ethnic and cultural diversity, and conserving natural resources and local and regional biodiversity, it is important to emphasize their leading role in combating climate change by conserving carbon stocks in their areas in the long-term. In these areas, on average, the deforestation rates in are lower than those of other modalities of protected areas in the country, including fully protected conservation units. Such low deforestation rates are associated with traditional knowledge, cultural practices, patterns of territorial occupation and their own natural resource use and management systems, which historically contribute to their conservation and sustainability. In addition to low deforestation rates in indigenous lands, it is worth noting there is less deforestation and forest degradation in the neighboring areas.

The climate change mitigation potential of indigenous lands can only be fully met once the rights and knowledge of their peoples are respected and promoted. The right to the territory, foreseen in the Federal Constitution, requires the indigenous people to have full possession of their lands, and is fundamental for the indigenous lands to act as true barriers to deforestation.

IPAM (2015) compared the level of deforestation in indigenous lands homologated (and/or regularized) in the Amazon Region with those in the process of demarcation. Between 2004 and 2013, the deforestation rate in homologated lands in the Legal Amazon area was approximately twice as low as that observed in lands still in the process of demarcation.

Cruz et. al (2016) simulated the effect of the change on the process of creating indigenous lands in the federal legislature. They analyzed 44 non-homologated lands in the Brazilian Amazon that already have physically demarcated territory. The hypothesis is that, considering the current Brazilian context, the change in the TI homologation process would imply a failure to acknowledge these territories, which could be assigned to private entities, or, at least, would generate this type of speculation. They estimated that 20% of the forest cover in those areas would be lost, which would result in 14,801 km² deforested by 2030.

[22] According to results of the Demographic Census conducted by IBGE in 2010, the Brazilian indigenous population is about 896,000 indigenous, distributed throughout all Brazilian states. Indigenous peoples in Brazil are ethnically and culturally diverse. There are currently 305 different peoples, who speak 274 indigenous languages, besides records of 26 isolated indigenous peoples, and more than 70 records still to be confirmed by Funai. Considering the multiethnic and democratic Brazilian state, these expressions of diversity are positively acknowledged by a number of constitutional and legal provisions within the framework of a model that affirms ethnic plurality as a right and establishes protective relations and promotes differentiated collective rights between the State and Brazilian indigenous peoples, replacing old assimilationist, tutelary and integrative assumptions prevailing before the 1988 Federal Constitution.

*Chart 5 - REDD+ and the promotion of sociocultural autonomy.*

**AUTONOMY TO USE REDD+ RESOURCES: ALTO JURUA PROJECT**

The Alto Jurua Project was proposed by the Amonia River Aswaninka Association (APIWTXA) with the purpose of promoting agroforestry management and production in traditional and indigenous communities, in order to have a sustainable economic alternative to deforestation, support monitoring and territory control initiatives and strengthen the organization of the local community. The agreement value is BRL 6.5 million (USD 2.2 million), out of which 93% were disbursed, which is an indicator of good execution by the proponent.

The area covered by this project is the Alto Jurua region, in the state of Acre, benefitting indigenous peoples living in the Amonia River Kampa TI, represented by the APIWTXA Association, and indigenous peoples from the Breu River Kaxinawa-Ashaninka TI, as well as 50 communities from the Extractivist Reserve of Alto Jurua, and Ashaninka communities in Peru, through the promotion of exchanges to strengthen the conversation with them.

Until May 2017, the main results of the project were:

- 1,300 beneficiaries, among the indigenous inhabitants of the Amonia River Kampa TI and the Breu River Kaxinawa-Ashaninka TI, and non-indigenous people from Alto Jurua Extractive Reserve.
- 257 people trained in territorial management, institutional strengthening and sustainable production, with emphasis on agroecology.
- Strategic planning of the APIWTXA Association and the Association of Rubber Tappers and Farmers of the Alto Jurua Extractivist Reserve - ASAREAJ.
- 10 rounds of surveillance to work on the protection of the 87,205 hectares of the Amonia River Kampa TI.
- Installation of support bases for territorial monitoring and radiophonic system (in final phase of implementation).
- Construction of 3 warehouses/points of sale for fruit pulp, seed bank and ASAREAJ headquarters.
- 49,000 seedlings for implantation and enrichment of 100 hectares of agroforestry systems, in the process of implementation.

In 2017, the APIWTXA Association received the EquatorPrize 2017 for Latin America and the Caribbean, along with five other initiatives, including the Xingu Indigenous Land Association (ATIX). The EquatorPrize emphasized that winners showed grassroots and community actions and solutions to address environmental, climate change and poverty reduction challenges. To learn more, please visit: http://www.equatorinitiative.org/2017/06/27/ep-2017-meet-the-winners/.

| Cancun Safeguard | **d) The full and effective participation of relevant stakeholders, in particular indigenous peoples and local communities.** |
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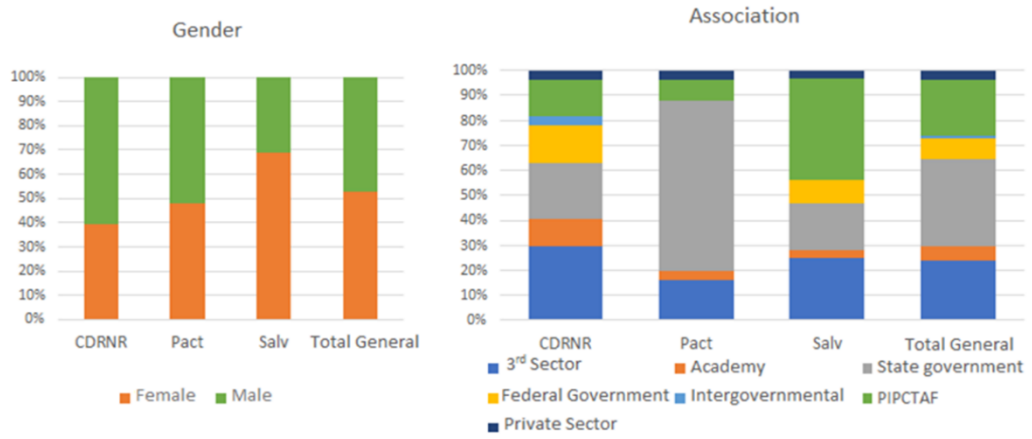
| **How they have been addressed and respected throughout the achievement of RED results** | • ENREDD+ aims at strengthening existing governance forums. CONAREDD+ Executive Secretariat often participates in governance meetings of other policies, taking information about ENREDD+ and collecting inputs from these audiences.<br>• ENREDD+ interactions is particularly good with Climate Change Technical Chamber of the Management Committee of PNGATI and with the Indigenous Committee on Climate Change.<br>• CONAREDD+ creation in 2015 offered support and an institutional approach to implement REDD+ at the national level.<br>• CONAREDD+ is formed by different sector ministries, which promote integration with the policies they coordinate and actors with whom they dialogue, state and local governments, and the civil society, including representatives from indigenous peoples and traditional peoples and communities.<br>• CONAREDD+ seeks to balance social participation and the need for an agile and executive instance to enable REDD+ full implementation.<br>• Civil society representatives have been elected by the Brazilian Forum of Climate Change, which appointed representatives from indigenous peoples and traditional peoples and communities to be part of CONAREDD+, according to this safeguard.<br>• Thematic Advisory Boards (CCT) as forums to expand discussions and social participation at ENREDD+, determine specific criteria and representativeness (regional distribution, gender and different forms of knowledge) for participation.<br>  <br><br>*Figure 10 - Profile of participants at CCT: gender and association.* |

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| | • MMA and National Indigenous People Foundation (FUNAI) have been working in capacity-building of representatives of indigenous peoples, traditional peoples and communities, and traditional and family farmers to implement ENREDD+, also counting on the aid of international cooperation projects.<br>• Elaboration of PNGATI: participatory process of elaboration, involving about 1,250 indigenous, representatives of 186 peoples (OLIVEIRA, 2012).<br>• "Training PNGATI": classes designed to improve intercultural, interinstitutional and intersector debates to address the current challenges of indigenous land environmental management.<br>– 2013 and 2016: six training courses distributed in different regions of the country, 224 participants (64% indigenous and 36% public administrators).<br>• Regarding free, prior and informed consent and consultation, Brazil has provisions that support these instruments: the Federal Constitution, Art. 231; Decree 5,051/2004 promulgating ILO Convention 169, Decree # 6,040/2007, Act 13,133/15 and Decree # 8,772/16, the last two specific for access to traditional knowledge associated with biodiversity.<br>• Since 2014, indigenous peoples and traditional peoples and communities in Brazil have been developing their own consultation protocols (please refer to the Chart 6 below). |
| **How they have been addressed and respected in the use of resources** | • The Fund's guidelines establish that: (1) projects shall include consent from all partners and co-executors; and (2) projects involving traditional communities and indigenous peoples must necessarily present a document proving the prior consent of these communities or their representative entities.<br>• Project analyses include the assessment of the need to insert contractual obligations (special obligations and/or preconditions for the disbursement) that ensure the socio-environmental adequacy of the project. The environmental agency might advise about certain actions of the project, land tenure issues, the existence of protected areas, indigenous lands or presence of traditional communities, as well as their consent to those actions[23]. The following BNDES guidelines relate to this safeguard:<br>– Projects involving traditional communities: identification of the traditional community involved and prior consent from the community or its representative entity. Experience shows that there are local forms of consensus, such as assemblies, which are usually confirmed by minutes and can also be substantiated by other means, such as audiovisual media.<br>– Projects involving indigenous peoples: submission of a document attesting the consent of FUNAI to the actions to be implemented, identifying the indigenous communities covered, and submission of a document containing prior consent of each community, or its representative body. |

[23] It is worth emphasizing that in the Guidelines and Criteria to Apply Resources of the Amazon Fund (2015/2016), one of the Minimum Requirements for Projects (B.3) is social participation, according to which "projects involving traditional communities and indigenous peoples must present a document proving prior consent of these communities or their representative institutions..."

