Annex VIb – Environmental and Social Management Framework
Green Climate Fund Funding Proposal for REDD+ RBP Pilot Program

I

Brazil REDD+ Results Based Payments Use of Proceeds towards Floresta+ Pilot Program and ENREDD+ Implementation

Draft Environmental and Social Management Framework

13 September 2018

TABLE OF CONTENTS

Annex VIb – Environmental and Social Management Framework
Green Climate Fund Funding Proposal for REDD+ RBP Pilot Program

I

1. EXECUTIVE SUMMARY

The following provides the Environmental and Social Management Framework (ESMF) for the REDD+ Results Based Payments (RBP) Project proposed by Brazil to the Green Climate Fund (GCF) (hereinafter "the RBP Project"). This is a project to be implemented by the Ministry of the Environment (MMA), with the UNDP in its role as a GCF Accredited Entity, and alongside multiple national and local governing institutions, civil society representatives and private sector actors expected to meaningfully and effectively participate in its further design, implementation and benefits.

The currently outlined outputs and activities, which by design will be developed and refined in multi-stakeholder forum with respect to their geographic focus, and application to certain communities and private stakeholders, are consistent with Brazil's National REDD+ Strategy (ENREDD+) and the Action Plan for the Prevention and Control of Deforestation in the Legal Amazon (PPCDAm). It is being conducted within the context of a legal and policy environment that will ensure its consistency with applicable social and environmental safeguards and standards. Its cornerstone is the voluntary participation of stakeholders. The absence of imposing conservation and restoration regimes, but rather seeking the informed and voluntary participation of civil society is the project's greatest safeguard against harms and well as its greatest guarantor for producing measurable and enduring climate change mitigation and improved well-being for Brazilian people.

As discussed below, the RBP Project has been screened against UNDP's Social and Environmental Standards (SES) utilizing UNDP's Social and Environmental Screening Procedure (SESP). This screening has determined that the proposed project includes activities with potential adverse social and environmental risks and impacts. These risks have been identified with a reasonable degree of certainty, and can be addressed through application of best practice, mitigation measures, a project-level grievance mechanism, and a robust commitment and budget focused on stakeholder engagement, capacity building, and impact assessment and monitoring. All of this has been detailed in Table 4, in Section 6 on potential social and environmental impacts. This section also includes an overview of three key issues - land tenure, indigenous and traditional peoples, and geographic scope – to enable further refinement of risk management and mitigation measures.

The project rests on a solid foundation of stakeholder engagement as well as prior experiences and lessons learned from related REDD+ activities.

At the project's inception, a comprehensive and participatory Environmental Social Impact Assessment (ESIA) will be conducted once the design of the four modalities of the Floresta+ pilot program is finalized. Based on those findings, the SESP will be revised and a full Environmental and Social Management Plan (ESMP) will be developed. A series of modality-specific management plans will be elaborated with stakeholders and as necessary, such that all appropriate mitigation measures are put in place before commencing any activity that has the possibility of causing adverse impacts. Whenever possible, including through the sharing of a

Annex VIb – Environmental and Social Management Framework
Green Climate Fund Funding Proposal for REDD+ RBP Pilot Program

I

Project Management Unit (PMU), the projects will work together to provide efficiency and consistency in the delivery of REDD+ objectives, while also avoiding duplication and adverse impacts across one or more projects.

MMA, its partners in other government institutions, the UN Development Programme (UNDP) and other stakeholders have demonstrated a commitment to participate effectively to ensure that the project not only avoids and mitigates against adverse impacts, but also positively seizes opportunities to enhance the enjoyment of human rights and realize the full benefits of sustainable resource management and economic development.

Annex VIb – Environmental and Social Management Framework
Green Climate Fund Funding Proposal for REDD+ RBP Pilot Program

I

2. INTRODUCTION

This Environmental and Social Management Framework (ESMF) has been prepared in support of a project proposal for REDD+ RBP Pilot Program by the Government of Brazil to the Green Climate Fund (GCF). As this project is supported by UNDP in its role as a GCF Accredited Entity, the project has been screened against UNDP's Social and Environmental Standards (SES) utilizing the UNDP Social and Environmental Screening Procedure (SESP) and deemed a Moderate Risk project.

The REDD+ RBP Pilot Program proposal has proposed two principle outputs: Output 1: Floresta+ Pilot Program and Output 2: The implementation of Brazil's ENREDD+, as described in more detail below, that include a range of activities that have not been fully specified in terms of specific locations/components, and hence cannot be fully assessed at this stage for all potential social and environmental risks and impacts. As such, this ESMF has been prepared to set out the principles, rules, guidelines and procedures for screening, assessing, and managing the potential social and environmental impacts of the forthcoming but as yet undefined interventions, particularly those which will make up the Floresta+ pilot program as it is designed. It contains measures and plans to avoid, and where avoidance is not possible, to reduce, mitigate and/or offset adverse risks and impacts of the Floresta+ pilot program, and more broadly Brazil's ENREDD+ strategy as it is implemented. The ESMF specifies the most likely applicable social and environmental policies and requirements and how those requirements will be met through procedures for the screening, assessment, approval, mitigation, monitoring and reporting of social and environmental risks and impacts associated with the activities to be supported.

For Output 1: Floresta+ Pilot Program, the ESMF includes as annexes initial management plans (or outlines thereof) for addressing likely social and environmental impacts and to address the requirements of applicable policies and standards, including the UNDP SES. Given the myriad processes already underway at the federal and state levels, these management plans will have to be carefully harmonized with both the National System of Information for Safeguards (SISREDD+), as well as the monitoring of the Action Plan for the Prevention and Control of Deforestation in the Legal Amazon (PPCDAm), and the parallel state-level plans for the prevention and control of deforestation.

3. PROJECT DESCRIPTION

Eliminating illegal deforestation, promoting the enhancement of forest carbon stocks and fostering a sustainable forest economy are common objectives of both Brazil's ENREDD+ and the Nationally Determined Contribution (NDC). Both the ENREDD+ and the NDC also have the implementation of the Forest Code as a strategic element. REDD+ is considered by Brazil as means for the implementation of its NDC. Brazil's NDC states that "the implementation of REDD+ activities and the permanence of results achieved require the provision, on a continuous basis, of adequate and predictable results-based payments in accordance with the relevant COP decisions".

The results-based payments received by Brazil from the GCF will contributed to the implementation of the forest sector actions of Brazil's NDC. This project proposal has two main outputs:

1. Development of a pilot of an Environmental Services Incentive Program for Conservation and Recovery of Native Vegetation (Floresta+); and

2. Strengthen the implementation of Brazil's ENREDD+ through improvements in its governance structure and systems.

These two outputs will contribute to the achievement of the ENREDD+ overall objectives and the country's NDC. More details are provided below.

Output 1: **Floresta+ Pilot Program**

The first 12 months of implementation of Floresta+ will be used to conduct extensive stakeholder consultations and social and environmental impact assessments in line with this ESMF, in order to establish detailed and operational safeguards management plans and to inform the broader design of Floresta+, including the selection of the beneficiaries in the Modalities 1, 2, 3 and 4 (as described in further detail in the Summary of Activities section below). It includes the establishment and operation of a governance structure; the definition of values and priority areas for direct payments; upgrades in National Rural Environmental Registry System (SICAR) for registering and monitoring processes; the development of a simplified online platform to register the proposals for direct payments; the selection process of the beneficiaries and projects; and the establishment of contracts.

The direct payments for each rural farming household that is voluntarily participating in Modalities 1 and 2 will be made for up to four years during the project, considering the period between the admission and the end of the project. From that, annual payments will be based in the monitoring results of forest conservation and restoration. The projects' duration in Modalities 3 and 4 will be determined in the specific criteria and guidelines for each targeted beneficiary group, either Indigenous people and traditional communities for Modality 3, and Public institutions or agencies, civil associations, cooperatives and private law foundations in Modality 4.

Output 2: **The implementation of Brazil's ENREDD+**

The activities in this output will follow the calendar established in the ENREDD+ and CONAREDD+. Activities are currently underway, and the project will support the enhancement of related products and processes. The focus of the first year is to support the preparation of the national FREL and to improve the implementation of SISREDD+, including exploring synergies with the Grievance Redress Mechanism and UNDP's social and environmental safeguards requirements. After that, the Public Policy Matrix and the revision of the National REDD+ Strategy will be conducted taking into consideration Brazil's NDC. The enhancement of the capacities and access

of the various stakeholders for participating in the CONAREDD+ and its Consultative Chambers and the South-South Cooperation initiatives are crosscutting issues and will be implemented throughout all the project.

The Floresta+ is a new and innovative pilot program that aims to provide Incentives for Environmental Services (IES) in the Legal Amazon region, in accordance with Brazil's Forest Code, the ENREDD+ and Brazil's NDC. This IES pilot program will have the following specific objectives:

1. Provide monetary compensation to incentivize the conservation of native vegetation and the recovery and improvement of ecosystems that generate environmental services (including but not limited to carbon);

2. Prevent the occurrence of deforestation, forest degradation and forest fires through financial incentives;

3. Incentivize the conservation and recovery of native vegetation of rural properties, conservation areas, indigenous lands, land settlements as well as community and traditional people's lands;

4. Promote compliance with environmental legislation, especially that related to the protection and recovery of native vegetation (Forest Code);

5. Offer a financial mechanism to foster the development and implementation of public policies aimed at conservation and recovery of native vegetation.

The target beneficiaries for the Floresta+ Pilot Program is comprised of:

1. Small farmers, according to art. 3º, V, of the Forest Code (Law nº 12.651/2012), up to 4 fiscal modules[1]

2. Indigenous peoples;

3. Traditional peoples and communities according to I, do art. 3º, of decree nº 6.040/2007 (that use their territory collectively); and

4. Public institutions or agencies (including States and municipalities), civil associations, cooperatives and private law foundations that act in topics related to conservation and recovery of native vegetation.

The prioritization of areas to be selected as beneficiaries for the Floresta+ pilot program will consider:

a) Regions with high pressure from deforestation, forest degradation and forest fires;

b) Priority areas for biodiversity conservation and for the recovery of native vegetation, according to norms defined by the MMA;

---

[1] A fiscal module is an agrarian unit used in each municipality in Brazil, defined according to the terms of article 50, section 2, of Law No. 6,746 of December 10, 1979. (Law No. 6.746/1979) This measure is meant to ensure Floresta+ is focused on small and medium households instead of larger land owners. Indeed 90% of farms have up to four fiscal modules according to INCRA (National Institute of Colonization and Agrarian Reform).

c) Buffer zones around protected areas;

d) Regions with higher density of small farmers;

e) Regions with higher concentration of traditional peoples and communities;

f) Integration with other public policies related to the conservation and recovery of native vegetation.

The Floresta+ Pilot Program will incentivize conservation and the recovery of native vegetation in accordance with Brazil's Forest Code and Proveg (National Policy for the Recovery of Native Vegetation), as described in the FP. This will contribute to reducing the pressure on native forests therefore consistent with the ongoing efforts to eliminate illegal deforestation and promote the restoration/ recovery of ecosystems, which are part of the general objective of Brazil's ENREDD+ and are listed as potential activities in the forest sector for the achievement of Brazil's NDC and national policies.

SUMMARY OF ACTIVITIES

The Floresta+ Pilot Program will operate through resource distribution modalities such as:

1. **Modality 1 (Floresta+ Conservation):** incentives to landowners and land users of rural properties according to the classification of item V, of article 3º, of the Forest Code (Law nº 12.651/2012), with the objective of conserving native vegetation remnants additional to the legal requirements;

2. **Modality 2 (Floresta+ Recovery):** incentives to landowners and land users of rural properties according to the classification of item V, of article 3º, of the Forest Code (Law nº 12.651/2012), with the objective of recovering Permanent Preservation Areas (e.g. riparian forests, mountain tops and steep inclines);

3. **Modality 3 (Floresta+ Communities):** support to associations and representative entities of indigenous peoples and traditional peoples and communities;

4. **Modality 4 (Floresta+ Innovation):** support innovative actions and arrangements to develop, implement and leverage public policies for conservation and recovery of native vegetation.

Additional criteria and priority areas will be developed and refined in consultation with the relevant stakeholders, including indigenous peoples and traditional peoples and communities, civil associations, state government representatives, federal agencies, non-governmental organizations, among others.

Direct payments will be calculated based on the area of native vegetation remnants and environmental liabilities to be recovered, in hectares, according to the data in the SICAR. The amount of payment per hectare will be defined in norms to be published by the Project Advisory Committee and should consider:

a) The relationship between the preserved native vegetation area and the area of deforested, degraded or burnt native vegetation within the rural property limits;

Annex VIb – Environmental and Social Management Framework
Green Climate Fund Funding Proposal for REDD+ RBP Pilot Program

I

b) The opportunity cost of land use in areas with alternative land use;

c) The reference values of other programs of incentives for environmental services, when applicable.

Modalities 1, 2 and 3 of the Floresta+ Pilot Program should represent about 80% of the program funding allocation.

The Rural Environmental Registry (CAR) has identified important environmental assets in private areas, whose total area is higher than the legally protected areas in the country. This CAR data highlights the importance of recognizing and financially promoting the conservation of native vegetation in these particular areas, a major objective of the Floresta+ Program. Seeking ways to make the program feasible for rural producers and other beneficiaries, the team that designed the Forest + Program was inspired by similar initiatives already in place, such as the Bolsa Verde Program of the State of Minas Gerais; the Reforestation Program of the State of Espírito Santo; and the Renova Foundation's recovery bids.

4. APPLICABLE STANDARDS AND SAFEGUARDS

This Environmental and Social Management Framework (ESMF) has been prepared in support of a funding proposal to the Green Climate Fund (GCF) by the Government of Brazil for the Pilot Program for REDD-plus results-based payments (RBP). As this project is supported by UNDP in its role as a GCF Accredited Entity, the project has been screened against UNDP's Social and Environmental Standards Procedure and deemed a Moderate Risk project. As such, an Environmental and Social Management Framework has been prepared for the project.

This ESMF has been prepared to ensure that prospective actions linked to the use of proceeds, under the Floresta + program, will respect and address all the Cancun Safeguards and UNDP's Social and Environmental Standards. It follows the retroactive Environmental and Social Assessment (ESA), prepared to demonstrate compliance with the Cancun Safeguards and SES of past activities implemented under the Action Plan for Prevention and Control of Deforestation in the Amazon (PPCDAm).

UNDP SOCIAL AND ENVIRONMENTAL STANDARDS

The Floresta + pilot program will comply with UNDP's Social and Environmental Standards (SES), which came into effect in January 2015. The SES are an integral component of UNDP's quality assurance and risk management approach to programming. This includes the Social and Environmental Screening Procedure (SESP, Annex 1). The SES underpin UNDP's commitment to mainstream social and environmental sustainability in its Programs and Projects to support sustainable development. Through the GCF Accreditation Process, the SES are acknowledged to be consistent with the GCF's Environment and Social Standards. The objectives of the standards are to:

- Strengthen the social and environmental outcomes of Programs and Projects
- Avoid adverse impacts to people and the environment

- Minimize, mitigate, and manage adverse impacts where avoidance is not possible

- Strengthen UNDP and partner capacities for managing social and environmental risks

- Ensure full and effective stakeholder engagement, including through a mechanism to respond to complaints from project-affected people

The SES, outlined in **Table 1**, are an integral component of UNDP's quality assurance and risk management approach to programming. This includes the Social and Environmental Screening Procedure (see the completed SESP for the project in Annex 1 of proposal).

Table 1. Key Elements of UNDP's Social and Environmental Standards (SES). Through the GCF Accreditation Process, the SES are acknowledged to be consistent with the GCF's Environment and Social Standards

Overarching Policy	Project-Level Standards	Policy Delivery Process & Accountability
Principle 1: Human Rights **Principle 2:** Gender Equality and Women's Empowerment **Principle 3:** Environmental Sustainability	**Standard 1:** Biodiversity Conservation and Sustainable Natural Resource Management **Standard 2:** Climate Change Mitigation and Adaptation **Standard 3:** Community Health, Safety and Working Conditions **Standard 4:** Cultural Heritage **Standard 5:** Displacement and Resettlement **Standard 6:** Indigenous Peoples **Standard 7:** Pollution Prevention and Resource Efficiency	**Quality Assurance** **Screening and Categorization** **Assessment and Management** **Stakeholder Engagement** and **Response Mechanism** **Access to Information** **Monitoring, Reporting**, and **Compliance review**

The Standards are underpinned by an Accountability Mechanism with two key functions:

1) A Stakeholder Response Mechanism (SRM) that ensures individuals, peoples, and communities affected by UNDP projects have access to appropriate procedures for hearing and addressing project-related grievances; and

2) A Compliance Review process to respond to claims that UNDP is not in compliance with UNDP's social and environmental policies.

UNFCCC REDD+ SAFEGUARD REQUIREMENTS

Floresta + will also address and respect the United Nations Framework Convention on Climate Change (UNFCCC) REDD+ safeguard requirements, herein referred to as the 'Cancun Safeguards'.

Annex VIb – Environmental and Social Management Framework
Green Climate Fund Funding Proposal for REDD+ RBP Pilot Program

I

Decision 1/CP.16 establishes that, when implementing REDD+ activities[2], developing country Parties that aim to be rewarded for their efforts shall promote and support the following:

(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.

While it's considered that Cancun safeguards (f) and (g) are implicitly captured in the UNDP Social and Environmental Standards and Policies (See Demonstrating Consistency: UNDP Social and Environmental Standards and Policies and UNFCCC Cancun Safeguards, 1 June 2016; see table in Annex 1, SESP), it is important to consider these Cancun safeguards separately in the SESP and ESMF because they: 1) are not explicitly referenced in the UNDP standards; 2) are unique, assumed risks for forest and land use; and 3) should be reflected separately in the national reporting of the SIS/Summary Of Information (SOI).

THE COUNTRY APPROACH FOR REDD+ SAFEGUARDS

Extensive work has been carried out in Brazil to clarify the Cancun Safeguards in accordance with national circumstances, notably with the establishment of the Thematic Advisory Board on Safeguards (CCT-Salv) and an extensive stakeholder consultation process to reach a shared understanding and interpretations of these safeguards as relevant to the Brazilian context. This first step demonstrates the national empowerment with the safeguards implementation. Progress included establishing a working group on safeguards comprising government representatives, national research institutions and civil society. Brazil has also embarked on a

---

[2] 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+). Referred to in paragraph 70.

process to develop a Safeguard Information System (SIS) and is currently in the process of operationalizing the system, and has been the first country to develop a second SOI (System of Information) to support this process. The working group will bolster national ownership of the SIS construction process.

To support this national approach, Brazil has been organizing safeguards meetings with a unique governance structure serve as a catalyst for the implementation of the implementation of the National REDD+ Strategy by targeting the main causes of deforestation and also providing the opportunity to other relevant stakeholders take part of the process to the indicators development. At the tactical-operational level, Brazil has developed biome-wide action plans for the prevention and control of deforestation, which are, at present, the main instruments to promote integration and coordination of REDD+ initiatives. The Amazon and the Cerrado are the biomes that have action plans under implementation (PPCDAm/PPCerrado) In addition, the nine states in the Legal Amazon region have similarly structured state plans. According to the Brazilian Forest Service (SFB), the remaining forested areas cover approximately 54% of the national territory - which corresponds to 463 million hectares[3]. These areas present a huge potential for climate change mitigation, be it by actions to fight illegal deforestation resulting in emission reductions, by enhancing removals through the recovery of degraded areas, by sustainably managing forests or by conserving native vegetation.

This approach is bolstered by the legal framework that supports the Floresta + Program: Forest Code (Law 12.651 / 2012), National Policy for the Recovery of Native Vegetation -Proveg (Decree No. 8.972 / 2017), National Plan for the Recovery of Native Vegetation - Planaveg (Interministerial Ordinance No. 230, of November 14, 2017); and NDC of Brazil, further described in the section on Applicable Legal and Institutional Framework.

The country's approach to safeguards also includes a Grievance Redress Mechanism and provision for consulting and Free Prior and Informed Consent in order to respect human rights and avoid conflicts in relation to forest management and forest concessions, especially involving indigenous peoples and traditional communities which make up an important part of the targeted beneficiaries. Floresta+ will inform and provide the basis for these processes as these mechanisms are provided for at the project level. The country is therefore advancing with a safeguard infrastructure that will bolster the management and monitoring of risks identified in Annex 1.

5. APPLICABLE LEGAL AND INSTITUTIONAL FRAMEWORK

This section provides a preliminary review of the policy, legal and institutional (PLR) framework related to the potential risks and benefits of the proposed Floresta+ program and prospective activities to be implemented with the use of proceeds. The PLR framework underpins how social and environmental safeguards will be addressed and respected. The section includes (a) the

---

[3] SFB. A Summary on Brazilian Forests 2013. Available at: <http://www.florestal.gov.br/publicacoes/tecnico-cientifico/brazilian-forests- at-a-glance-2013>.

Annex VIb – Environmental and Social Management Framework
Green Climate Fund Funding Proposal for REDD+ RBP Pilot Program

I

country's applicable policy framework (e.g. national laws and regulations) relating to relevant social and environmental issues; obligations of the country directly applicable to the project under relevant international treaties and agreements; (b) likely applicable requirements under UNDP's SES; and (c) and Cancun safeguards in the Brazilian context.

This analysis will be further expanded in the ESMP when the ESIA is conducted, to compare national PLRs to the social and environmental standards as appropriate to specific Floresta+ activities and indicate institutional and operational capacities and / or weaknesses, with recommendations to address identified gaps or weaknesses where appropriate.

In addition to the safeguard provisions described in this ESMF, Brazil has embarked on a process to address and respect safeguards in the implementation the REDD+ policies and measures determined in the National REDD+ Strategy (ENREDD+). The policy, legal and institutional framework was described, and challenges associated to the implementation of the safeguards were identified in the second SOI, with a logic of recognizing them as essential for the implementation of ENREDD+ and REDD+ safeguards to overcome them. This analysis helped to inform the benefit and risk assessment conducted for this proposal.

Brazil has been a pioneer in regulatory and institutional arrangements for the monitoring and conservation of the Legal Amazon's tropical rainforests. These include:

- Lei 12.651, de 25 de maio 2012 (Forest Code) : demonstrates Brazil's sovereign commitment to the protection of native vegetation and the integrity of the climate system for the well-being of present and future generations. This law establishes administrative restrictions on the use of certain areas of native vegetation within private properties. Areas of Permanent Preservation (APP) and Legal Reserve (RL), as they are denominated in law, must be maintained by rural property owners. The proportion of RL areas depends on the region in which the rural properties are located. In the Legal Amazon, the value of RL corresponds to 80% of the property located in forest areas, 35% of that situated in savanna areas (cerrado) and 20% for grasslands. In all regions outside of the Amazon biome, the share of RL is 20%. The Forest Code also established mandatory registration on the Rural Environmental Registry (CAR) for all rural landholdings (Article. 29, Law No. 12.651/2012) (fonte: enredd)

- Decreto 8.972, de 23 de janeiro 2017: Has as its main goals articulating, protecting and promoting policies, programs and actions to recover forests and other forms of native vegetation; and promoting the environmental regularization of Brazilian rural properties, in accordance with the Forest Code. The National Policy on Climate Change (PNMC, Law No. 12.187/2009) outlines the objectives and guidelines for addressing climate change in Brazil, providing the force of law to the national voluntary commitment of reducing GHG emissions in 36.1% to 38.9% in relation to the projected emissions until 2020. With regards to specific REDD+ actions, Brazil has the commitment to achieve, in 2020, a reduction of 80% in the rate of deforestation in the Amazon biome and 40% in the Cerrado biome.

- The National Policy on Climate Change (PNMC, Law No. 12.187/2009) outlines the objectives and guidelines for addressing climate change in Brazil, providing the force of

Annex VIb – Environmental and Social Management Framework
Green Climate Fund Funding Proposal for REDD+ RBP Pilot Program

I

law to the national voluntary commitment of reducing GHG emissions in 36.1% to 38.9% in relation to the projected emissions until 2020. With regards to specific REDD**+** actions, Brazil has the commitment to achieve, in 2020, a reduction of 80% in the rate of deforestation in the Amazon biome.

A series of advances in environmental policies and law occurred in the last twenty years, including:

- Law of Environmental Crimes (Law No. 9.605/1998) and Decree 6.514, de 22 de julho de 2008

- National System of Conservation Units (Law No. 9.985/2000)

- Law on Data and Information of the National Environment System (Law no. 10.650/2003)

- the Priority Areas for Conservation, Sustainable Use and Biodiversity Benefits Sharing (Decree No. 5.902/2004 and MMA's Ordinance No. 09/2007)

- Public Forests Management Law (Law No. 11.284/2006)

- National Policy for Environmental and Territorial Management of Indigenous Lands (Decree No. 7.747/2012)

- Amazon Region Protected Areas Programme - ARPA (Decree No. 8.505/2015)

These laws and regulations constitute a legal basis for combating deforestation, arrangement on benefit-sharing mechanisms, conflict management and guidance on forest infractions. They provide guidelines for the management and development of forest and wildlife resources, including institutional mandates and responsibilities.

The objectives of the National REDD+ strategy (ENREDD+) are aligned and integrated into sectoral plans and geographically-defined plans concerned with deforestation and degradation at the state and biome-level.

At the biome-level, Brazil has developed and implemented action plans for the Amazon and the Cerrado: the Action Plan for the Prevention and Control of Deforestation in the Amazon (PPCDAm) and the Action Plan for the Prevention and Control of Deforestation and Forest Fires in the Cerrado (PPCerrado). These are the main instruments to promote integration and coordination of REDD+ initiatives across biomes, and due to their relevance, were incorporated into the PNMC. They interface with the following Sectorial Plans: Climate Change Mitigation and Adaption to Establish a Low-Carbon Economy in Agriculture (ABC Plan) and Steel Sector Emission Reductions (Charcoal Plan). Together, these plans form the pillars of the PNMC for mitigation in the LULUCF sector, contributing directly to REDD+.

At the state level, the nine states in the Legal Amazon have similarly structured plans (PPCDs). They define state-level commitments for forest conservation and recuperation of degraded areas, in alignment with the PPCDAm and the PNMC. The plans, elaborated by the State Secretary of Environment (SEMA), have the mandate to expand the scope of the actions planned at the federal level, so that actions can be tailored to the different drivers and dynamics across municipalities and other territorial units and outline sub-national legislation and regulations.

Annex VIb – Environmental and Social Management Framework
Green Climate Fund Funding Proposal for REDD+ RBP Pilot Program

I

Each plan outlines state-specific objectives and, using a logical framework, they guide the design and prioritization of actions related to prevention of deforestation and forest degradation, as well as allocation of resources and assignment of responsibilities for implementation. The PPCDs include analyses on land tenure issues, forest governance, the dynamics of deforestation and its main drivers, as well as about indigenous peoples and traditional communities living in the state's boarders. The plans are reviewed and updated periodically.

Table 2 summarizes the key national policies, laws and regulations that support the implementation of REDD+ related actions and thus are directly relevant to the project. A key element of Floresta+ will be to support monitoring frameworks and respect for social and environmental safeguards in the context of the ENREDD+ through the Safeguard Information System.

Table 2. National level laws and regulations

Laws and regulations	Description/Objective
National REDD+ Strategy (ENREDD+ - Estratégia Nacional para REDD+) 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) 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 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) 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.

Annex VIb – Environmental and Social Management Framework
Green Climate Fund Funding Proposal for REDD+ RBP Pilot Program

I

National System of Conservation Units (SNUC) Law # 9,985/2000	Contribute to preserve and restore the diversity in natural ecosystems, especially in Sustainable Development Units.
Amazon Protected Areas Program (ARPA) 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) Decree # 3,420/2000	Promote sustainable development, balancing use with conservation of the Brazilian forests.
National Biodiversity Policy 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 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 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 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.
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,

Annex VIb – Environmental and Social Management Framework
Green Climate Fund Funding Proposal for REDD+ RBP Pilot Program

I

	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.
Biodiversity Law 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) 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) 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 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.
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.
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 AGREEMENTS AND PROTOCOLS

The relevant international policy and legal framework for Brazil's REDD+ efforts are listed in Table 3.

Annex VIb – Environmental and Social Management Framework
Green Climate Fund Funding Proposal for REDD+ RBP Pilot Program

I

Table 3. Institutional Frameworks at an International level

International policies/legislation	Description/Objective
United Nations Framework Convention on Climate Change (UNFCCC), 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.
United Nations Convention on Biological Diversity (UNCBD), 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.	Promotes 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	Promotes 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	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 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	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.

Annex VIb – Environmental and Social Management Framework
Green Climate Fund Funding Proposal for REDD+ RBP Pilot Program

I

International Covenant on Economic, Social and Cultural Rights	Economic, social, and cultural rights to the Non-Self-Governing and Trust Territories and individuals
International Covenant on Civil and Political Rights	Civil and political rights of individuals
International Convention on the Elimination of All Forms of Racial Discrimination	Elimination of racial discrimination and the promotion of understanding among all races
Convention on the Rights of the Child	Rights of children
Convention on the Protection and Promotion of Diversity of Cultural Expressions	Protection and promotion of the diversity of cultural expressions
Convention on the Elimination of Discrimination Against Women	Rights of women
Convention for the Safeguarding of Intangible Cultural Heritage	Safeguard and ensure respect to the tangible cultural heritage
Convention Concerning the Protection of the World Cultural and Natural Heritage	Protection of the World Cultural and Natural Heritage
American Convention on Human Rights	Human rights
American Declaration on the Rights and Duties of Man	Human rights
American Declaration on the Rights of Indigenous Peoples	Indigenous peoples' rights
Universal Declaration of Human Rights	Human rights

ENVIRONMENTAL IMPACT ASSESSMENTS IN BRAZIL

Environmental Impact Assessments (EIA) are integral to the environmental licensing process, and they have been a main environmental management tool in Brazil. They obligatory for all activities with a potentially significant environmental impact, although the regulation is ambiguous on the definition of such activities. The EIA process includes both the development of an environmental impact report, as well as public hearings, which are organized only if deemed necessary by the environmental agency, if requested by the prosecutor's office or by more than 50 citizens. At the hearings, a non-technical summary is required to provide information about the EIA process. The process also requires that a number of government authorities are consulted, including the

Health Surveillance Secretariat and various institutions related to cultural heritage, or indigenous and traditional groups.

EIA was introduced at the Federal level through the PNMA Law in 1981 and later recognized in the Federal Constitution and in the CONAMA Resolution 01/1986-1997, which established the minimum EIA scope. Responsibility for the environmental licensing process, which includes EIA, has been divided across the three government levels in the Complementary Law 140/2011 and a subsequent presidential decree. Responsible entity depends on the project's objective, scale, location and extent of potential environmental impact.

At the state level, most agencies have their own requirements, depending on the type of activity and project. For territorial planning or other development programs and projects, which are most relevant to this ESMF, it is notable that strategic environmental assessments are not legally required at the federal level. However, it a mandatory process in some states for carrying out the ecological-economic zoning (ZEE), a rural land use management instrument introduced in 2002 that covers the entirety of the Amazon biome[4].

ENVIRONMENTAL MANAGEMENT OF RURAL PROPERTIES

The CAR (Rural Environmental Registry) is a national electronic public registry, mandatory for all rural properties, which was established by the Forest Code (Law 12.651 / 2012). The objective of this instrument is to create a registry of all rural properties in the country that integrates relevant environmental information of the properties in a database to support monitoring and combating deforestation as well as environmental and economic planning on private properties. Properties are registered through the National Rural Environmental Registry System (SICAR), which is the system responsible for issuing the Registration Receipt of the rural property. Proof of ownership of land is not necessary to register environmental information on a property in CAR. It is not a land registry system, rather a self-declaratory environmental registry.