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| | – Projects that involve actions in settlements: submission of a legal document of settlement constitution and submission of the consent from the applicable land agency to the actions to be implemented in the corresponding settlements.<br>– Projects involving actions in conservation units: submission of the document from public authorities that created the conservation unit, and submission of a document proving the consent from the applicable managing body to the corresponding conservation unit.<br>• Project analyses include field visits, in which, among other issues, the interaction between the proponent and the final beneficiaries (indigenous communities, traditional peoples, rural settlers, small farmers, among others) is verified, as well as the representativeness of the proponent.<br>• Public call to support PNGATI: indigenous training actions and support to strengthen local indigenous organizations and proponents are mandatory in all projects (RFP, item 3.2).<br>• Conflicts in areas supported by the Amazon Fund: A conflict was identified in an indigenous land inhabited by more than one people. The Amazon Fund team gathered information (from local media, specialized media, people in charge of the project action execution and FUNAI) and attended a meeting with representatives of the peoples inhabiting the indigenous land (except for an isolated people). The meeting was conducted by the institution responsible for the project, with the goal to understand the nature of the conflict and the positioning of the stakeholders. They came to the conclusion that the actions supported by the Fund were neither responsible for nor contributed to the conflict. |
| **Challenges** | • Amazon Fund faces the challenge of promoting direct access of indigenous peoples, traditional peoples and communities, and family farmers. This challenge is addressed either by supporting larger-scale projects that focus on supporting these communities, or by supporting organizations that make public calls with resources from the Amazon Fund and thereby provide (indirect) access of smaller organizations.<br>• Ensure resources from the federal budget and from REDD+ results-based payments for continuing capacity building and adequate information for different audiences, especially indigenous peoples, traditional peoples and communities, and traditional and family farmers, as well as for assigning resources so that they can follow-up and act on the governance bodies of which they are part.<br>• Strengthen intercultural debates and multi-sector mobilization among indigenous peoples, traditional peoples and communities, and traditional and family farmers organizations, government institutions and partner organizations.<br>• Strengthen existing governance instances of indigenous peoples and traditional peoples and communities, in particular CNPCT, CNPI and CG PNGATI, including the implementation of PNGATI Axis 2 (Indigenous Governance and Participation).<br>• CCT-Salv and CCT-Pact shall develop training plans to promote qualified participation in the discussions.<br>• Participation in ENREDD+ management bodies shall be continually enhanced, aiming to cover the great diversity of actors relevant to REDD+ in Brazil. |

| | |
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| | • Expanding the participation and interaction of states located in other biomes of the country at CONAREDD +, as well as REDD+ actions directed to PCTATF.<br>• Strengthen interaction between CONAREDD+ and CNPCT, in the same way that it occurs with the Climate Change Technical Chamber of the Management Committee of PNGATI and with the Indigenous Committee on Climate Change.<br>• Facilitate access of indigenous peoples and traditional peoples and communities to REDD+ results-based payments.<br>• Encourage the elaboration of community consultation protocols of PIPCTATF nationwide to broaden the promotion of the right to consultation and to free, prior and informed consent.<br>• Reconciling actions at the federal and state levels in order to create a closeness and inclusive environment for PIPCTATF in the state-level REDD+ development processes.<br>• In the context of REDD+ results payments initiatives, creating spaces for dialogue and lessons learned on possible hindrances in the execution of resources (third sector, state and federal government) in order to increase implementation capacity.<br>• Systematizing and coordinating the PNGATI results within the framework of the ENREDD+. |

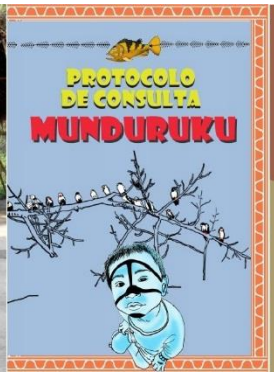
*Chart 6 - Consultation protocols of indigenous peoples and traditional peoples and communities.*

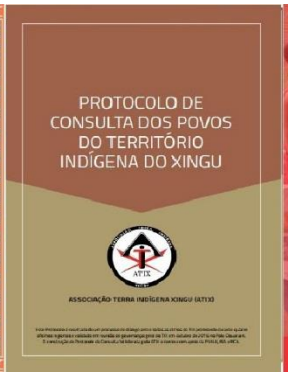
**AUTONOMY TO DECIDE HOW THEY WANT TO BE CONSULTED: CONSULTATION PROTOCOLS OF INDIGENOUS PEOPLES AND TRADITIONAL PEOPLES AND COMMUNITIES**

Seeking to strengthen the right to free, prior and informed consent and consultation, indigenous peoples and traditional peoples and communities have developed their own consultation protocols. These protocols are collaboratively designed by the communities and are intended to communicate to governments and other sectors of society the way they wish to be consulted on initiatives that impact or affect their communities and territories.

To date, the following protocols have been identified:

- ***Wajãpi Consultation and Consent Protocol*** *(2014)*
- ***Munduruku Consultation Protocol (2014)***
- ***Montanha and Mangabal Consultation Protocol*** *(2014)*
- ***Peoples of the Xingu Indigenous Territory Consultation Protocol*** *(2016)*
- ***Munduruku and Apiaka Peoples of the Santareno Plateau Consultation Protocol*** *(2017)*
- ***Juruna Consultation Protocol (Yudijá) of Paquiçamba da Volta Grande do Xingu Indigenous Land*** *(2017)*





Between May 16th and 21st, 2017, the first meeting of prior consultation to Wajãpi was held, aimed to discuss the occupation and the rules of use in the neighboring areas of the Wajãpi Indigenous Land (TIW). The Consultation was conducted by the National Institute for Colonization and Land Reform (INCRA) and by Amapa State Forest Institute (IEF), following a recommendation of the Public Prosecutor's Office, at the request of the Wajãpi Council of Villages – Apina. In this process, government agencies are following the rules defined by the Wajãpi Consultation and Consent Protocol, prepared by the indigenous group itself in 2014. This is the first time in the country that a consultation is carried out in the manner proposed by the indigenous group consulted, as established by the International Labor Organization (ILO) Convention 169 Concerning Indigenous and Tribal Peoples, ratified and incorporated into the Brazilian legislation in 2004 (Decree #5,051), ensuring the right to free, prior and informed consultation to indigenous peoples and traditional populations affected by governmental projects or measures (IEPE, 2017). For more information, please visit:

http://www.institutoiepe.org.br/2017/06/protocolo-de-consulta-e-consentimento-dos-wajapi-orienta-consulta-com-orgaos-governamentais/

*Chart 7 - Indigenous movement and climate change.*

**INDIGENOUS COMMITTEE ON CLIMATE CHANGE**

The Indigenous Committee on Climate Change (CIMC) is an initiative of the indigenous movement in Brazil, supported by partner institutions, intended to follow-up and participate in debates related to climate change, at national and international levels, and foster debates between indigenous peoples and the government, with the goal to extend indigenous participation on the topic.

CIMC is the result of a process of discussion and training entitled "Climate Change under the Perspective of Indigenous Peoples in Brazil", held in the second half of 2014, at the headquarters of FUNAI. This process, which included three seminars, was promoted by a partnership between Mobilization of Indigenous Peoples in Brazil (APIB), Institute for Environmental Research in the Amazon (IPAM), and Funai. Given the demand presented by seminar participants to continue the initiative, in order to guarantee the continuous and qualified training and the engagement of indigenous peoples in the theme, CIMC was created as of September 2015.

CIMC members are representatives of the five regions in Brazil and of different APIB base regional organizations. In addition to this regional representation, there is an indigenous woman who represents the gender issue and an indigenous person who is a full member of CONAREDD+. All indigenous representatives participating in the CCT are CIMC members, enabling the integration, debate and planning of the indigenous movement to participate in ENREDD+ implementation.

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| **Cancun Safeguard** | **e) That actions are consistent with the conservation of natural forests and biological diversity, ensuring that the actions [...] are not used for the conversion of natural forests, but are instead used to incentivize the protection and conservation of natural forests and their ecosystem services, and to enhance other social and environmental benefits.** |
| **How they have been addressed and respected throughout the achievement of RED results** | **Creation of protected areas in the Amazon between 2011 and 2015:**<br>• Integral Protection Conservation Units: 1 Conservation Units (668,160 ha)<br>• Sustainable Use Conservation Units: 3 Conservation Units (58,531 ha)<br>• Private Reserve of Natural Heritage (RPPN): 3 Reserves at federal administrative sphere (4,302 ha)<br>• Indigenous Lands: 18 homologated TI<br><br>**Implementation of Conservation Units (CUs):**<br>• Amazon Protected Areas Program (ARPA): supports the implementation of 114 UC.<br>• The Federal Court of Audit (TCU) and the nine Legal Amazon States Courts of Audit conducted an audit to assess the implementation of federal and state conservation units (UC) in the biome. They recommended enhancing the management and implementing the UC created, so those areas, in addition to protect biodiversity, are sources of social and economic development.<br><br>**Policies to foster conservation and sustainable use:**<br>• **Green Grant (Bolsa Verde):**<br>– Since its creation, around BRL 333 million have been invested, benefiting 76,795 families over the country. The report referring the period of October-December 2017, indicate 38,987 beneficiary families in the Legal Amazon.<br>– The Program supported the conservation of more than 33 million hectares in Sustainable Use Conservation Units and Rural Settlements Projects, and 93% of this area are in the Legal Amazon.<br>– Access to program information, management and monitoring reports, and consultation to beneficiaries are available on the MMA website MMA (http://www.mma.gov.br/desenvolvimento-rural/bolsa-verde).<br>– As presented in the figure below, the group of conservation units with beneficiaries of the program showed a stability trend in deforestation in the period between 2011 and 2015, while those that do not have beneficiaries showed a rising trend. |

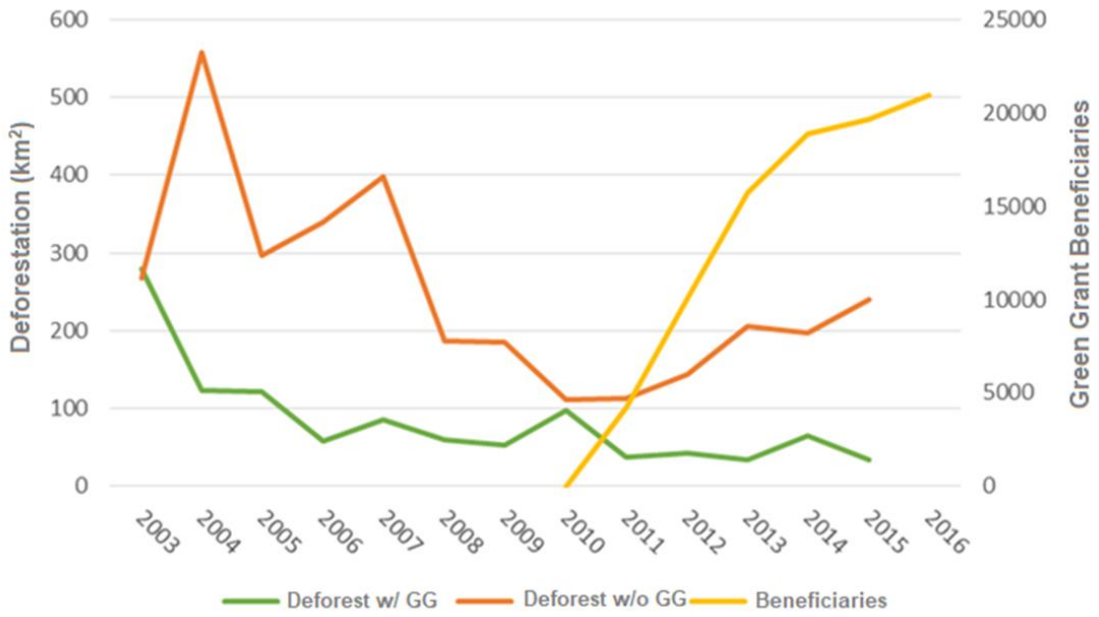


*Figure 11 - Deforestation dynamics in UCs with and without beneficiaries of the Green Grant. Source: MMA, 2016.*

- **National Policy on Agroecology and Organic Production (Pnapo)[24] and National Plan on Agroecology and Organic Production (Planapo)[25]**
  - They mobilize different ministries, sector units and governmental entities around programs and actions that lead to the agroecological transition and to organic and agroecological production.
  - Planapo (2013 – 2015): BRL 2.9 billion for a wide range of public actions
  - Planapo (2016 – 2019): Continuity and improvement of the first cycle. 194 initiatives, distributed in 30 goals and organized from six strategic pillars: Production; Use and Conservation of Natural Resources; Knowledge; Trade and Consumption; Land and Territory and Sociobiodiversity.
- **Policy to Guarantee Minimum Prices for Sociobiodiversity Products (PGPM-Bio)[26]:**

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| | – Since it was created (2009), the policy has already paid over BRL 28 million in grants to producers throughout the country.<br>– For 2017, extractors of forest products such as *açaí, andiroba, babaçu, baru*, natural rubber, cocoa, *carnauba,* Brazil nut, *juçara, macaúba, mangaba* and *pequi* can access the amount of BRL 8 million in economic subsidies.<br>– The main obstacles to the implementation of policies to support the trade of sociobiodiversity and family farming products, such as the ones listed in PGPM-Bio, are (MMA, 2016): (i) lack of documentation to access the policy; (ii) lack of social organization to trade, and (iii) lack of knowledge, from indigenous and public agents, about the policies and how to access them.<br>• **National Policy for Native Vegetation Recovery (PROVEG), Decree #8,972/2017**<br>– National Plan for Native Vegetation Recovery (Planaveg): PROVEG's main instrument, launched by ministerial ordinance #230 in November 2017.<br>• **Access and Distribution of Biodiversity Benefits Act (Law #13,123/2015):** approved in 2015, it determines guidelines on genetic heritage, traditional knowledge associated with that heritage, distribution of benefits, etc. |
| **How they have been addressed and respected in the use of resources** | • The Amazon Fund supports, among others: (1) creating and consolidating the management of protected areas; (2) recovering deforestation areas; and (3) conserving and sustainably using biodiversity.<br>• Support to ARPA Program, as well as support to actions in conservation units that encourage the balance between forest conservation and sustainable use of part of the natural resources.<br>• COFA established that part of the projects supported by the Amazon Fund shall benefit small properties or rural family lands (up to 4 fiscal modules), supporting sustainable production and environmental regularization, including activities to restore the forest and recover degraded areas through agroforestry systems (AFS), in which agricultural crop consortia are combined with arboreal species.<br>• Results of the Amazon Fund (BNDES, 2017):<br>– 105,000 people benefitted with sustainable productive activities.<br>– 27,000 indigenous directly benefitted.<br>– 63% of the Amazon Indigenous lands supported.<br>– 106 conservation units supported.<br>– 397,000 km$^2$ of protected areas with enhanced management (TI and UC).<br>– 9,5 million ha of forest with sustainable management. |

[24] More information about Pnapo can be found at the link: http://www.agroecologia.gov.br/politica
[25] More information about Planapo can be found at the link: http://www.mda.gov.br/planapo/
[26] More information about PGPM-Bio can be found at the link: https://www.conab.gov.br/precos-minimos/pgpm-bio

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| **Challenges** | • Demarcation of indigenous peoples and traditional communities' territories and advance in land demarcation and regularization processes.<br>• Unifying the systematization of data regarding the creation and homologation of territories of traditional peoples and communities: ICMBio with data on territories of extractivist populations (RESEX and RDS), INCRA and Fundação Palmares with data on Quilombola's territories, the Secretariat of Patrimony of the Union (SPU), with data on concession of Sustainable Use Authorization Term (TAUS) for riverine populations.<br>• Legal actions headed by sectors of the society, who are contrary to conservation, aim to change the configuration of protected areas in the Amazon.<br>• Ensure resources to keep policies that support conservation.<br>• Investment in the development of socioeconomic sustainability strategies of UC and integration of policies in order to encourage conservation at different scales.<br>• Revision of the current Technical Assistance and Rural Extension (ATER) model for improving Pnapo, Planapo, PGPM-Bio and Proveg.<br>• Investments on strategies to increase demand for "green lines" of rural credits options, which currently has limited access, facilitating simplification and reduction of bureaucracy in the processes related to access to these resources. |

*Chart 8 - Promotion of sociobiodiversity with REDD+ resources.*

**STATE SYSTEM OF INCENTIVES FOR ENVIRONMENTAL SERVICES OF ACRE (SISA/AC)**

Established by State Law # 2,308/2010, the State System of Incentives for Environmental Services of Acre (SISA/AC) gathers a set of strategies and instruments that benefit those who produce with sustainability and conserve the environment. With that purpose, SISA/AC comprises seven different programs of incentives to environmental services, which, together, collaborate to reduce deforestation rates and forest fires in Acre, forest conservation and sustainable management – paving the way for environmental and social advantages that benefit the state population, especially those who live in the forest. They are: Carbon (the first to be executed), Conservation of Natural Scenic Beauty; Conservation of Sociobiodiversity; Conservation of Water and Water Services; Climate Regulation; Traditional Ecosystem Knowledge and Cultural Valuation; Soil Conservation and Enhancement.

SISA governance arrangement encompasses the State Commission to Validate and Monitor SISA (CEVA), created in 2011, to ensure social participation in environmental services incentive policy. CEVA is formed by representatives of eight institutions, out of which four are from public agencies and four from the organized civil society. It is responsible for monitoring SISA and the ISA Carbon Program (Programa ISA Carbono), assessing propositions of norms presented by IMC, and ensuring transparency and social control of SISA components. SISA governance also includes the Indigenous Interinstitutional Working Group (GTI), whose purpose is to be a channel for discussions held among SISA members, the indigenous communities and the Women Working Group, aiming to strengthen social inclusion and the participation of women in the implementation of the system and the programs.

*ISA CARBON PROGRAM*

The main incentives related to the program include: promote change to more productive agricultural systems, which minimizes the need for expansion and avoids deforestation; value the forest economic potential; increase forest conservation and distribute benefits per environmental services. All ISA Carbon actions are carried out with financial resources from the German Cooperation, through the REDD Early Movers (REM) Program.

The resources from this program seek to encourage economic and social benefits for local populations, in addition to reduce deforestation. At least 70% of the resources are directly invested in local communities through benefit-sharing programs, which support indigenous peoples, extractivist populations and farmers.

During the implementation of the ISA Carbon program, the State of Acre sought to evaluate the possible socio-environmental impacts related to the program. In this regard, it adopted and adapted a set of international safeguards (the International Initiative REDD+ Social and Environmental Standards - REDD+SES) according to its local reality. CEVA is the instance in charge of monitoring the safeguards. From October 2010 to March 2013, the process of building SISA and ISA Carbon safeguards indicators took place, and an indicator monitoring plan was validated. In 2013, the State of Acre published the Manual for Monitoring REDD+ Safeguards in SISA, and, in 2015, it published the first self-assessment of compliance with socio-environmental safeguards.

The establishment of decentralized fundraising process by CONAREDD+ and the approval of eligibility of Acre state allowed the acknowledgment of the partnership between the German government and the state of Acre in the scope of ENREDD+. Representatives from Acre participate in all CCTs and CONAREDD+ and have shared the lessons learned under the ISA Carbon Program.

Source: IMC (http://imc.ac.gov.br)

| Cancun Safeguard | **f) Actions to address the risks of reversals in REDD+ results.** |
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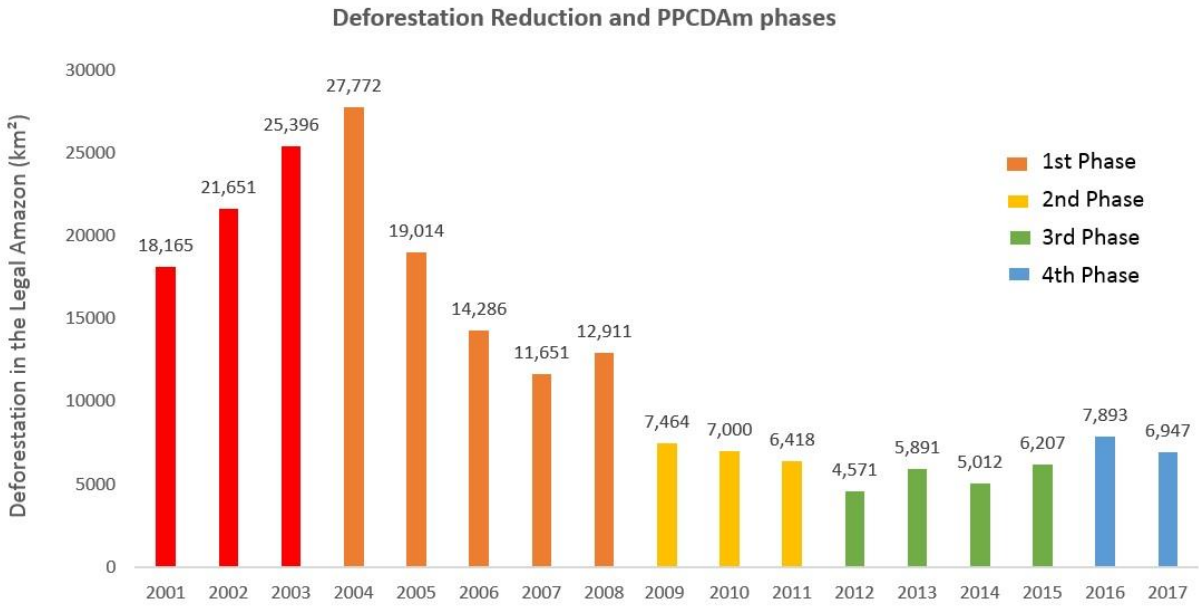
| **How they have been addressed and respected throughout the achievement of RED results** | • The average deforestation rate in the 3rd PPCDAM phase (2012-2015) is 5,420 Km$^2$. The four lowest deforestation rates in history were observed in the 3rd PPCDAm phase (2012, 2013, 2014 and 2015).<br>– The Environmental Control and Monitoring pillar was the main responsible for the marked reduction observed in the first phases of the Plan. Assunção et al (2017) have evaluated the effects of the monitoring and law enforcement between 2007 and 2011. The results show that monitoring and enforcement efforts avoided an average of 22,000 km$^2$ of deforestation per year between 2007 and 2011. Evidence suggests that policy is financially cost-effective (considering a conservative calculation of costs and benefits) and productive (there is no evidence that the reduction in deforestation caused current losses in formal agricultural production).<br>  <br><br>*Figure 12 - Deforestation rate and PPCDAm implementation.* |

- The deforestation rate in 2016 was 7,893 km², accounting for a 72% reduction comparing to the beginning of PPCDAm, in 2004, but a 27% increase compared to the previous year. The preliminary data for 2017 indicates that the deforested area in the year was 6,624 km², 16% lower than the previous year.
  - Measures to resume the falling trend: The **4th PPCDAm phase (2016-2020)** seeks a more strategic action in the three pillars and the creation of a fourth thematic area, related to normative and economic instruments, which intends to create mechanisms that foster the forest-based economy and that contribute to the development of a productive and economically competitive matrix, with the least possible impact on the forest.
  - Assunção and Rocha (2014), and Assunção *et al* (2016) assessed normative and economic instruments that were previously implemented and indicate the effectiveness of those measures.
- Changes in the size pattern of deforested areas during PPCDAm phases:
  - 1st Phase: areas with more than 50 hectares accounted for 51% of total deforestation.
  - 2nd Phase: greater occurrence of areas between 10 and 50 hectares (51%) and increase in the contribution of small polygons (less than 25%).
  - 3rd Phase: a new percentage increase in the contribution of deforestation in larger areas (the areas bigger than 50 hectares have accounted for 41%, compared to 24% in the previous phase).