In the CAR, data are recorded on the Permanent Preservation Areas (APPs), Legal Reserves (RLs) and areas of restricted use within the property, which are defined as follows:

- APP: area that intended to preserve waterways, soil, and gallery/riparian forests; they cannot be used for economic exploitation

- RL: rea covered by natural vegetation that can be exploited in a sustainable way, within the limits established by the biome where the property is located. In the legal Amazon, real estate must have a total of 80% RL in forest areas and 35% in cerrado areas. In other biomes, this percentage is 20%.

- Area of restricted use: includes areas of wetlands, marshy plains, areas with slopes between 25º and 45º and areas of the coastal zone.

Rural producers are legally obliged to recover illegally deforested areas in accordance with the law and they have the responsibility to settle any liabilities that exist with their Permanent

---

[4] PNIA 2012: Painel Nacional de Indicadores Ambientais. Referencial teórico, composição e síntese dos indicadores

Preservation Areas (APP), Legal Reserve (RL) and areas of restricted. If there is a need for forest restoration, the land owner can join the Program of Environmental Regulation (PRA), which can offer some benefits such as a decrease in the APP area to be recovered; possibility of offsetting RL in other producers' real estate; restoration of RL with intercalated planting of native and exotic species; suspension of administrative and criminal proceedings; and maintenance of previously established agro-forestry activities (up to July 22, 2008). Producers may also gain access to agricultural credit and government incentive programs for production and marketing. Environmental regularization is understood to be essential for Brazil to achieve the objectives of reducing deforestation and restoration of degraded areas.

INDIGENOUS PEOPLES AND ENVIRONMENTAL MANAGEMENT

Indigenous Territories, accounting for almost 23% of the Amazon, have a fundamental contribution to REDD+ endeavors in Brazil. The environmental importance of these lands was recognized by Decree No. 7747 of June 5, 2012, establishing the National Policy on Land Management and Environmental Indigenous Lands (PNGATI) by a collation including 150 indigenous groups and other institutions to endorse indigenous-led conservation, natural resource management and environmental restoration. This is the main guiding policy for addressing and respecting safeguards relevant to Indigenous peoples and their territories, so it will contribute to the implementation of the Floresta+ pilot program and continued ENREDD+ activities.

The Policy aims to: "...ensure and promote the protection, recovery, conservation and sustainable use of natural resources in indigenous lands and territories, ensuring the integrity of indigenous heritage, improving the quality of life and the full conditions of physical and cultural reproduction of current and future generations of indigenous peoples, respecting their social and cultural autonomy under the law."

A key instrument to support the PNGATI are the Territorial and Environmental Management of Indigenous Lands (PGTAs). The plan's objectives reflect the specific visions Indigenous Peoples' for their lands, covering three main priorities: 1) Territorial control and protection, including indigenous-led surveillance and monitoring practices 2) Sustainable management of natural resources for the promotion of food security and income generation, as well as conservation, restoration and sustainable land use and 3) Capacity building and institutional strengthening for local organizations. Autonomy and self-determination of indigenous peoples underpin participatory decision making and the establishment of territorial planning, which contributes to strengthening indigenous territorial protection and control.

The elaboration of the PGTAs generally follows some guidelines and stages: mobilization of the community, technical advisors and partner institutions; socio-environmental and territorial diagnostics; and definitions of the use of natural resources and actions necessary for their implementation. PGTAs have two methodological tools, operating in consecutive steps, that are directly applicable to environmental initiatives: 1) "ethno-mapping": participatory mapping of areas of environmental, socio-cultural and productive relevance for indigenous peoples, based on indigenous knowledge and knowledge; and 2) "ethno-zoning": participatory planning

Annex VIb – Environmental and Social Management Framework
Green Climate Fund Funding Proposal for REDD+ RBP Pilot Program

I

instrument that aims to categorize areas of socio-cultural and productive environmental relevance for indigenous peoples, developed from participatory mapping.

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

Since 2014, some indigenous peoples and traditional peoples and communities in Brazil have been developing their own consultation protocols:

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)

According to current legislation (CF / 88, Law 6001/73, Decree No. 1775/96), indigenous lands can be classified in the following categories:

- Traditionally Occupied Indigenous Lands: The indigenous lands referred to in art. 231 of the Federal Constitution of 1988, a right originating from indigenous peoples, whose demarcation process is regulated by Decree 1775/96.

- Indigenous Reserves: Land donated by third parties, acquired or expropriated by the Union, which are destined to the permanent possession of indigenous peoples. They are lands that also belong to the patrimony of the Union, but are not to be confused with the lands of traditional occupation. Some indigenous lands, however, have been reserved by member states, especially during the first half of the twentieth century, which are recognized as traditional occupation.

- Domain lands: These are lands owned by indigenous communities, under any form of acquisition of the domain, under the terms of civil law.

- Restricted: These are areas prohibited by FUNAI for the protection of isolated indigenous peoples and groups, with the establishment of restriction of entry and transit of third parties in the area. The interdiction of the area can be carried out concomitantly or not with the demarcation process, disciplined by Decree 1775/96.

According to the current Federal Constitution, indigenous peoples have the original right and exclusive usufruct over the lands they traditionally occupy. The phases of the demarcation procedure of the traditionally occupied lands, described below, are defined by a Presidential Decree and consist of:

- Under study: anthropological, historical, land, cartographic and environmental studies are in the process of being carried out, which form the basis for identification and delimitation of indigenous lands

- Delimited: Lands with studies approved by the FUNAI and that are in the phase of administrative analysis for the expedition of the Declaratory Decree by the Ministry of Justice to administer traditional indigenous ownership

- Declared: Land that has been issued the Declaratory Decree by the Minister of Justice and is authorized to be demarcated, with the materialization of landmarks and georeferencing.

- Approved: Lands that have their limits materialized and georeferenced, whose administrative demarcation was approved by the Presidential decree of homologation.

- Regulated: Land that, after the decree of homologation, have been registered in a Registry Office in the name of the Union and in the Secretariat of the Patrimony of the Union.

- Restricted Areas: Restricted areas of use and entry of third parties, for the protection of isolated indigenous peoples.

TRADITIONAL COMMUNITIES AND ENVIRONMENTAL MANAGEMENT

With their distinct, and diverse cultural, economic, and historical ties to the land and forest, the inclusion of traditional peoples and communities is also at essential for REDD+ efforts. Traditional populations were formally recognized by the Federal Government in the National Policy for the Sustainable Development of Traditional Peoples and Communities (PNPCT), which was instituted in 2007 through Decree No. 6,040 . The Federal Policy seeks to promote the sustainable development of Traditional Peoples and Communities, with an emphasis on strengthening and guaranteeing their rights across territorial, social, environmental, economic and cultural spheres, as well as on their recognition, with respect and appreciation for their identity, their forms of organization and their institutions. This is the main guiding policy for addressing and respecting safeguards relevant to traditional peoples and communities' territories and will contribute to the implementation of the Floresta+ pilot program and continued ENREDD+ activities.

The actions and activities implemented under the policy occur in an intersectoral and integrated manner, which are coordinated by the National Commission for the Sustainable Development of Traditional Peoples and Communities (CNPCT), established by the Decree of December 27, 2004 and reformulated by the Decree of July 13, 2006. The Secretariat for Policies for the Promotion of Equality (SEPPIR), through the Secretariat for Policies for Traditional Communities (SECOMT), is responsible for implementing the Policy aimed at specific groups: notably traditional peoples

Annex VIb – Environmental and Social Management Framework
Green Climate Fund Funding Proposal for REDD+ RBP Pilot Program

I

and communities with African diaspora matrix and quilombolas who are relevant to the Amazonian region. Since 2007, the Ministry of Social Development (MDS) has been the chair of the CNPCT.

The main objective of the CNPCT is to "co-ordinate the joint action of representatives of the Direct Public Administration and members of the non-governmental sector for the social, economic, cultural and environmental strengthening of traditional peoples and communities". Its main tasks are to propose principles and guidelines for government policies related to the sustainable development of traditional peoples and communities, as well as to coordinate and monitor the implementation of the National Policy for the Sustainable Development of Traditional Peoples and Communities.

Although public policies aimed at Traditional Peoples and Communities are recent within Brazilian national framework, the groundwork for these endeavors was initially framed by Convention 169 of the International Labor Organization (ILO), which Brazil ratified in 1989 and deals with the rights of indigenous and tribal peoples in the world. The Federal Constitution/88, which sought to advance and affirm the universal rights of Brazilians, also recognized the specific rights of some traditional groups (quilombo communities) as well as in indigenous peoples, notably the right to enjoy territorial rights and cultural activities. In addition, the Constitution establishes the protection of "manifestations of indigenous, Afro-Brazilian and other groups participating in the national civilizational process" (Art. 215, 1o), as well as "diversity and integrity of the genetic patrimony of the country "(Article 225, 1o, II).

Regulated by Decree 7.572/2011, the Bolsa Verde is part of the Brazil without Poverty Program (*Brasil Sem Miséria*) and focuses on sustainable use of natural resources of communities that reside in Extractive Reserves (RESEX), National Forests (FLONAs), federal Sustainable Development Reserves, and Environmentally Differentiated Settlements of the Agrarian Reform. Traditional communities such as river-side communities (*ribeirinhos*), extractivists, indigenous peoples, *quilombolas* and others may also benefit from this program, which is a form of recognizing these communities for the environmental services they conserve. Since its onset, 60,239 families have been enrolled in the Green Stipend program, according to June 2014 data. Beneficiary families live on 68 federal protected areas managed by the Chico Mendes Institute for Biodiversity Conservation – ICMBio (19,659 families), 830 resettlement projects of the National Institute for Agrarian Reform – INCRA (35,348 families), and 63 municipalities with areas managed by the Secretariat of Federal Property – SPU (5,232 families).

6. POTENTIAL SOCIAL AND ENVIRONMENTAL IMPACTS AND PROCEDURES FOR ADDRESSING THEM

As this project is supported by UNDP in its role as a GCF Accredited Entity, the project has been screened against UNDP's Social and Environmental Standards, using the Social and Environmental Screening Procedure. Discussions on the impact assessment are provided in the Social and Environmental Screening Template (SESP, Annex 1), which provide a basis for a more detailed discussion in this ESMF.

Annex VIb – Environmental and Social Management Framework
Green Climate Fund Funding Proposal for REDD+ RBP Pilot Program

I

SOCIAL AND ENVIRONMENTAL IMPACTS

As a Moderate Risk project, further and ongoing impact assessment and management measures are needed for effective risk management throughout project implementation. Key management measures are fully embedded in the project approach, also recognizing since it is a project with close relation with public policies implemented by the Brazilian policies, some measures are already/will be undertaken in the scope of implementation of such policies. Additionally, building on the analyses, stakeholder engagement, and environmental and social assessment and management planning conducting during project design, an environmental and social impact assessment (ESIA) will be conducted at the beginning of the project to better guide the establishment of the criteria for the selection of priority areas in order to avoid or mitigate negative impacts, resulting in an ESMP and associated management plans.

Table 4 below summarizes the key potential social and environmental impacts identified through application of UNDP's Social and Environmental Screening Procedure (SESP) as well as the management measures and the institutional arrangement for their implementation. This table will serve as the basis for further assessment to be undertaken during the Environmental and Social Impact Assessment (ESIA). References to specific, thematic management plans (stakeholder engagement, indigenous people's biodiversity, and livelihood action plans, etc.) are included in the mitigation measures. When applicable, these plans will be developed as per guidelines in the section: Assessment and management of social and environmental risks and impacts. Indicative outlines are included for all potentially applicable management plans in the annexes.

Table 4. Risk Matix and management measures

Risk Description	Comments	Management Measures
Risk 1: Adverse impacts on the enjoyment of **human rights** of affected populations through unfair or discriminatory impacts and exclusion, particularly of marginalized groups or people living in poverty because duty-bearers might not have the capacity to meet their obligations or because rights-holders might not have the capacity to claim their rights. There are potential risks of excluding marginalized groups associated to the proposed beneficiary selection mechanism, which uses the Rural Environmental Registry (CAR) as the main program entry point. There is a risk of unfair benefit-distribution when payments and compensation amounts are tailored to and target deforestation "hotspots" over large expanses of intact forest.	There is a risk that indigenous and traditional communities may not have full understanding of their rights, may not be given sufficient notice and information, or may not have the capacity to claim their rights. While significant progress has been made in Brazil in terms of respect and promotion of human rights, particularly those in regards to indigenous lands and self-determination, the government may not have the capacity to effectively comply with these obligations, given the extremely high cultural, linguistic, and livelihood diversity of traditional and indigenous communities, as well as the extensive geographic reach of the project, which will be implemented throughout the Legal Amazon. In particular, this risk will vary considerably from state to state, given their different capacities to consult with stakeholders and their history with Indigenous People, which may generate distrust, conflict and delays that may undermine project objectives. To be eligible for payments, beneficiaries must have land registered through the CAR, which could create a biased beneficiary selection process and unfairly benefit those who are already registered, as well as those for whom registration is accessible (not spatially isolated, able to hire someone to demarcate land, access to computer/internet). Currently, wealthy, individual owners of large land areas are disproportionately represented in the land registry. There is a risk of excluding those who have not yet registered their land or those who are facing institutional or practical challenges in registering. For small producers, and in particular those with farms in *assentamentos*, land regularization is overseen by INCRA, an institution with limited capacity and resources to effectively carry out legal land titling in these areas.	There are substantial legal and policy frameworks in place to protect human rights, as well as the rights of IPs to their territories of traditional use (See PLR analysis, conducted as part of the ESA). To identify marginal, potentially at-risk populations, and in particular, potential human rights impacts, a full ESIA is planned as part of the launch of the project and design of Floresta+. Moreover, the project will be implemented using a phased approach to ensure that technical assistance and capacity building is provided to duty-bearers, both in terms of supporting ongoing land titling processes, responding to land conflicts in a fair and equitable manner. In particular, attention will be given to leveling out differences among states in terms of ability to carry out their human rights obligations, and support the land regularization of IPs and traditional communities. Considering the different modalities of Floresta + and diverse groups of beneficiaries, modality-specific plans will be developed so that management and mitigation measures account for the needs and interests of marginalized groups, with particular attention to: (1) the status of their land and the resource rights of different beneficiaries in the project areas; (2) the benefit sharing structure for different beneficiary groups and payment mechanisms of different project modalities; (3) the engagement of women and other minority groups in decision-making and participation processes around activities, including the project design, implementation and management. The ESMP will be updated to detail which sites will require specific plans and overall avoidance and management measures to be put in place across the project. In particular, comprehensive stakeholder engagement plans, indigenous (and traditional) peoples plans, and gender action plans will outline key management measures to prevent potential human rights impacts for vulnerable and marginalized groups. They will define procedures for establishing a relationship of trust and dialogue through principles of accountability and rule of law, and ensuring participation and inclusion, and non-discrimination. Marginalized and vulnerable groups will be engaged

Additionally, Indigenous Peoples and Traditional Communities whose collective land rights are not secure, are more likely to have legal disputes about land demarcation or about overlapping and contradictory land claims (through 'grilagem verde', for example). Although the granting of Indigenous Land titles is an ongoing process, and in some areas local development plans for these territories (e.g., PGTAs) exist and can be used as the entry point for voluntary program participation, huge tracts of land targeted by the program have yet to titled, and the resources for the process of creating PGTAs is very limited. For the first years of the role out of the pilot program, there remains a risk exclusion, given that the majority of these groups still do not have their territories regularized, or do not have development plans in place – although this varies from state to state.

There is also a risk of unfair benefit-distribution when payments and compensation amounts are tailored to and target deforestation "hotspots" over large expanses of intact forest. In general, wealthy landowners reside in priority areas, many of which have already contributed to deforestation in the past, and have been granted amnesty under the revision of Brazil's Forest Code in 2012. A majority of Indigenous people and Traditional communities reside in remote regions that may not currently be threatened by deforestation, so there is a risk of disproportionately benefiting one group over the other.

throughout project implementation, as well as all impact assessment and management planning activities, including defining how they want to be engaged. Monitoring and evaluation of engagement processes will be conducted by a third party or external body, involving a variety of stakeholders, including NGOs, CSOs, and/or community representatives.

With specific reference to indigenous people and traditional communities, project activities occurring on their lands will be implemented on a voluntary basis, after adequate information is provided on the implications of adhesion to the program. The elaboration of the local development plans in indigenous territories (PGTA) and of management plans for sustainable use reserves (RESEX, FLONA) will serve as an entry point to the program. In cases where these plans do not yet exist, measures will be taken to design and implement these plans in a participatory manner, with self- selected representatives of indigenous and traditional communities leading the process.

An Indigenous and Traditional Peoples working group will be created that will help inform the design of Floresta+ modalities targeting IPs and traditional communities, as well as to inform the design of the stakeholder consultation process. FPIC procedures, focused on providing information and training on the Floresta+ will guide stakeholder engagement when there are potential impacts on their livelihoods and cultural heritage. Likewise, broadened participation of representatives of indigenous groups and traditional populations in the local, regional and national REDD-related platforms will continue to be promoted in the design, implementation and monitoring of project activities and indicators for the SISREDD+. Lessons learned from engagement with stakeholders in previous REDD-related platforms, at the national and state-level, will be taken into account to continue to strengthen the capacities of the government at all levels to comply with its obligations (e.g., SISA in Acre). The National Policy for Territorial and Environmental Management of Indigenous Lands (PNGATI) and The National Council of Traditional Peoples and Communities – CNPCT, are the main guiding policies for addressing and respecting the knowledge and rights of indigenous and traditional peoples and communities' territories.

Finally, appropriate grievance redress mechanisms (GRM) that provide channels for concerned stakeholders will be set at the program level to

| | | ensure accessibility for marginalized populations. There is currently a national system in place to register and resolve land disputes related to the CAR, as well as ombudsman offices (*ouvidoria*) for different government bodies at the federal and state level, including the ministries of environment. Additionally, the work of Brazil's Pastoral Land Commission (CPT) covers the entire national territory and is performed independently, offering support to small farmers and the landless, addressing problems of unjust land distribution and violence. These processes/administrative bodies will be supported throughout the rollout of the Floresta+ pilot program.

For project-level complaints, cconflict management and mitigation measures are addressed through the GRM, which will be adapted to specific sites, considering (1) language and literacy of stakeholders; (2) logistical feasibility of reporting structure; (3) power relations between stakeholders and grievance officers along gender and ethno-cultural lines. This alignment with the sub-national and national level mechanisms already in place and/or with a new system for REDD-related grievances. Appropriate capacity building and technical training will be provided to coordinate and tailor these mechanisms at all levels, with particular attention to the state-level where the preparedness for REDD+ varies considerably (e.g., Acre and Mato Grosso are considerably advanced, and hence a phased approach will be adopted). Advisory committees that include stakeholders and representatives of IP and TC, following Acre's SISA example, will monitor complaints and response mechanisms. Finally, the UNDP Stakeholder Response Mechanism (SRM), provides an additional, formal avenue for stakeholders to engage with UNDP when they believe that a UNDP project may have adverse social or environmental impacts on them; they have raised their concerns with Implementing Partners (including applicable project, national or other GRMs) and/or with UNDP through standard channels for stakeholder consultation and engagement; and they have not been satisfied with the response. |
| **Risk 2:** Adverse impacts on gender equality and/or the situation of women and girls. The Project could potentially reproduce discrimination against women | Payments and other benefits (e.g., extension services, credit, productive input etc.) may favor head of households (men), especially if they are more highly represented among landowners officially registered to CAR. | A gender-responsive ESIA will further examine these risks, supported by a comprehensive gender analysis to assess relevant gender dynamics and inequalities with attention to the differences across the highly diverse groups of beneficiaries. It will also focus on the collection of additional |

based on gender, especially regarding participation in the design and implementation or access to opportunities and benefits. The Project could potentially limit women's ability to use, develop and protect natural resources, taking into account different roles and positions of women and men in accessing benefits.	Similarly, in community-based payment schemes where a leader or representative of the group receives payment on behalf of others, there is a risk of inequitable benefit sharing among community members, including women.	baseline data on gender (e.g. on land tenure, women's involvement in decision-making at local/community levels, etc.). Additionally, the stakeholder consultation and engagement plans will ensure that efforts are designed and undertaken using a gender approach and equitably include representatives from more marginalized groups, including women, youth, single-family households. The gender action plan (Annex 6) will be reviewed and updated according to the ESIA recommendations (and gender-specific consultations) to mitigate risks of reproducing or exacerbating gender inequalities. This includes ensuring that project entry points for beneficiaries and corresponding incentives for environmental services (e.g., compensation schemes to individual, community representative, or other) are adequately assessed and designed. The plan will include relevant baselines and indicators to be monitored, disaggregated by gender and by group of beneficiaries. Finally, prioritizing payments to women, particularly female-headed households drawing on the lessons of 'Bolsa Familia', by enhancing their access to credit and productive resources, capacity building and training, or other such measures to mitigate this risk will be included in the project design and operations manual. The design will be validated by stakeholders, including women, and a gender specialist will support mainstreaming within the project. Community-based payment schemes will build on traditional and customary governance structures, while integrating measures to ensure that benefits are shared among community members, especially women, youth and elders. Consultations and participatory design of project activities will identify appropriate benefit sharing mechanisms that will mitigate risks of inequalities. Finally, appropriate grievance procedures/mechanisms to provide channels for concerned stakeholders will be set to ensure accessibility for marginalized populations, including women (See Risk 1 for further details). Should any complaints or disputes arise regarding project operations and benefit sharing that unfairly impact women, this mechanism will ensure timely responses and appropriate resolution.

Risk 3: Loss of access to natural resources, especially land and non-timber forest products.

Project activities could create tensions or exacerbate conflicts among communities and individuals regarding land use and property rights claims. In some cases, the program could engender land speculation and drive land grabbing.

The Project could potentially restrict availability, quality of and access to resources, in particular to marginalized groups, regarding farming, grazing, hunting or collecting of forest products. | Project activities that restrict access to productive resources (especially land and forests) could have potentially negative impacts on individuals and communities that are highly dependent on natural resources for their livelihoods. This applies to all beneficiaries but in particular, Indigenous Peoples and Traditional Communities, who rely on forests for food, medicine, construction materials, cultural services, etc. (See also Risk 6, economic displacement). This risk could also potentially affect men and women differently, given their differentiated responsibilities and relationships to forests and land use (See also Risk 2).

There is also a risk that activities related to environmental regularization through the CAR program could bring about conflicts between land users and disputed claims to land. This could adversely impact marginalized populations who may face social and cultural barriers in claiming their rights through CAR, or who are vulnerable to land grabbing (such as is occurring through 'grilagem verde') (See Risk 1 for further details). | The project will carry out upgrades to the SICAR for registering and monitoring processes that will strengthening land tenure security in the Amazon, measures will be taken to ensure that environmental registration is accessible to marginalized groups, including women, poor family farmers, indigenous people and traditional communities.

Potential risks associated to land rights issues and beneficiary selection through the CAR will be further assessed in the full ESIA in line with UNDP's SES. The assessment will take into account land issues associate to the different Floresta+ modalities, as well as the varied land tenure security concerns of different beneficiary groups, with special attention to the diversity *within* groups (e.g., gender, ethnicity, etc)

To address the potential for exacerbated conflicts, a dispute resolution mechanism is integrated as part of the CAR and the project-level and federal-level GRM will be tailored to address land rights issues (See Risk 1 for further details)

Regarding restricted access to resources, the Brazilian approach to Cancun safeguards clear states against any kind of restriction to the sustainable use of their own territory. A full ESIA will be carried out to determine if and where access restriction is a risk and, when it is unavoidable, the project will ensure affected stakeholders fully participate in the design, implementation, M&E of management plans. If livelihoods are natural resource based and access restrictions apply, the project will allow continued access or provide access to alternative resources with equivalent livelihood-earning potential and accessibility. Where common property is affected, benefits and compensation may be collective, as determined through the FPIC process.

Floresta+ activities will be designed and implemented in coordination with existing policies and instruments (e.g., management plans), while supporting the operationalization of SISREDD+ to avoid any potentially negative impacts on livelihoods, especially of forest dependent individuals and communities. Attention will be given to clearly defining restricted activities related to natural resources and ecosystem services, to be decided in a participatory manner with beneficiaries. Where sustainable production and extraction practices are included in the design, both |

		biodiversity and culturally significant livelihoods will be considered following UNDP SES. These activities will be tailored to the needs of different beneficiary groups, and their rights will be fully and effectively communicated, while also providing adequate training and support for alternative livelihood activities that are compatible with forest conservation and the maintenance of ecosystem services. See also mitigation measures outlined for Risk 6 on economic displacement.
Risk 4: Project activities could have indirect negative impact on natural habitats or Protected Areas. Risk of introducing invasive species, or posing a risk to endangered species. The project activities will take place within or adjacent to critical habitats and/or environmentally sensitive areas, including legally protected areas and indigenous people's lands. While there is a risk that beneficiaries displace illegal activities to protected areas or unclaimed/non-regularized land.	Project activities involving the restoration of forest cover on degraded land or sustainable production practices could affect biodiversity, water and soil quality, and other ecosystem services if invasive/non-native species are introduced, or mono-cropping tree plantations are implemented. Likewise, displacement of livelihood activities through restricted land use could lead the intensification of harvesting NTFP and hunting activities, or illegal logging and agriculture and in adjacent protected areas, adversely impacting biodiversity or endangered species (See also Risk 6 on economic displacement and Risk 8 on emissions displacement).	The ESIA will further assess this risk in each of the four Floresta+ modalities and to determine how UNDP's social and environmental standards apply to all these activities. Any risks identified will be specified in the updated version of the ESMP and mitigation measures identified. Biodiversity aspects will be emphasized in risk assessments and translated into the corresponding biodiversity action plans. Floresta+ is designed to provide incentives for the protection and restoration of environmental services in a holistic manner, while management measures will be taken to avoid adverse impacts these services, including biodiversity, carbon sequestration, as well as those of relevance to affected communities. If avoidance is not possible, the project will aim to maintain value and functionality of priority ecosystem services. Planning and implementation will prioritize the protection of ecologically sensitive areas using practices that mitigate risks to biodiversity, especially endangered and culturally important species. Each site will have documented baseline conditions that need to be understood and monitored. These plans will be aligned with UNDP SES requirements on Biodiversity and following recommendations from the UNDP Guidance Note on SES 1: Biodiversity Conservation and Natural Resource Management. They will also support the strengthen the processes for monitoring of biodiversity indicators, as decided through the participatory process of SISREDD+ indicators, as guided by the meetings of the CCT-Safeguards advisory board. Furthermore, rigorous and well-validated national monitoring systems are in place to track illegal activities in protected areas to be included as part of Brazil's SISREDD+. Bottom-up, participatory monitoring of biodiversity will also be implemented as a key mitigation measure, particularly in the case

		on indigenous and traditional peoples, which will encourage ownership and valuation of traditional knowledge. See also mitigation measures for Risk 8 on displacement. To avoid the displacement of activities (hunting, NTFP extraction) in adjacent protected areas, the design of Floresta+ projects and modality-specific management plans will be coordinated with existing territorial land use and development plans and with the full participation of stakeholders. This will ensure that beneficiaries have adequate and appropriate livelihood opportunities to compensate for any displacement due to forest conservation. Beneficiaries will also be fully informed of restricted activities, which will be clearly defined before project implementation in consultation with stakeholders. See also mitigation measures outlined for Risk 6 and 7 that will stimulate sustainable local livelihoods, while enhancing and protecting ecosystem services, including biodiversity and cultural services. In the design of project activities, measures will be taken to avoid the introduction or utilization of invasive and non-native species, whether accidental or intentional, unless carried out per existing regulatory framework and subject to risk assessment. The choice of species for any plantation establishment, with avoidance/prohibition of any monoculture plantations, will be carefully considered. Areas that have begun to significantly regenerate will need to be assessed against high carbon and high conservation value thresholds before these areas are earmarked for plantations establishment. The Safeguards officer and project eligibility criteria will ensure that areas targeted for tree plantations were not degraded or deforested in anticipation of payments and other benefits, by tying eligibility to prerequisite requirements, such as time since forest clearing. The ESIA will assess this national [guidelines/PLR] against UNDP SES to ensure consistency and gap-filling measures are included in its application as needed.
Risk 5: Project activities could trigger Natural habitat conversion or ecosystem degradation.	The project may drive or introduce the use of pesticides and fertilizers, especially if forest conservation leads to intensification of agricultural practices on already cleared	The ESIA will further assess this risk in each of the four Floresta+ modalities to determine how UNDP's social and environmental standards apply to all proposed activities, and possible shifts in agricultural or livelihood

Project activities could directly or indirectly lead to the (increased) use of pesticides and chemical fertilizers, with potentially adverse effects on biodiversity, soil and water quality and other non-carbon related ecosystem services.	land or if tree plantations require inputs that could potentially adversely impact the ecosystem and the services it provides.	practices. Any risks identified will be specified in updated versions of the ESMP and mitigation measures identified. Management measures will be included in updated and revised versions of the ESMP, in which baseline conditions will be established and procedures for monitoring will be outlined. Modality-specific plans and, when applicable, site-specific plans will be developed following UNDP guidelines to mitigate degradation of critical natural habitats and ensure no net loss of biodiversity or ecosystem services.
Risk 6: Risk of economic displacement and inadequate compensation	There is a risk of economic displacement when project activities restrict access to and the use of productive resources such as land and forests (See also Risk 3). Impacts may be especially acute for individuals and communities that are highly dependent on natural resources for their livelihoods. This applies to all beneficiaries but in particular, men and women may be affected differently, given their differentiated responsibilities and relationships to forests and land use (See Risk 2). Likewise, indigenous and traditional communities relate to and depend on the forest in ways that are practically and culturally distinct from family farmers and other land users in the Amazon. As such, restricted access to these resources could potentially have adverse effects on their livelihoods and cultural heritage (See Risk 7). For activities that involve the promotion of sustainable rural livelihoods to address issues of economic displacement, there is a risk that beneficiaries will not receive adequate training or other resources that enable transitions and support alternative income generation that are needed to help beneficiaries maintain forest cover. Additionally, there is a risk of incentivizing rural out-migration or land abandonment if payments are tied to a bank-based distribution system that are inaccessible to remote communities or individuals without bank accounts. Drawing on experiences with Bolsa Familia implementation	A full ESIA will be carried out to determine if and where access restriction is a risk and, when it is unavoidable, the project will ensure affected stakeholders fully participate in the design, implementation, M&E of management plans. If livelihoods are natural resource based and access restrictions apply, the project will allow continued access or provide access to alternative resources with equivalent livelihood-earning potential and accessibility. Where common property is affected, benefits and compensation may be collective. To mitigate any negative impacts associated to economic displacement, the project will include mechanisms that support rural, sustainable production practices and alternative livelihood opportunities for family farmers, IPs, and TCs. During the design phase, consultations will take with different groups of beneficiaries in order to inform the appropriate level of incentives/ payments to mitigate this risk. Modality-specific management plans and livelihood action plans, that are tailored to the different Floresta+ modalities and different groups of beneficiaries will be developed, when applicable. These will be aligned with existing territorial plans that have been elaborated through stakeholder consultations or self-determined, community-led initiatives (e.g., PGTAs). The ESMP and specific plans will pay particular attention to the heterogeneity within these groups, including the different linguistic, cultural and land use practices of indigenous and traditional peoples and family farmers that vary considerably across the Amazon. Measures to support sustainable livelihood options will be integrated into these plans, outlining targets for capacity building, credit, and other productive resources for beneficiaries as additional financial incentives.

in Brazil, rural households may move to urban areas to secure payments. Finally, there is a risk of dependence of REDD payments rather than traditional livelihood practices and food systems, depending on the compensation amount, that could incentivize out-migration to urban areas or loss of cultural heritage (See also Risk 7).	The amount of payment per hectare will be defined in norms to be published by the Floresta+ Program Management Committee. Direct payments will be calculated based on the area of native vegetation remnants and environmental liabilities to be recovered, in hectares, according to the data in the National Rural Environmental Registry System (CAR). The project will uphold the definition of sustainable extraction levels of a living natural resource, ensuring sustainable management that enables people and communities, including indigenous peoples, to provide for their social, economic, and cultural well-being while also sustaining the potential for those resources to meet the needs of future generations. Special measures to address inequalities for women and other minorities will be included in the gender action and the indigenous people's plans (See Mitigation Measures in Risks 2 and 7). Financial mechanisms will be set up through the project to support the required for adapting land uses and short and medium term mechanisms to compensate opportunity costs during the transition. These mechanisms will be adapted different groups of stakeholders inclusive of small-scale farmers and indigenous/traditional communities. The project will determine any actions to avoid adverse economic displacement, and a set of parameters will be defined to monitor and report. Furthermore, procedures will be put in place to ensure that there is participatory design and implementation of land use planning with communities, to avoid restricting or economically displacing livelihood activities of IPs, TCs and family farmers. The stakeholder engagement plan will include specific actions to engage with marginalized groups, so that issues of food insecurity and access to clean water that disproportionately impact women or indigenous peoples are considered. Regarding restricted access to resources, Floresta+ activities will be designed and implemented in coordination with existing management plans to avoid any potentially negative impacts on livelihoods. For IPs and TCs, these plans will be developed or be revised/updated with the full participation of communities. For family farmers, Floresta+ activities will be coordinated with existing regional land use and development plans (e.g. ZEE) that address strategies for alternative and sustainable rural

<table>
<tr>
<td></td>
<td></td>
<td>employment and income.