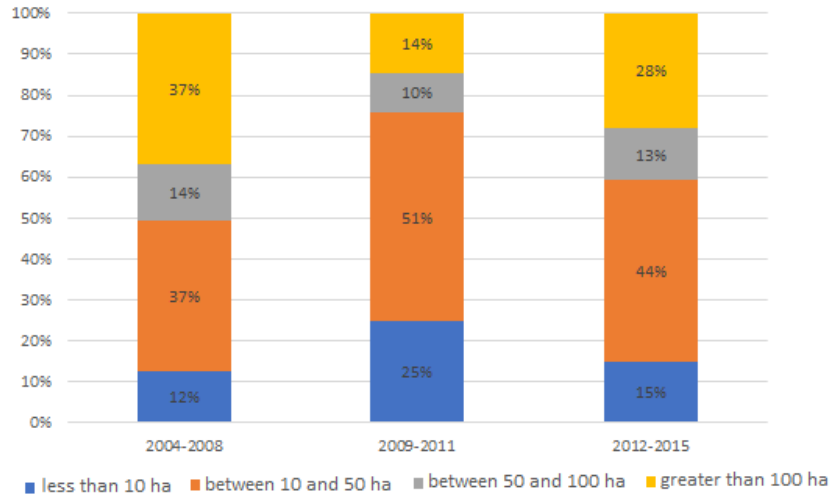



*Figure 13 - Size of deforested areas and PPCDAm phases.*

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| | – Possible cause: deforesters are adjusting their practices to monitoring strategies. Assunção *et al* (2017) performed an experiment that reinforces this hypothesis. In the study, they indicate an increase in the relative participation of areas smaller than 25 ha (limit of DETER detection) in small, medium and large properties in Mato Grosso and Para States between 2005 and 2012.<br>– Action taken: improvement of monitoring systems and strategies.<br><br>• Creation of the Technical Chamber for the Allocation of Federal Public Land (2013) aiming to allocate 60 million hectares of public lands.<br>– By 2015, it has researched about 97% (58.2 million ha) of the non-allocated federal area.<br>– 12.9 million hectares have already been allocated to federal institutions that have expressed interest in the area.<br><br>• DETER-B development (launched in 2016): system based on satellite data with a resolution of 60 meters, DETER-B is able to discriminate polygons greater than 6.25 hectares (ha), mapping the occurrence of clear cutting, clear cut with vegetation, areas of mining. Additionally, it reveals the process of degradation in different intensities, burnt scars and selective logging.<br>– Stage 1 (2009-2012): methodological tests and technical-scientific discussions.<br>– Stage 2 (2013): development of the initial interpretation key, validation of data in the field, scientific paper publication bringing out the methodology and validation statistics for the DETER-B (https://doi.org/10.1109/JSTARS.2015.2437075);<br>– Stage 3 (2014-2015): Methodological consolidation, agreement with India for RS-2 data reception, daily deforestation alert data generation and data routing for surveillance.<br><br>• At present, DETER-C is being developed, using a more precise resolution of satellite data (30 meters). |
| **How they have been addressed and respected in the use of resources** | • REDD+ results-based payment is a key incentive to address the risk of reversal. The provision of results-based payments in a predictable and appropriate scale, including the operation of those payments by the Green Climate Fund, can significantly contribute to the permanence and expansion of emission reduction results.<br>• The Amazon Fund invests REDD+ resources to support actions to prevent, monitor and combat deforestation, and to promote the conservation and sustainable use of the Legal Amazon.<br>• The Amazon Fund performs the risk assessment of the portfolio as a whole and of the individual projects, considering the external factors that may have a negative effect on the project execution or the maintenance of the results achieved. The Amazon Fund Activity Report presents a panel with the risks mapped. |

| GENERAL OBJECTIVE (IMPACT) | | | |
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| **Intervention logic** | **Identified risks** | **Probability** | **Response/risk mitigation** |
| Reduction of deforestation with sustainable development in Brazilian Amazon | Migration flows in the Amazon affect the environment | ○<br>●<br>○ | There is a pioneering front that advances deforesting forests in Western and Southern Pará and Southern Amazonas, the so-called "arch of deforestation," with the expansion of farming and cattle-raising activities.<br>Another point of pressure on the forest are major infrastructure projects in the Amazon, such as dams and paving of roads, which have caused migration of workers and eased access to the region.<br>The Amazon Fund supports projects to address these pressures on all their fronts. In 2016, projects to monitor and repress illegal deforestation were approved, and projects that support the consolidation of IL management that are located in the area of great infrastructure projects. The Amazon Fund continues to assess the risk as medium level. |

*Figure 14 - Example of the Amazon Fund risk management panel. Source: BNDES (2017).*

- During projects analysis, strategies to sustain the results of the project after implementation are assessed.
- Engagement of the communities that will be benefitted with the project actions, inclusion of socio-environmental training courses for the beneficiaries, promoting a culture of sustainable production and forest conservation, which reduces the risks of reversal of REDD+ results achieved. This strategy also directly contributes to the promotion of safeguards c and d.

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| **Challenges** | • Improve the performance of Promotion of Sustainable Productive Activities and Land and Territory Management thematic areas of PPCDAm.<br>• Development of the new pillar of the PPCDAm "Normative and Economic Instruments", as a complementary strategy to the one of command and control.<br>• The enhancement of the governmental tools for monitoring land use listed in Appendix B, especially those capable of identifying forest degradation and forest fires, is critical to address this safeguard.<br>• Progressing on regulations of legal frameworks in order to allow and enable strategies for valuation of forest assets.<br>• Legislative measures related to protected areas, land regularization and public lands, territories of indigenous peoples and traditional peoples and communities may jeopardize the permanence of REDD+ results already achieved.<br>• Assigning continuous budgetary resources for monitoring and surveillance.<br>• Continuous follow-up and update on the dynamics of deforestation (e.g., return to large clear cutting polygons) in order to improve actions.<br>• A more effective surveillance response to the monitoring information.<br>• Investigation of conflicts between environmental and development policies.<br>• Validation of the CAR data to enable technical analysis and environmental and land regularization.<br>• Recognition and implementation of distinct CAR modalities that fit the needs of traditional peoples and communities and traditional and family farmers.<br>• Facilitating and increase access in program resources whose actions aim to achieve REDD+ results. |

*Chart 9 – Allocation of REDD+ benefits: multilevel approach in favor of public policies that act for the permanence of REDD+ results.*

**ALLOCATION OF BENEFITS WITHIN THE SCOPE OF ENREDD+**

Since 2009, Brazil has been receiving REDD+ result-based payments through the Amazon Fund, with resources coming mostly from Norway and Germany. In 2017, the total amount of donations received surpassed USD 1 billion. Three years after the publication of the National REDD+ Strategy (ENREDD+ in Portuguese), Brazil begins to reap the benefits of progress achieved through REDD+, particularly with regards to mobilizing resources of result-based payments.

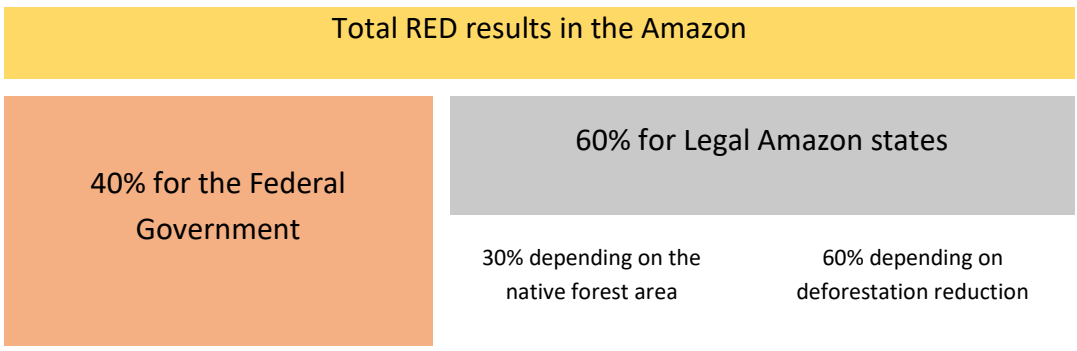
The implementation of ENREDD+ consolidated the multilevel approach of benefit sharing, by decentralizing the fund-raising potential for REDD+ results. The objective of the decentralization is to develop a national system of REDD+ that can act in an integrated manner at both federal and state levels, channeling resources and encouraging the development of a green, forest-based economy, besides providing a broad distribution of REDD+ benefits, coming from different channels.

**The decentralization of REDD+ result-based fundraising from the Amazon biome**

The decentralization of REDD+ result-based fundraising reached in the Amazon biome was established by the National REDD+ Committee (CONAREDD+) by means of three resolutions, comprising (i) distribution of fund-raising limits, (ii) eligibility of states of the federation (iii) guidelines for use of resources.

The first step, contained in the Resolution nº 6, defines the distribution of fund-raising limits for results in the reduction of emissions coming from deforestation in the Amazon biome. It was defined that the entities who have the right to seek payments for results are the Legal Amazon state governments and the federal government, with the recognition that the public policies executed by these entities have a great contribution to deforestation reduction.

Sixty percent (60%) of the total results will be allocated to the states, to be distributed between them based on (I) the native forest area, and (II) deforestation reduction; being thirty percent (30 %) of the total results intended for each of the criteria.




To be eligible to receive REDD+ result-based payments, the Amazon states and federal entities must meet the criteria and guidelines listed on the CONAREDD+ Resolution nº 7,

which refer to the structuring of participative, operational and transparent governance for approaches related to REDD+.

Once approved, the entities will have the authorization published on Info Hub Brazil and will be able to start its fund-raising efforts, according to the criteria and guidelines defined by CONAREDD+.

By signing agreements of REDD+ result-based payments, the eligible entities will need to meet the guidelines of CONAREDD+ Resolution nº 8 for use of resource and monitoring of payment agreements. Through Resolution nº 8, the country signals its intentions related to actions using REDD+ payments. Within the guidelines for application of resources are the investment on illegal deforestation elimination, the support to the institutional strengthening of federal entities to the implementation of actions related to REDD+ and the prioritizing of initiatives that benefit indigenous peoples, traditional peoples and communities, and family farmers.

The decentralization arrangement defined by CONAREDD+ allows that Amazon states develop their own initiatives of REDD+ result-based payments, in addition to the REDD+ resources that they already receive through projects supported by the Amazon Fund. The states of Acre and Mato Grosso are participating of the global REDD Early Movers Program (REM), whose negotiation of agreements was made in an autonomous manner between the states and the German government, falling to the federal government only the role of following the issues related to ENREDD+ and to CONAREDD+ their regular monitoring.