The ESIA will further assess risks associated to compensation mechanisms for different beneficiary groups, and will be evaluated in consultation with targeted beneficiaries to identify barriers and risks specific to their geographic location and cultural and social needs, priorities, and concerns. The compensation mechanism and distribution systems will be modified accordingly to ensure accessibility to remote and marginalized groups, while procedures will be implemented to monitor the impacts of payments on livelihoods, as a community-led or participatory procedure when applicable.</td>
</tr>
<tr>
<td>**Risk 7:** The project could potentially adversely affect the cultural heritage of traditional and indigenous peoples, in its intangible form, including the knowledge, practices, technologies, innovations, and institutions related to traditional ways of life.</td>
<td>There is a risk that payments made directly to indigenous and traditional communities will trigger a shift from a subsistence economy to a cash-based, market-integrated economy, which could lead to the loss of traditional livelihood practices (especially those related to the sustainable extraction of forest products, fishing, hunting, etc) and degradation of traditional social structures and knowledge systems that support the health and well-being of these communities.</td>
<td>Currently, some consideration of traditional knowledge and practices in the monitoring and management of various safeguards is incorporated in the participatory process for creating socio-environmental indicators for the SISREDD+. Cultural heritage is also explicitly considered in the creation of PGTAs, the voluntary process of creating development plans based on IP priorities, epistemology and worldviews.

The ESIA will further identify these potential risks on traditional forms of knowledge and practices, further taking into consideration the diversity of Indigenous and traditional cultures in the Legal Amazon that give rise to unique knowledge, practices and social structures among Brazil's varied IPs.

Culturally-sensitive consultations will be carried out for the participatory design and management planning of project activities, to ensure that the needs, concerns, and priorities of these diverse groups are accounted for and integrated to avoid any adverse impacts on their cultural heritage.

In modality-specific indigenous peoples plans, procedures to monitor and report the impacts of compensation and benefits (monetary and non-monetary) on traditional knowledge, practices, and social structures will be defined and carried out with the full participation of affected communities. This will include community-led, local reporting and monitoring of illegal activities (poaching, logging), where applicable and appropriate, as decided through community consultations. These IP plans will link to the PGTAs, where these plans exist, and further support the elaboration of such plans where they have yet to be completed.</td>
</tr>
</table>

		Finally, a GRM will be developed, ensuring that this is accessible and transparent (See further details in mitigation measures for Risk 1).
Risk 8: Displacement of emissions to other sectors, biomes or countries.	There is a risk that actions to reduce emissions for deforestation and forest degradation provoke displacement of activities to other critical biomes in Brazil, such as the *Cerrado* or *Caatinga*. Likewise, transnational leakage is a risk, particularly in areas that border countries with significantly lower capacities to monitor and enforce deforestation, such as Peru or Bolivia. Finally, payments for restricting activities in designated forested areas could be re-invested to promote land-intensive commodity sectors (See risk 5) or support non-forestry sector activities (e.g., artisanal mining, industrial production) within and outside of the Brazilian Amazon that generate GHG emissions and could offset progress made by REDD+ activities	Brazil has demonstrated a strong commitment to continuous improvement of its FREL estimates and monitoring programs. While the scope of the FREL and monitoring has focused on critical areas in the Amazon, scaling up of the implementation of REDD+ from the biome to the national level, in a stepwise manner is underway, to help track and manage any potential for displaced emissions within Brazil's borders. This includes consistent, reliable, credible, accurate, transparent and verifiable monitoring of deforestation and degradation, such as PRODES, which is integrated into the SISREDD+. In 2015, to improve environmental monitoring at the national level, the Brazilian Biomes Environmental Monitoring Program was established and is aligned with the objectives of the ENREDD+ to deliver the enhancement and improvement of systems and monitoring protocols – particularly for the extra-Amazonian biomes – necessary for achieving the desired national scale. Additional actions include the implementation of the PPCerrado and the engagement of stakeholders beyond the Amazon in the ENREDD+, the establishment of the Rural Environmental Registry (CAR) and the creation of a national forest monitoring system (NFMS). These initiatives will also provide important information to improve, at the national level, policies to combat deforestation and forest degradation and to foster forest recovery. Regarding the inclusion of other REDD-plus activities, Brazil will include reducing emissions from forest degradation in the biomes where this activity is considered by the Working Group of Technical Experts on REDD+ as a significant source of emissions. The same applies for pools and non-CO_2 gases. To mitigate displacement of emissions to other sectors, the innovations modality of Floresta+ will support private sector actors in created green innovative technologies and production practices. These measures will also be buttressed by PLRs related to climate change and resource management that provide legal and regulatory frameworks that will mitigate cross-sectoral displacement of emissions.
Risk 9: Reversals (non-permanence of carbon stocks). Risk of reversals	There is risk of incentive structures, compensation, and other program benefits not adequately covering	Brazil has several actions to monitor, analyze and improve the coordinated actions for maintaining reduced deforestation rates. As described in the FP,

is assumed in all REDD+ projects including conservation, sustainable management of forests, and enhancement of C stocks. These risks are related to factors that could result in participant's withdrawal from the voluntary program.	opportunity costs and participants needs over long time horizons, given that drivers and dynamics of deforestation and degradation can rapidly change or shift to new locations overtime. This risk is equally relevant to cases where beneficiaries may feel locked-in to lands use obligations over time with out the capacity and resources to adapt their livelihoods and land use practices (See Risk 6 on economic displacement) Similarly, there is a risk that delayed or inadequate payments after program rollout could also lead to dissatisfaction and conflict, resulting in withdrawal from the program and subsequent deforestation/ degradation of areas targeted for protection or restoration. This risk is associated to myriad factors, including the consultation process, potential financial and operations risks (such as corruption in the government or fund distribution parties) or significant shifts in political agendas following elections. Finally, non-human factors can also contribute to the risk of reversals, notably those linked to climate change pressures (such as natural disasters, extreme flooding, fires, etc.), which could off-set REDD+ efforts.	each phase of PPCDAm is an opportunity to analyze both the main causes of deforestation and the risks of reversals, which leads to improvements in the action plan. To ensure permanence, the underlying factors of deforestation and forest degradation will be reassessed and re-evaluated to reflect an understanding of the likely effect of climate on forests, including both anthropogenic and natural drivers. It should be highlighted that the implementation if the Floresta+ program which incentivizes familiar farmers, IPs, TCs and other relevant stakeholders to maintain forests and associated environmental services are pivotal to these efforts. Further mitigation measures to address the risk of reversals will be taken at the project-level, and involve the further support of monitoring processes, as well as the updating and revision of management plans and stakeholder engagement plans – in accordance with new phases of PPCDAm – so that the procedures outlined for engagements with natural resource users over time will continue to benefit livelihoods and well-beings while incentivizing commitments to conservation, restoration, and reduced deforestation (See mitigation measures for Risks 6, economic displacement, Risk 7, cultural heritage, and Risk 1, human rights). Careful coordination of PLRs with other relevant sectors and Ministries (including, but not limited to those involved in the implementation of PPCDAm) will also be prioritized in order to achieve optimal results.

Annex VIb – Environmental and Social Management Framework
Green Climate Fund Funding Proposal for REDD+ RBP Pilot Program

I

PROCEDURES FOR SCREENING, ASSESSMENT AND MANAGEMENT

This ESMF identifies potential social and environmental risks and impacts from project activities and outlines strategies and procedures for identifying risks and impacts from as yet undefined components of Floresta+ and for managing those risks and minimizing undesirable environmental and social impacts. Further, the ESMF identifies stakeholder engagement processes and a Grievance Redress Mechanism for stakeholders with concerns and/or complaints regarding the project.

Once the project activities are fully specified, the project SESP will be updated to review the fully specified components and to determine whether additional social and environmental impacts may be present and need to be assessed and managed. Where the screening of the fully defined projects components identifies potential social and environmental risks that could be categorized as High Risk, these components will be redesigned to eliminate and/or minimize such risks. Project components that may still present High Risks after redesign will be excluded from the project. The SESP will also be updated if there are any significant changes in the project's design or context that may materially change its social and environmental risk profile.

The SESP/ESMF have been developed as part of UNDP's due diligence process in the project cycle. This is initial draft ESMF, that will be developed into an ESMP once a full ESIA can be carried out following the final design of the Floresta+ program and the identification of specific criteria for voluntary program participation and payment of beneficiaries.

The annexes of this ESMF include indicative outlines and guidance on a number of management plans that are highly relevant to this project (e.g., Stakeholder Engagement Plan, Livelihoods Action Plan, Biodiversity Action Plan, etc.) and that are applicable across all elements of the Floresta+ pilot program. They will be elaborated as modality-specific plans, as necessary, following completion of the full impact assessment of the program and the specific projects that will be implemented within. Similarly, a preliminary Gender Assessment and Action Plan has been included in the Annexes, which will require updating following the ESIA (Annex 6). Activities that may have environmental and social impacts will not be implemented until impacts have been assessed and management plans are in place.

Assessment and management of social and environmental risks and impacts

A Full Environmental and Social Impact Assessment (ESIA) will be developed and carried out by independent experts in a participatory manner with stakeholders during the inception phase of the project and as part of the work plan preparatory activities. An indicative outline can be found in Annex 2. This will involve stakeholder consultations and engagement, as well as research, fieldwork, and management planning. The targeted assessments/comprehensive Environmental and Social Impact Assessment (ESIA) will be undertaken once project activities/sub-projects and sites are fully defined. The assessment(s) will be conducted in a manner consistent with national regulations and the UNDP SES and lead to the development of appropriately scaled management measures and plans to address the identified risks and impacts. The UNDP SES and SESP require that in all cases required social and environmental assessments and adoption of appropriate mitigation and management measures must be completed, disclosed, and discussed with

stakeholders prior to implementation of any activities that may cause adverse social and environmental impacts.

The ESIA will:

- Screen social and environmental issues and impacts specific to the local context of prioritized areas for implementation under Floresta+ program once the requirements for payments and benefit sharing criteria have been defined.

- Further clarify the applicable social and environmental standards (including UNDP SES) triggered by projects implemented under Floresta+

- Take steps necessary in the context of the ESIA to fulfill those requirements and make recommendations on how such compliance is to be carried out through the life of the project.

A **Revised Environmental and Social Management Plan (ESMP)** will be elaborated during the inception phase as part of the full ESIA. Based on the above initial analysis, the following management plans will need to be elaborated after project details and sites are confirmed.

The revised ESMP will:

- Provide time-bound specific recommendations for avoiding adverse impacts, and where avoidance is not possible, for reducing, mitigating, and managing those impacts for all projects implemented under Floresta+.

- Further identify project activities that cannot take place until certain standards, requirements and mitigation measures are in place and carried out (complimenting and updating what has already been identified in this draft ESMF).

- Elaborate modality-specific management plans, as necessary and as required by the applicable UNDP SES and the Cancun Safeguards. They will outline the management objectives, potential impacts, control activities and the environmental performance criteria against which projects will be evaluated (e.g. audited). Recommendations will be adopted and integrated into the project activities, monitoring and reporting framework and budget. Site-specific plans will be elaborated as necessary and when applicable.

Modality-specific management plans will be needed prior to the implementation of projects and payments under the Floresta + program. These plans will be elaborated after the criteria for program participation and payments have been defined, allowing for a more thorough assessment of risks related to specific locations and groups of beneficiaries under the different modalities. These plans will be adapted to account for the variability in local contexts across the Legal Amazon, including the diverse livelihoods and socio-economic conditions of the beneficiaries, the ecological and biophysical conditions, as well as resources and capacities of sub-national governments. These measures should be incorporated into the ESMP or elaborated as modality-specific plans, as necessary. If articulated as a modality-specific plan, the ESMP will note the need for such plans and which activities cannot proceed until such plans are in place. The ESMP will also define how these management plans link to existing programs as well as the mitigation measures defined for SISREDD+.

The following management plans will be consistent with the requirements of the UNDP SES. If articulated as a modality-specific plans, the project ESMF will be updated to note the need for such plans and which activities cannot proceed until such plans are in place

- Stakeholder Engagement Plan (see section 8 and Annex 8 for guidance on the stand-alone SEPs): Fair, inclusive and gender-responsive stakeholder engagement will be essential for final design of Floresta+ and the equitable involvement and inclusion of women, men and youth. The stakeholder engagement plan will enable project officers to ensure that selection is carried out appropriately in synergy with the policy governance structure related (e.g., Indigenous people governance – PNGATI) and that the implementation and selection procedures meet the desired norms and standards. The plan will specifically consider how to equitably and meaningfully engage marginalized and vulnerable populations, such as women, youth, etc., within the project area. The plan will also provide terms of reference and modalities for managing stakeholder engagement in project activities at each site and with each community.

- Livelihood Action Plan (See Annex 7): such plans will be necessary when Floresta + activities involve economic displacement where by the livelihoods of individuals or communities are restricted, partially or fully, in their access to land or resources to support their economic well-being. These action plans will address beneficiary participation in economic displacement decision-making, adequate (full and fair) compensation and assistance, as well as risk management to ensure that livelihoods are at least as good as prior to the program implementation and that the livelihoods of poor and marginalized are improved. The plan will include independent monitoring procedures, clarification of land rights consistent with applicable law, and outline capacity, training, and development actions targeting beneficiaries' livelihoods. It will ensure that UNDP SES requirements, best practice standards, and mitigation measures are being met, such that Program activities involving economic displacement cannot proceed until completion of the full ESIA and livelihood action plans that are modality-specific (and/or site-specific, when applicable).

- Indigenous Peoples Plan (when applicable, See Annex 5): there are potential impacts to the rights, lands, territories and traditional livelihoods of indigenous peoples through Floresta+ activities. The ESIA will identify the presence of indigenous peoples for each of the specific sites and an indigenous peoples plan will be developed if there is a potential impact. If needed, this will include a plan for culturally appropriate consultation with the objective of achieving agreement and Free Prior and Informed Consent. Activities that may adversely affect the existence, value, use or enjoyment of indigenous lands, resources or territories will be avoided where possible.

- Biodiversity Management Plan (see Annex 9): To address different levels of potential impacts on biodiversity, management plans will be developed that take into consideration the diverse ecosystems and environmental contexts across the Legal Amazon. The plan will outline baseline conditions that need to be understood and procedures and indicators to monitor biodiversity will be determined, including the management and monitoring of exotic species, endangered species, and species that are

of cultural and economic importance to resource-dependent communities. This plan will address the benefits and risks pertaining to biodiversity conservation, such as land use planning and selection of tree species for restoration and will be carried out for nursery establishment/management.

- Cultural Heritage Management Plan (if needed): The ESIA will assess the risk at the specific sites for potentially adverse impacts to cultural heritage in both its tangible (material) and intangible forms, the latter referring to the knowledge, practices, technologies, innovations, and institutions related to traditional and indigenous ways of life. If there are risks to cultural heritage, a modality-specific management plan, or site-specific plan, as appropriate, will be put in place.

- Integrated Pest Management Plan (If needed): Based on the final selection of the sites and pest management practices specific to the populations of these sites, an adapted pest management plan may be developed if site specific conditions and risks are not covered by generic management measures identified in ESMF.

- Pollution Prevention and Resource use Plan (If needed): While pollution will be avoided and minimized by the project, in cases where pollution may occur a pollution prevention plan will be put in place ensuring prevention and control practices are in place.

Assumptions

In preparing this ESMF, it is assumed that no physical displacement or forced evictions will occur as part of the project. This, however, will be assessed further through the ESIA and, in the case that voluntary resettlement or displacement may occur at a site, a displacement/resettlement plan will be developed and implemented as part of the ESMP. An indicative outline is included in Annex 3 as due diligence. There is a strong commitment through the project approach to ensure displacement/ resettlement will be avoided to the extent possible. In the case of economic displacement, which is applicable to some Floresta + activities, a Livelihood action plan will be carried out (see above).

KEY ISSUES FOR THE REVISIONS AND UPDATES OF THE ESMP

 particularly relevant to the development of the environmental and social management measures and plans as well as the implementation of projects and payments under the Floresta+ pilot program. These issues are (i) Land tenure; (ii) Indigenous Peoples and traditional communities and (iii) Geographic scale and scope.

They will need to be reconsidered in the full ESIA once the Floresta + program has been refined. The ESMF will be revised and updated according to the specifications of the ESIA, resulting in an Environmental and Social Management Plan (ESMP). These issues are most pertinent to the Brazilian context, given the extensive geographic area that will be covered by the program, the important number of indigenous peoples and traditional communities, as well as the remoteness of much of the Legal Amazon that have pose unique challenges for land tenure regularization as well as project implementation and monitoring.

Annex VIb – Environmental and Social Management Framework
Green Climate Fund Funding Proposal for REDD+ RBP Pilot Program

I

Land Tenure

Brazil's current land tenure system, particularly in the Amazon region, is extremely complex due to the size of the rainforest, the settlement history and conflicting interests. Regularized land units include indigenous territories, rural agrarian reform settlements (*assentamentos*), private rural properties, and a variety of state and federal-level conservation areas that are intended for full protection and sustainable use (Figure 1). These different land designations are relevant the development of the ESIA and to the development of a full ESMP for the use of proceeds, and some points of consideration on regularization and threats to these areas are noted.
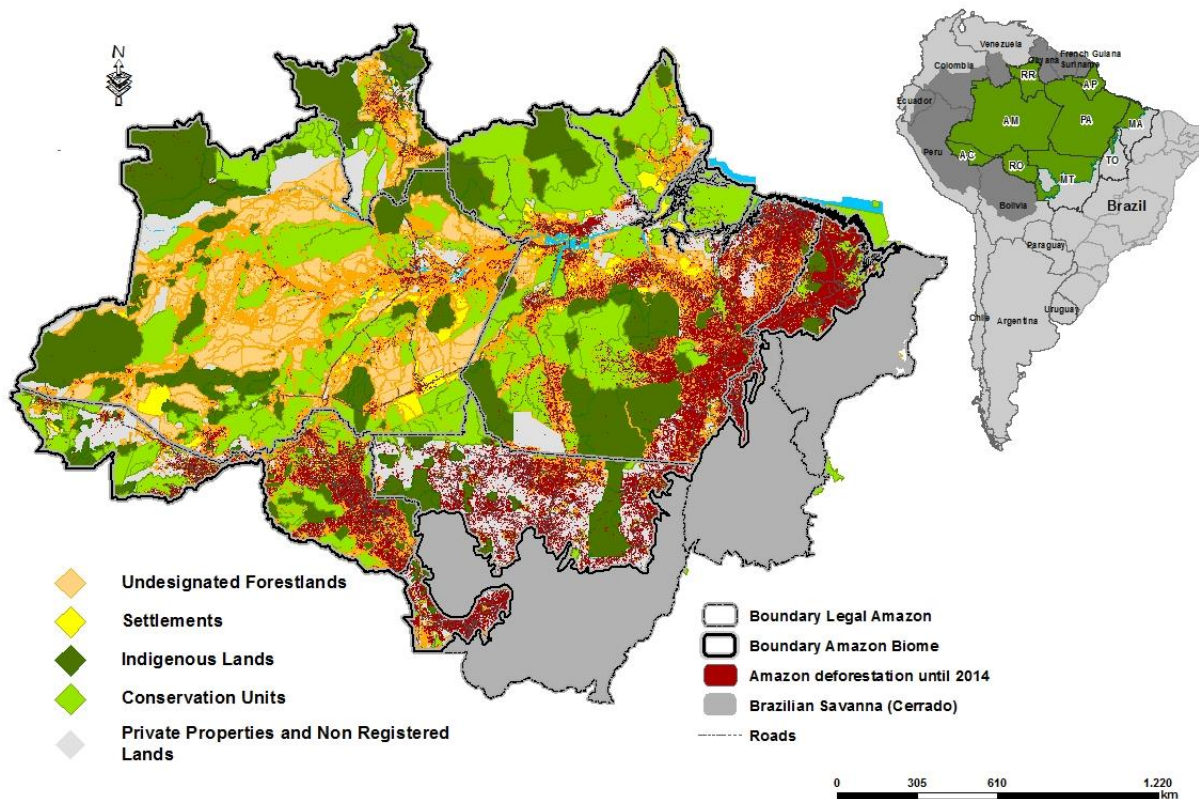
Figure 1. Land designations in the Brazilian Legal Amazon

There remain large expanses of unclaimed/undesignated territory, particularly in the western most states of the Legal Amazon such as Amazonas, Acre. The implementation of PPCDAm sought directly to address this, creating more than 50 million hectares in federal and state protected areas, mostly located in areas under deforestation pressure. However, much of the remaining unclaimed areas exists as ancestral communal lands to a number of indigenous and traditional communities, some of which are currently undergoing demarcation or are in the process of claiming territories or facing legal disputes that stalling the procedure. The absence of clear ownership continues to facilitate land grabbing, and can lead to violent conflicts over land. At the same time, ambiguous definitions of property rights for both public and private holders has historically exacerbated problems of unplanned and unauthorised land use, including

deforestation. Small-scale landholders, traditional populations, and indigenous groups are often more vulnerable to invasions due to their location in less accessible areas and/or limited access to justice and other protection mechanisms.

Brazil has developed legal and practical solutions to the land tenure issues in the Amazon region. PPCDAm has been fundamental to closing the gap in land regularization across the Amazon, which has supported the slowing deforestation and controlling land speculation. One of the aims of PPCDAm is to clarify land tenure in the Amazon to reduce incentives for deforestation. In coordination with the Amazon Region Protected Areas (ARPA) program, more than 500 000 km2 of federal and state-level protected areas were created, targeted primarily to areas with projected road infrastructure development and in the so-called "deforestation arc" (comprising the eastern and southern edges of the forests in the states of Rondônia, Mato Grosso and Pará). In addition, 100 000 km2 of indigenous lands have been granted legal status and thousands of rural land holdings have been geo-referenced under the Terra Legal program.

Terra Legal program has also been fundamental to closing inequalities in land tenure. Launched in 2009 by the Ministry of Agrarian Development, the program seeks to legalize some 55 million hectares (an area that is one-and-a-half times the size of Germany) of state-owned land by granting legal status and land titles to some 160,000 smallholder families. The regularizing of the occupation of federal public lands in the Amazon gives family farmers much needed legal security, such that the program helps combat land grabbing, support the control of deforestation and promote sustainable development initiatives. The regularization process involves periodic inter-institutional consultation meetings. These achievements pave the way for continued programming that enable fair and strategic land regularization across the region that will strengthen Brazil's REDD+ results in the future.

While there is no integrated system for land administration in Brazil that enables coordination efforts across the three levels of government, the establishment of the Rural Environmental Registry (CAR) was a pivotal step for Brazil to support environmental management aspects of regularization of rural holdings. The CAR is an instrument defined at the national level by the Forest Code (Law 12.651 / 2012) with the objective of creating a register of all rural properties in the country, integrating environmental information into a database to enable the environmental regularization of rural properties and ensure the control, monitoring and combat of deforestation in Brazil. In the CAR, the deforested areas are registered, Legal Reserve (RL), Permanent Preservation (APPs), Areas of Consolidated Use, Restricted Use and those that must be reforested. Although it has become mandatory for the whole country with the Forest Code, CAR was already used before 2012 in the states of the Legal Amazon as part of the policies to reduce deforestation in the biome.

Registration of land to the SICAR is an on-going process and over 50% of rural private properties are now in the system. To date wealthy, individual owners of large land areas are more highly represented in the environmental registry, while many smaller rural properties in the Amazon remain unregistered. Among those that are in the Amazon region, a majority are still undergoing analysis and validation, although this varies by state. For example, over 50% have been analysed in Para and Amazonas, while other states have under 10% of properties analyzed. Analysis can be a long process, requiring extensive technical analysis and, often, legal procedures for

Annex VIb – Environmental and Social Management Framework
Green Climate Fund Funding Proposal for REDD+ RBP Pilot Program

I

resolving disputing claims or overlap. In fact, land conflicts have increased significantly in recent years, with the Amazon Region accounting for 57% of conflicts in 2016, and 54% of families involved in land conflicts.

An additional issue is the notable variation in the concentration of land across states, with larger properties and land claims occurring in the Northwestern states (Amazonas, Para) and smaller lots in southern states (Mato Grosso) or those bordering other nations. State-operated registration systems are also being initiated to assist in the assessment of regularization, as is the case of the Rural Land Registry System (SICARF) designed by the Land Institute of Pará (Iterpa) in partnership with Imazon. The project aims to give greater agility and transparency to Iterpa land regularization procedures, by means of computerization and the integration of different databases.

Through the use of proceeds, processes and oversight related to monitoring land use and environmental aspects of rural properties will be enhanced. Additionally, the creation of an ombudsman to report on violations of safeguards in REDD+ initiatives is recognized as central to addressing land conflict in the Amazon. This will support the protection of rural land rights and help reduce conflict related to tenure and regularization.

Indigenous Peoples and traditional communities

Recognizing and accounting for the diversity of indigenous and traditional populations is also a key consideration for the full assessment of the Floresta+ pilot program and the elaboration of the detailed ESMP and modality-specific plans. Brazil recognizes that these communities can and should be included within broader Environmental initiatives, including REDD+ activities in accordance with Cancun safeguards.

Brazil's indigenous population is diverse, with some 450,000 people identifying as such living in the Brazilian Amazon, making up 60% of the indigenous population of Brazil, with over 40 known groups that are isolated or have had little contact. There are over 419 indigenous territories in the region; they cover more than 115 million hectares, accounting for 23% of the Amazon territory and 98.6% of the extent of all indigenous lands in the country. There are thousands of communities with distinct ethnic, linguistic, and cultural lineages that have been living in the region long before the Portuguese colonization. These peoples have ancestral ties to the land and ecosystems, which are not only of economic importance but also of cultural and spiritual significance and are fundamental to the construction of identities as well as ways of being, thinking, living.

Since the beginning of the 1980s, Brazil has maintained research on Indigenous peoples, with a wealth of information available on the Indigenous Peoples website in Brazil (PIB) and in its special version for children's education, Indigenous Peoples in Brazil Mirim (PIB Mirim). At the federal level, the National Indian Foundation (FUNAI) has the institutional mission to coordinate the formulation and implementation of indigenous policy; land regularization and registration of lands traditionally occupied by indigenous peoples; and resolution of land claims by indigenous peoples as well as for the protection of isolated groups or little contact.

It is estimated that about 4.5 million people are part of traditional communities in Brazil, accounting for about 25% of the national territory. Like indigenous peoples, traditional

Annex VIb – Environmental and Social Management Framework
Green Climate Fund Funding Proposal for REDD+ RBP Pilot Program

I

communities are also highly diverse and have historical ties to the land that are foundation for their culture, both with respect to social organization and spirituality, as well as their economy. Generally, these communities are of mixed descent (African diaspora, indigenous, and colonial Portuguese) and, like indigenous peoples are highly resource dependent. For the first time, the Federal Government in a Presidential Decree 6,040 / 2007, which established the National Policy for the Sustainable Development of Traditional Peoples and Communities (PNPCT), formally recognized traditional populations. According to this Policy, Traditional Peoples and Communities are defined as: "culturally differentiated and recognized groups that have their own forms of social organization that occupy and use territories and natural resources as a condition for their cultural reproduction, social, religious, ancestral and economic, using knowledge, innovations and practices generated and transmitted by tradition".

For both traditional and indigenous communities, their ancestral lineages and cultural diversity translates into distinct and diverse natural resource management systems that are based on some combination of hunting and gathering practices, fishing and subsistence farming, often over large territorial extensions. While some groups remain isolated from the market-economy, others engage in cash crop production, ranching, or commercial extractivism of non-timber forest products. Overall, however, the ecological footprint of these peoples tends to be comparatively low, compared to family farmers and other land users in the Amazon. Consequently, much of the pristine and intact forested areas that high in biodiversity are on land traditionally occupied by these peoples.

This is of relevance for future updates of the ESMP, so that actions to mitigate and avoid risks and impacts take into consideration this socio-cultural and resource-use diversity. Of particular importance is the fact that there are demographically larger Indigenous groups, such as Guarani (Kaiowá, Mbyá and Nandeva), Guajajara, Kaingang, Munduruku, Ticuna, Xavante and Yanomami, who have somewhat more political power and legitimacy due to their size, their location or their support of government activities. However, there are also less populous, more remote, or anti-state communities that are struggling to sustain their language and culture or acquire land rights. Similarly, within traditional communities, there are a number of different identities related to their historical origins and place-based natural resource management systems, including Quilombolas, rubber tappers, extractivists, caboclos, riberinhos, and pescadores.

For this reason, the Floresta+ pilot program has designed a specific modality that highlights them as distinct groups of beneficiaries. Projects implemented under modality 3 will take these factors into consideration so that activities are adequately tailored these specific groups, communities, or peoples, so that adverse impacts to be mitigated and livelihoods can benefit from the program. To do so, Brazil will work to systematize and coordinate The National Policy for Territorial and Environmental Management of Indigenous Lands (PNGATI) within the framework of the ENREDD+. The policy 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.

Several indigenous people and traditional peoples and communities have directed and participated in the design of community consultation protocols, to strengthen their right to free, prior and informed consent and consultation. Brazil recognizes that these groups require additional procedural guarantees, in certain circumstances, compared to those provided to the population in general, as well as specific institutions led by these peoples and resources necessary to carry out consultations and activities.

For the use of proceeds, Brazil recognizes these unique challenges, and seeks to 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 (with Indigenous Governance and Participation). Brazil will also 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, as well as for assigning resources so that they can follow-up and act on the governance bodies of which they are part. In contexts of REDD+ initiatives and programs, Brazil will also make efforts to expend knowledge traditional and indigenous communities on the content of the Law #13,123/2015 (on genetic heritage and traditional knowledge), promoting the empowerment and qualified participation of this public in related governance instances and process.

Notably, deforestation occurring Indigenous Territories is occurring in the largest proportions in areas where communities are not in full possession of their land, it is therefore essential that efforts continue to be made, as with previous phases of PPCDAm, to regulate the largest possible number of indigenous lands. According to FUNAI, the 683 indigenous lands registered in the System of Indigenous Lands, only 60% are in the administrative procedure for regularization, registered with the Secretariat of the Union Equity (SPU). Of these areas, approximately 20% are occupied by non-indigenous, either due to lack of human and material resources that allow greater flexibility of the state to perform the remove invaders occupants and payment for improvements in good faith, either due to lawsuits postpone the withdrawal of occupiers and invaders.

Brazil recognizes challenges land demarcation of indigenous peoples and traditional communities' territories as an important challenge for REDD+ efforts, particularly with respect to institutional avenues for registering these territories in to the CAR as there has been some ambiguity around how these modalities fit into the system. Implementation of PPCDAm made considerable headway on this front, with more than 10 million hectares of indigenous lands being legally approved. Similarly, unifying the systematization of data regarding the creation and homologation of territories of traditional peoples and communities is a challenge, as they are sourced from a number of different governmental agencies: 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.

Annex VIb – Environmental and Social Management Framework
Green Climate Fund Funding Proposal for REDD+ RBP Pilot Program

I

Geographic scale and scope

The Floresta + pilot program will cover the entire Brazilian Amazon biome, representing an expansive region is virtually unparalleled in scale and complexity, with diverse ecological, socio-economic, and political characteristics that represent logistical and geo-physical challenges in governing such a massive area. These require consideration in future assessments and management planning for risks and impacts related to REDD+ activities. The Brazilian government has made monumental efforts to effectively and accurately combat, monitor, and control deforestation in this region.

At the political level, a key strategy to address the geographic scope in the use of proceeds includes the integration and/or coordination of existing governance structures, programmes and initiatives from public and private entities, that contribute to reducing emissions. Promoting consistency and developing synergies among the policies and plans related to climate change, forest and biodiversity at the federal, state and municipal levels have also been underway and continue to be strengthened.

At the project-level, the risks and impacts associated to the Floresta+ pilot program will vary from state to state and municipality to municipality, considering the different levels of preparedness, technical capacities, and resources. For example, Acre has been a pioneer in REDD+ related activities for nearly a decade, with the implementation of a state-level system of information based on social and environmental safeguards that was developed with extensive stakeholder consultation and a strong participatory design. Mato Grosso is currently in the initial stages of a parallel initiative; however, other states have not begun. Likewise, the implementation of state-level monitoring and safeguard indicators is varied. While Acre is well advanced in their state-level system, and pilot projects such as in such as Plataforma Indicar Estados are underway to report on indicators for the prevention and control of deforestation in four stats (Acre, Amazonas, Mato Grosso, Para), other states are still lagging behind. The range of specific needs, strengths and weaknesses across this broad geographic region will be considered in the development of the Floresta+ pilot program to reduce any operational risks and mitigate important potential impacts for beneficiaries in each state.

It is for this reason that the active participation of state governments has been recognized as essential for reducing deforestation rates, and continual dialogue between federal and state level has been key to coordinating actions, both past and future. Through technical support from the Ministry of Environment, the first State Plans for Prevention and Control of Deforestation (PPCDs) began to be developed in 2008 and currently, the nine states of the Amazon have their plans, some already on review or in implementation. The PPCDs expand the scope of the actions planned at the federal level, recognizing that they are in proximity to local problems and can ease of coordination with the municipalities and communities, where in fact policies and projects will be applied.

Deforestation dynamics and drivers in each state are different, with high variability space-time, affecting unique ecosystems and regionally endemic biodiversity. Areas of higher concentration of deforestation in so called "hotspots" occur along the macro-region known as the arc of deforestation, around the north of Mato Grosso, north Rondonia, west Pará, and Maranhão.

Annex VIb – Environmental and Social Management Framework
Green Climate Fund Funding Proposal for REDD+ RBP Pilot Program

I

Occasionally, deforestation frontiers appear outside the arc, as in the central and southern region of the state of Roraima along the axis of the BR-174, in the state of Amazonas in the area around Manaus, or the southern region of the state along the BR-230's axis known as "triple border". The western region of Para, known as "Lower Amazon" has also been showing sporadic fronts of deforestation, with the highest concentration of the phenomenon in 2006, 2007 and 2010.

To continue controlling emissions from the LULLCC sector across the Amazon, PPCDAm and future activities carried out under ENREDD+ will prioritize understanding deforestation drivers in each state, as well as the dynamics of temporal changes they are experiencing. To do so, Brazil has developed one of the most sophisticated and comprehensive systems for evaluating deforestation and forest degradation over the vast in the Amazon region. Since 1988 the Brazilian National Institute for Space Research (INPE) of the Ministry of Science, Technology, Innovation and Communication (MCTIC) have been monitoring deforestation rates. Every year, Brazil releases the deforestation rate for the previous year in the Legal Amazon region[5] through the Amazon Deforestation Monitoring Program (PRODES), whose estimates are reliable, consistent, and validated and by national and international experts. The PRODES database is open and available to the public. A separate project, named DEGRAD, is carried out by INPE/ MCTIC to address forest degradation, which also ensures the consistency of the PRODES deforestation time series over time. Additional projects for monitoring in the LULCC sector include DETEX (Detection System Wood Selective Exploration), DETER (the Real-Time Deforestation Detection Project) and TerraClass (Survey of land cover in the Amazon), which together with PRODES and DEGRAD form a set of systems for tracking and monitoring the condition of the Amazon forest, operated by INPE through its Amazon Program.

These systems have been recognized as a major contribution to the achievement of the goals PPCDAm the promptness and transparency in the disclosure of its results. They have been of great importance for the actions and planning of public policies in the Amazon, particularly those related to environmental regularization, land use planning, and REDD+ efforts. Civil society has also played a central role in supporting these national monitoring systems. Imazon, for example, has also launched a deforestation and forest degradation monitoring system for the Amazon.

Additional instruments for rural environmental management and planning also underpin these achievements. The ecological-economic zoning (ZEE), which currently covers over 70% of Brazil's territory including the entirety of the Amazon biomes[6], supports the maintenance and promotion of sustainable natural resources use by allocating activities to predefined environmental areas. Focused on sustainable agro-economic production and forest economies, it aims to maintain ecological balance through environmentally compatible activities.

---

[5] The Legal Amazon region is an area of approximately 5.217.423 km² (521.742.300 ha) that covers the totality of the following states: Acre, Amapá, Amazonas, Pará, Rondônia, Roraima and Tocantins; and part of the states of Mato Grosso and Maranhão. The Legal Amazon region encompasses three different biomes: the entire Amazon biome; 37% of the Cerrado biome; and 40% of the Pantanal biome.

[6] PNIA 2012: Painel Nacional de Indicadores Ambientais. Referencial teórico, composição e síntese dos indicadores

Annex VIb – Environmental and Social Management Framework
Green Climate Fund Funding Proposal for REDD+ RBP Pilot Program

I

7. INSTITUTIONAL ARRANGEMENTS, ROLES AND RESPONSIBILITIES FOR THE ESMF IMPLEMENTATION AND OPERATION

For each project or payment scheme implemented under the different Floresta + modalities, the MMA and UNDP/contracted consultants will carry out a revision of the ESMF and full risk assessment prior to any works being undertaken. The MMA, with oversight from UNDP, will be responsible for the revisions or updates of this document as project activities and participation/payment criteria are further refined, resulting in the elaboration of a full ESMP. The UNDP with gain the endorsement of the MMA and will ensure the ESMP is adequate and followed.

The roles and responsibilities of staff and associated agencies in implementation project activities and application of social and environmental procedures is provided in Table 5.

The ESIA report and ESMP may propose changes and further clarifications to the roles and responsibilities of project staff and associated entities in the implementation, evaluation and monitoring of project activities and application of social and environmental standards and procedures. Such changes will be assessed and integrated, as appropriate, as part of the participatory decision making and implementation proceedings of the project.

Activities implemented under the different Floresta+ modalities (direct payments and projects) will be delivered on the ground via the MMA through its subsidiary departments or partner organizations/ministries, as to be determined. In addition, collaboration with local councils, NGOs and CSOs is expected, as appropriate for the locality and the modality (project or direct payment).

The program team will include environmental and social safeguards experts, responsible for monitoring and implementation of safeguards and the mechanism for receiving and handling complaints, as well as for the Gender Action Plan. This team will be dedicated to the formulation and follow-up of these frameworks and to the evaluation twice a year of the evolution of these aspects. This team will be in addition to the role played by NGOs responsible for the official follow-up of the safeguards and the complaint mechanism for the REDD+ SEP and will be required to produce reports that will be included in the national communication submitted to the UNFCCC.

The UNDP and MMA are accountable for the provision of specialist advice to delivery entities for effective implementation as well as environmental and social monitoring and reporting. The MMA or its delegate will be responsible for the compliance of the SES/Cancun safeguards as outlined in the ESMF. This includes responsibility for maintaining administrative and environmental records, especially procedures related to FPIC and a log of complaints together with records of any measures taken to mitigate the cause of the complaints.

CAPACITY BUILDING

The Project Board (in consultation with the Technical Committee) will have final responsibility for the integration of ESIA report and ESMF recommendations in the execution of the projects

implemented under the Floresta+ program. The integration of such recommendations will need to consider particular institutional needs within the implementation framework for application of the ESMP, once elaborated, including a review of the required budget allocations for each recommended activity, as well as the authority and capability of institutions at different administrative levels (e.g. local, regional, and national), and their capacity to manage and monitor ESMP implementation. Where necessary, capacity building and technical assistance activities will be included to enable proper implementation of the ESMP, including through modality-specific management plans and related capacity building.

Delivery organizations (e.g. contractors, NGOs) have the responsibility for ensuring systems are in place so that relevant employees, contractors and other workers are aware of the environmental and social requirements for project implementation, including the ESMP once elaborated.

All project personnel will attend an induction that covers relevant ESMP requirements, including health, safety, environment and cultural requirements.

All workers engaged in any activity with the potential to cause serious social and/or environmental harm (e.g. handling of hazardous materials) will receive task specific training.

8. STAKEHOLDER ENGAGEMENT AND INFORMATION DISCLOSURE PROCESS

Brazil is committed to the full and effective participation of relevant stakeholders, in particular indigenous peoples and local communities, in alignment with UNDP SES and Cancun Safeguards. This section describes procedures for ensuring consultation and stakeholder engagement during assessment, development of action plans, and monitoring of social and environmental impacts associated with specific project activities, including information disclosure requirements, linked to the use of RBP proceeds. This shall occur through appropriate channels and governance mechanisms as part of the stakeholder engagement plan (Annex 8), to be further clarified and finalized as part of the full ESMP. The first steps during project inception will be to conduct an environmental and social impact assessment (ESIA), which will cover the activities planned, including the Floresta+ pilot program. This will be carried out by experts and will involve stakeholder consultations and engagement, as well as research, field work, and management planning.

At the national-level, the development of the National REDD+ Strategy (ENREDD+) included extensive and wide-reaching stakeholder engagement, as shown in Appendix A of Brazil's second SoI. The governance for the implementation of REDD+ is one of the most participative structures created by the Brazilian government for implementing policies in the forest sector. To coordinate and monitor the implementation of the ENREDD+ in alignment with applicable safeguards, CONAREDD+ and the CCTs participants are numerous, diverse and representative of Brazilian society. These consultative processes and guidance from UNDP's SES have provided the basis for this ESMF. Refer to Annex B: Overview of Stakeholder Engagement in the ESA.

The governance structures will continue to be strengthened with the use of proceeds, so that REDD+ related projects, programs, and other activities are discussed with a wide range of stakeholders including relevant government departments, NGO/CSOs, indigenous and people's

Annex VIb – Environmental and Social Management Framework
Green Climate Fund Funding Proposal for REDD+ RBP Pilot Program

I

representatives, traditional communities and family farmers organizations, partner organizations and individual community members. Participation in ENREDD+ management bodies shall be continually enhanced, aiming to cover the great diversity of actors relevant to REDD+ in Brazil. When applicable, efforts will be made to expand the participation and interaction of states located in other biomes of the country at CONAREDD +, as well as REDD+ actions. In doing so, Brazil will continue to support intercultural debates and multi-sector mobilization, in particular with respect to existing structures of indigenous peoples and traditional peoples and communities, including the CNPCT, CNPI and CG PNGATI.

Stakeholder engagement in the state of Acre was fundamental to the development of its pioneering Jurisdictional REDD+ program Initiative, developed in 2010, using participatory and community-led approaches. The System of Incentives for Environmental Services of the State of Acre (SISA), which applies REDD+ SES through the SISA law is exemplary and can be drawn upon to inform the refinement of stakeholder management plans in future revisions of the ESMF.

SISA was designed and validated with input and feedback gathered during a comprehensive stakeholder consultation process[7]. A draft law was first published in 2009 and was sent to 120 people from more than 72 national and international organizations for evaluation, it was also made available online. In addition, public consultation meetings with more than 170 people were organized by the State Secretariat of Environment to discuss the SISA proposal and to work toward a fair and efficient structure of benefit sharing[8]. This included representatives from 35 indigenous territories (out of 36 in the state), FUNAI, and indigenous NGOs, demonstrating the commitment to hearing the voices and integrating the needs of indigenous peoples in the state. Representatives from diverse groups also participated, including universities, companies, banks, family famers, small producers, and traditional extractivist communities. Five meetings were held with technical staff from local NGOs, three workshops brought together potential beneficiaries, and a technical seminar included 10 national and international organizations that represented civil society, as well as representatives of seven State Secretariats[9].

To oversee the implementation of SISA, a multi-stakeholder Commission of Validation and Monitoring of the SISA (CEVA - Comissão Estadual de Validação e Acompanhamento) was created. State law No. 2.308, Article 12, in October 2010 and functions established the Commission as a balanced representation of government and civil society. The Commission held its first meeting in December 2011 and in early 2012, the duties and functions of the Commission were approved by the members. The Instituto de Mudanças Climáticas (IMC) facilitates the use of REDD+ SES in close coordination with CEVA (See Annex B of the ESA for details on participants). The SISA law also created an Indigenous People's working group and a technical advisory committee to oversee activities of the SEVA, which includes representatives of FUNAI, of indigenous groups/federations and indigenous-led NGOs. This serves as another mechanisms to ensure that there is transparent decision-making and participatory monitoring and evaluation of SISA and SEVA activities in the state of Acre.

---

7 http://imc.ac.gov.br/wp-content/uploads/2016/09/SISA-Construcao-Participativa.pdf
8 Duchelle et al. Acre's State System of Incentives for Environmental Services (SISA), Brazil. CIFOR.
9 ibid

The Floresta+ pilot project builds on the extensive stakeholder engagements and consultations that have already been conducted in Brazil, and these activities will continue throughout project implementation. The first 12 months of implementation will be used to conduct extensive stakeholder consultations and social and environmental impact assessments in line with the ESMF, in order to establish detailed and operational safeguards management plans and to inform the broader design of Floresta+, including the selection of the beneficiaries in the Modalities 1, 2, 3 and 4. It includes the establishment and operation of a governance structure; the definition of values and priority areas for direct payments; upgrades in SICAR for registering and monitoring processes; the development of a simplified online platform to register the proposals for direct payments; the selection process of the beneficiaries and projects; the establishment of the contracts. In the context of REDD+ results payments initiatives, stakeholder engagement processes will also create 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.

A Project Inception Workshop will be held within the first 2 months of project start, involving stakeholders as well as those with assigned roles in the project organization structure, the UNDP Country Office and, where appropriate/feasible, UNDP regional technical policy and technical advisors. The Inception Workshop is crucial to building ownership of the project results and to plan the first-year annual work plan. The Inception Workshop will address several key issues including:

- To assist all partners to fully understand and take ownership of the project.

- To detail the roles, support services and complementary responsibilities of UNDP Country Office (CO) and Regional staff vis à vis the project team.

- Discussion on the roles, functions and responsibilities within the project's decision-making structures, including reporting and communication lines, and conflict resolution mechanisms.

- Based on the project results framework, finalization of the first annual work plan. Review and agree on the indicators, targets and their means of verification, and recheck assumptions and risks.

- Provision of a detailed overview of reporting, monitoring and evaluation (M&E) requirements. The M&E work plan and budget will be agreed and scheduled.

- Discussion of financial reporting procedures and obligations, and arrangements for annual audit.

- Planning and scheduling of project Board meetings. Roles and responsibilities of all project organization structures will be clarified, and meetings planned. The first project Board meeting will be held within the first 12 months following the inception workshop.

- An Inception Workshop Report will be a key reference document and will be prepared and shared with participants to formalize various agreements and plans decided during the meeting.

Meaningful, effective and informed stakeholder engagement and participation will continue to be undertaken that will seek to build and maintain over time a constructive relationship with stakeholders, with the purpose of avoiding or mitigating any potential risks in a timely manner. The scale and frequency of the engagement will reflect the nature of the activity, the magnitude of potential risks and adverse impacts, and concerns raised by affected communities. The Stakeholder Engagement Plan (See Annex 8) will continue to evolve and will be detailed further through the elaboration of modality-specific stakeholder engagement plans on payment schemes are refined. Stakeholder engagement arrangements will be consistent with requirements of the UNDP SES. See the UNDP Guidance Note: Stakeholder Engagement.

CONSULTATIONS AND INFORMATION DISCLOSURE

Stakeholders will have access to relevant project information in order to understand potential project-related opportunities and risks and to engage in project design and implementation. Therefore, as part of the stakeholder engagement process, information will be disclosed to ensure that project stakeholders have access to relevant information. Specifically, the following information be made available:

- Stakeholder engagement plans and summary reports of stakeholder consultations,

- Social and environmental screening reports with project documentation (30 days prior to approval),

- Draft social and environmental assessments, including any draft management plans (30 days prior to finalization),

- Final social and environmental assessments and associated management plans,

- Any required social and environmental monitoring reports.

This information is to be disclosed in a timely manner, in an accessible place, and in a form and language understandable to affected persons and other stakeholders. These elements of effective disclosure are briefly elaborated below:

- Timely disclosure: information on potential project-related social and environmental impacts and mitigation/management measures will be provided in advance of decision-making whenever possible. In all cases, draft and final screenings, assessments and management plans must be disclosed and consulted on prior to implementation of activities that may give rise to potential adverse social and environmental impacts.

- Accessible information: Appropriate means of dissemination will need to be considered in consultation with stakeholders. This could include posting on websites, public meetings, local councils or organizations, newsprint, and radio reporting, flyers, or direct mail.

- Appropriate form and language: Information needs to be in a form and language that is readily understandable and tailored to the target stakeholder group.

The UNDP and MMA will develop and release updates on the project on a regular basis to provide interested stakeholders with information on project status. A publicized email or similar

channel will be maintained throughout the project to serve as a point of contact for enquiries, concern, complaints and/or grievances. All enquiries, concern, complaints and/or grievances will be recorded on a register and the appropriate manager will be informed. All material must be published in Portuguese and, when appropriate, in English. Whenever feasible, efforts will be made to also publish material in the local (indigenous) languages applicable to the region and beneficiary group.

These activities will align with the consultation protocols that Indigenous people and traditional peoples and communities have developed in order to strengthen their right to free, prior and informed consent and consultation. 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. Doing so will encourage the elaboration of other community consultation protocols nationwide to broaden the promotion of the right to consultation and to free, prior and informed consent.

9. GRIEVANCE REDRESS MECHANISM

During the design and implementation phases of any project, a person or group of people can be adversely affected, directly or indirectly due to the project activities. The grievances that may arise can be related to social issues such as eligibility criteria and entitlements, disruption of services, temporary or permanent loss of livelihoods and other social and cultural issues. Grievances may also be related to environmental issues such as pollution or pesticide use.

Should such a situation arise, there must be a mechanism through which affected parties can resolve such issues in a cordial manner with the project personnel in an efficient, unbiased, transparent, timely and cost-effective manner. To achieve this objective, a grievance redress mechanism has been included in ESMF for this project.

The project allows those that have a complaint or that feel aggrieved by the project to be able to communicate their concern, complaints and/or grievances through an appropriate process. The Complaints Register and Grievance Redress Mechanism set out in this ESMF are to be used as part of the project and will provide an accessible, rapid, fair and effective response to concerned stakeholders, especially any vulnerable group who often lack access to formal legal regimes.

While recognizing that many complaints may be resolved immediately, the Grievance Redress Mechanism set out in this ESMF encourages mutually acceptable resolution of issues as they arise.

The Grievance Redress Mechanism set out in this ESMF has been designed to:

- Be a legitimate process that allows for trust to be built between stakeholder groups and assures stakeholders that their concerns will be assessed in a fair and transparent manner;

- Allow simple and streamlined access to the Complaints Register and Grievance Redress Mechanism for all stakeholders and provide adequate assistance for those that may have faced barriers in the past to be able to raise their concerns;

- Provide clear and known procedures for each stage of the Grievance Redress Mechanism process, and provides clarity on the types of outcomes available to individuals and groups;

- Ensure equitable treatment to all concerned and aggrieved individuals and groups through a consistent, formal approach that, is fair, informed and respectful to a concern, complaints and/or grievances;

- To provide a transparent approach, by keeping any aggrieved individual/group informed of the progress of their complaint, the information that was used when assessing their complaint and information about the mechanisms that will be used to address it; and

- Enable continuous learning and improvements to the Grievance Redress Mechanism. Through continued assessment, the findings may reduce potential complaints and grievances.

The GRM will be gender- and age-inclusive and responsive and address potential access barriers to women, the elderly, the disabled, youth and other potentially marginalized groups as appropriate to the Project. The GRM will not impede access to judicial or administrative remedies as may be relevant or applicable and will be readily accessible to all stakeholders at no cost and without retribution.

Information about the Grievance Redress Mechanism and how to make a complaint and/or grievance must be communicated during the stakeholder engagement process and placed at prominent places for the information of the key stakeholders.

Eligibility criteria for the Grievance Redress Mechanism include:

- Perceived negative economic, social or environmental impact on an individual and/or group, or concern about the potential to cause an impact;

- Clearly specified kind of impact that has occurred or has the potential to occur; and explanation of how the project caused or may cause such impact; and

- Individual and/or group filing of a complaint and/or grievance is impacted, or at risk of being impacted; or the individual and/or group filing a complaint and/or grievance demonstrates that it has authority from an individual and or group that have been or may potentially be impacted on to represent their interest.

Local communities and other interested stakeholders may raise a grievance/complaint regarding social and environmental issues at all times to the MMA. Affected local communities should be informed about the ESMF provisions, as well as those refined in the full ESMP, including its grievance mechanism and how to make a complaint.

The GRM will be revised and updated in the ESMP, following recommendations of the full ESIA. Specifically, frameworks and protocols for linking and aligning project-level GRM with existing national and state-level and sector-specific systems - which have their own consolidated and operating ombudsman offices (*ouvidorias*) that are applicable to REDD+ related activities - will need to be elaborated to leveraging the existing channels. Revisions will ensure that that the GRM is clear and accessible to stakeholders so that any complaints or disputes related to REDD+

Annex VIb – Environmental and Social Management Framework
Green Climate Fund Funding Proposal for REDD+ RBP Pilot Program

I

activities related to the use of proceeds can be received and addressed. The CCT is currently supporting the elaboration of a safeguard ombudsman as part of the SISREDD+ to take concrete steps in this direction.

At the national level, various ministries, secretariats, and other government bodies have ombudsman offices that are mandated with receiving complaints, serving as a channel of communication between society and governance institutions (see details in Annex C: Overview of Grievance Redress Mechanisms, in the ESA). In the Forestry sector, Brazilian Forest Service (SFB) an autonomous body and part of the structure of the Ministry of the Environment (MMA), has an ombudsman's office, where "anyone can make a statement, send a request, complaint, complaint, suggestion and praise about SFB and its activities"[10]. In addition to the typical activities of the ombudsman, the SFB office is mandated with performing the following duties: 1) coordinate the Information Citizen Services (SIC), ensuring access to information in an efficient and appropriate manner, as envisaged in the Law on Access Information (LAI); and 2) channel service flows and queries related to Register Rural Environment (CAR). In 2016, the SFB implemented a series of measures to focus on better public service in relation to the SICAR, as well as availability of strategic information related to the CAR, resulting in a reduction in the number of complaints. Beyond the SFB, MMA has created within its organizational structure an office of the ombudsman for the Brazilian Environment and Renewable Natural Resources Institute and Chico Mendes Institute for Biodiversity Conservation (both autonomous federal agencies).

State-level ombudsman offices are also present in different sub-national governance institutions and may be aligned with the GRM, as applicable. Acre pioneered the System of Incentives for Environmental Services (SISA, refer to Annex C in the ESA) involved the establishment of an ombudsman office within the CEVA (State Commission for Validation and Monitoring), linked directly to the State Secretary of Environment (SEMA), to deal specifically with grievances related to REDD+ activities. This office works in parallel to the state-level ombudsman office within the Office of the Attorney General, such that stakeholders can make complaints can either office. Furthermore, the design of the GRM for REDD+ SISA in the State of Mato Grosso is expected to be based on a network of ombudsman offices from different relevant ministries and other state-level organs/entities to coordinate complaints registry and resolutions in an effective manner.

The project will support ongoing activities to strengthen and link up existing entry points for addressing grievances related to REDD+. Where the above mentioned existing national and sub-national mechanisms will be used in the context of this project, an assessment of the mechanisms using the UN Guiding Principles on Business and Human Rights: Implementing the United Nations "Protect, Respect and Remedy" Framework[11] will made as part of the ESIA. Gaps will be identified and addressed as part of the development of the ESMP.

---

[10] http://www.florestal.gov.br/ouvidoria
[11] For more guidance on how to apply these in the context of REDD+ programming, see: https://unredd.net/documents/global-programme-191/grievance-and-compliance-1455/national-grievance-mechanisms-3390/14201-joint-fcpfun-redd-guidance-note-for-redd-countries-establishing-and-strengthening-grievance-redress-mechanisms-1.html?path=global-programme-191/grievance-and-compliance-1455/national-grievance-mechanisms-3390

Annex VIb – Environmental and Social Management Framework
Green Climate Fund Funding Proposal for REDD+ RBP Pilot Program

I

UNDP SRM and SECU

In addition to the project-level and national grievance redress mechanisms, complainants have the option to access UNDP's Accountability Mechanism, with both compliance and grievance functions. The Social and Environmental Compliance Unit investigates allegations that UNDP's Standards, screening procedure or other UNDP social and environmental commitments are not being implemented adequately, and that harm may result to people or the environment. The Social and Environmental Compliance Unit is housed in the Office of Audit and Investigations, and managed by a Lead Compliance Officer. A compliance review is available to any community or individual with concerns about the impacts of a UNDP program or project. The Social and Environmental Compliance Unit is mandated to independently and impartially investigate valid requests from locally impacted people, and to report its findings and recommendations publicly.

The Stakeholder Response Mechanism offers locally affected people an opportunity to work with other stakeholders to resolve concerns, complaints and/or grievances about the social and environmental impacts of a UNDP project. Stakeholder Response Mechanism is intended to supplement the proactive stakeholder engagement that is required of UNDP and its Implementing Partners throughout the project cycle. Communities and individuals may request a Stakeholder Response Mechanism process when they have used standard channels for project management and quality assurance, and are not satisfied with the response (in this case the project level grievance redress mechanism). When a valid Stakeholder Response Mechanism request is submitted, UNDP focal points at country, regional and headquarters levels will work with concerned stakeholders and Implementing Partners to address and resolve the concerns. Visit www.undp.org/secu-srm for more details. The relevant form is attached at the end of the ESMF.

10. MONITORING AND EVALUATION ARRANGEMENTS

Project-level monitoring and evaluation (M&E) will be undertaken in compliance with the UNDP POPP and the UNDP Evaluation Policy. The M&E Plan will be conducted in accordance with UNDP and GCF procedures by the project team and the Brazilian UNDP Country Office (UNDP CO). These arrangements will work with project stakeholders to ensure the M&E requirements are implemented in a timely manner and to the satisfaction of the stakeholders. UNDP will report to GCF on disbursement of project finance and co-finance, as well as M&E and safeguards for the project, including co-finance, in the project's annual performance report. The UNDP project document will also include additional information such as corresponding means of verification. The M&E plan will include: an inception report, annual Project reports to GCF, project implementation reviews, a mid-term review and final evaluation. This information will be made available online via Info Hub Brasil (http://redd.mma.gov.br/en/infohub).

The annual project report will be prepared by the Project Technical Advisors, consolidated by the Project Manager, validated by the Project Coordination Unit (PCU) and final approved by the Project Board to monitor progress made since project start and for the previous reporting period.

Annex VIb – Environmental and Social Management Framework
Green Climate Fund Funding Proposal for REDD+ RBP Pilot Program

I

The GCF Secretariat, taking into account the simplified reporting approach for REDD+ RBP, will define the format and content of the report.

Co-financiers will also have to support UNDP by sending an annual report, which will include:

- Amount of funds disbursed over the past year and cumulatively,

- A narrative of the activities that the funds were used for during the past year,

- The contribution of these funds to the project outcomes and outputs using the indicators and means of verification agreed in the project logical framework,

- If relevant to the co-financed activities, a summary of progress in implementing the project's Environmental and Social Management Framework (ESMF) including the evidence where available.

The project will be audited as per UNDP norms and standards and supplementary audits may be requested by the GCF and stakeholders.

The following key milestones are anticipated for M & E:

- A project inception phase and project launch workshop will be held.

- A project implementation phase launch workshop will be held at the end of the inception phase, detailing the exact stakeholders and partners as well as final project locations. The ESIA results will be presented as well as the revised GRM and ESMF.

- Annual reports are planned for submission by end of December of each year, or each anniversary of the Launch date of the project.

- A midterm review is expected at the onset of the third year of implementation. A midterm review workshop will be held to present and discuss feedback from the evaluation and amend the project if required.

- A final project evaluation will be launched 3 months before project closure to provide the final overview of implementation results.