CONAREDD+, in line with its deliberations, was responsible for approving the eligibility of states for the feasibility of agreements in harmony with the National Strategy. The prediction is that there will be EUR 10 million decentralized for the Acre state and EUR 17 million for the Mato Grosso state, besides a contribution of GBP 17,8 million for Acre and GBP 23,9 million for Mato Grosso coming from the British government.

| Cancun Safeguard | g) Actions to reduce displacement of carbon emissions. |
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| **How they have been addressed and respected throughout the achievement of RED results** | • **Action Plan for the Prevention and Control of Deforestation and Fires in the Cerrado (PPCerrado):**<br>– 3 phases of execution: 2010-2011; 2014-2015, and 2016-2020<br>– Joint coordination with PPCDAm, ensuring a more systemic view of the territory.<br>– Reference for the application of international resources and for the identification of priorities in national environmental policies.<br>– Negotiation of the Soybean Working Group to establish a sector agreement to control deforestation in the Cerrado biome.<br>• **Brazilian Biomes Environmental Monitoring Program (PMABB)[27]**<br>– It aims to mobilize and offer greater coherence to ongoing monitoring efforts in the country, in addition to extending the monitoring of vegetation cover to all Brazilian biomes.<br>– Production of a series of consistent data about deforestation in the Cerrado biome, enabling to establish a forest reference emission level in the biome (FREL Cerrado). It is possible to find further information about deforestation in Cerrado in the chart below.<br>• **ENREDD+: a look throughout the entire territory**<br>– Submission of FREL Cerrado in January 2017[28].<br>– ENREDD+ Thematic Advisory Boards propose to promote the integration of institutions from other biomes; i.e.; CCT Federative Relations, which targets state and municipal governments, has representatives from all Brazilian biomes (21 states out of the 27 in the country).<br>• **Rural Environmental Registry (CAR)**<br>– A national electronic public registry, mandatory for all rural properties, with the purpose of integrating the environmental information of the rural properties related to Areas of Permanent Preservation - APP, restricted use, Legal Reserve, forest remnants, and other forms of native vegetation, and consolidated areas, making up a database for control, monitoring, environmental and economic planning, and combating deforestation.<br>– 4.2 million rural properties, involving a total area of 411,001,629 hectares inserted in the system database until July 2017 (SFB, 2017)[29]. |

[27] Access the Strategy of the Environmental Monitoring Program for Brazilian Biomes at the link: http://www.mma.gov.br/images/arquivos/gestao_territorial/pmabb/Strategy_environmental_monitoring_program_PMABB.pdf

[28] Aceess the FREL Cerrado Submition at the link: http://redd.mma.gov.br/images/central-de-midia/pdf/submissoes/BRAZIL_frel-cerrado-EN-20160106-final.pdf

[29] More information on progresso f CAR can be found at the link: http://car.gov.br/#/

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| **How they have been addressed and respected in the use of resources** | • The Amazon Fund is authorized to allocate up to 20% of its resources to support projects to develop deforestation monitoring and control systems in other Brazilian regions and in other tropical countries.<br>• Support to implement the rural environmental registry (CAR) throughout the Brazilian territory.<br>– 14 projects with this purpose distributed among non-governmental organizations (BRL 22 million), municipalities (BRL 1 million), Legal Amazon states (BRL 135 million) and states outside the Legal Amazon (BRL 79 million), totalling BRL 237 million for the CAR.<br>– Registration of 281,031 properties in CAR nationally.<br>• Decree # 8,773/2016: change in the priority area of support of the Amazon Biome Fund to the Legal Amazon<br>– Expansion of about 20% in the main area of the Amazon Fund support.<br>– Scope of the Fund more coherent with PPCDAm implementation.<br>– It has incorporated a large portion of the deforestation boundary between the Amazon and the Cerrado and Pantanal biomes.<br>– Special progress in state government initiatives in the Legal Amazon containing other biomes in the territory, as now there is a chance for a programmatic action throughout all its extension using resources from the Fund.<br>• International project to monitor the forest cover in the Amazon Basin<br>– Executed by the Amazon Cooperation Treaty Organization (ACTO)<br>– BRL 24 million (US$ 11.8 million), which enabled, among other activities, the installation of seven rooms to monitor deforestation and forest degradation in ACTO member countries and the preparation and validation by these countries of a regional map of deforestation in the Amazon, presented during COP-20 in Lima, Peru.<br>• Support for the development of methodology to PRODES and DETER systems for Cerrado. |
| **Challenges** | • Implementation of PPCerrado.<br>• Ensure resources to implement the Brazilian Biomes Environmental Monitoring Program to provide for subsidies to policies adjusted to the regional context and dynamics.<br>• Reconcile production/environmental protection in the Cerrado, considering the legal protection regime (20% of legal reserve) and the great demand for land occupancy, particularly for agriculture.<br>• Advance in CAR technical analysis and in property environmental regularization, aiming to ensure that irregular registrations are cancelled, especially those that affect the regularized territories of indigenous peoples and traditional peoples and communities.<br>• Nationwide society engagement in the ENREDD+, especially from outside the Amazon region.<br>• Development of a strategy for engaging the other Brazilian biomes with REDD+ activities (degradation/restoration/conservation). |

*Chart 10 - Dynamics of deforestation in the Cerrado.*

**USE AND OCCUPATION OF THE CERRADO**

Until 2016, monitoring data on deforestation in the Cerrado biome was scattered and generated using different methodologies and definitions. Thus, in order to have more consistent and more regular data, meeting the requirements that allow the country to qualify for results-based payment from the deforestation emission reduction in the Cerrado, INPE developed a historical series of deforestation for the 2000 to 2010 period.

In 2016, the Ministry of the Environment developed a forest reference emission level (FREL) for deforestation in the Cerrado biome, based on inputs produced by the Working Group of Technical Experts on REDD+ and using this historical series produced by INPE as activity data.

The document, submitted by Brazil to the UNFCCC in January 2017, was subjected to the technical analysis of two international experts. Now, Brazil is working on the expansion of that historical series, as part of the Brazilian Biomes Environmental Monitoring Program – PMABB.

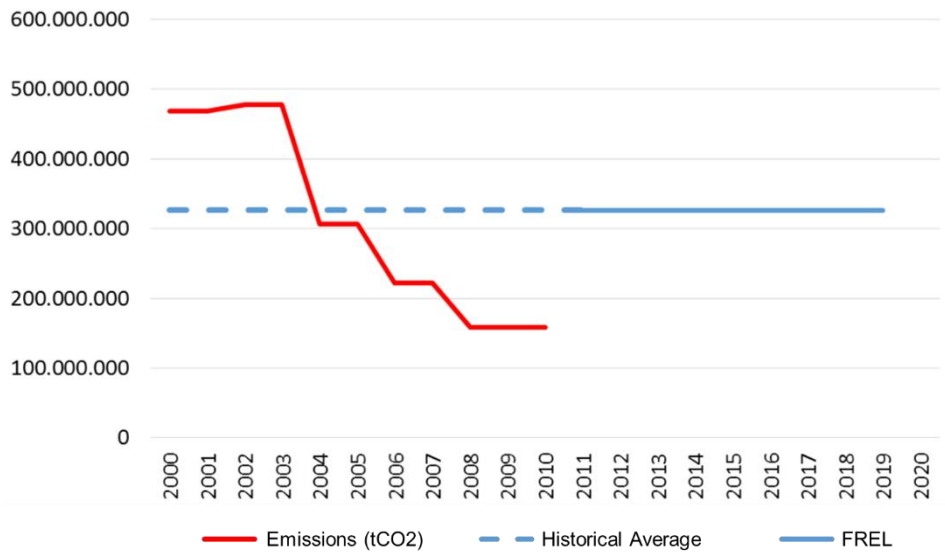


*Figure 15 - Representation of FREL Cerrado.*

Similarly to the monitoring initiative that aims to qualify deforested areas in the Amazon, TerraClass Cerrado was elaborated. According to TerraClass Cerrado 2013 data, which identifies the use of deforested areas until 2013, the largest class of anthropogenic use in the Cerrado is planted pasture (29.5%), followed by annual agriculture (8.5%) and perennial agriculture (3.2%), totaling approximately 41% of the biome total area.

It is also worth noting that 54.5% of the Cerrado total area is classified as remaining natural vegetation, out of which 34% of the Cerrado total area is classified as natural non-forest vegetation and 20.5% as natural forest vegetation.

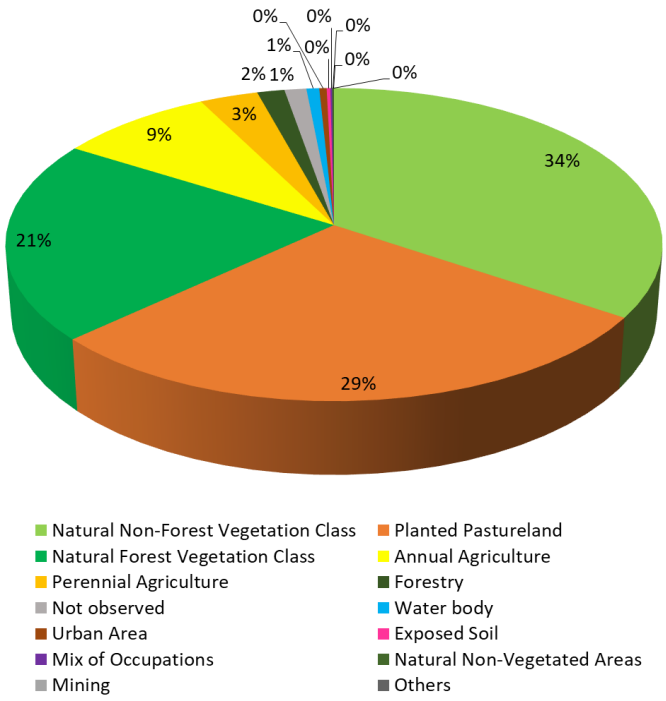


*Figure 16 - Distribution of land use classes and land cover in the Cerrado.*

The states with the highest percentage of natural vegetation are Tocantins (74%), Maranhão (79%), Bahia (68%) and Piauí (84%). Together, they form the agribusiness expansion conglomerate known as Matopiba, in reference to the initials of the states covered by the region.

A research conducted by Carneiro Filho and Costa (2016) indicates that much of the agricultural expansion in the Cerrado occurred in pasturelands, but in the Matopiba region and in Mato Grosso this expansion has been occurring in natural areas.