Table 5 provides a summary of specific measures related to M&E of environmental and social safeguards during project implementation:

Table 5. Summary of Social and Environmental M&E Arrangements for Floresta +

Monitoring Activity	Purpose	Frequency	Expected Action	Roles and Responsibilities
Development of Environmental and Social Impact Assessment (ESIA)	Carried out and drafted in a participatory and gender responsive manner, in-depth analysis of potential social and environmental impacts, as well as identification / validation of mitigation measures linked to projects implemented under Floresta+..	Quarters one and two of program implementation	Risks and potential impacts are assessed according the site of implementation and the modality, with support of external consultants and participation of project team and stakeholders; management actions are identified and	MMA with the support of UNDP will launch the ESIA process. A group of consultants will lead the process and garner the expertise needed. Stakeholders will review the terms of reference, and validate the findings. The Consultants and the team

Annex VIb – Environmental and Social Management Framework
Green Climate Fund Funding Proposal for REDD+ RBP Pilot Program

I

			incorporated into project implementation strategies.	will ensure that relevant changes and updates are made to the ESMF and again validated by stakeholders.
Track progress of ESMF implementation	Application of mitigation measures, as well as any required changes to ESMF, including modality-specific plans as required by applicable SES, will be monitored through a participatory process, and with results reported to Project Board on bi-annual basis.	Quarterly, or in the frequency required for each measure.	Slower than expected progress will be addressed by project management.	Collection of data will be ascribed to various stakeholder groups and the PMU. The project management unit, and particularly the safeguards officer, will integrate the mitigation measures into the overall monitoring and reporting framework of the project.
Implementation of mitigation measures and monitoring of potential impacts identified in ESIA, and reporting through SIS and Summary of Information to the UNFCCC	Permanent and participatory implementation and monitoring of impacts and mitigation measures, in accordance with Environmental and Social Management Plan - ESMF (to be revised and updated once the ESIA is completed)	Continuous	Implementation of ESMF; participatory monitoring of ESIA findings (i.e. identifying and aligning indicators, monitoring potential impacts and risks); integration of ESMF into project implementation strategies	The PMU will be responsible for the implementation of the mitigation measures in conjunction with stakeholders in various parts of the project, these include including relevant national and sub-national government departments, NGO/CSOs, indigenous people's representatives, traditional community and family farmers organizations, private sector and partner associations. Reporting to the UNFCCC will be done by Climate Change Directorate of the MMA once validation has taken place.
Learning	Knowledge, good practices and lessons learned regarding social and environmental risk management will be captured regularly, as well as actively sourced from other projects and partners and integrated back into the project.	At least annually	Relevant lessons are captured by the project team and used to inform management decisions.	MMA with the Project management unit with the communications officer, and the learning units of the project, including sub-national and local partners.
Annual Project Quality Assurance	The quality of the project will be assessed against UNDP's quality standards to identify project strengths and weaknesses and to inform management decision making to improve the project.	Annually	Areas of strength and weakness will be reviewed by project management and used to inform decisions to improve project performance.	MMA with the Project Board.
Review and adapt activities and approach as necessary	Internal review of data and evidence from all monitoring actions to inform decision making.	At least annually	Performance data, risks, lessons and quality will be discussed by the project board and used to make course corrections.	PMU, MMA
Project Report	As part of progress report to be presented to the Project Board and key stakeholders, analysis, updating and recommendations for risk management will be	Annually, and at the end of the project (final report)		PMU

Annex VIb – Environmental and Social Management Framework
Green Climate Fund Funding Proposal for REDD+ RBP Pilot Program

I

	included.			
Project Review (Project Board)	The project's governance mechanism (i.e., project board) will hold regular project reviews during which an updated analysis of risks and recommended risk mitigation measures will be discussed.	At least annually	Any risks and/ or impacts that are not adequately addressed by national mechanisms or project team will be discussed in project board. Recommendations will be made.	Project Board
System of Information on Safeguards SIS	Systematize information on how REDD+ safeguards are addressed and respected during project implementation, in order to comply with the requirement of the Warsaw framework on REDD.	Continuously	The information on how REDD+ safeguards are addressed and respected during project implementation will be available online, once the SIS web-platform is up and running.	MMA at the National Level with support from UNDP as required.
Summary of Information to the UNFCCC on how safeguards are addressed and respected	Summarize for the UNFCCC, how the REDD+ safeguards have been and are being addressed and respected during project implementation, prior to seeking REDD+ RBP.	Summary of information (SoI) as part of the National Communication every 4 years; encouraged to submit the SoI more frequently (every 2 years) directly to the UNFCCC REDD+ platform.	Elaboration of the summary of information, once every 4 years, in the National Communication. Direct submission of the Summary of Information to the UNFCCC REDD+ platform on more frequent basis (every 2 years) is encouraged.	MMA at the National Level with support from UNDP as required.
REDD+ Specific				
System of Information on Safeguards, SIS	Systematize information on how REDD+ safeguards are addressed and respected during project implementation, in order to comply with the requirement of the Warsaw framework on REDD.	Continuously	The information on how REDD+ safeguards are addressed and respected during project implementation will be available online, once the SIS web-platform is up and running.	MMA and CCT-Safeguards advisory board at the National Level with support from UNDP as required.
Summary of Information to the UNFCCC on how safeguards are addressed and respected	Summarize for the UNFCCC, how the REDD+ safeguards have been and are being addressed and respected during project implementation, prior to seeking REDD+ RBP.	Summary of information (SoI) as part of the National Communication every 4 years; encouraged to submit the SoI more frequently (every 2 years) directly to the UNFCCC REDD+ platform.	Elaboration of the summary of information, once every 4 years, in the National Communication. Direct submission of the Summary of Information to the UNFCCC REDD+ platform on more frequent basis (every 2 years) is encouraged.	MMA and CCT-Safeguards advisory board at the National Level with support from UNDP as required.

11. BUDGET FOR ESMF IMPLEMENTATION

A budget has been prepared for the implementation of the ESMF as follows:

Item	Cost

ESMF Updating and Auditing	$400,000
Supporting SISREDD+ operationalization	$9,000,000
Elaboration of Modality-specific and, when applicable, Site-Specific Management Plans	$5,000,000
Consultants for development of identified management and consultation plans	$300,000
Consultation process on Floresta+ national and sub-national (state) level	$300,000
Consultation process with indigenous and traditional people, local communities	$1,000,000
Consultation process Gender	$100,000
Support of Indigenous Land Titling, CPT and subsequent phases of Terra Legal	$200,000
Support of CAR registration and validation	$300,000
Supporting the implementation and/or development of PGTAs	$300,000
Establishment of Grievance Redress Mechanism for Floresta+ and SISREDD+ and support of existing grievance systems (*ouvidorias*)	$100,000
Total	$17,000,000

Annex VIb – Environmental and Social Management Framework
Green Climate Fund Funding Proposal for REDD+ RBP Pilot Program

I

ANNEXURES

Below is a list of potential examples and indicative outlines for annexes that may need to be attached to the ESMP.

Annexure 1: UNDP Social and Environmental Screening Procedure (SESP) Template for the Floresta+ pilot program.

Annexure 2: Indicative Outline for ESIA Report

Annexure 3: Indicative Outline for the ESMP

Annexure 4: Key Social and Environmental Indicators and Management Measures

Annexure 5: Indicative outline for Indigenous People's Plan

Annexure 6: Preliminary Gender Assessment and Action Plan

Annexure 7: Indicative outline for Livelihood Action Plan

Annexure 8: Guidance on Stakeholder Engagement Plan

Annexure 9: Indicative outline of Biodiversity Action Plan

Annexure 10: Indicative outline of Resettlement Action Plan, if applicable

Annexure 11: Sample ToR for Project-level Grievance Redress Mechanism

Annexure 12: Guidance for submitting requests to UNDP SECU/SRM

ANNEXURE 1. UNDP SOCIAL AND ENVIRONMENTAL SCREENING FOR FLORESTA+ PILOT PROGRAM

The completed template, which constitutes the Social and Environmental Screening Report, must be included as an annex to the Project Document. Please refer to the [Social and Environmental Screening Procedure](#) and [Toolkit](#) for guidance on how to answer the 6 questions.

Project Information

Project Information	
1. Project Title	REDD+ results-based payments for results achieved by Brazil in the Amazon biome in 2014 and 2015
2. Project Number	XXX
3. Location (Global/Region/Country)	Brazil, Amazon Biome

Part A. Integrating Overarching Principles to Strengthen Social and Environmental Sustainability

QUESTION 1: How Does the Project Integrate the Overarching Principles in order to Strengthen Social and Environmental Sustainability?
Briefly describe in the space below how the Project mainstreams the human-rights based approach
In Brazil, there are substantial legal and policy frameworks that strive to protect, promote and respect human rights constitutionally that will underpin the design and implementation of the Floresta+ activities, as well as Brazil's overall national REDD+ strategy (ENREDD+). In addition to the numerous international agreements and instruments that have been ratified, Brazil has made significant efforts in the last decades towards reforming and creating national laws relevant to resource management, conservation, sustainable economic development, and the enjoyment of rights and freedoms, including that of self-determination of Indigenous Peoples and Traditional Communities. These are fundamental to the realization, inclusivity and permanence of REDD+ efforts, particularly with respect to IPs and traditional communities (quilombolas) who are stewards of forest ecosystems, and are key stakeholders in the maintenance of forest cover and the ecosystem services with which this is associated. In addition to conserving and restoring forest cover across the Brazilian Amazon, the project also seeks to improve the well-being of those whose livelihoods and cultures are tightly linked to natural resources, supporting the right to an adequate standard of living, the right to health, the right to water and the right of IPs to the lands, territories and resources which they have traditionally owned, occupied or otherwise used or acquired.

At the heart of the Floresta+ program and ENREDD+, are efforts to address land tenure issues first and foremost, so that resource-dependent communities can secure their rights and access. Integrating stakeholders from the private, public, and non-profit sectors into the project as equal partners or as leaders is recognized as pivotal to the success of REDD+ in Brazil. In particular, measures are taken to support the participation of indigenous peoples and traditional communities, as well as marginalized groups such as poor rural farmers and women, in the design, implementation, and monitoring/evaluation of project activities in ways that value their knowledge and respond to their needs. The meaningful, effective, inclusive and voluntary participation of these stakeholders (and where required, the free prior and informed consent (FPIC) of indigenous and traditional communities), will strengthen ownership and build local support of REDD+ related activities. The voluntary nature of the RBP Project activities, broadly through adhesion to the Rural |

Environmental Registry (CAR) and more specifically to the Floresta+ program, the multi-stakeholder participation in the project design, the project's applicable legal and policy framework, and the mitigation measures already in place and those to be added in accordance with SISREDD+/ and the ESMF – all will work together to ensure not only that risks of human rights impacts are minimal, but also capitalize on those opportunities that exist nationally to advance the enjoyment of these rights.

Briefly describe in the space below how the Project is likely to improve gender equality and women's empowerment

Brazil will take proactive and explicit measures to ensure a gender perspective is fully integrated into the revised ENREDD+ implementation, as well as the design of the Floresta+ pilot program, as supported by a revised and updated Gender Assessment and Action plan. The RBP Project recognizes that ENREDD+ goals are best achieved when the gendered contributions and perspectives of women, men, girls and boys are incorporated in the project design, implementation and evaluation, while the success of the project's objectives hinge upon the vested interest of both men and women through the enjoyment of equitable project benefits. As illustrated in REDD+ planning activities (CONAREDD+ and CCT-Safeguards advisory board), Brazil is committed to gender equitable participation is an important consideration, and activities planned for the use of proceeds seek to empower women in economic and political decision-making, increasing their control over assets, and safeguard their rights. Recognizing that affirmative and special measures should be taken, a Gender Assessment was varied out and a Gender Action Plan was developed which examined the proposed RSP activities in the context of the GCF's policy on Gender, Principle 2 of UNDP's SES (Gender Equality and Women's Empowerment), presenting findings and recommendations of several studies.

The design of Floresta+ will be focused on mainstreaming gender and, following other payment for environmental services programs previously implemented in Brazil, women will be defined as preferred beneficiaries when applicable. Gender-sensitive and gender-responsive approaches will also be applied to enable meaningful and full participation of women stakeholders in the design of project activities, and to ensure the collection of gender-disaggregated data, and the equitable representation of women in the management and evaluation of REDD+ related activities. Following the full ESIA and updated Gender Assessment and Action Plan to understand real and perceived gender differences and anticipate risks, mitigation measures will be taken to address gendered risks and barriers to participation, including discrimination and lack of experience, confidence and skills and power relations that may limit women's voice in the implementation of ENREDD+ and the Floresta+ pilot program. The RBP Project will implement the action plan's recommendations aimed at increasing women's participation in, equitable access to, and monitoring of training, capacity building, technical assistance and resources, and social and economic benefits and opportunities comparable to men.

Briefly describe in the space below how the Project mainstreams environmental sustainability

Environmental sustainability is mainstreamed into the project, through both the main outputs, including 1) The development of a pilot of an Environmental Services Incentive Program for Conservation and Recovery of Native Vegetation (Floresta+) and 2) The strengthening of the implementation of Brazil's ENREDD+ through improvements in its governance structure and systems. ENREDD+ has as its overall objective 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, while delivering environmental, social and economic benefits. Through its specific objectives of: i) improving the monitoring and impact assessment of public policies for REDD+, ii) integrating governance structures for climate change, forests and biodiversity at all levels and iii) contributing to the mobilization of resources at the scale compatible with Brazil's commitments to mitigate climate change in accordance with Brazil's NAMAs by 2020, the project will advance goals of environmental sustainability not only nationally, but globally.

Furthermore, The Floresta+ pilot program, that aims to provide incentives for environmental services (IES) in the Amazon Biome region, has the following specific objectives: i) Provide monetary compensation to incentivize native vegetation conservation and recovery and improvement of ecosystems that generate environmental services (including but not limited to carbon), ii) Prevent the occurrence of deforestation, forest degradation and forest fires through financial incentives iii) Incentivize the conservation and recovery of native vegetation of rural properties, conservation areas, indigenous lands, land settlements and traditional people and community lands, iii) Promote compliance with the environmental legislation, especially that related to the protection and recovery of native vegetation (Forest Code) iv) Offer a financial mechanism to foster the development and implementation of public policies aimed at conservation and recovery of native vegetation. These aforementioned goals and commitments, that not only address the conservation and recovery of forest cover and carbon stocks, but also prioritize measures that address ecosystem services more broadly, put environmental sustainability at the very core of the

program.

The project will generate a number of co-benefits for the environment and people/communities who depend upon it, taking specific measures to protect biodiversity and critical habitats through targeted, modality-specific management plans, and when applicable, modality-specific plans that will support the preservation and restoration of water and soil resources, while avoiding any adverse impacts related to changing livelihood practices, the use of non-native/invasive species in reforestation efforts, and chemical inputs for production and pest-management. These objectives will be achieved will the support of real-time, transparent and participatory monitoring of diverse and relevant social and environmental indicators, which are outlined in the ESMF and will be updated/revised following the full ESIA. To mitigate risk of reversals and displacement of emissions, while benefitting both the environment and livelihoods and well-being of people in the Amazon, initiatives that are central to the program, and the strengthening and operationalization of SISREDD+, include strengthening land tenure security, the enhancement of monitoring and regulatory processes, enhancing the capacities of the stakeholders involved to pursue low-deforestation livelihoods, and encouraging participatory governance, integrating traditional knowledge, for the sustainable management of resources and promotion of sustainable production practices.

Part B. Identifying and Managing Social and Environmental Risks

QUESTION 2: What are the Potential Social and Environmental Risks? *Note: Describe briefly potential social and environmental risks identified in Attachment 1 – Risk Screening Checklist (based on any "Yes" responses). If no risks have been identified in Attachment 1 then note "No Risks Identified" and skip to Question 4 and Select "Low Risk". Questions 5 and 6 not required for Low Risk Projects.*		QUESTION 3: What is the level of significance of the potential social and environmental risks? *Note: Respond to Questions 4 and 5 below before proceeding to Question 6*		QUESTION 6: What social and environmental assessment and management measures have been conducted and/or are required to address potential risks (for Risks with Moderate and High Significance)?
Risk Description	**Impact and Probability (1-5)**	**Significance (Low, Moderate, High)**	**Comments**	***Description of assessment and management measures as reflected in the Project design. If ESIA or SESA is required note that the assessment should consider all potential impacts and risks.***
Risk 1: Adverse impacts on the enjoyment of **human rights** of affected populations through unfair or discriminatory impacts	I = 3 P = 3	Moderate	There is a risk that indigenous and traditional communities may not have full understanding of their rights, may not be given sufficient notice and information, or may not have the	There are substantial legal and policy frameworks in place to protect human rights, as well as the rights of IPs to their territories of traditional use (See PLR analysis, conducted as part of the ESA). To identify marginal, potentially at-risk populations, and in particular,

and exclusion, particularly of marginalized groups or people living in poverty because duty-bearers might not have the capacity to meet their obligations or because rights-holders might not have the capacity to claim their rights.

There are potential risks of excluding marginalized groups associated to the proposed beneficiary selection mechanism, which uses the Rural Environmental Registry (CAR) as the main program entry point.

There is a risk of unfair benefit-distribution when payments and compensation amounts are tailored to and target deforestation "hotspots" over large expanses of intact forest.

capacity to claim their rights. While significant progress has been made in Brazil in terms of respect and promotion of human rights, particularly those in regards to indigenous lands and self-determination, the government may not have the capacity to effectively comply with these obligations, given the extremely high cultural, linguistic, and livelihood diversity of traditional and indigenous communities, as well as the extensive geographic reach of the project, which will be implemented throughout the Amazon. In particular, this risk will vary considerably from state to state, given their different capacities to consult with stakeholders and their history with Indigenous People, which may generate distrust, conflict and delays that may undermine project objectives.

To be eligible for payments, beneficiaries must have land registered through the CAR, which could create a biased beneficiary selection process and unfairly benefit those who are already registered, as well as those for whom registration is accessible (not spatially isolated, able to hire someone to demarcate land, access to computer/internet). Currently, wealthy, individual owners of large land areas are disproportionately represented in the land registry. There is a risk of excluding those who have not yet registered their land or those who are facing institutional or practical challenges in registering. For small producers, and in particular those with farms in *assentamentos*, land regularization is overseen by INCRA, an institution with limited

potential human rights impacts, a full ESIA is planned as part of the launch of the project and design of Floresta+. Moreover, the project will be implemented using a phased approach to ensure that technical assistance and capacity building is provided to duty-bearers, both in terms of supporting ongoing land titling processes, responding to land conflicts in a fair and equitable manner. In particular, attention will be given to leveling out differences among states in terms of ability to carry out their human rights obligations, and support the land regularization of IPs and traditional communities.

Considering the different modalities of Floresta + and diverse groups of beneficiaries, modality-specific plans will be developed so that management and mitigation measures account for the needs and interests of marginalized groups, with particular attention to: (1) the status of their land and the resource rights of different beneficiaries in the project areas; (2) the benefit sharing structure for different beneficiary groups and payment mechanisms of different project modalities; (3) the engagement of women and other minority groups in decision-making and participation processes around activities, including the project design, implementation and management.

The ESMP will be updated to detail which sites will require specific plans and overall avoidance and management measures to be put in place across the project.

In particular, comprehensive stakeholder engagement plans, indigenous (and traditional) peoples plans, and gender action plans will outline key management measures to prevent potential human rights impacts for vulnerable and marginalized groups. They will define procedures for establishing a relationship of trust and dialogue through principles of accountability and rule of law, and ensuring participation and inclusion, and non-discrimination. Marginalized and vulnerable groups will be engaged throughout project implementation, as well as all impact assessment and management planning activities, including defining how they want to be engaged. Monitoring and evaluation of engagement processes will be conducted by a third party or external body, involving a variety of stakeholders, including NGOs, CSOs, and/or community

| | | | capacity and resources to effectively carry out legal land titling in these areas.

Additionally, Indigenous Peoples and Traditional Communities whose collective land rights are not secure, are more likely to have legal disputes about land demarcation or about overlapping and contradictory land claims (through 'grilagem verde', for example). Although the granting of Indigenous Land titles is an ongoing process, and in some areas local development plans for these territories (e.g., PGTAs) exist and can be used as the entry point for voluntary program participation, huge tracts of land targeted by the program have yet to titled, and the resources for the process of creating PGTAs is very limited. For the first years of the role out of the pilot program, there remains a risk exclusion, given that the majority of these groups still do not have their territories regularized, or do not have development plans in place – although this varies from state to state.

There is also a risk of unfair benefit-distribution when payments and compensation amounts are tailored to and target deforestation "hotspots" over large expanses of intact forest. In general, wealthy landowners reside in priority areas, many of which have already contributed to deforestation in the past, and have been granted amnesty under the revision of Brazil's Forest Code in 2012. A majority of Indigenous people and Traditional communities reside in remote regions that may not currently be threatened by deforestation, so there is a risk of disproportionately benefiting one group | representatives.

With specific reference to indigenous people and traditional communities, project activities occurring on their lands will be implemented on a voluntary basis, after adequate information is provided on the implications of adhesion to the program. The elaboration of the local development plans in indigenous territories (PGTA) and of management plans for sustainable use reserves (RESEX, FLONA) will serve as an entry point to the program. In cases where these plans do not yet exist, measures will be taken to design and implement these plans in a participatory manner, with self-selected representatives of indigenous and traditional communities leading the process.

An Indigenous and Traditional Peoples working group will be created that will help inform the design of Floresta+ modalities targeting IPs and traditional communities, as well as to inform the design of the stakeholder consultation process. FPIC procedures, focused on providing information and training on the Floresta+ will guide stakeholder engagement when there are potential impacts on their livelihoods and cultural heritage. Likewise, broadened participation of representatives of indigenous groups and traditional populations in the local, regional and national REDD-related platforms will continue to be promoted in the design, implementation and monitoring of project activities and indicators for the SISREDD+. Lessons learned from engagement with stakeholders in previous REDD-related platforms, at the national and state-level, will be taken into account to continue to strengthen the capacities of the government at all levels to comply with its obligations (e.g., SISA in Acre). The National Policy for Territorial and Environmental Management of Indigenous Lands (PNGATI) and The National Council of Traditional Peoples and Communities – CNPCT, are the main guiding policies for addressing and respecting the knowledge and rights of indigenous and traditional peoples and communities' territories.

Finally, appropriate grievance redress mechanisms (GRM) that provide channels for concerned stakeholders will be set at the program level to ensure accessibility for marginalized populations. |

			over the other.	There is currently a national system in place to register and resolve land disputes related to the CAR, as well as ombudsman offices (*ouvidoria*) for different government bodies at the federal and state level, including the ministries of environment. Additionally, the work of Brazil's Pastoral Land Commission (CPT) covers the entire national territory and is performed independently, offering support to small farmers and the landless, addressing problems of unjust land distribution and violence. These processes/administrative bodies will be supported throughout the rollout of the Floresta+ pilot program. For project-level complaints, cconflict management and mitigation measures are addressed through the GRM, which will be adapted to specific sites, considering (1) language and literacy of stakeholders; (2) logistical feasibility of reporting structure; (3) power relations between stakeholders and grievance officers along gender and ethno-cultural lines. This alignment with the sub-national and national level mechanisms already in place and/or with a new system for REDD-related grievances. Appropriate capacity building and technical training will be provided to coordinate and tailor these mechanisms at all levels, with particular attention to the state-level where the preparedness for REDD+ varies considerably (e.g., Acre and Mato Grosso are considerably advanced, and hence a phased approach will be adopted). Advisory committees that include stakeholders and representatives of IP and TC, following Acre's SISA example, will monitor complaints and response mechanisms. Finally, the UNDP Stakeholder Response Mechanism (SRM), provides an additional, formal avenue for stakeholders to engage with UNDP when they believe that a UNDP project may have adverse social or environmental impacts on them; they have raised their concerns with Implementing Partners (including applicable project, national or other GRMs) and/or with UNDP through standard channels for stakeholder consultation and engagement; and they have not been satisfied with the response.
Risk 2: Adverse impacts on gender equality and/or the situation of women and girls. The Project could potentially reproduce				

discrimination against women based on gender, especially regarding participation in the design and implementation or access to opportunities and benefits. The Project could potentially limit women's ability to use, develop and protect natural resources, taking into account different roles and positions of women and men in accessing benefits.	I = 3 P = 3	Moderate	Payments and other benefits (e.g., extension services, credit, productive input etc.) may favor head of households (men), especially if they are more highly represented among landowners officially registered to CAR. Similarly, in community-based payment schemes where a leader or representative of the group receives payment on behalf of others, there is a risk of inequitable benefit sharing among community members, including women.	A gender-responsive ESIA will further examine these risks, supported by a comprehensive gender analysis to assess relevant gender dynamics and inequalities with attention to the differences across the highly diverse groups of beneficiaries. It will also focus on the collection of additional baseline data on gender (e.g. on land tenure, women's involvement in decision-making at local/community levels, etc.). Additionally, the stakeholder consultation and engagement plans will ensure that efforts are designed and undertaken using a gender approach and equitably include representatives from more marginalized groups, including women, youth, single-family households. The gender action plan (Annex 6) will be reviewed and updated according to the ESIA recommendations (and gender-specific consultations) to mitigate risks of reproducing or exacerbating gender inequalities. This includes ensuring that project entry points for beneficiaries and corresponding incentives for environmental services (e.g., compensation schemes to individual, community representative, or other) are adequately assessed and designed. The plan will include relevant baselines and indicators to be monitored, disaggregated by gender and by group of beneficiaries. Finally, prioritizing payments to women, particularly female-headed households drawing on the lessons of 'Bolsa Familia', by enhancing their access to credit and productive resources, capacity building and training, or other such measures to mitigate this risk will be included in the project design and operations manual. The design will be validated by stakeholders, including women, and a gender specialist will support mainstreaming within the project. Community-based payment schemes will build on traditional and customary governance structures, while integrating measures to ensure that benefits are shared among community members, especially women, youth and elders. Consultations and participatory design of project activities will identify appropriate benefit sharing mechanisms that will mitigate risks of inequalities. Finally, appropriate grievance procedures/mechanisms to provide channels for concerned stakeholders will be set to ensure

				accessibility for marginalized populations, including women (See Risk 1 for further details). Should any complaints or disputes arise regarding project operations and benefit sharing that unfairly impact women, this mechanism will ensure timely responses and appropriate resolution.
Risk 3: Loss of access to natural resources, especially land and non-timber forest products. Project activities could create tensions or exacerbate conflicts among communities and individuals regarding land use and property rights claims. In some cases, the program could engender land speculation and drive land grabbing. The Project could potentially restrict availability, quality of and access to resources, in particular to marginalized groups, regarding farming, grazing, hunting or collecting of forest products.	I = 4 P = 3	Moderate	Project activities that restrict access to productive resources (especially land and forests) could have potentially negative impacts on individuals and communities that are highly dependent on natural resources for their livelihoods. This applies to all beneficiaries but in particular, Indigenous Peoples and Traditional Communities, who rely on forests for food, medicine, construction materials, cultural services, etc. (See also Risk 6, economic displacement). This risk could also potentially affect men and women differently, given their differentiated responsibilities and relationships to forests and land use (See also Risk 2). There is also a risk that activities related to environmental regularization through the CAR program could bring about conflicts between land users and disputed claims to land. This could adversely impact marginalized populations who may face social and cultural barriers in claiming their rights through CAR, or who are vulnerable to land grabbing (such as is occurring through 'grilagem verde') (See Risk 1 for further details).	The project will carry out upgrades to the SICAR for registering and monitoring processes that will strengthen land tenure security in the Amazon, measures will be taken to ensure that environmental registration is accessible to marginalized groups, including women, poor family farmers, indigenous people and traditional communities. Potential risks associated to land rights issues and beneficiary selection through the CAR will be further assessed in the full ESIA in line with UNDP's SES. The assessment will take into account land issues associate to the different Floresta+ modalities, as well as the varied land tenure security concerns of different beneficiary groups, with special attention to the diversity *within* groups (e.g., gender, ethnicity, etc.) To address the potential for exacerbated conflicts, a dispute resolution mechanism is integrated as part of the CAR and the project-level and federal-level GRM will be tailored to address land rights issues (See Risk 1 for further details) Regarding restricted access to resources, the Brazilian approach to Cancun safeguards clear states against any kind of restriction to the sustainable use of their own territory. A full ESIA will be carried out to determine if and where access restriction is a risk and, when it is unavoidable, the project will ensure affected stakeholders fully participate in the design, implementation, M&E of management plans. If livelihoods are natural resource based and access restrictions apply, the project will allow continued access or provide access to alternative resources with equivalent livelihood-earning potential and accessibility. Where common property is affected, benefits and compensation may be collective, as determined through the FPIC process.

| | | | | Floresta+ activities will be designed and implemented in coordination with existing policies and instruments (e.g., management plans), while supporting the operationalization of SISREDD+ to avoid any potentially negative impacts on livelihoods, especially of forest dependent individuals and communities. Attention will be given to clearly defining restricted activities related to natural resources and ecosystem services, to be decided in a participatory manner with beneficiaries. Where sustainable production and extraction practices are included in the design, both biodiversity and culturally significant livelihoods will be considered following UNDP SES. These activities will be tailored to the needs of different beneficiary groups, and their rights will be fully and effectively communicated, while also providing adequate training and support for alternative livelihood activities that are compatible with forest conservation and the maintenance of ecosystem services.

See also mitigation measures outlined for Risk 6 on economic displacement. |
|---|---|---|---|---|
| **Risk 4:** Project activities could have indirect negative impact on natural habitats or Protected Areas. Risk of introducing invasive species, or posing a risk to endangered species.

The project activities will take place within or adjacent to critical habitats and/or environmentally sensitive areas, including legally protected areas and indigenous people's lands. While there is a risk that beneficiaries displace illegal activities to protected areas or unclaimed/non-regularized land. | I = 3
P = 2 | Moderate | Project activities involving the restoration of forest cover on degraded land or sustainable production practices could affect biodiversity, water and soil quality, and other ecosystem services if invasive/non-native species are introduced, or mono-cropping tree plantations are implemented.

Likewise, displacement of livelihood activities through restricted land use could lead the intensification of harvesting NTFP and hunting activities, or illegal logging and agriculture and in adjacent protected areas, adversely impacting biodiversity or endangered species (See also Risk 6 on economic displacement and Risk 8 on emissions displacement). | The ESIA will further assess this risk in each of the four Floresta+ modalities and to determine how UNDP's social and environmental standards apply to all these activities. Any risks identified will be specified in the updated version of the ESMP and mitigation measures identified.

Biodiversity aspects will be emphasized in risk assessments and translated into the corresponding biodiversity action plans. Floresta+ is designed to provide incentives for the protection and restoration of environmental services in a holistic manner, while management measures will be taken to avoid adverse impacts these services, including biodiversity, carbon sequestration, as well as those of relevance to affected communities. If avoidance is not possible, the project will aim to maintain value and functionality of priority ecosystem services. Planning and implementation will prioritize the protection of ecologically sensitive areas using practices that mitigate risks to biodiversity, especially endangered and culturally important species. Each site will have documented baseline conditions that need to be understood and monitored. These plans |

				will be aligned with UNDP SES requirements on Biodiversity and following recommendations from the UNDP Guidance Note on SES 1: Biodiversity Conservation and Natural Resource Management. They will also support the strengthen the processes for monitoring of biodiversity indicators, as decided through the participatory process of SISREDD+ indicators, as guided by the meetings of the CCT-Safeguards advisory board. Furthermore, rigorous and well-validated national monitoring systems are in place to track illegal activities in protected areas to be included as part of Brazil's SISREDD+. Bottom-up, participatory monitoring of biodiversity will also be implemented as a key mitigation measure, particularly in the case on indigenous and traditional peoples, which will encourage ownership and valuation of traditional knowledge. See also mitigation measures for Risk 8 on displacement. To avoid the displacement of activities (hunting, NTFP extraction) in adjacent protected areas, the design of Floresta+ projects and modality-specific management plans will be coordinated with existing territorial land use and development plans and with the full participation of stakeholders. This will ensure that beneficiaries have adequate and appropriate livelihood opportunities to compensate for any displacement due to forest conservation. Beneficiaries will also be fully informed of restricted activities, which will be clearly defined before project implementation in consultation with stakeholders. See also mitigation measures outlined for Risk 6 and 7 that will stimulate sustainable local livelihoods, while enhancing and protecting ecosystem services, including biodiversity and cultural services. In the design of project activities, measures will be taken to avoid the introduction or utilization of invasive and non-native species, whether accidental or intentional, unless carried out per existing regulatory framework and subject to risk assessment. The choice of species for any plantation establishment, with avoidance/prohibition

				of any monoculture plantations, will be carefully considered. Areas that have begun to significantly regenerate will need to be assessed against high carbon and high conservation value thresholds before these areas are earmarked for plantations establishment. The Safeguards officer and project eligibility criteria will ensure that areas targeted for tree plantations were not degraded or deforested in anticipation of payments and other benefits, by tying eligibility to prerequisite requirements, such as time since forest clearing. The ESIA will assess this national [guidelines/PLR] against UNDP SES to ensure consistency and gap-filling measures are included in its application as needed.
Risk 5: Project activities could trigger Natural habitat conversion or ecosystem degradation. Project activities could directly or indirectly lead to the (increased) use of pesticides and chemical fertilizers, with potentially adverse effects on biodiversity, soil and water quality and other non-carbon related ecosystem services.	I=3 P= 2	Low	The project may drive or introduce the use of pesticides and fertilizers, especially if forest conservation leads to intensification of agricultural practices on already cleared land or if tree plantations require inputs that could potentially adversely impact the ecosystem and the services it provides.	The ESIA will further assess this risk in each of the four Floresta+ modalities to determine how UNDP's social and environmental standards apply to all proposed activities, and possible shifts in agricultural or livelihood practices. Any risks identified will be specified in updated versions of the ESMP and mitigation measures identified. Management measures will be included in updated and revised versions of the ESMP, in which baseline conditions will be established and procedures for monitoring will be outlined. Modality-specific plans and, when applicable, modality-specific plans will be developed following UNDP guidelines to mitigate degradation of critical natural habitats and ensure no net loss of biodiversity or ecosystem services.
Risk 6: Risk of economic displacement and inadequate compensation	I=4 P=2	Moderate	There is a risk of economic displacement when project activities restrict access to and the use of productive resources such as land and forests (See also Risk 3). Impacts may be especially acute for individuals and communities that are highly dependent on natural resources for their livelihoods. This applies to all beneficiaries but in particular, men and women may be affected differently, given their differentiated responsibilities and relationships to forests and land use (See Risk 2). Likewise, indigenous and traditional	A full ESIA will be carried out to determine if and where access restriction is a risk and, when it is unavoidable, the project will ensure affected stakeholders fully participate in the design, implementation, M&E of management plans. If livelihoods are natural resource based and access restrictions apply, the project will allow continued access or provide access to alternative resources with equivalent livelihood-earning potential and accessibility. Where common property is affected, benefits and compensation may be collective. To mitigate any negative impacts associated to economic displacement, the project will include mechansims that support

communities relate to and depend on the forest in ways that are practically and culturally distinct from family farmers and other land users in the Amazon. As such, restricted access to these resources could potentially have adverse effects on their livelihoods and cultural heritage (See Risk 7).