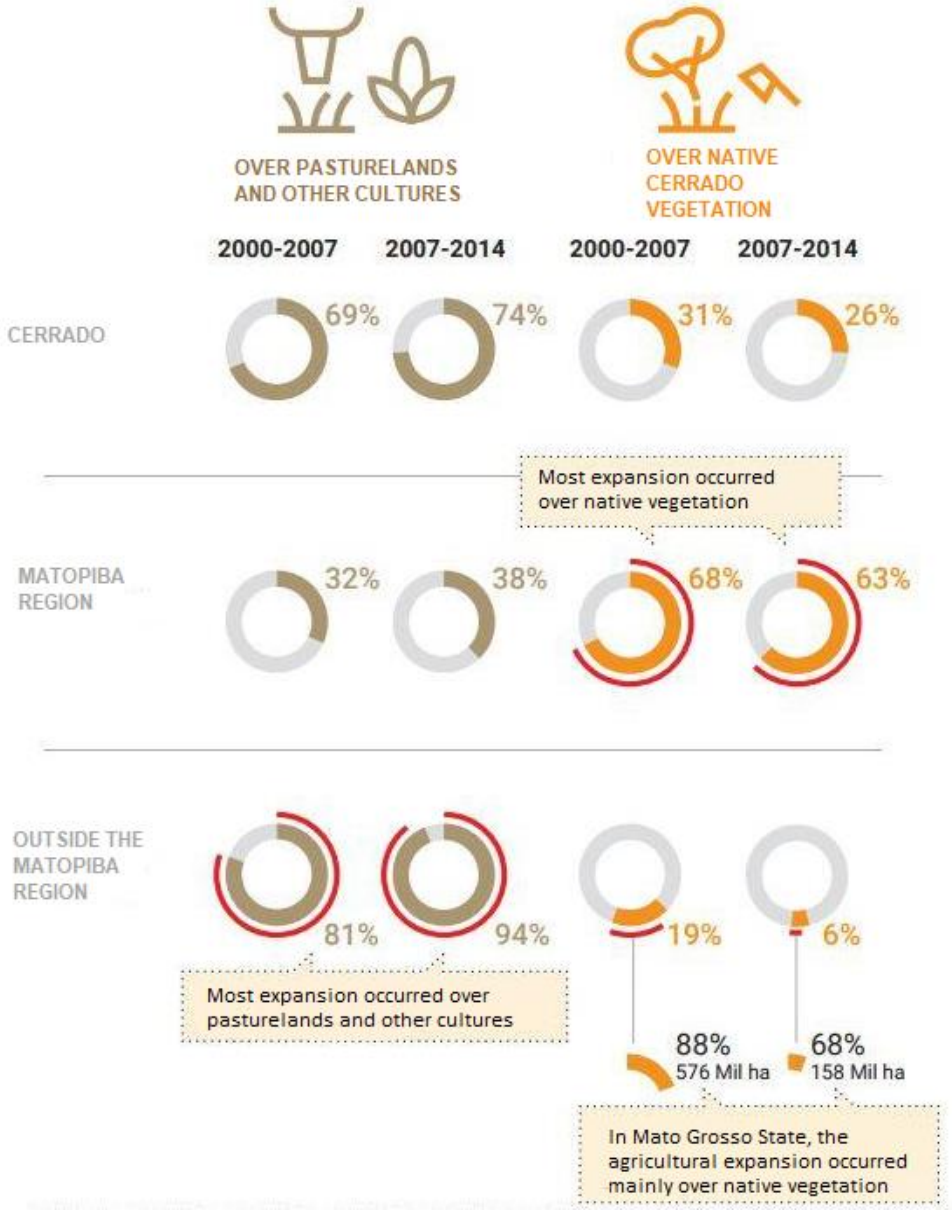


*Figure 17 - Agricultural expansion in the Cerrado. Source: Carneiro Filho and Costa (2016).*

Predominance of planted pasturelands and agriculture among land use classes reinforces that the Cerrado is an important production area for the country. Nevertheless, it is also an area of great importance for the conservation of biodiversity, which is being threatened by the rapid conversion of its natural areas.

## 6. Creation and Implementation of the REDD+ Safeguards Information System (SISREDD+) in Brazil

The approach adopted by the Brazilian Government to design a safeguards information system (SIS) includes several elements. The SIS includes the governance arrangements, stakeholder engagement processes on safeguards, development of an interactive online interface for safeguards information, and an ombudsman mechanism. These are based on the principles of consolidating and integrating systems to the full extent possible and building upon institutional arrangements that already exist.

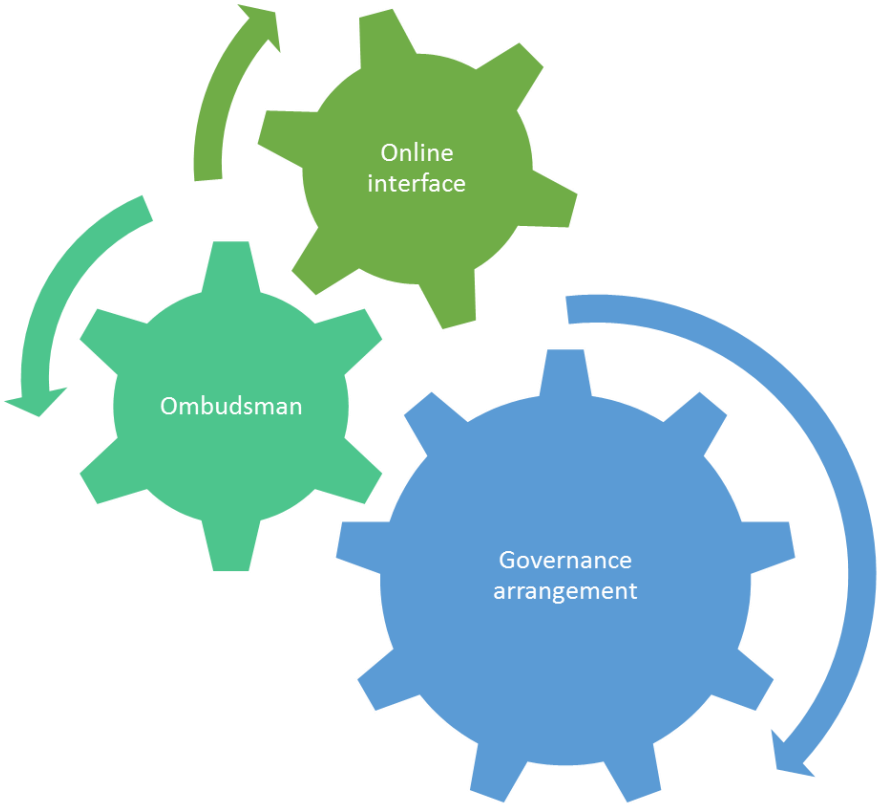


*Figure 18 - Components of the Brazil's Safeguards Information System.*

Brazil started developing its Safeguards Information System, SISREDD+, in 2012, when the Technical Panel performed a research with the intention to compile the sources of information for the composition of this system. At that moment, even by a restricted group, relevant inputs were produced in the system, which purpose was the implementation arrangement and computational tool.

In 2015, the Ministry of the Environment pursued to advance in the computational tool, through a partnership with a Brazilian university and with the composition of a voluntary group of civil society gathered by public call. The group met in May of that year and their

recommendation was to wait for the formalization of the ENREDD+ to create a group in its scope to continue the discussions.

ENREDD+ approval in December 2015 and the creation of CCT Safeguards enabled them to resume SISREDD+ development, with the strengthen of the Governance Arrangement component of the system.

The interpretation of the Cancun safeguards in the Brazilian context and the elaboration of this Second Summary brought additional inputs to those compiled by the Technical Panel for SISREDD+ full development.

With the conclusion of the conceptualization of safeguards in the Brazilian context and the contributions to this summary, the CCT Safeguards is entirely dedicated in the SISREDD+ improvement. In order to assist the CCT and to constitute a broad and participatory process for the definition of indicators for SISREDD+, MMA, with the support of German cooperation, enabled the partnership with the support of a specialized team in participatory monitoring and development of indicators. This specialized team is providing technical and methodological support to the development of indicators. The methodological proposal predicts three major stages, which are premised on the involvement of Brazilian society and the CCT-Salv in all of them.

*Figure 19 – Process of improvement of SISREDD+.*

The defining stage of conceptual bases has already been made, and the premises of the improved SISREDD+ are available in the current SISREDD+ website[30].. It is worth mentioning that small adjustments to the premises could be necessary due to the deepening of the discussions in the subsequent stages.

The definition of indicators for the SISREDD+ is underway. The rationale used was to identify, within the Brazil's safeguards conceptualization, their main principles (mostly underlined in Section 4), targets of monitoring and then the appropriate indicators (Figure 20).

[30] See section http://redd.mma.gov.br/pt/component/content/article/90-assuntos/salvaguardas/990-requisitos-para-o-desenvolvimento-do-sisredd?Itemid=0.

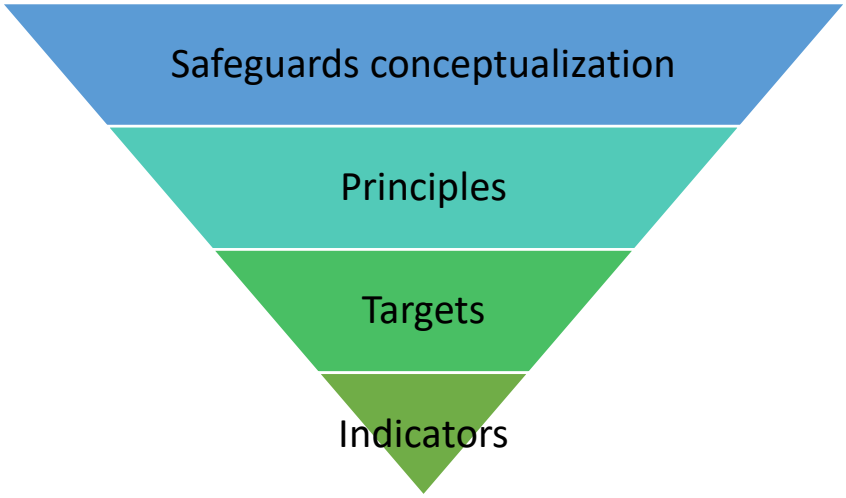


*Figure 20 – Process of definition of SISREDD+ indicators.*

All this process has been done in a participatory manner. Four workshops were held so far in different states of Brazil, besides two CCT-Salv meetings dedicated to this topic[31]. Table below presents the number of representatives per sector that participate in the workshops.

| Sector/Group | Number of representatives |
|---|---|
| **Indigenous people** | 21 |
| **Statual 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 |

These 158 representatives came from eighteen different states of Brazil, 80 of them were female and 78 male, leading to regional and gender balance.

The methodology and conceptual model of the system are expected to be complete in the second half of 2018, in order to be implemented in the computational tool.

[31] Information about these meetings and workshops can be found at http://redd.mma.gov.br/pt/reunioes.

**Anyhow, it is important to emphasize that the implementation and follow-up of safeguards in Brazil takes place concurrently with this process.** Following this approach, Brazil presents the portal http://sisredd.mma.gov.br which aims to publicize detailed information on the implementation of Cancun safeguards in Brazil and the full development of its system.

### 6.1. Existing Systems

Organizing information of diverse nature and coming from different sources is a challenge to implement SISREDD+. It is necessary to use different computational resources in order to automate entries, which would result in quality improvement and information update. Ensuring the good operation in the SISREDD+'s computational tool it is built since its conception, computational modelling, validation of its functionalities and routine maintenance.

Integrating the different existing sources of information is essential to develop SISREDD+, in order to guarantee the best availability of information and reduce operating costs. The creation of an integrated information system depends, among other factors, on establishing connections between its modules with existing databases and information systems (interoperability). Investigating the best way to establish the relationship between systems is a complex task in SISREDD+ construction process, and shall be gradually implemented.