For activities that involve the promotion of sustainable rural livelihoods to address issues of economic displacement, there is a risk that beneficiaries will not receive adequate training or other resources that enable transitions and support alternative income generation that are needed to help beneficiaries maintain forest cover.

Additionally, there is a risk of incentivizing rural out-migration or land abandonment if payments are tied to a bank-based distribution system that are inaccessible to remote communities or individuals without bank accounts. Drawing on experiences with Bolsa Familia implementation in Brazil, rural households may move to urban areas to secure payments.

Finally, there is a risk of dependence of REDD payments rather than traditional livelihood practices and food systems, depending on the compensation amount, that could incentivize out-migration to urban areas or loss of cultural heritage (See also Risk 7).

rural, sustainable production practices and alternative livelihood opportunities for family farmers, IPs, and TCs. During the design phase, consultations will take with different groups of beneficiaries in order to inform the appropriate level of incentives/ payments to mitigate this risk.

Modality-specific management plans and livelihood action plans, that are tailored to the different Floresta+ modalities and different groups of beneficiaries will be developed, when applicable. These will be aligned with existing territorial plans that have been elaborated through stakeholder consultations or self-determined, community-led initiatives (e.g., PGTAs). The ESMP and specific plans will pay particular attention to the heterogeneity within these groups, including the different linguistic, cultural and land use practices of indigenous and traditional peoples and family farmers that vary considerably across the Amazon.

Measures to support sustainable livelihood options will be integrated into these plans, outlining targets for capacity building, credit, and other productive resources for beneficiaries as additional financial incentives.

The amount of payment per hectare will be defined in norms to be published by the Floresta+ Program Management Committee. Direct payments will be calculated based on the area of native vegetation remnants and environmental liabilities to be recovered, in hectares, according to the data in the National Rural Environmental Registry System (CAR).

The project will uphold the definition of sustainable extraction levels of a living natural resource, ensuring sustainable management that enables people and communities, including indigenous peoples, to provide for their social, economic, and cultural well-being while also sustaining the potential for those resources to meet the needs of future generations.

Special measures to address inequalities for women and other minorities will be included in the gender action and the indigenous people's plans (See Mitigation Measures in Risks 2 and 7). Financial mechanisms will be set up through the project to support the

				required for adapting land uses and short and medium term mechanisms to compensate opportunity costs during the transition. These mechanisms will be adapted different groups of stakeholders inclusive of small-scale farmers and indigenous/traditional communities. The project will determine any actions to avoid adverse economic displacement, and a set of parameters will be defined to monitor and report. Furthermore, procedures will be put in place to ensure that there is participatory design and implementation of land use planning with communities, to avoid restricting or economically displacing livelihood activities of IPs, TCs and family farmers. The stakeholder engagement plan will include specific actions to engage with marginalized groups, so that issues of food insecurity and access to clean water that disproportionately impact women or indigenous peoples are considered. Regarding restricted access to resources, Floresta+ activities will be designed and implemented in coordination with existing management plans to avoid any potentially negative impacts on livelihoods. For IPs and TCs, these plans will be developed or be revised/updated with the full participation of communities. For family farmers, Floresta+ activites will be coordinated with existing regional land use and development plans (e.g. ZEE) that address strategies for alternative and sustainable rural employment and income. The ESIA will further assess risks associated to compensation mechainsms for different benficiary groups, and will be evaluated in consultation with targeted beneficiaries to identify barriers and risks specific to their geographic location and cultural and social needs, priorities, and concerns. The compensation mehcanism and distribution systems will be modified accordingly to ensure accessibility to remote and marginalized groups, while procedures will be implemented to monitor the impacts of payments on livelihoods, as a community-led or participatory procedure when applicable.

| Risk 7: The project could potentially adversely affect the cultural heritage of traditional and indigenous peoples, in its intangible form, including the knowledge, practices, technologies, innovations, and institutions related to traditional ways of life. | I=3 P=3 | Moderate | There is a risk that payments made directly to indigenous and tradtional communities will trigger a shift from a subsistence economy to a cash-based, market-integrated economy, which could lead to the loss of traditional livelihood practices (especially those related to the sustainable extraction of forest products, fishing, hunting, etc) and degradation of traditional social structures and knowledge systems that support the health and well-being of these communities. | Currently, some consideration of traditional knowledge and practices in the monitoring and management of various safeguards is incorporated in the participatory process for creating socio-environmental indicators for the SISREDD+. Cultural heritage is also explicitly considered in the creation of PGTAs, the voluntary process of creating development plans based on IP priorities, epistemology and worldviews.

The ESIA will further identify these potential risks on traditional forms of knowledge and practices, firther taking into consideration the diversity of Indigenous and traditional cultures in the Amazon that give rise to unique knowledge, practices and social structures among Brazil's varied IPs.

Culturally-sensitive consultations will be carried out for the participatory design and management planning of project activities, to ensure that the needs, concerns, and priorities of these diverse groups are accounted for and integrated to avoid any adverse impacts on their cultural heritage.

In modality-specific indigenous peoples plans, procedures to monitor and report the impacts of compensation and benefits (monetary and non-monetary) on traditional knowledge, practices, and social structures will be defined and carried out with the full participation of affected communities. This will include community-led, local reporting and monitoring of illegal activities (poaching, logging), where applicable and appropriate, as decided through community consultations. These IP plans will link to the PGTAs, where these plans exist, and further support the elaboration of such plans where they have yet to be completed.

Finally, a GRM will be developed, ensuring that this is accessible and transparent (See further details in mitigation measures for Risk 1). |
| Risk 8: Displacement of emissions to other sectors, biomes or countries. | I=4 P=3 | Moderate | There is a risk that actions to reduce emissions for deforestation and forest degradation provoke displacement of activities to other critical biomes in Brazil, such as the *Cerrado* or *Caatinga*. Likewise, | Brazil has demonstrated a strong commitment to continuous improvement of its FREL estimates and monitoring programs. While the scope of the FREL and monitoring has focused on critical areas in the Amazon, scaling up of the implementation of REDD+ from the biome to the national level, in a stepwise manner is underway, to |

			transnational leakage is a risk, particularly in areas that border countries with significantly lower capacities to monitor and enforce deforestation, such as Peru or Bolivia. Finally, payments for restricting activities in designated forested areas could be re-invested to promote land-intensive commodity sectors (See risk 5) or support non-forestry sector activities (e.g., artisanal mining, industrial production) within and outside of the Brazilian Amazon that generate GHG emissions and could offset progress made by REDD+ activities	help track and manage any potential for displaced emissions within Brazil's borders. This includes consistent, reliable, credible, accurate, transparent and verifiable monitoring of deforestation and degradation, such as PRODES, which is integrated into the SISREDD+. In 2015, to improve environmental monitoring at the national level, the Brazilian Biomes Environmental Monitoring Program was established and is aligned with the objectives of the ENREDD+ to deliver the enhancement and improvement of systems and monitoring protocols – particularly for the extra-Amazonian biomes – necessary for achieving the desired national scale. Additional actions include the implementation of the PPCerrado and the engagement of stakeholders beyond the Amazon in the ENREDD+, the establishment of the Rural Environmental Registry (CAR) and the creation of a national forest monitoring system (NFMS). These initiatives will also provide important information to improve, at the national level, policies to combat deforestation and forest degradation and to foster forest recovery. Regarding the inclusion of other REDD-plus activities, Brazil will include reducing emissions from forest degradation in the biomes where this activity is considered by the Working Group of Technical Experts on REDD+ as a significant source of emissions. The same applies for pools and non-CO_2 gases. To mitigate displacement of emissions to other sectors, the innovations modality of Floresta+ will support private sector actors in created green innovative technologies and production practices. These measures will also be buttressed by PLRs related to climate change and resource management that provide legal and regulatory frameworks that will mitigate cross-sectoral displacement of emissions.
Risk 9: Reversals (non-permeance of carbon stocks). Risk of reversals is assumed in all REDD+ projects including conservation, sustainable management of forests, and enhancement of C stocks. These risks are related to factors that		Moderate	There is risk of incentive structures, compensation, and other program benefits not adequately covering opportuniy costs and participants needs over long time horizons, given that drivers and dynamics of deforestation and degredation can rapidly change or shift to new locations overtime.	Brazil has several actions to monitor, analyze and improve the coordinated actions for maintaining reduced deforestation rates. As described in the FP, each phase of PPCDAm is an opportunity to analyze both the main causes of deforestation and the risks of reversals, which leads to improvements in the action plan. To ensure permanence, the underlying factors of deforestation and forest degradation will be reassessed and re-evaluated to reflect an

could result in participant's withdrawal from the voluntary program.			This risk is equally relevant to cases where beneficiaries may feel locked-in to lands use obligations over time with out the capacity and resources to adapt their livelihoods and land use practices (See Risk 6 on economic displacement) Similarly, there is a risk that delayed or inadequate payments after program rollout could also lead to dissatisfaction and conflict, resulting in withdrawal from the program and subsequent deforestation/ degradation of areas targeted for protection or restoration. This risk is associated to myriad factors, including the consultation process, potential financial and operations risks (such as corruption in the government or fund distribution parties) or significant shifts in political agendas following elections. Finally, non-human factors can also contribute to the risk of reversals, notably those linked to climate change pressures (such as natural disasters, extreme flooding, fires, etc.), which could off-set REDD+ efforts.	understanding of the likely effect of climate on forests, including both anthropogenic and natural drivers. It should be highlighted that the implementation if the Floresta+ program which incentivizes familiar farmers, IPs, TCs and other relevant stakeholders to maintain forests and associated environmental services are pivotal to these efforts. Further mitigation measures to address the risk of reversals will be taken at the project-level, and involve the further support of monitoring processes, as well as the updating and revision of management plans and stakeholder engagement plans – in accordance with new phases of PPCDAm – so that the procedures outlined for engagements with natural resource users over time will continue to benefit livelihoods and well-beings while incentivizing commitments to conservation, restoration, and reduced deforestation (See mitigation measures for Risks 6, economic displacement, Risk 7, cultural heritage, and Risk 1, human rights). Careful coordination of PLRs with other relevant sectors and Ministries (including, but not limited to those involved in the implementation of PPCDAm) will also be prioritized in order to achieve optimal results.

QUESTION 4: What is the overall Project risk categorization?		
Select one (see SESP for guidance)		**Comments**
Low Risk	☐	
Moderate Risk	X	The proposed program includes activities with potential adverse social and environmental risks and impacts, that are limited in scale, can be identified with a reasonable degree of certainty, and can be addressed through application of standard best practice, mitigation measures and stakeholder engagement during Project implementation.
High Risk	☐	

QUESTION 5: Based on the identified risks and risk categorization, what requirements of the SES are relevant?		
Check all that apply		**Comments**
Principle 1: Human Rights	X	
Principle 2: Gender Equality and Women's Empowerment	X	
1. *Biodiversity Conservation and Natural Resource Management*	X	
2. *Climate Change Mitigation and Adaptation*	X	
3. *Community Health, Safety and Working Conditions*	X	
4. *Cultural Heritage*	X	
5. *Displacement and Resettlement*	X	
6. *Indigenous Peoples*	X	
7. *Pollution Prevention and Resource Efficiency*	X	

Final Sign Off

Signature	*Date*	*Description*
QA Assessor		UNDP staff member responsible for the Project, typically a UNDP Programme Officer. Final signature confirms they have "checked" to ensure that the SESP is adequately conducted.
QA Approver		UNDP senior manager, typically the UNDP Deputy Country Director (DCD), Country Director (CD), Deputy Resident Representative (DRR), or Resident Representative (RR). The QA Approver cannot also be the QA Assessor. Final signature confirms they have "cleared" the SESP prior to submittal to the PAC.
PAC Chair		UNDP chair of the PAC. In some cases PAC Chair may also be the QA Approver. Final signature confirms that the SESP was considered as part of the project appraisal and considered in recommendations of the PAC.

SESP Attachment 1. Social and Environmental Risk Screening Checklist

Checklist Potential Social and Environmental Risks	
Principles 1: Human Rights	**Answer (Yes/No)**
1. Could the Project lead to adverse impacts on enjoyment of the human rights (civil, political, economic, social or cultural) of the affected population and particularly of marginalized groups?	Yes
2. Is there a likelihood that the Project would have inequitable or discriminatory adverse impacts on affected populations, particularly people living in poverty or marginalized or excluded individuals or groups? [12]	Yes
3. Could the Project potentially restrict availability, quality of and access to resources or basic services, in particular to marginalized individuals or groups?	Yes
4. Is there a likelihood that the Project would exclude any potentially affected stakeholders, in particular marginalized groups, from fully participating in decisions that may affect them?	Yes
5. Is there a risk that duty-bearers do not have the capacity to meet their obligations in the Project?	Yes
6. Is there a risk that rights-holders do not have the capacity to claim their rights?	Yes
7. Have local communities or individuals, given the opportunity, raised human rights concerns regarding the Project during the stakeholder engagement process?	
8. Is there a risk that the Project would exacerbate conflicts among and/or the risk of violence to project-affected communities and individuals?	Yes
Principle 2: Gender Equality and Women's Empowerment	
1. Is there a likelihood that the proposed Project would have adverse impacts on gender equality and/or the situation of women and girls?	Yes
2. Would the Project potentially reproduce discriminations against women based on gender, especially regarding participation in design and implementation or access to opportunities and benefits?	Yes
3. Have women's groups/leaders raised gender equality concerns regarding the Project during the stakeholder	No

---

[12] Prohibited grounds of discrimination include race, ethnicity, gender, age, language, disability, sexual orientation, religion, political or other opinion, national or social or geographical origin, property, birth or other status including as an indigenous person or as a member of a minority. References to "women and men" or similar is understood to include women and men, boys and girls, and other groups discriminated against based on their gender identities, such as transgender people and transsexuals.

	engagement process and has this been included in the overall Project proposal and in the risk assessment?	
4.	Would the Project potentially limit women's ability to use, develop and protect natural resources, taking into account different roles and positions of women and men in accessing environmental goods and services? *For example, activities that could lead to natural resources degradation or depletion in communities who depend on these resources for their livelihoods and well being*	Yes
Principle 3: Environmental Sustainability: Screening questions regarding environmental risks are encompassed by the specific Standard-related questions below		
Standard 1: Biodiversity Conservation and Sustainable Natural Resource Management		
1.1	Would the Project potentially cause adverse impacts to habitats (e.g. modified, natural, and critical habitats) and/or ecosystems and ecosystem services? *For example, through habitat loss, conversion or degradation, fragmentation, hydrological changes*	Yes
1.2	Are any Project activities proposed within or adjacent to critical habitats and/or environmentally sensitive areas, including legally protected areas (e.g. nature reserve, national park), areas proposed for protection, or recognized as such by authoritative sources and/or indigenous peoples or local communities?	Yes
1.3	Does the Project involve changes to the use of lands and resources that may have adverse impacts on habitats, ecosystems, and/or livelihoods? (Note: if restrictions and/or limitations of access to lands would apply, refer to Standard 5)	Yes
1.4	Would Project activities pose risks to endangered species?	No
1.5	Would the Project pose a risk of introducing invasive alien species?	Yes
1.6	Does the Project involve harvesting of natural forests, plantation development, or reforestation?	Yes
1.7	Does the Project involve the production and/or harvesting of fish populations or other aquatic species?	No
1.8	Does the Project involve significant extraction, diversion or containment of surface or ground water? *For example, construction of dams, reservoirs, river basin developments, groundwater extraction*	No
1.9	Does the Project involve utilization of genetic resources? (e.g. collection and/or harvesting, commercial development)	Yes
1.10	Would the Project generate potential adverse transboundary or global environmental concerns?	Yes
1.11	Would the Project result in secondary or consequential development activities which could lead to adverse social and environmental effects, or would it generate cumulative impacts with other known existing or planned activities in the area?	Yes

	For example, a new road through forested lands will generate direct environmental and social impacts (e.g. felling of trees, earthworks, potential relocation of inhabitants). The new road may also facilitate encroachment on lands by illegal settlers or generate unplanned commercial development along the route, potentially in sensitive areas. These are indirect, secondary, or induced impacts that need to be considered. Also, if similar developments in the same forested area are planned, then cumulative impacts of multiple activities (even if not part of the same Project) need to be considered.	
Standard 2: Climate Change Mitigation and Adaptation		
2.1	Will the proposed Project result in significant[13] greenhouse gas emissions or may exacerbate climate change?	No
2.2	Would the potential outcomes of the Project be sensitive or vulnerable to potential impacts of climate change?	Yes
2.3	Is the proposed Project likely to directly or indirectly increase social and environmental vulnerability to climate change now or in the future (also known as maladaptive practices)? *For example, changes to land use planning may encourage further development of floodplains, potentially increasing the population's vulnerability to climate change, specifically flooding*	No
Standard 3: Community Health, Safety and Working Conditions		
3.1	Would elements of Project construction, operation, or decommissioning pose potential safety risks to local communities?	No
3.2	Would the Project pose potential risks to community health and safety due to the transport, storage, and use and/or disposal of hazardous or dangerous materials (e.g. explosives, fuel and other chemicals during construction and operation)?	No
3.3	Does the Project involve large-scale infrastructure development (e.g. dams, roads, buildings)?	No
3.4	Would failure of structural elements of the Project pose risks to communities? (e.g. collapse of buildings or infrastructure)	No
3.5	Would the proposed Project be susceptible to or lead to increased vulnerability to earthquakes, subsidence, landslides, erosion, flooding or extreme climatic conditions?	No
3.6	Would the Project result in potential increased health risks (e.g. from water-borne or other vector-borne diseases or communicable infections such as HIV/AIDS)?	No

---

[13] In regards to CO_2, 'significant emissions' corresponds generally to more than 25,000 tons per year (from both direct and indirect sources). [The Guidance Note on Climate Change Mitigation and Adaptation provides additional information on GHG emissions.]

3.7	Does the Project pose potential risks and vulnerabilities related to occupational health and safety due to physical, chemical, biological, and radiological hazards during Project construction, operation, or decommissioning?	No
3.8	Does the Project involve support for employment or livelihoods that may fail to comply with national and international labor standards (i.e. principles and standards of ILO fundamental conventions)?	Yes
3.9	Does the Project engage security personnel that may pose a potential risk to health and safety of communities and/or individuals (e.g. due to a lack of adequate training or accountability)?	No
Standard 4: Cultural Heritage		
4.1	Will the proposed Project result in interventions that would potentially adversely impact sites, structures, or objects with historical, cultural, artistic, traditional or religious values or intangible forms of culture (e.g. knowledge, innovations, practices)? (Note: Projects intended to protect and conserve Cultural Heritage may also have inadvertent adverse impacts)	Yes
4.2	Does the Project propose utilizing tangible and/or intangible forms of cultural heritage for commercial or other purposes?	No
Standard 5: Displacement and Resettlement		
5.1	Would the Project potentially involve temporary or permanent and full or partial physical displacement?	Yes
5.2	Would the Project possibly result in economic displacement (e.g. loss of assets or access to resources due to land acquisition or access restrictions – even in the absence of physical relocation)?	Yes
5.3	Is there a risk that the Project would lead to forced evictions?[14]	No
5.4	Would the proposed Project possibly affect land tenure arrangements and/or community based property rights/customary rights to land, territories and/or resources?	Yes
Standard 6: Indigenous Peoples		
6.1	Are indigenous peoples present in the Project area (including Project area of influence)?	Yes

---

[14] Forced evictions include acts and/or omissions involving the coerced or involuntary displacement of individuals, groups, or communities from homes and/or lands and common property resources that were occupied or depended upon, thus eliminating the ability of an individual, group, or community to reside or work in a particular dwelling, residence, or location without the provision of, and access to, appropriate forms of legal or other protections.

6.2	Is it likely that the Project or portions of the Project will be located on lands and territories claimed by indigenous peoples?	Yes
6.3	Would the proposed Project potentially affect the human rights, lands, natural resources, territories, and traditional livelihoods of indigenous peoples (regardless of whether indigenous peoples possess the legal titles to such areas, whether the Project is located within or outside of the lands and territories inhabited by the affected peoples, or whether the indigenous peoples are recognized as indigenous peoples by the country in question)? *If the answer to the screening question 6.3 is "yes" the potential risk impacts are considered potentially severe and/or critical and the Project would be categorized as either Moderate or High Risk.*	Yes
6.4	Has there been an absence of culturally appropriate consultations carried out with the objective of achieving FPIC on matters that may affect the rights and interests, lands, resources, territories and traditional livelihoods of the indigenous peoples concerned?	Yes
6.5	Does the proposed Project involve the utilization and/or commercial development of natural resources on lands and territories claimed by indigenous peoples?	No
6.6	Is there a potential for forced eviction or the whole or partial physical or economic displacement of indigenous peoples, including through access restrictions to lands, territories, and resources?	Yes
6.7	Would the Project adversely affect the development priorities of indigenous peoples as defined by them?	Yes
6.8	Would the Project potentially affect the physical and cultural survival of indigenous peoples?	No
6.9	Would the Project potentially affect the Cultural Heritage of indigenous peoples, including through the commercialization or use of their traditional knowledge and practices?	Yes
Standard 7: Pollution Prevention and Resource Efficiency		
7.1	Would the Project potentially result in the release of pollutants to the environment due to routine or non-routine circumstances with the potential for adverse local, regional, and/or transboundary impacts?	Yes
7.2	Would the proposed Project potentially result in the generation of waste (both hazardous and non-hazardous)?	Yes
7.3	Will the proposed Project potentially involve the manufacture, trade, release, and/or use of hazardous chemicals and/or materials? Does the Project propose use of chemicals or materials subject to international bans or phase-outs? *For example, DDT, PCBs and other chemicals listed in international conventions such as the Stockholm Conventions on Persistent Organic Pollutants or the Montreal Protocol*	No
7.4	Will the proposed Project involve the application of pesticides that may have a negative effect on the environment or human health?	Yes

7.5	Does the Project include activities that require significant consumption of raw materials, energy, and/or water?	No

While it's considered that Cancun safeguards (f) and (g) are implicitly captured in the UNDP Social and Environmental Standards and Policies (See Demonstrating Consistency: UNDP Social and Environmental Standards and Policies and UNFCCC Cancun Safeguards, 1 June 2016), it is important to consider these Cancun safeguards separately in the SESP and ESMP because they: 1) are not explicitly referenced in the UNDP standards; 2) are unique, assumed risks for forest and land use; and 3) should be reflected separately in the national reporting of the SIS/SOI.

Cancun safeguard (f) – Address the risk of reversals	
• Does the scope of the project include conservation, sustainable management of forests, and/or enhancement activities?	Yes
• Are C stocks conserved, enhanced, managed through the project activities likely to be vulnerable to: climate change (e.g., more frequent drought, flooding, Wildfire? Institutional failure?	Yes
Cancun safeguard (g) – Reduce displacement of emissions	
• Is the scale of the project subnational?	Yes
• Does the scope of the project include less than all 5 REDD+ activities?	No
• Are any project activities likely to result in displacement of land-use change at the local level? Within national borders?	Yes

ANNEXURE 2. INDICATIVE OUTLINE FOR ESIA REPORT

A Full Environmental and Social Impact Assessment (ESIA) will be developed and carried out by independent experts in a participatory manner with stakeholders during the inception phase of the project and as part of the work plan preparatory activities. This will involve stakeholder consultations and engagement, as well as research, field work, and management planning. The targeted assessments/comprehensive Environmental and Social Impact Assessment (ESIA) will be undertaken once project activities/sub-projects and sites are fully defined. The assessment(s) will be conducted in a manner consistent with national regulations and the UNDP SES and lead to the development of appropriately scaled management measures and plans to address the identified risks and impacts. The UNDP SES and SESP require that in all cases required social and environmental assessments and adoption of appropriate mitigation and management measures must be completed, disclosed, and discussed with stakeholders prior to implementation of any activities that may cause adverse social and environmental impacts. Refer to the UNDP SES Guidance Note on Assessment and Management for additional information.

An ESIA report should include the following major elements (not necessarily in the following order):

(1) **Executive summary:** Concisely discusses significant findings and recommended actions.

(2) **Legal and institutional framework:** Summarizes the analysis of the legal and institutional framework for the project, within which the social and environmental assessment is carried out, including (a) the country's applicable policy framework, national laws and regulations, and institutional capabilities (including implementation) relating to social and environmental issues; obligations of the country directly applicable to the project under relevant international treaties and agreements; (b) applicable requirements under UNDP's SES; and (c) and other relevant social and environmental standards and/or requirements, including those of any other donors and development partners. Compares the existing social and environmental framework and applicable requirements of UNDP's SES (and those of other donors/development partners) and identifies any potential gaps that will need to be addressed.

(3) **Project description:** Concisely describes the proposed project and its geographic, social, environmental, and temporal context, including any offsite activities that may be required (e.g., dedicated pipelines, access roads, power supply, water supply, housing, and raw material and product storage facilities), as well as the project's primary supply chain. Includes a map of sufficient detail, showing the project site and the area that may be affected by the project's direct, indirect, and cumulative impacts. (i.e. area of influence).

(4) **Baseline data:** Summarizes the baseline data that is relevant to decisions about project location, design, operation, or mitigation measures; identifies and estimates the extent and quality of available data, key data gaps, and uncertainties associated with predictions; assesses the scope of the area to be studied and describes relevant physical, biological, and

socioeconomic conditions, including any changes anticipated before the project commences; and takes into account current and proposed development activities within the project area but not directly connected to the project.

(5) Social and environmental risks and impacts: Predicts and takes into account all relevant social and environmental risks and impacts of the project, including those related to UNDP's SES (Overarching Policy and Principles and Project-level Standards). These will include, but are not limited to, the following:

(a) Environmental risks and impacts, including: any material threat to the protection, conservation, maintenance and rehabilitation of natural habitats, biodiversity, and ecosystems; those related to climate change and other transboundary or global impacts; those related to community health and safety; those related to pollution and discharges of waste; those related to the use of living natural resources, such as fisheries and forests; and those related to other applicable standards.[15]

(b) Social risks and impacts, including: any project-related threats to human rights of affected communities and individuals; threats to human security through the escalation of personal, communal or inter-state conflict, crime or violence; risks of gender discrimination; risks that adverse project impacts fall disproportionately on disadvantaged or marginalized groups; any prejudice or discrimination toward individuals or groups in providing access to development resources and project benefits, particularly in the case of disadvantaged or marginalized groups; negative economic and social impacts relating to physical displacement (i.e. relocation or loss of shelter) or economic displacement (i.e. loss of assets or access to assets that leads to loss of income sources or means of livelihood) as a result of project-related land or resource acquisition or restrictions on land use or access to resources; impacts on the health, safety and well-being of workers and project-affected communities; and risks to cultural heritage.

(6) Analysis of alternatives: systematically compares feasible alternatives to the proposed project site, technology, design, and operation – including the "without project" situation – in terms of their potential social and environmental impacts; assesses the alternatives' feasibility of mitigating the adverse social and environmental impacts; the capital and recurrent costs of alternative mitigation measures, and their suitability under local conditions; the institutional, training, and monitoring requirements for the alternative mitigation measures; for each of the alternatives, quantifies the social and environmental impacts to the extent possible, and attaches economic values where feasible. Sets out the basis for selecting the particular project design.

(7) Mitigation Measures: Inclusion or summary of (with attachment of full) Environmental and Social Management Plan (ESMP) (see indicative outline of ESMP below.) The ESMP identifies mitigation measures required to address identified social and environmental risks and

---

15 For example, the Environmental, Health, and Safety Guidelines (EHSGs), which are technical reference documents with general and industry-specific statements of Good International Industry Practice. The EHSGs contain information on industry- specific risks and impacts and the performance levels and measures that are generally considered to be achievable in new facilities by existing technology at reasonable cost. Available at www.ifc.org/ehsguidelines.

impacts, as well as measures related to monitoring, capacity development, stakeholder engagement, and implementation action plan.

(8) Conclusions and Recommendations: Succinctly describes conclusion drawn from the assessment and provides recommendations.

(9) Appendices: (i) List of the individuals or organizations that prepared or contributed to the social and environmental assessment; (ii) References – setting out the written materials both published and unpublished, that have been used; (iii) Record of meetings, consultations and surveys with stakeholders, including those with affected people and local NGOs. The record specifies the means of such stakeholder engagement that were used to obtain the views of affected groups and local NGOs, summarizes key concerns and how these concerns addressed in project design and mitigation measures; (iv) Tables presenting the relevant data referred to or summarized in the main text; (v) Attachment of any other mitigation plans; (vi) List of associated reports or plans.

ANNEXURE 3: INDICATIVE OUTLINE FOR ESMP

A full ESMP will be elaborated once the ESIA can be carried out following the final design of the Floresta+ program and the identification of specific criteria for voluntary program participation and payment of beneficiaries. Included in the annexes are a number of indicative outlines and guidance on specific management plans (e.g., Stakeholder Engagement Plan, Livelihoods Action Plan, Indigenous peoples plan, etc.) that apply across all elements of the Floresta+ program and will be elaborated as modality-specific plans following completion of the full impact assessment of the program and the specific projects that will be implemented within. Similarly, a preliminary Gender Assessment and Action Plan has been included in the Annexes, which will require updating following the ESIA.

Below is an indicative outline for the development of an ESMP once project activities have been fully specified and assessed. A number of elements of the ESMF feed directly into the ESMP. Refer to the UNDP SES Guidance Note on Assessment and Management for additional information. Annexure 4 that follows (Key Environmental and Social Indicators and Management Measures) is an integral part of the ESMP but is provided separately for ease of use.

An ESMP may be prepared as part of the Environmental and Social Impact Assessment (ESIA) or as a stand-alone document.[16] The content of the ESMP should address the following sections:

(1) Mitigation: Identifies measures and actions in accordance with the mitigation hierarchy that avoid, or if avoidance not possible, reduce potentially significant adverse social and environmental impacts to acceptable levels. Specifically, the ESMP: (a) identifies and summarizes all anticipated significant adverse social and environmental impacts; (b) describes – with technical details – each mitigation measure, including the type of impact to which it relates and the conditions under which it is required (e.g., continuously or in the event of contingencies), together with designs, equipment descriptions, and operating procedures, as appropriate; (c) estimates any potential social and environmental impacts of these measures and any residual impacts following mitigation; and (d) takes into account, and is consistent with, other required mitigation plans (e.g. for displacement, indigenous peoples).