The systems that can provide information to SISREDD+ are those linked to the policies listed in Appendix B.

### 6.2. Offices of the Ombudsman

The Republic's General Office of the Ombudsman was created in 1995, and is currently called the Union General Office of the Ombudsman (OGU). It has the competence for the technical coordination of the Federal Executive Branch ombudsman segment. In 2004, the Constitutional Amendment # 45 was promulgated, which establishes the creation of the Office of the Ombudsman in the Judiciary Branch and in the Public Prosecutor's Office for the Union, States, Federal District and Territories.

This process of expanding interaction forums between public administration and society has made it possible to count with Offices of the Ombudsman in the three branches of the Nation, as well as in the States, the Federal District and the Municipalities. Currently, the Federal Executive Branch has more than 250 Offices of the Ombudsman, distributed throughout the various agencies and entities and dealing with different issues.

The Union General's Office of the Ombudsman has a website with information about all Offices of the Ombudsman, legislation, statistics, guidelines, among others(http://www.ouvidorias.gov.br/), and developed a system that is used by all Offices of the Ombudsman to record feedback from citizens: https://sistema.ouvidorias.gov.br/publico/Manifestacao/RegistrarManifestacao.aspx .

CCT-Salv has been exploring the operation of some Offices of the Ombudsman that deal with topics related to its competence, to assist in the development of the SISREDD+ Ombudsman.

Recently, MMA created within its organizational structure an office of the ombudsman, and the Brazilian Forestry Service (a direct structure of MMA), the Brazilian Environment and Renewable Natural Resources Institute and Chico Mendes Institute for Biodiversity Conservation (both autonomous federal agencies) have their own consolidated and operating offices. Similarly to what happens to SISREDD+ development, it is necessary to consider using and leveraging the existing channels.

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ARPA Program: http://programaarpa.gov.br/

Green Grant (Bolsa Verde): http://www.mma.gov.br/desenvolvimento-rural/bolsa-verde

The Amazon Fund: http://www.fundoamazonia.gov.br/FundoAmazonia/fam/site_pt

PGPM-Bio: http://www.conab.gov.br/conteudos.php?a=1638&t= e https://www.youtube.com/watch?v=84gkOrrPVmo&feature=youtu.be

National Indian Foundation (FUNAI): http://funai.gov.br

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Access to Information Law (Lei de Acesso à Informação): http://www.acessoainformacao.gov.br/

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## APPENDIXES

### Appendix A: Stakeholder Engagement in ENREDD+ development

The debate about the creation of a National REDD+ Strategy started in 2010, coordinated by the Ministry of the Environment (MMA). At that time, REDD+ Brazil website was created, and working groups were formed, counting with the participation of multiple actors (about 120 representatives from 58 institutions), who addressed aspects to be considered in a National Strategy, such as institutional issues, benefit sharing and sources of resources. In 2011, as the result of that work, they published a document entitled "Summary of the Inputs from Multiple Actors to Prepare for a National Strategy".

In 2011, the Interministerial Working Group on REDD + (GTI REDD+ for the acronym in Portuguese) was formed. The GTI REDD+ was coordinated by the MMA and involved the Office of the Chief of Staff of the Presidency (CC), the Secretariat for Strategic Affairs (SAE), the Ministry of Agriculture, Livestock and Food Supply (MAPA), the Ministry of Science, Technology and Innovation (MCTI), the Ministry of Finance (MF), the National Indigenous Peoples Foundation (FUNAI), the Brazilian Forest Service (SFB), the Ministry of Foreign Affairs (MRE), the Ministry of Agrarian Development (MDA) and the Ministry of Planning, Budget and Management (MPOG).

In 2012, the REDD+ Task Force with the Amazonian States was created, coordinated by the Office of the Chief of Staff and with participation of MMA, MF, MCTI, MRE and MPOG. Also in 2012, meetings were held with the organized civil society, representatives of the private sector and indigenous representatives. All efforts were focused on the need to build consensus for developing a National REDD+ Strategy, which should contribute to the National Policy on Climate Change. A series of workshops coordinated by the MMA and the FUNAI sought to develop an approach to address indigenous issues in the National Strategy. The establishment of a Technical Panel to discuss safeguards is another important outcome, made possible by the dialogue process between governments and civil society.

In 2013, the GTI REDD+ prepared the first draft of the National REDD+ Strategy. In 2014, the MMA prepared a new version, taking into consideration the newly agreed Warsaw Framework for REDD+. In final the stage of development in 2015, the Ministry of Environment intensified dialogue with civil society, state and indigenous representatives in a series of meetings that addressed the National REDD+ Strategy and aspects related to REDD+ under the UNFCCC.

Finally, the Decree # 8576, of November 26th 2015, established the National REDD+ Committee. It also assigned to the Minister of the Environment the task of establishing the National REDD+ Strategy, which was concluded with MMA's Ordinance # 370, of December 2nd, 2015.

The Table below shows the major interactions with the society to develop ENREDD+.

| Year | Event | Venue | Institutions / Sectors Involved |
|---|---|---|---|
| 2010 | Debates to develop ENREDD+ (5 meetings) | *Brasilia, DF* | MF, MRE, MCTI, EMBRAPA, IPEA, SAE, SGPR, FUNAI, civil society, private sector, state governments |
| 2010 | Workshops to contribute to ENREDD+: Sources of Financial Resources and Mechanisms (WG3) | *Brasilia, DF* | MF, MRE, MCTI, EMBRAPA, IPEA, SAE, SGPR, FUNAI, civil society, private sector, state governments |
| 2010 | Workshops (4) to contribute to ENREDD+: Distribution of Benefits, Domain and Safeguards (WG2) | *Brasilia, DF* | MF, MCTI, EMBRAPA, IPEA, SAE, SGPR, FUNAI, civil society, private sector, Academy, BNDES, state governments |
| 2010 | Workshops to contribute to ENREDD+: Coordination, Institutional Arrangements and Participation (WG1) | *Brasilia, DF* | MF, MRE, MCTI, EMBRAPA, IPEA, SAE, SGPR, FUNAI, civil society, private sector, state governments |
| 2011 | GT REDD+ Inter-Ministry Meetings (6 meetings) | Brasilia, DF | MMA, MF, MAPA, MDA, MRE, MCTI, SAE, FUNAI |
| 2011 | Workshop: Implementing ENREDD+ Social and Environmental Safeguards | Brasilia, DF | MF, FUNAI, Indigenous people, civil society |
| 2011 | Workshop on indigenous participation and REDD+ actions in Brazil | Manaus, AM | Indigenous people, MMA, FUNAI, COIAB |
| 2012 | Technical bilateral meetings with states about REDD+ | Cuiaba, MT | SEMA |
| 2012 | Meeting with Amazonian States | Brasilia, DF | State governments, MF, MCTI, MAPA, FUNAI |
| 2012 | Workshop on positive incentives to REDD+ | Brasilia, DF | MMA, MF, IPEA, IIEB, GV-CES, FUNBIO, ISA, Treetap |
| 2012 | Workshop on indigenous REDD+ | Brasilia, DF | MMA, FUNAI, TNC, WWF, IPAM, ISA, FUNBIO |
| 2012 | State of Acre REDD+ initiative | Rio Branco, AC | State government |
| 2012 | Panel on climate change and forests in Brazil: the role of policies and positive incentives | Rio de Janeiro, RJ | Federal government, state governments, civil society, academia, indigenous people |
| 2012 | Technical bilateral meetings with states about REDD+ | Belem, PA | State government |
| 2012 | Technical bilateral meetings with states about REDD+ | Macapa, AP | State government |

| Year | Event | Venue | Institutions / Sectors Involved |
|---|---|---|---|
| 2012 | Technical bilateral meetings with states about REDD+ | Porto Velho, RO | State government |
| 2012 | Task Force with the Amazonian States | Brasilia, DF | State governments, MF, MCTI, MAPA, FUNAI |
| 2012 | Task Force with the Amazonian States | Brasilia, DF | State governments, MF, MCTI, MAPA, FUNAI |
| 2012 | Task Force with the Amazonian States | Macapa, AP | State governments |
| 2012 | SIS Technical Panel (4 meetings) | Brasilia, DF | FUNAI, civil society |
| 2013 | State Forum on Climate Change: Meeting about the Warsaw Framework for REDD+ | Cuiaba, MT | State government |
| 2013 | Environmental management capabilities in the Amazon | Rio Branco, AC | State government |
| 2013 | Meeting with experts on ENREDD+ | Brasilia, DF | MMA, MRE, MCTI, CC. MF, FUNAI, MP, UFRJ, TNC, FAS, IPAM, IIS, WRI Brazil |
| 2013 | Workshop on REDD+ legal framework | Manaus, AM | State government |
| 2014 | Inter-Ministry technical meeting about ENREDD+ text | Brasilia, DF | MCTI, MF, MAPA, MRE, MPOG |
| 2014 | GCF - Training on REDD+ | Macapa, AP | State governments |
| 2014 | GCF - Training on REDD+ | Belem, PA | State governments |
| 2014 | Training on climate change and forests targeted at indigenous peoples | Boa Vista, RR | CIR, FUNAI, FEMARH |
| 2014 | Training on climate change and forests targeted at indigenous peoples | Brasilia, DF | CIR, FUNAI, FEMARH |
| 2015 | 1st Meeting of the Management Committee for REDD+ Mato Grosso State System | Cuiaba, MT | SEMAs |
| 2015 | Meeting about the Cancun Safeguards | Brasilia, DF | Federal government, state government, civil society |
| 2015 | Meeting between MMA and civil society | Brasilia, DF | IPAM, OC, GCB, Idesam, ICV |
| 2015 | Meeting with state secretaries from the Amazon biome | Brasilia, DF | SEMAs |
| 2015 | Meeting with state secretaries from the Cerrado biome | Brasilia, DF | SEMAs |

| Year | Event | Venue | Institutions / Sectors Involved |
|---|---|---|---|
| 2015 | Meeting with state secretaries from the Atlantic Forest biome | Brasilia, DF | SEMAs |
| 2015 | Meeting with state secretaries from all over Brazil | Brasilia, DF | SEMAs |
| 2015 | Meeting of the Indigenous Committee on Climate Change | Brasilia, DF | Indigenous people, FUNAI, IPAM |
| 2015 | Meeting of the Management Committee of the National Policy for Territorial and Environmental Management of Indigenous Lands | Brasilia, DF | Indigenous people, FUNAI, MMA, IPAM, ISA, MRE |