(2) Monitoring: Identifies monitoring objectives and specifies the type of monitoring, with linkages to the impacts assessed in the environmental and social assessment and the mitigation measures described in the ESMP. Specifically, the monitoring section of the ESMP provides (a) a specific description, and technical details, of monitoring measures, including the parameters to be measured, methods to be used, sampling locations, frequency of measurements, detection limits (where appropriate), and definition of thresholds that will signal the need for corrective actions; and (b) monitoring and reporting procedures to (i)

---

[16] This may be particularly relevant where contractors are being engaged to carry out the project, or parts thereof, and the ESMP sets out the requirements to be followed by contractors. In this case the ESMP should be incorporated as part of the contract with the contractor, together with appropriate monitoring and enforcement provisions. Incorporate the following Annexure Key Environmental and Social Indicators and Management Measures.

ensure early detection of conditions that necessitate particular mitigation measures, and (ii) furnish information on the progress and results of mitigation.

(3) Capacity development and training: To support timely and effective implementation of social and environmental project components and mitigation measures, the ESMP draws on the environmental and social assessment of the existence, role, and capability of responsible parties on site or at the agency and ministry level. Specifically, the ESMP provides a description of institutional arrangements, identifying which party is responsible for carrying out the mitigation and monitoring measures (e.g. for operation, supervision, enforcement, monitoring of implementation, remedial action, financing, reporting, and staff training). Where support for strengthening social and environmental management capability is identified, ESMP recommends the establishment or expansion of the parties responsible, the training of staff and any additional measures that may be necessary to support implementation of mitigation measures and any other recommendations of the environmental and social assessment.

(4) Stakeholder Engagement: Outlines plan to engage in meaningful, effective and informed consultations with affected stakeholders. Includes information on (a) means used to inform and involve affected people in the assessment process; (b) summary of stakeholder engagement plan for meaningful, effective consultations during project implementation, including identification of milestones for consultations, information disclosure, and periodic reporting on progress on project implementation; and (c) description of effective processes for receiving and addressing stakeholder concerns and grievances regarding the project's social and environmental performance.

(5) Implementation action plan (schedule and cost estimates): For all four above aspects (mitigation, monitoring, capacity development, and stakeholder engagement), ESMP provides (a) an implementation schedule for measures that must be carried out as part of the project, showing phasing and coordination with overall project implementation plans; and (b) the capital and recurrent cost estimates and sources of funds for implementing the ESMP. These figures are also integrated into the total project cost tables. Each of the measures and actions to be implemented will be clearly specified and the costs of so doing will be integrated into the project's overall planning, design, budget, and implementation.

Annexure 4: Key Social and Environmental Indicators and Management measures

This annex addresses key environmental and social indicators for the Floresta + pilot program. It outlines the baseline of the environmental and social contexts in the Amazon biome and contains information that will support the full development of indicators for modality-specific, and when applicable site-specific, monitoring and reporting. This will include baseline information at the state-level and, when available and relevant, information at lower administrative levels. These are central components of the ESMP, which will be elaborated during the first year of program roll-out. Indicators for monitoring and procedures for reporting will align with the National SISREDD+, so that project activities coordinate with and feed into broader safeguards monitoring and reporting processes at the federal-level.

Environmental baseline

The Amazon biome is the largest area of remaining tropical rain forest in the world, and the Brazilian Amazon region accounts for over 60% of it. The area is defined by predominantly dense moist tropical rainforest and other vegetation types (such as savannas, floodplain forests, grasslands, swamps, bamboos, palm forests) (Figure 1). It is also defined by unique freshwater ecosystems, covering the world's largest river basin that surpass other freshwater systems on the Earth in length and in volume. The Brazilian Amazon Biome is virtually unparalleled in scale and complexity, with diverse ecological, socio-economic, and political characteristics that represent logistical and geo-physical challenges in monitoring such a massive area.
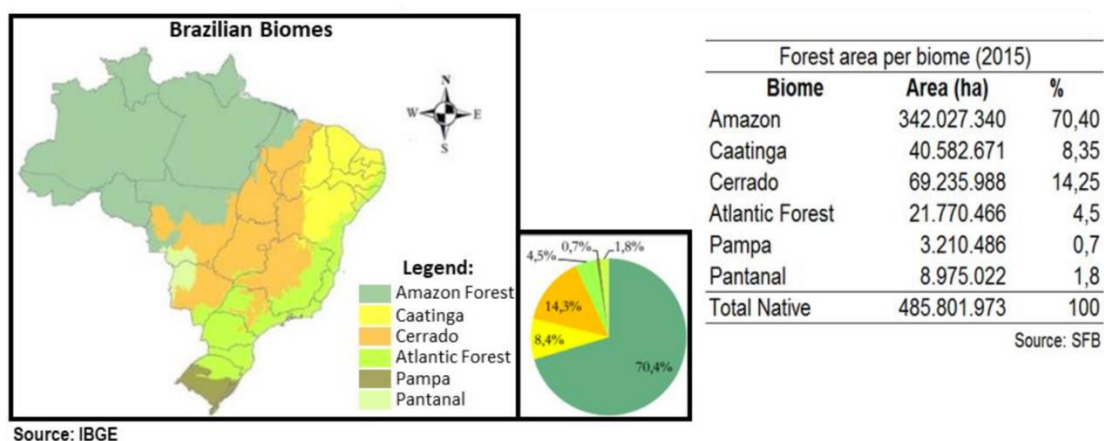

Figure 2. Forest Cover in Brazilian Biomes[17]

---

[17] Sources: WWF's Living Amazon Initative: A comprehensive approach to conserving the largest rainforest and river system on Earth. 2010. 65 p. (http://wwf.panda.org/what_we_do/where_we_work/amazon/?196095/LIVING-AMAZON-INITIATIVE- STRATEGY-SUMMMARY.) Amazon Network Initiative Strategic Plan – Amazonia Viva / Living Amazon. WWF. 2009. 148 p.

The biome upholds importance in terms of regional and global climate stability and functioning, as well as carbon storage, in addition to other ecosystem services across all categories (such as supporting, provisioning, regulating, and cultural). While there are a multitude of different ecosystems within the biome, it also functions as a single ecological entity with high inter-dependence between these ecosystems. Additionally, the Biome has than 600 types of terrestrial and freshwater habitats[18]. Ecological integrity the biome-scale thus relies of representation and functionality of different ecosystems and their components, which is fundamental for climate stability at the national, regional and global scales[19].

The moist tropical forest represents about 30% of the world's tropical rainforest. The TerraClass data shows the changes total deforested area since 2004, demonstrating that enhancement of forest carbon stocks, due to reduced pressure on forests since the establishment of PPCDAm. This program tracks the subsequent use of deforested areas to improve the understanding of the dynamic of drivers of deforestation in the Amazon region.

Table 6. Evolution of areas mapped by TerraClass between 2004 and 2014[20]

Classes	Area (km2)					Proportions (%)				
	2004	2008	2010	2012	2014	2004	2008	2010	2012	2014
Perenial crops	18,354	34,927	39,978	42,346	45,050	3.0	4.9	5.4	5.6	5.9
Non-observed area	48,566	45,406	45,849	69,132	30,056	7.9	6.4	6.2	9.2	4.0
Setlements	2,579	3,818	4,474	5,341	6,010	0.4	0.5	0.6	0.7	0.8
Mining	799	731	967	1,049	1,272	0.1	0.1	0.1	0.1	0.2
Mosaic	16,284	24,417	17,963	9,590	16,256	2.7	3.4	2.4	1.3	2.1
Other	4,637	478	2,731	6,113	7,752	0.8	0.1	0.4	0.8	1.0
Pasture	422,036	447,160	459,467	442,403	479,760	69	63	62	59	63
Pastures with bare soil	106	594	373	43	63	0.0	0.1	0.1	0.0	0.0
Pastures clean	306,039	335,715	339,852	345,420	377,470	49.8	47.4	45.9	46.0	49.6
Pastures dirty	55,250	62,824	56,077	50,472	60,199	9.0	8.9	7.6	6.7	7.9
Pastures with regeneration	60,641	48,027	63,165	46,468	42,028	9.9	6.8	8.5	6.2	5.5
Reforestation	0	0	3,015	3,176	2,922	0.0	0.0	0.4	0.4	0.4
Secondary vegetation	100,674	150,815	165,229	172,190	173,387	16.4	21.3	22.3	22.9	22.8
Total	613,928	707,752	739,673	751,340	762,464	100.0	100.0	100.0	100.0	100.0

Biodiversity

Brazil is the world's most biodiverse country, with the forms the largest area of intact tropical forests. Nationally, there are at least 104,546 known animal species (vertebrates and invertebrates) and 43,893 known plant species of which: 4,310 algae; 32,131 angiosperms; 1,535 bryophytes; 4,665 fungi; 30 gymnosperms; and 1,222 ferns and lycophytes[21]. The Amazon biome also has the largest number of freshwater fish species, with some estimates as high as 3,000[22]. With the unique habitats and expansive, and often inaccessible, vast

---

[18] OECD (2015)

[19] WWF (2016)

[20]Source: INPE, 2018, available at: http://www.inpe.br/cra/projetos_pesquisas/arquivos/TerraClass_2014_v3.pdf

[21] MMA (2015), Fifth National Report to the Convention on Biological Diversity.

[22] WWF (2016)

region, new discoveries of species continue. Several Brazilian native species are important as a source of food, regionally and locally.

The status of biodiversity conservation varies across biomes and states[23], with some of the highest Biodiversity Conservation Indices reported in Amazonian states, with Amapà, Acre, Amazonas, Roraima, Para, and Rondonia leading. This indicates that biodiversity is generally better preserved, owing to the larger native vegetation cover and extension of protected areas and indigenous lands.

Table below demonstrates the distribution of biodiversity across Brazil's biomes.

Table 7. Number of known species by biome[24]

Group*	Amazon	Atlantic Forest	Cerrado	Caatinga	Pampas
Plants	13,993	18,951	13,014	4,508	1,675
Mammals	399	298	251	153	102
Birds	1,300	1,020	837	510	476
Reptiles	284	197	202	107	110
Amphibians	250	340	150	49	50
Fish	1,800	350	1,000	185	151
Total	18,026	21,156	15,454	5,512	2,564

The 2014 list of threatened fauna species indicates that the number of threatened species identified in the previous assessment has nearly doubled. Out of over 12 000 species that were assessed, 1 173 species are threatened, including 110 mammal, 234 bird and 409 marine and freshwater fish species[25]. For flora species, the 2014 list indicates that 46% of the nearly 4 600 evaluated plant species are threatened under various risk categories[26]. Around 330 alien invasive species have been identified, mostly in the Atlantic Forest biome[27]. ICMBio is in the process of assessing various taxonomic groups to update the previous Official List of

---

[23] MMA (2015), Fifth National Report to the Convention on Biological Diversity.

[24] Numbers presented for each biome correspond to the number of known species in a given taxonomic group at the time of source publication. As many species occur in more than one biome, the sum of the numbers presented in this table for species in each taxonomic group per biome will not match the total number of known species presented in the previous table. Source: MMA (2015)

[25] ICMBio (2015)

[26] OECD (2015)

[27] MMA (2015), Fifth National Report to the Convention on Biological Diversity

Brazilian Threatened Animal and plant Species. This assessment is carried out by taxonomic group and generates a diagnostic report outlining the risk of extinction, identification and location of the main threats, priority areas for species conservation, and compatibility with human activities.

Protected Areas

In 2000, the National System of Protected Areas (SNUC) was created, setting the way for Brazil's remarkable expansion of official protected areas, nationally termed conservation units (UC). The system consolidated the pre-existing federal, state, municipal and private protected areas into one consistent framework, which were previously fragmented. The National Register of Protected Areas (CNUC) was developed in 2006 by the MMA; it contains a database of biodiversity and management data for each UC.

Since 2000, the number and extent of terrestrial CU more than doubled in the CNUC, with the majority of new protected areas being created in the Amazon biome, demonstrating national efforts to fight deforestation. Existing conservation units are shown in the Figure below.
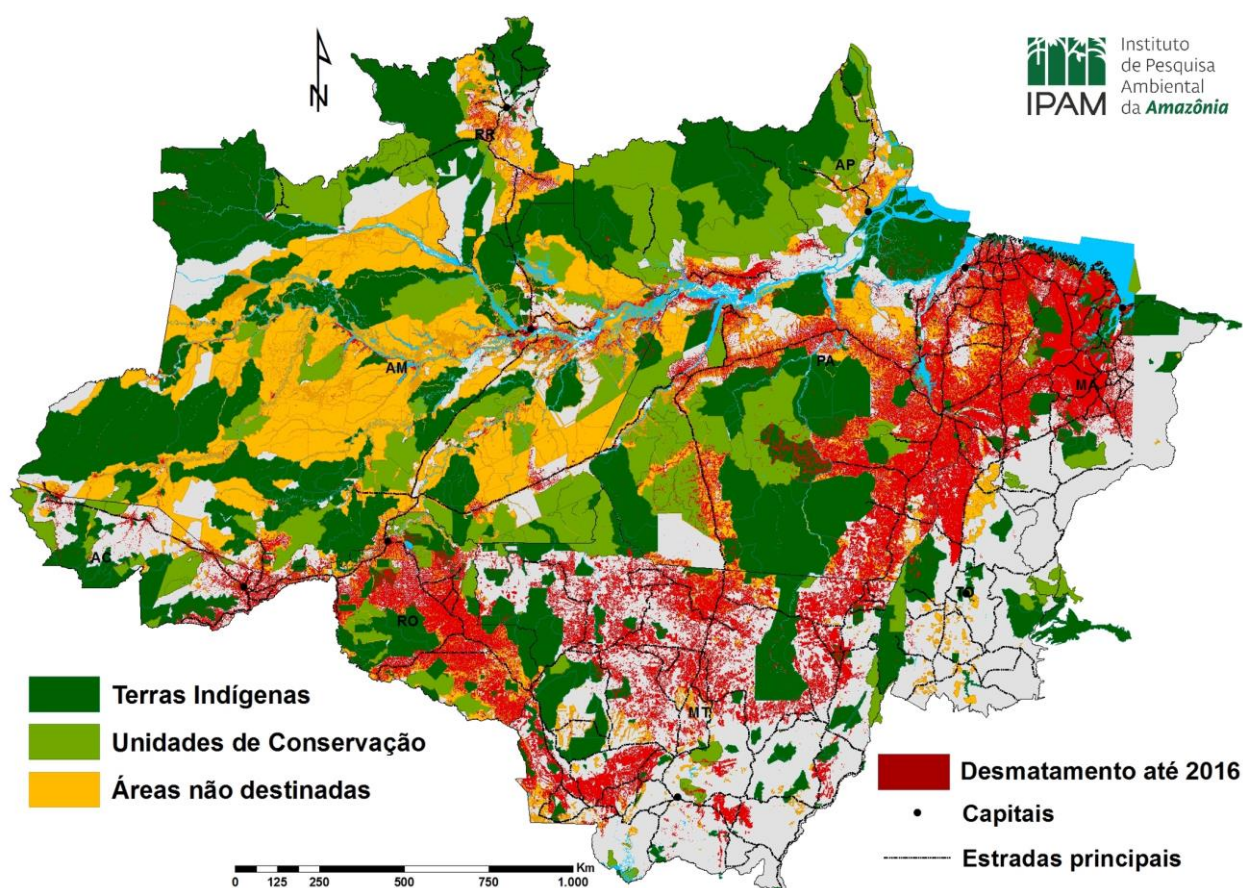

Figure 3. Map of Protected Areas (UC) in the Amazon

There are currently twelve management categories of UC, divided into two groups:

- Strict protection areas: with the primary objective of biodiversity conservation;

- Extractive and sustainable use reserves: permit human settlement and natural resource use in accordance with sustainable management plans (such as tourism, environmental education and sustainable logging).

The table below shows the number of protected areas by state.

Table 8. Protected areas in the Amazon Biome. Source: CNUC

State	Number of UCs	Area (Km2)
AC	Federal: 8 State: 4	31,325.12
AM	Federal: 21 State: 29	266,617.68
AP	Federal: 2 State: 2	42,366.51
MA	Federal: 5 State: 0	6,802.06
MT	Federal: 0 State: 1	-
PA	Federal: 30 State: 7	190,551.10
RO	Federal: 7 State: 30	20,247.70
RR	Federal: 3 State: 0	10,096.53
TO	Federal: 1 State: 0	90.7024

Although management efficiency of the Amazon's UC has improved, many protected areas operate without a management plan, even though such plans are required by law. Given that management plans are a prerequisite for sustainable use by local (mostly traditional and indigenous) communities to continue harvesting, fishing, farming, their absence can hinder socio-economic development and local control over resources.

For traditional communities, extractive and sustainable development reserves, a category of UC, are central to their livelihoods, and the federal legislation recognizes that the management of means that communities must have meaningful opportunities to sustainably use natural resources. Within this category, there are Extractive Reserves (RESEX), National Forests (FLONAs), and Sustainable Development Reserves (RDS).

These endeavors were largely supported by the Amazon Region Protected Areas (ARPA) program, which has complemented the PPCDAm in reducing deforestation in biome. In 2002, the long-term, multiphase program was implemented to expand and strengthen the Brazilian National Protected Area System (SNUC), protecting over 60 million ha and ensuring financial resources for the management and sustainable development. It is the world's largest tropical forest conservation program. UCs were created in priority areas, including the "deforestation arc" and in areas expecting road infrastructure development. It has also effectively supported the operation of protected areas by investing in basic infrastructure and capacity building.

Socio-economic Baseline

People have lived in the Amazon region for thousands of years, but the region's development trajectory is characterized by rapid change. Since the mid-20th century, the Amazon has been subject to unprecedented intensification of human occupation and exploitation of natural resource, including land, minerals, oil, and hydropower. This corresponds to the expansion of road networks, rural and urban settlements, as well as private sector and military presence. It has also driven the opening up of vast areas of forest to agriculture and logging. While the past decades were marked by rapid rural population growth due to colonization starting in the 1960s, today, the regions urban centers are quickly expanding. While the region contributes minimally to the National GDP, certain sectors are booming. Over thirty seven percent of Brazil's beef herd is in the Amazon and over 80% of all Brazilian beef is consumed domestically. Today large-scale soybean farming is taking new economic force. In 2012, soybean grain and beef from the region generated US$9 billion in export revenues.

The millions of people currently living the Brazilian Amazon are, in generally, poorer and less urbanized than the rest of the country. It is estimated that about 17% of the population is living below the extreme poverty line [28]. The Human Development Index for Amazonian states is around 10–15 percent below the national average, although Amazonas and Mato Grosso are notable exceptions. The region exhibits high levels of inequality, even though the numbers have gone down over the last decade (decreasing from 0.57 in 2005 to 0.52 in 2013).

Resource use practices vary considerably across the region and from state and state, ranging from industrial extractivist projects, agro-buisness endeavors, small-scale family farming local to subsistence extractivist practices. Land use thus varies by the different types of actors in the region. Farmers and ranchers (small to large scale) are an important and diverse group of actors, with complex and distinct settlement histories, ranging from agrarian reform immigrants practicing family farming, to traditional and indigenous groups, to ranchers and commodity agriculture famers with a significant amount of land.

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 bonds when it comes to their physical and cultural reproduction. Throughout generations, those peoples have

---

[28] UNDP (2016). National report on agenda 2030

interacted with their environment, building multiple and complex natural resources management systems, drawing on a the wealth of Traditional knowledge.

Indigenous people

There are hundreds of different indigenous peoples, across thousands of communities (*aldeias*) across all nine states, many of whom live in precarious conditions. It is estimated that around 38% of indigenous people are living in extreme poverty (compared to 17% of the general population), due to a combination of factors. Indigenous peoples face higher illiteracy rates, higher infant mortality, the highest rates of maternal fertility, lower education rates, and the highest poverty levels.

Brazil's indigenous population is diverse, with some 450,000 people identifying as such living in the Brazilian Amazon, making up 60% of the indigenous population of Brazil, with over 40 known groups that are isolated or have had little contact. With a wealth of cultural and ethnic diversity, these peoples have ancestral ties to the land and ecosystems, which are not only of economic importance but also of cultural and spiritual significance and are fundamental to the construction of identities as well as ways of being, thinking, living.

There are over 419 indigenous territories in the region at different levels in the land regularization and demarcation process, as shown in the following Table and Figure. The total area of Brazilian indigenous lands covers more than 1.1 million km2, accounting for 13.8% of the national territory and 22.6% of the Amazon Region.
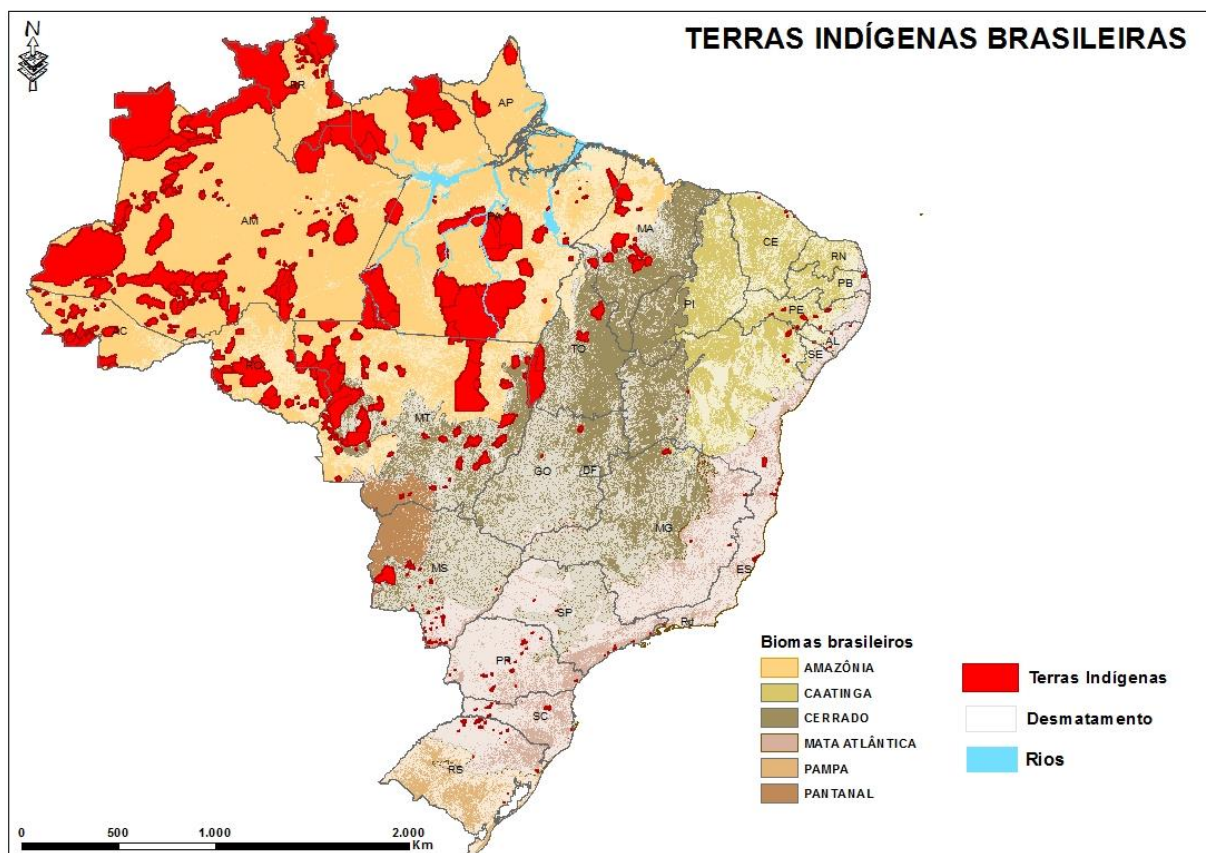
Figure 4. Map of Indigenous Territories in Brazil

Table 9. Protected Areas classified as indigenous territories. Source: FUNAI

State	communities (n)	regularized communities	% regularized	recognized as Indigenous territories (n)	population (n)	Area (ha)
AC	36	28	77.78	0	13429	2529178.7
AM	163	130	79.75	0	152303	56447472
AP	6	5	83.33	0	7937	4196539.6
MA	23	16	69.57	1	31698	2441010.9
MT	87	57	65.52	2	47051	18548410
PA	65	41	63.08	4	35409	23223795
RO	27	20	74.07	1	9047	4616512.2
RR	34	32	94.12	0	37833	13058524
TO	12	9	75.00	1	11808	2580586.8

Traditional communities

It is estimated that about 4.5 million people are part of traditional communities in Brazil, accounting for about 25% of the national territory. Like indigenous peoples, traditional

communities are also highly diverse and have historical ties to the land that are foundation for their culture, both with respect to social organization and spirituality, as well as their economy. Generally, these communities are of mixed descent (African diaspora, indigenous, and colonial Portuguese) and, like indigenous peoples are highly resource dependent. Like indigenous peoples, these communities tend to live in precarious conditions, sometimes in extreme poverty, tending to face higher illiteracy rates, higher infant mortality, the highest rates of maternal fertility, lower education rates.

Within traditional communities, there are a number of different identities related to their historical origins and place-based natural resource management systems, including Quilombolas, rubber tappers, extractivists, caboclos, riberinhos, and Pescadores. This diverse group have been legally defined in the Federal Decree no. 6,040 of February 7, 2000, stating that they are "culturally differentiated and recognized as such groups that have their own forms of social organization that occupy and use territories and natural resources as a condition for their cultural, social, religious, ancestral and economic reproduction, using knowledge, innovations and practices generated and transmitted by tradition". They are also recognized in the Federal Constitution, which states that" Traditional Peoples and Communities are groups that have cultures different from the prevailing culture in society and recognize themselves as such".

To be legally recognized as such, these groups must work with existing governance frameworks for sustainable development and territorial management, most notably within protected areas designated as RESEX, FLONAS or SDRs (see protected areas section for further detail).

The table below demonstrates the land tenure situation of quilombo groups across the nine Amazonian States.

Table 10. land regularization of Quilombo communities. Source: INCRA/ITAPA

State	communities (n)	Communities with title (n)	% titled communities	families (n)	Area (ha)
AC			0		
AM	2	0	0	272	747696.807
AP	7	5	71.43	187	57775.4539
MA	56	32	57.14	7805	163117.271
MT	3	0	0	513	18985.1168
PA	118	97	82.20	11395	1153661.44
RO	4	2	50.00	100	92591.3282
RR					
TO	6	0	0	635	128327.55

Farmers

In the Amazon, farmers are also diverse in their land use practices and scale of production, with small, medium and large-scale producers. To voluntarily patriciate in the Floresta+ pilot program, farmers will need to register with the CAR.

The following table indicates that number of farms registered in CAR in each state in the Brazilian Amazon.

Table 11. Properties registered to CAR

State	All Farms (n)	Farms registered in CAR (n)	% Farms registered in CAR	Total Area of Farms (ha)	Total Area of Farms Registered in CAR (ha)	% area registered
AC	34,296	1,610	4.69	15,554,468.79	4,052,499.82	26.05
AM	40,783	19,637	48.15	52,494,302.07	44,546,148.12	84.86
AP	4,818	2,783	57.76	4,492,222.25	3,555,233.72	79.14
MA	78,359	26,083	33.29	24,670,639.40	14,863,348.89	60.25
MT	114,190	2,073	1.82	74,766,266.74	8,544,778.98	11.43
PA	194,337	89,878	46.25	67,061,365.22	36,036,497.89	53.74
RO	111,483	13,868	12.44	16,312,866.66	8,210,795.57	50.33
RR	7,540	3,206	42.52	4,744,968.07	2,486,220.03	52.40
TO	64,865	4,187	6.45	18,562,542.08	2,523,296.42	13.59

Source: SICAR accessed 2018 (www.car.gov.br)

MONITORING AND REPORTING

Indicators for monitoring and procedures for reporting for projects implemented under the 4 Floresta+ modalities will align with the National SISREDD+, so that activities coordinate with and feed into broader safeguards monitoring and reporting processes at the federal-level. For environmental monitoring, Section 5 of the 2nd SoI presents information about safeguards related biodiversity and protected areas have been addressed and respected by the policies and initiatives aimed at reducing deforestation in the Amazon biome.

To monitor program activities, diverse indicators be needed to measure social and environmental impacts and changes associated to the projects implemented under the different Floresta+ modalities. A mixture of indicator types that are applicable to monitoring in the context of the ESMF include: 1) Process indicators to monitor the number and types of activities carried out (e.g., capacity building, number of beneficiaries, etc.) and 2) Outcome or impact indicators to measure the long-term effect of interventions (incomes, poverty, biodiversity, etc.).

For biodiversity, indicators could include the following, which should be divided by category of species, by ecosystem/habitat type, and by state when possible:

- Number of species categorized as threatened

- Number of species protected by legally defined conservation units

For Protected Areas, indicators could include the following, which should be divided by management, as per Brazil's classification of conservation units:

- Number of protected areas with implemented management plans

- Area under legal protection/number of conservation units

Refinement of environmental management planning and monitoring in the first year of the program can be supported by the Information System on Brazilian Biodiversity (SiBBr – *Sistema de Informação sobre a Biodiversidade Brasileira*)[29], developed and implemented by the Ministry of Science Technology and Innovation (MCTI). The database contains information on the research sites of the Long Term Ecological Research Program – PELD (*Programa de Pesquisas Ecológicas de Longa Duração*). MCTI also coordinates a multi-institutional initiative, The National Biodiversity Research System – SISBIOTA (*Sistema Nacional de Pesquisa em Biodiversidade*) to promote and expand the knowledge on Brazilian biodiversity, with a project in the Amazon Biome. The National Institute for Amazon Research (INPA)[30] also focuses on plant and animal inventories and aims to increase scientific knowledge of the Amazon biome to promote the economic use of its natural resources and forest conservation. It is one of the world's leading research institutions on tropical biology.

For socio-economic monitoring, indicators can include the following and should be disaggregated by groups of beneficiaries (IP, TC, family farmers) and by an appropriate economic divider, such as household income, as well as by region/state:

- Number of beneficiaries of each modality

- Number of properties registered to CAR

---

[29] http://www.sibbr.gov.br
[30] *http://portal.inpa.gov.br*

ANNEXURE 5: INDICATIVE OUTLINE FOR INDIGENOUS PEOPLE'S PLAN

An Indigenous Peoples Plan will be developed, recognizing and accounting for the diversity of indigenous and traditional populations (See the sub-section on Indigenous Peoples and traditional communities that highlights important considerations) as part of the ESMP to be elaborated following the full assessment of the Floresta+ pilot program and modality-specific plans. Herein is an indicative outline of this plan. Please refer to the UNDP SES Guidance Note: Standard 6: Indigenous Peoples for additional information.

INTRODUCTION

If the proposed Project may affect the rights, lands, resources or territories of indigenous peoples, an "Indigenous Peoples Plan" (*IPP*) needs to be elaborated and included in the Project documentation. The *IPP* is to be elaborated and implemented in a manner consistent with the UNDP Social and Environmental Standards and have a level of detail proportional to the complexity of the nature and scale of the proposed Project and its potential impacts on indigenous peoples and their lands, resources and territories.

Concisely describes the critical facts, significant findings, and recommended actions

DESCRIPTION OF THE PROJECT

General description of the project, the project area, and components/activities that may lead to impacts on indigenous peoples

Description of Indigenous Peoples:

A description of affected indigenous people(s) and their locations, including:

Description of the community or communities constituting the affected peoples (e.g. names, ethnicities, dialects, estimated numbers, etc.);

Description of the resources, lands and territories to be affected and the affected peoples connections/ relationship with those resources, lands, and territories; and

An identification of any vulnerable groups within the affected peoples (e.g. uncontacted and voluntary isolated peoples, women and girls, the disabled and elderly, others).