**Appendix B: Matrix of Relevant Laws and Policies for REDD+ Safeguards**

| Policy | Objective |
|---|---|
| National REDD+ Strategy (ENREDD+ - Estratégia Nacional para REDD+)<br>*Decree # 8,576/2015* and *MMA Ordinance # 370/2015* | Contribute to climate change mitigation by eliminating illegal deforestation, conserving and recovering forest ecosystems, and developing a sustainable low-carbon forest economics, generating economic, social and environmental benefits. |
| Action Plan for the Prevention and Control of Deforestation in the Legal Amazon (PPCDAm) | Reduce deforestation, with a target set for 2020. |
| Action Plan for the Prevention and Control of Deforestation and Fires in the Cerrado (PPCerrado) | Reduce deforestation, with a target set for 2020. |
| State Plans to Fight Deforestation (PPCDs) | Reduce deforestation. |
| National Policy on Climate Change (Política Nacional sobre Mudança do Clima)<br>*Law # 12,187/2009* and *Decree # 7,390/2010* | Reduce greenhouse gas emissions by 2020. Acknowledges plans to combat deforestation as means to meet the target. |
| Forest Code<br>*Law # 12,651/2012* | Arrange for the protection of vegetation in private properties (APP, LR and areas of restricted use) with the goal of preserving biodiversity, soil, water resources and the integrity of the climate system, for the well-being of current and future generations. |
| Rural Environmental Registry (CAR)<br>*Law # 12,651/2012* | Integrate the environmental information of rural properties related to Areas of Permanent Preservation - APP, Legal Reserves, forests and native forest remnants, areas of restricted use and consolidated areas, making up a database for control, monitoring, environmental and economic planning, and combating deforestation. |
| National System of Conservation Units (SNUC)<br>*Law # 9,985/2000* | Contribute to preserve and restore the diversity in natural ecosystems, especially in Sustainable Development Units. |

| Policy | Objective |
|---|---|
| Amazon Protected Areas Program (ARPA)<br>*Decree # 8,505/2015* | Expand and strengthen the National System of Conservation Units (SNUC) in the Amazon, protect 60 million hectares, secure financial resources for the management of these areas in the short- and long-terms and promote sustainable development in that region. |
| National Forest Program (PNF)<br>*Decree # 3,420/2000* | Promote sustainable development, balancing use with conservation of the Brazilian forests. |
| National Biodiversity Policy<br>*Decree # 4,339/2002* | Promote, in an integrated manner, the conservation of biodiversity and the sustainable use of its components, with the fair and equitable sharing of benefits derived from the use of genetic resources, components of genetic heritage and traditional knowledge associated with these resources. |
| The Amazon Fund<br>*Decree # 6,527/2008* | Fundraise non-reimbursable investments in actions to prevent, monitor and combat deforestation, and to promote the conservation and sustainable use of the Legal Amazon. |
| National Community and Family Forest Management Program<br>*Decree # 6,874/2009* | Organize actions to foster sustainable management in forests that are used by family farmers, land reform settlers, and traditional peoples and communities. |
| National Policy for Territorial and Environmental Management of Indigenous Lands<br>*Decree # 7,747/2012* | Guarantee and promote protection, recovery, conservation and sustainable use of the natural resources found in indigenous lands and territories, ensuring the integrity of the indigenous heritage, improvement of their quality of life and full conditions of physical and cultural reproduction of current and future generations of indigenous peoples, respecting their sociocultural autonomy. |

| Policy | Objective |
|---|---|
| National Policy for Native Vegetation Recovery *Decree # 8,972/2017* | Recover forests and other forms of native vegetation. Boost environmental regularization in Brazilian rural properties, according to Act 12,651, as of May 25th, 2012, in a total area of at least 12 million hectares, by December 31st, 2030. A relevant policy for NDC, since it fosters the recovery of forests and other forms of native vegetation. |
| National Policy for the Sustainable Development of Traditional Peoples and Communities *Decree # 6,040/2007* | Promote sustainable development for Traditional Peoples and Communities, focusing on acknowledgment, strengthening and assurance of their territorial, social, environmental, economic and cultural rights, respecting and valuing their identity, their forms of organization and their institutions. |
| Brazil's Nationally Determined Contribution to the Paris Agreement | Reduce greenhouse gas emissions by 2025, by strengthening the Forest Code, fighting illegal deforestation, reforesting and restoring forests for multiple uses, sustainably managing native forests, among others. |
| Access to Information Law *Law # 12,527/2011* | Regulates access to information, as established in Item XXXIII of Art. 5, Item II in Paragraph 3 of Art. 37, and Paragraph 2 of Art. 216 of the Federal Constitution; amends Act 8,112, as of December 11th, 1990; revokes Act 11,111, as of May 5th, 2005, and devices in Act 8,159, as of January 8th, 1991; and establishes other provisions. |
| National Policy on Social Participation and National System on Social Participation *Decree # 8,243/2014* | Strengthen and mobilize democratic mechanisms and instances to debate and jointly act with the federal public administration and civil society. |

| Policy | Objective |
|---|---|
| Biodiversity Law<br>*Law # 13,123/2015* | Establish rules to access genetic heritage, access the corresponding traditional knowledge, and share benefits. It sets the national definition of associated traditional knowledge, incorporating indigenous peoples, traditional communities and traditional farmers; also, the terms for access with the definition of parameters for prior and informed consent, and the fair and equitable sharing of benefits. Fundamental policy to protect and promote the rights and traditional knowledge of these people that must be supported by the National REDD+ Strategy. |
| National Nutrition and Food Security System (SISAN) and the National Nutrition and Food Security Policy (PNSAN)<br>*Decree # 7,272/2010* | Incorporate into State policy the respect for food sovereignty and the guarantee of the human right to adequate food, having as a guideline access to water of adequate quality and quantity, in addition to supplying and structuring of sustainable and decentralized systems, with agroecological basis, production, extraction, food processing and distribution, promoting them in the framework of international negotiation and cooperation. |
| National Policy on Agroecology and Organic Production (PNAPO)<br>*Decree # 7,794/2012* | Integrate, mobilize and adapt policies, programs and actions that lead to the agroecological transition and organic and agroecological production, contributing to the sustainable development and quality of life of the population, through the sustainable use of natural resources and the supply and consumption of healthy food. |
| Quilombola Social Agenda within the framework of the Brazil Maroon Populations Program<br>*Decree # 6,261/2007* | Promote the improvement of life conditions and extend access to public goods and services of people living in quilombola communities in Brazil. |

| Policy | Objective |
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| Information System on the Brazilian Biodiversity (SiBBr) | Integrate data and information on the Brazilian biodiversity to support: i) scientific production, ii) public policy formulation and decision making processes. SiBBr supports actions of environmental conservation and sustainable use of natural resources. |
| National Plan for the Promotion of Sociobiodiversity Product Chains | Promote the conservation, management and sustainable use of sociobiodiversity products; strengthen productive chains in each of the biomes by adding value to sociobiodiversity products; strengthen the social and productive organization of indigenous peoples, quilombola populations, traditional communities, and family farmers; expand, strengthen and mobilize economic instruments necessary for the structuring of productive chains. |
| National Plan for the Strengthening of Extractivist and Riparian Communities (Planafe) | Ensure quality of life, access to and sustainable use of natural resources, environmental conservation and the promotion of human rights for extractivist and riparian communities. |
| National School Nutrition Program (PNAE) | Stimulate the purchase of food directly from family farmers, giving priority to land reform settlers, indigenous peoples and traditional peoples and communities, favoring the ways of life associated with forests and natural ecosystems. |
| Food Acquisition Program (PAA) | Encourage family farming through sustainable production, production processing and income generation; promote and value biodiversity and the organic and agroecological production of food; promote access to quality food from the perspective of the human right to adequate and healthy food; strengthen local and regional circuits and trade networks, stocks, and food supply through government procurement; stimulate cooperatives and associations. |
| Monitoring Program in Continental Scale | Monitor biodiversity in conservation units. |

| Policy | Objective |
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| Amazon Deforestation Monitoring Project (PRODES) | Satellite monitoring of clearcutting in the Legal Amazon. |
| Near Real-Time Deforestation Detection System (DETER) | Carry out a quick survey of evidence alerts on changes in the Amazon forest cover. |
| Brazilian Amazon Forest Degradation Project (DEGRAD) | Map areas of degraded forest and with a tendency to be converted into clear cut logging. |
| Burn and Fire Monitoring Program | Monitor fires and wildfires detected by satellites, calculate and predict the risk of burning the vegetation. |
| Land use and land cover mapping of Amazon Deforested Areas - TerraClass | Map the use and coverage of deforested lands in the Brazilian Legal Amazon to understand the dynamics of use and coverage in the Brazilian Legal Amazon. |
| Brazilian Biomes Environmental Monitoring Program (PMABB) *MMA Ordinance # 365/2015* | Map and monitor deforestation, including its rate; assess vegetation cover and land use; monitor fires; and restore vegetation and selective extractivism. |
| Selective Logging Monitoring System (Detex) | Monitor logging in public forest lands under concession. |
| National Forest Inventory | Carry out a systematic survey about Brazilian forest resources. |
| National Inventory of Greenhouse Gas Emissions | Regularly update emission estimates from a range of sectors, including land use change and forestry, and assess the evolution of the GHG emission profile, supporting the monitoring of compliance with the Brazilian commitment to reduce emissions. |

| International Instruments | Objective / Why shall it be considered? |
|---|---|
| United Nations Framework Convention on Climate Change, Paris Agreement, as well as decisions made in the corresponding Conferences of the Parties | Stabilize concentrations of greenhouse gases in the atmosphere at a level that would prevent dangerous anthropogenic interference with the climate system |
| Convention on Biological Diversity, as well as decisions made in the corresponding Conferences of the Parties, notably the 2012 COP11, held in Hyderabad, India, Decision IX/19, which established Biodiversity Safeguards in compliance with the REDD+ approach. | Promote the conservation of biological diversity, sustainable use of its components, and the fair and equitable sharing of the benefits derived from the utilization of genetic resources, ensuring free, prior and informed consent of the States, as well as the protection and promotion of associated traditional knowledge. |
| Ramsar Convention on Wetlands of International Importance | Promote the conservation and rational use of wetlands, such as Baixada Maranhense, Pantanal in Mato Grosso State, Atol das Rocas, etc. |
| FAO International Treaty on Plant Genetic Resources for Food and Agriculture | Promote conservation and sustainable use of plant genetic resources for food and agriculture, and the fair and equitable sharing of benefits arising from their use, aligned with the Convention on Biological Diversity. Establishes the right of farmers to conserve, use, exchange and sell farm-saved seeds and other propagating material retained by farmers; to protect their traditional knowledge and to participate in decision-making on the fair and equitable sharing of benefits arising from the use of plant genetic resources for food and agriculture. |
| ILO Indigenous and Tribal Peoples Convention 169 | It applies to indigenous peoples and traditional peoples and communities in order to promote the full realization of the social, economic and cultural rights of these peoples, respecting their social and cultural identity, their customs and traditions, and their institutions. It acknowledges the territorial rights of ownership and possession of the lands they occupy or have already used for their traditional activities and subsistence; the right to participate in the use, management and |

| International Instruments | Objective / Why shall it be considered? |
|---|---|
| | conservation of natural resources; as well as the right to free, prior and informed consultation in accordance with their own institutions, among other rights. |
| United Nations Declaration on the Rights of Indigenous Peoples | It reflects the set of claims of indigenous peoples on the improvement of their relations with national states and is used to establish minimum parameters for other international instruments and national laws. The declaration includes principles such as equal rights and prohibition of discrimination, the right to self-determination and the need to obtain consent and agreement as a reference for the relationship between indigenous peoples and States. |