Summary of Substantive Rights and Legal Framework:

A description of the substantive rights of indigenous peoples and the applicable legal framework, including:

Applicable domestic and international laws affirming and protecting the rights of indigenous peoples

Provide an analysis of applicable domestic and international laws affirming and protecting the rights of indigenous peoples (include general assessment of government implementation of the same).

Analysis as to whether the Project involves activities that are contingent on establishing legally recognized rights to lands, resources, or territories that indigenous peoples have traditionally owned, occupied or otherwise used or acquired. Where such contingency exists (see Standard 6 Guidance Note, sections 6 & 7), include:

Identification of the steps and associated timetable for achieving legal recognition of such ownership, occupation, or usage with the support of the relevant authority, including the manner in which delimitation, demarcation, and titling shall respect the customs, traditions, norms, values, land tenure systems and effective and meaningful participation of the affected peoples, with legal recognition granted to titles with the full, free prior and informed consent of the affected peoples; and

List of the activities that are prohibited until the delimitation, demarcation and titling is completed.

Analyze whether the Project involves activities that are contingent on the recognition of the juridical personality of the affected Indigenous Peoples. Where such contingency exists (see Standard 6 Guidance Note, section 7):

Identification of the steps and associated timetables for achieving such recognition with the support of the relevant authority, with the full and effective participation and consent of affected indigenous peoples; and

List of prohibited activities until the recognition is achieved

SUMMARY OF SOCIAL AND ENVIRONMENTAL ASSESSMENT AND MITIGATION MEASURES

A summary of the findings and recommendations of the required prior social and environmental impact studies (e.g. limited assessment, ESIA, SESA, as applicable) – specifically those related to indigenous peoples, their rights, lands, resources and territories. This should include the manner in which the affected indigenous peoples participated in such study and their views on the participation mechanisms, the findings and recommendations.

Where potential risks and adverse impacts to indigenous peoples, their lands, resources and territories are identified, the details and associated timelines for the planned measures to avoid, minimize, mitigate, or compensate for these adverse effects. Identify the special measures to promote and protect the rights and interests of the indigenous peoples including compliance with the affected peoples' internal norms and customs.

If the Project will result in the relocation of indigenous peoples from their lands and territories, a description of the consultation and FPIC process leading to the resulting agreement on relocation and just and fair compensation, including the possibility of return.

A description of measures to protect traditional knowledge and cultural heritage in the event that the Project will result in the documentation and/or use and appropriation of such knowledge and heritage of the indigenous peoples and the steps to ensure FPIC before doing so.

PARTICIPATION, CONSULTATION, AND FPIC PROCESSES

A summary of results of the culturally appropriate consultation and, where required, FPIC processes undertaken with the affected peoples' which led to the indigenous peoples' support for the Project.

A description of the mechanisms to conduct iterative consultation and consent processes throughout implementation of the Project. Identify particular Project activities and circumstances that shall require consultation and FPIC (consistent with section 4 of the Standard 6 Guidance Note).

Appropriate Benefits:

Identify measures to be taken to ensure that indigenous peoples receive equitable social and economic benefits that are culturally appropriate, including a description of the consultation and consent processes that lead to the determined benefit sharing arrangements.

CAPACITY SUPPORT

- Description of Project activities aimed at increasing capacity within the government and/or the affected indigenous peoples, and facilitating exchanges, awareness, and cooperation between the two.

- Description of measures to support social, legal, technical capabilities of indigenous peoples' organizations in the project area to enable them to better represent the affected indigenous peoples more effectively

- Where appropriate and requested, description of steps to support technical and legal capabilities of relevant government institutions to strengthen compliance with the country's duties and obligations under international law with respect to the rights of indigenous peoples.

GRIEVANCE REDRESS:

- A description of the procedures available to address grievances brought by the affected indigenous peoples arising from Project implementation, including the remedies available, how the grievance mechanisms take into account indigenous peoples' customary laws and dispute resolution processes, as well as the effective capacity of indigenous peoples under national laws to denounce violations and secure remedies for the same in domestic courts and administrative processes.

MONITORING, REPORTING, EVALUATION

- Mechanisms and benchmarks appropriate to the Project for transparent, participatory joint monitoring, evaluating, and reporting, including a description of how the affected indigenous peoples are involved.

- Define the mechanisms put in place to allow for periodic review and revision of the *IPP* in the event that new Project circumstances warrant modifications developed through consultation and consent processes with the affected indigenous peoples.

INSTITUTIONAL ARRANGEMENTS:

- Describes institutional arrangement responsibilities and mechanisms for carrying out the measures contained in the *IPP*, including participatory mechanisms of affected indigenous peoples. Describes role of independent, impartial entities to audit, conduct social and environmental assessments as required, and/or to conduct oversight of the project.

    o Budget and Financing:

    o An appropriately costed plan, with itemized budget sufficient to satisfactorily undertake the activities described.

- Note: The *IPP* will be implemented as part of Project implementation. However, in no case shall Project activities that may adversely affect indigenous peoples – including the existence, value, use or enjoyment of their lands, resources or territories – take place before the corresponding activities in the *IPP* are implemented. The relationship between the implementation of specific *IPP* measures and the permitted commencement of distinct Project activities shall be detailed within the *IPP* to allow for transparent benchmarks and accountability.

- Where other Project documents already develop and address issues listed in the above sections, citation to the relevant document(s) shall suffice.

ANNEXURE 6: PRELIMINARY GENDER ASSESSMENT AND ACTION PLAN

1. INTRODUCTION

The Green Climate Fund (GCF) recognizes the central importance of gender considerations in terms of both impact and access to climate funding, and requires a Gender Assessment and Gender Action Plan to be submitted as part of the funding proposals that it assesses. The main objective of the Gender Assessment is to screen the gender aspects of the GCF project, and to subsequently strengthen the gender responsive actions within the project. It is within this context that this gender assessment aims to provide an overview of the gender dynamics in Brazil, with a focus on REDD+ and related thematic areas, specifically as they refer to the results period (2014 and 2015) as well as the investment of proceeds for this proposal. The information and design considerations in this Annex should not be considered additional, but rather part of the basis of the proposal, including its Stakeholder Engagement and Environmental and Social Management Framework (ESMF) Annexes.

This gender assessment also identifies gender issues that are relevant to the project and examines potential gender mainstreaming opportunities. The assessment was based upon available data from studies conducted by the Government of brazil, United Nations (UN) agencies, and multilateral and research organizations; and included:

1. Undertaking a desktop review and aligning approaches in this proposal with the national priorities of Brazil;
2. Reviewing and considering national aspirations as detailed in the national policies and agenda on gender and women's empowerment;
3. Incorporating information and lessons learned from past studies and assessments on gender in Brazil from the Government of Brazil, the UN and international development and research organizations;
4. Integrating gender considerations in the project indicators, targets, budget and activities.

2. EXISTING GENDER DYNAMICS AND INEQUALITIES IN BRAZIL

Over the last two decades, Brazil has made good strides in promoting gender equality within the country. As discussed in more detail in the following sections, Brazil's has taken concrete actions to promote and integrate gender equality into the broader policy-making agenda and has achieved substantial advances in women's education and health and equality before the law. Brazilian women now even outperform men in various education indicators.[31]

---

[31] Gukovas, R., Müller, M., Pereira, A.C., Reimão, M.E. (2016) "A Snapshot of Gender in Brazil Today: Institutions, Outcomes, and a Closer Look at Racial and Geographic Differences"

Progress has been weaker, however, in the areas of women's economic opportunities, particularly in outcomes relating to women's economic opportunities and agency (i.e., the capacity to make decisions and take control over one's life projects). Additionally, aggregate advances by women often hide the more racial or geographic differences in every dimension of gender equality. This means, that even in areas where progress has been made, large groups of women are being left behind due to their racial, ethnic or geographic identities. And when these types of inequalities remain, these same women face double discrimination for being female as well as for being part of a different culture, race ethnicity, etc. In Brazil, the existing gender dynamics can be detrimental to men as well. The continuing underperformance in school by men (specifically Black/pardo males) has negate e implications for development. These existing inequalities are discussed in more detail within the sections below.

2.1 GENDER INEQUALITY INDEX

Through the years, several indices have developed to quantify the concept of gender inequality. The United Nations Development Programme uses the Gender Inequality Index (GII) and Gender Development Index (GDI). GII is a composite measure that shows inequality in achievement between women and men in reproductive health, empowerment and the labour market while with a measures achievement in human development in three areas: health, education, and command over economic resources. The GDI considers the gender gaps on human development between men and women.

Brazil has a GII value of 0.414, ranking it 92 out of 159 countries in the 2015 index. The female HDI value for Brazil is 0.754 in contrast with 0.751 for males, resulting in a GDI value of 1.005, which places the country into Group 1 (high equality in HDI achievements between women and men).[32]

The Global Gender Gap Index (GGGI) of the World Economic Forum examines the gap between men and women in four categories: economic participation and opportunity, educational attainment, health and survival; and political empowerment.[33] Out of 144 countries, Brazil's rankings, based on GGGI in the year 2016, are given below[34]:

Description	Score	Rank
Economic participation and opportunity	0.640	91
Educational attainment	0.998	42

---

[32] United Nations Development Programme (2016). Briefing Note for Countries on the 2016 Human Development Report: Brazil. Available at: http://hdr.undp.org/sites/all/themes/hdr_theme/country-notes/BRA.pdf

[33] World Economic Forum. The Global Gender Gap Report 2014 Country Profiles. http://www3.weforum.org/docs/GGGR14/GGGR_CountryProfiles.pdf

[34] World Economic Forum. The Global Gender Gap Report 2016 Country Profiles: Brazil. Available at http://reports.weforum.org/global-gender-gap-report-2016/economies/#economy=BRA

Health and survival	0.980	1
Political empowerment	0.132	86
Gender Gap Index 2016	0.687	79

* Inequality = 0.00; Equality = 1.00. Source: The Global Gender Gap Report 2014

The Organization for Economic Cooperation and Development (OECD) developed the Social Institutions and Gender Index (SIGI), a composite index that scores countries (i.e., 0 to 1) on 14 indicators grouped into five sub-indices: discriminatory family code, restricted physical integrity, son bias, restricted resources and assets, and restricted civil liberties to measure the discrimination against women in social institutions across 160 countries. The 2014 SIGI value for Brazil is 0.0458, suggesting that discrimination against women is low.[35]

2.2 EDUCATION[36]

The literacy rate of youth (ages 15-24) is 98% for males and 99% for females, which is up from 84% in 1980. Similarly, 98.7% of 12-year-olds currently attend school, with 98.1% of girls and 98.3% of boys of this age attending school.

School attendance rates drop between 14 and 17 years of age, however, with only 87% of 16-year-olds and 73% of 17-year-olds attending school. This decline does not differ substantially between girls and boys. In fact, among older youths, females are more likely to attend school than males. One in three women 21 years of age attends school, versus only one in four of their male counterparts. With the increase in women's and girls' schooling, a gender gap in favor of girls has developed in secondary (female-to-male ratio: 1.11) and tertiary education (1.29) according to the latest data from 2008. The increase in female tertiary education is notable given that in 1970, the female-to-male ratio in tertiary education was as low as 0.6.

To note, with education, disparities emerge when disaggregating by race, with white women reporting over a year more of education than women who self-identify as black or parda (Afro-Brazilian), 9.1 versus 7.7 years. Regional differences also occur, as women in the Southeast and the Center-West report 8.8 years of schooling, compared to 7.5 for those in the Northeast.

Gender discrepancies in education increase with levels of education. While equal shares of boys and girls (92.5%) ages 6 to 14 were enrolled in school in 2013, the shares dropped at ages 15-17 to 60.1% for girls and 50.4 percent for boys. There was a dramatic drop for the next age group, 18-24 year olds, to 18.8% for women, which is still meaningfully higher than

---

[35] OECD. Social Institutions and Gender Index 2014. http://www.genderindex.org/ranking/

[36] Gukovas, R., Müller, M., Pereira, A.C., Reimão, M.E. (2016) "A Snapshot of Gender in Brazil Today: Institutions, Outcomes, and a Closer Look at Racial and Geographic Differences"

the men's share of 14.0%. **Currently, close to two-thirds of graduates from tertiary education each year are women.**

2.3 POLITICAL PARTICIPATION AND DECISION-MAKING

Women´s political participation and representation are still very weak in Brazil and have not much changed over the last decades. While Brazil is one of the few countries in the Latin America region that has had a female president, Dilma Rousseff (from 2011-2016), only six out of 39 ministers in her government were female, and they were often appointed to "softer", less technical roles, in areas such as human rights, racial equality, and policies for women. None of the new ministers whom current president Michel Temer selected for his government in May 2016 are female.[37]

There has been a recent change to the Brazilian electoral code which now requires that at least 30% of political party's candidates must be women, and that at least 5% of financial resources must be allocated to promoting female political participation and meeting this quota. As a result, the number of female candidates in the last general election, in 2014, increased by 47% when compared to the election in 2010.[38]

Nevertheless, the election itself did not significantly change the gender make-up of law-making bodies. In 2010, 45 women were elected to the Chamber of Deputies; in 2014, 51 female candidates secured seats. The numbers represent respectively 8.8% and 9.9% of the chamber's 513 deputies. For the Federal Senate, which renewed one third of its 81 seats in 2014, five female senators were elected, joining another six previously chosen. Women now occupy 13.6% of all Senate seats.[39] Additionally, the Inter-Parliamentary Union[40] ranks Brazil 152nd in the world in its "List of Women in National Parliaments".[41]

At the state level, leadership roles are equally male-dominated, with only one female governor elected in 2014 for the 27 posts available. In state parliaments, the number of women elected decreased between 2010 and 2014: 120 female candidates won seats in 2014, compared to 141 in the previous cycle. Finally, at the local level, only 11.8% of elected mayors and 13.3% of city councilors are female (CEPAL Gender Observatory, data for 2014).

Within this context it is encouraging to see the level of the organization of women, who live in rural and forest areas, has increased, particularly since 2006. As an important example, in

---

[37] Ibid

[38] Ibid

[39] Ibid

[40] The Inter-Parliamentary Union compiles and reports data on the percentage of women in the lower or single House of 193 countries, and organizes the countries by descending sorder of these percentages.

[41] http://archive.ipu.org/wmn-e/classif.htm

2010, the Brazilian indigenous movement founded the Union of the Indigenous Women from the Legal Amazon (UMIAB).

2.4 LABOUR FORCE PARTICIPATION[42]

Female labor force participation (LFP) and employment have risen only slightly over the last 20 years, from a rate of 54% in 1995 to 59% in 2014. To note, while the respective rates for men declined ever so slightly and female rates increased over the last twenty years, most of this happened between 1995 and 2005. Between 2005 and 2014, female LFP in Brazil did not deviate by more than 1 percentage point.

While labor force participation changed little for men or women over the past decade, large drops for some groups is present when looking at age and educational level. For example, LFP among unskilled young men and women dropped significantly between 2004 and 2014. At the same time, skilled people aged 55 to 64 seem to have postponed their retirement.

In households with children present, the LFP participation increases for both men and women when they have just one child, but then drops continuously for females and stays constant for males with every additional child in the household.

LFP among women is higher in the top quintiles of the income distribution, regardless of the household composition. Women in households with both parents and another female adult tend to participate less in the labor market than those in households with both parents and children. Among women in the poorest two quintiles, LFP does not change much whether they have children or not in the household. In single-parent households, which are typically led by women, LFP is higher when there is no other adult female in the household.

Even though they have lower LFP rates, women also face higher levels of unemployment relative to men, particularly among younger cohorts. In 2013, the average unemployment rate was 6.3% (for the population aged 15 and higher). For women, it was 8.2%, whereas for men it was only 4.8%. This gap widens significantly in the younger population, with 17.1% of women ages 18-24 being unemployed compared to 10.8% of men in the same age group.

---

[42] Gukovas, R., Müller, M., Pereira, A.C., Reimão, M.E. (2016) "A Snapshot of Gender in Brazil Today: Institutions, Outcomes, and a Closer Look at Racial and Geographic Differences"

These LFP and employment figures covers up occupational segregation, which shows up not only in the differences in gender representation in different sectors, but also in vocational training and entrepreneurship. In Brazil, female employment is still concentrated in sectors related to traditionally female roles, such as accommodation and food, education, health, social services, and domestic services. Together, these sectors account for approximately 45% of working females, while about 48% of employed men are engaged in the agricultural, industrial, and construction sectors.

The rate of female entrepreneurship in Brazil is close to the regional average, with 15% of working-age women about to start or currently running a new business. This is also very close to the male rate of 16%. The share of female entrepreneurs operating single-person businesses in Brazil is higher than that of male entrepreneurs—71% versus 55%. This data, together, suggests that there is a willingness among women to start business but that there are barriers—actual or perceived—for the growth of female-owned businesses.

Business training offered to women is often gender-biased, particularly in rural areas, where women often take courses on traditional roles, such as cooking and sewing. Female-owned businesses are concentrated in the micro and small end of the spectrum. They grow more slowly, use less labor and physical capital, and are focused in the commerce, services, and manufacturing sectors, which tend to be less profitable overall.

Differences in hours worked in paid work and domestic tasks are also present between men and women. In Brazil, women tend to spend an average of 22.7 hours a week on domestic work and men 5.5 hours. This division of labor not only reduces women's earnings by limiting the time they spend on paid activities, but it may also lead women to seek employment that has flexible or shorter hours. This work is more likely to be found in the informal sector or in low-growth entrepreneurship. Brazilian women also work for more hours than men, when both paid and domestic work are taken into account. To illustrate, women spend an average of 41.5 hours per week at work, compared to the 37.3 hours spent by men. The difference between sexes increases substantially when considering employed persons, where women work about 55.4 hours a week, or eight more hours than men.

2.5 ACCESS TO LAND AND SOCIAL RESOURCES

In Brazil, distortions in agrarian, forest and environmental policies, laws and regulations and their implementation have contributed to insecure property rights over both land and timber, leading to persistent violent conflicts over resources – all of which affect women and men in particular ways. Indigenous areas along with sustainable use reserves, smallholder colonization settlements, and quilombolas control rights to over 37% of lands in Brazilian Amazonia. These claims to "territories" imply far more than mere rights to land, often encompassing historical memory and identity, and implying the right to self-determination and self-governance of the common property using local practices that may follow a different

logic from formal property institutions. In Brazil, "traditionally occupied lands" combine the use of commons (forests, water, fields and pastures) with titled properties and recognition of de facto rights related to specific extractive, agricultural, fishing, hunting, crafts and animal husbandry activities. Securing access to territory often is a precondition for survival as an ethic group, embedded in highly charged social mobilizations that unite all community members in a common struggle. In Brazil, where joint titling of both women and men became an option in the 1988 Constitution, female land ownership remains very low (12.6% in the mid-1990s) because cultural practices led to titling only male household heads, and the Land Reform Institute (INCRA) resisted joint titling because the forms they used for land registration did not have space for two names until 2001 reforms.43

Additionally, land tenure in the country is difficult to track and follow. There is no central database containing information on land ownerships and titles and there is no official land registry system. Rather, each location often has its own paper-based system. This situation then makes it equally difficult to track and compile gender data and statistics on land ownerships.

Nevertheless, there has been efforts undertaken by the Government of Brazil to improve this situation. The Terra Legal Program which supports regularization of land titles for small holders in the "Legal Amazon" (including Maranhão and Tocantins) have included actions to empower the position of women through, for example, registration of the land titles in the name of both wife and husband (in that order). Another important program is the National Agrarian Reform Program (Programa de Reforma Agrária) which seeks to improve the distribution of land to meet the principles of social justice, sustainable rural development and increased production.44 This land distribution program has improved the women's access to land titles by means of prioritizing the access for women who are head of household.

In terms of access to social services, the Government of Brazil has invested in partnerships with local authorities and in mobile units (54 buses and five boats) that provide specialized services to women living in rural and remote areas, including social, psychological, health, and legal advice. And while plans exist to extend these services, ensuring these services reach rural women remains a challenge. Specialized and nonspecialized services within the network are concentrated in urban areas. Even theoretically nationwide services, such as Dial 180,45 do not reach all parts of the country. At the same time, the number of calls to Dial 180, which covers 70 percent of Brazilian cities, originated from rural areas, and quadrupled

---

43 Schmink M and García MAG. 2015. Under the canopy: Gender and forests in Amazonia. Occasional Paper 121. Bogor, Indonesia: CIFOR.

44 http://mds.gov.br/assuntos/cadastro-unico/o-que-e-e-para-que-serve/programa-nacional-de-reforma-agraria

45 The hotline (dial 180) provides women with legal and services information. As of 2014, women could also use it to report cases of violence. Complaints filed through this service are forwarded to law-enforcement agencies and to state public prosecutors' offices

from 2013 to 2014.46

2.6 AGRICULTURE

A less well studied sector in Brazil is the relation between gender and agriculture, particularly agribusiness. Some studies have concluded that although agribusiness is often seen as a generator of wealth and local development, it is also responsible for the social exclusion of women from participation in the labor market.47

In terms of supporting women in agriculture, the National Program on Family Agriculture (Programa Nacional de Fortalecimento da Agricultura Familiar) does offer a dedicated line of credit to rural women. In practice, however, accessing it is quite difficult, because female applicants must submit a technical project for approval, which requires technical knowledge and thus imposes barriers particularly for less-educated women. Some women overcome this by relying on local cooperatives and/or other services to assist in proposal design, but it is clear that this agricultural credit does not generally reach the poorest or least-educated women in rural areas.48

2.7 HEALTH[49]

In Brazil, maternal mortality rate fell from 120 per 100,000 live births in 1990 to 69 in 2013. 98% of births are currently attended by skilled personnel, compared to 88% in the mid-1990s.

However, it should be noted that the share of births by cesarean section in Brazil is high, at 57.7% of all births in 2012 [the World Health Organization (WHO) recommends a target of 15 %]. While it is not known why the rate is well above this WHO recommended target, it could be due to a combination of financial incentives for hospital administrators and medical staff and the preferences of pregnant women to schedule a birth in advance. As medically unnecessary cesarean procedures may pose risks to pregnant women, in 2015, the Ministry of Health and the National Agency on Supplementary Health launched an initiative aimed at reducing cesarean surgeries and encouraging vaginal deliveries. Obstetricians are now required to provide a written explanation for each cesarean delivery. Pregnant women are

---

[46] Gukovas, R., Müller, M., Pereira, A.C., Reimão, M.E. (2016) "A Snapshot of Gender in Brazil Today: Institutions, Outcomes, and a Closer Look at Racial and Geographic Differences"

[47] See for example: Campos, Christiane Senhorinha Soares (2009). "Pobreza e exclusão feminina nos territórios do agronegócio – o caso de Cruz Alta/RS" PhD-thesis on: http://www.lume.ufrgs.br/handle/10183/21080 and ROSSINI, R. A modernidade tecnológica no campo exclui a mulher e acelera as masculinidades na agricultura, anais do XIII Encontro da Associação Brasileira de Estudos Populacionais, Ouro Preto/MG, novembro de 2002.

[48] Gukovas, R., Müller, M., Pereira, A.C., Reimão, M.E. (2016) "A Snapshot of Gender in Brazil Today: Institutions, Outcomes, and a Closer Look at Racial and Geographic Differences"

[49] Gukovas, R., Müller, M., Pereira, A.C., Reimão, M.E. (2016) "A Snapshot of Gender in Brazil Today: Institutions, Outcomes, and a Closer Look at Racial and Geographic Differences"

given leaflets with information on vaginal and cesarean deliveries, and health insurance companies are required to disclose obstetricians' shares of cesarean sections relative to total deliveries.

Concerning pregnancy prevention, contraceptive use is as high as 80% among married women 15-49 years of age. Unmet need from family planning has fallen to 6%, well below the regional average of 11%. In regards to contraception use, there is significant variation in the type of use across income quintiles. Condom use gradually increases by socio-economic level, from 10.3% among the poorest to 16.4% in the highest quintile. Female sterilization, which is known as an invasive means of contraception, is most common among the poorest quintile (32.3%) and drops to 20.2% for the two highest quintiles. In contrast, the rate of male sterilization is only 1% among the poorest but 13.3% among the two wealthiest quintiles.

The prevalence of teenage motherhood has fallen slightly since 2001. To illustrate, in 2001, 13.6% of women 15-19 years of age reported having had a child. By 2014, the figure had dropped to 11%. Among those aged 15-17 in 2001, 7.3% reported having had a child, where in 2014 it had decreased to 6.2%.

3. LEGAL AND ADMINISTRATIVE FRAMEWORK PROTECTING WOMEN AND PROTECTING GENDER EQUALITY

3.1 KEY INTERNATIONAL PROTOCOLS AND FRAMEWORKS RATIFIED BY BRAZIL IN SUPPORT OF GENDER EQUALITY AND WOMEN'S EMPOWERMENT AND HUMAN RIGHTS

Brazil has ratified and/or signed many key international conventions, treaties and plans of actions on gender equality, women's empowerment and human rights. Critical among them are:[50]

- UN Declaration on Human Rights;
- International Covenant on Civil and Political Rights;
- The Convention on the Elimination of All Forms of Discrimination against Women, including its Optional Protocol[51];
- The Inter-American Convention to Prevent, Punish and Eradicate Violence against the Woman "Convention of Belém do Pará";
- International Covenant on Economic, Social and Cultural Rights;
- The Beijing Declaration and Platform for Action of 1995;
- The Declaration on the Rights of Indigenous People;
- The International Convention on the Elimination of All Forms of Racial Discrimination;
- The International Convention on the Rights of the Child;

---

[50] https://www.ohchr.org/en/professionalinterest/pages/cerd.aspx
[51] The Optional Protocol allows parties to recognize the authority of the CEDAW Committee to consider complaints from individuals

- Convention on the Rights of Persons with Disabilities.

3.2 KEY NATIONAL GENDER EQUALITY AND WOMEN'S EMPOWERMENT FRAMEWORKS, POLICIES AND LAWS

3.2.1 National Constitution and laws

Feminist and women's movements have successfully advocated for the inclusion of gender equality principles in the 1988 Constitution, as well as for legal changes aimed at enforcing such principles.[52] In addition to this, Article 3 of Brazil's Constitution states that the fundamental objectives of the Federation Republic of Brazil are to 1) build a free, just and solidarity society; 2) guarantee national development; 3) eradicate poverty and marginal living conditions and to reduce social and regional inequalities; and 4) promote the well-being of all, without prejudice as to origin, race, sex, color, age, and any other forms of discrimination.

Additionally, Article 1 of Brazil's Labour Laws states that it is prohibited to adopt discriminatory practices and for the purpose of limiting access to the employment relationship, or its maintenance by reason of sex, origin, race, color, marital status, family status or age, except in this case the chances of child protection provided for in paragraph XXXIII art. 7 of the Federal Constitution.

The "Feminicide/Femicide" law, signed by ex-President Dilma Rousseff on 9 March 2015, is new legislation under Brazil's Penal Code that imposes harsher penalties for those who harm or kill women or girls on account of their gender.

Law 13,112/2015, sanctioned by ex-President Dilma Rousseff in March 2015, legally equates mothers and fathers on the obligation to register the newborn and allows mothers to seek registration of birth of their children at register offices without the presence of the father and Law 13,109, also sanctioned in March 2015, provides six months maternity leave for women in the military armed forces.

3.2.2 National Policies, Plans and Programs

Four National Conferences (in 2004, 2007, 2011 and 2016) on Policies for Women (Conferência Nacional de Políticas para as Mulheres) have taken place under the direction of National Secretariat for Women's Policies (SPM), with the participation of women in various levels of government and civil society. The first three conferences each led to a National Plan of Policies for Women (Plano Nacional de Políticas para as Mulheres). The latest National Plan

---

[52] Gukovas, R., Müller, M., Pereira, A.C., Reimão, M.E. (2016) "A Snapshot of Gender in Brazil Today: Institutions, Outcomes, and a Closer Look at Racial and Geographic Differences"

of Policies for Women was for the period from 2013-2015. Prior to the conferences, consultation rounds were held at municipal and regional levels, with the purpose of crafting or strengthening plans of policies for women and institutionalizing gender-related policies. Thereafter, state conferences were convened in order to elect delegates for the conference and, in some cases, draft State Plans of Policies for Women. (Currently, twelve states have adopted their own state plans of policies for women).53, 54

Decree No. 6,040, of February 7, 2007, established the National Policy for the Sustainable Development of Traditional Peoples and Communities. The goal of this policy is to strengthen programs and actions aimed at enhancing gender relations in traditional peoples and communities and women's contributions and participation in government initiatives, while also valuing the historical importance of women and their ethical and social leadership.

The "Maria da Penha Law" (also known as Brazil's Federal Law 11340) has the objective of reducing domestic violence against women. The law expedites court orders and domestic violence cases, as well as imposes harsher sentences for perpetrators. In 2015, women were afforded greater protection when the "Lei do Feminicidio," was adopted, which distinguished regular homicides from homicides specifically targeting women by adding it to the Brazilian Penal Code and imposing higher penalties for perpetrators, ranging anywhere from twelve to thirty years. While this is a federal law, its implementation is delegated to the states and municipalities, with no built-in federal enforcement mechanisms or conditionality. While the law has been internationally recognized as one of the most comprehensive legal instruments to address this problem, there are still several bottlenecks regarding its implementation, notably questions of jurisdiction and insufficient funding from states and municipalities. 55

The National Plan of Action on Women, Peace and Safety of Brazil, with a duration of 2 years (2017- 2018), was created to promote gender mainstreaming and empowerment of women within strategies for adopting an inclusive and sustainable perspective of peace and security. It is structured into four thematic pillars, with two strategic objectives that permeate all its content. These objectives are the following: 1) gender mainstreaming in all actions undertaken by the country in the context of international peace and security; and (2) the empowerment of women and girls as lasting peace. 56

---

[53] The states with Plans of Policies for Women are: Amazonas, Amapá, Bahia, Goiás, Minas Gerais, Mato Grosso do Sul, Pará, Paraíba, Pernambuco, Rio Grande do Norte, and Sergipe e Tocantins

[54] Gukovas, R., Müller, M., Pereira, A.C., Reimão, M.E. (2016) "A Snapshot of Gender in Brazil Today: Institutions, Outcomes, and a Closer Look at Racial and Geographic Differences"

[55] Ibid

[56] Government of Brazil (2017). "National Plan of Action on Women, Peace and Safety" Brazil, March 2017. Available at: http://www.itamaraty.gov.br/images/PlanoNacional-Mulheres-Paz-Seguranca.pdf

With the fifth edition of the Pro Gender and Racial Equity Program, the federal government has also taken steps to encourage public and private businesses to adopt measures promoting equal opportunities and treatment.

3.2.3 Additional frameworks and policies supporting gender equality and women's empowerment

There are also other national policies, laws and legislation frameworks that support gender equality and women's empowerment in Brazil. These include:

- National Policy for Comprehensive Attention to Women's Health
- National Program on Women's Health
- Laws 10,208/2003 and 11,324/2006 [focus on reducing the gap and ensure domestic workers greater (though not yet comprehensive) social protection and rights such as job stability for pregnant employees and a 30-day leave]
- National Pacts for Combating Violence Against Women I and II

3.3 INSTITUTIONAL ARRANGEMENTS

In 2003, the Federal Government created the National Secretariat for Women's Policies (SPM). Originally a ministry, it later lost this ministerial status in September 2015 and was merged with the Ministry of Human Rights and Racial Equality and is now called the Ministério das Mulheres, da Igualdade Racial, da Juventude e dos Direitos Humanos (Ministry of Women, Racial Equality, Youth and Human Rights). This was done as part of a national ministerial reform to cut government spending. Women's groups and feminist organizations decried this action as a setback for gender equality in Brazil. SPM's mandate is to create enforce policies for gender equality, and led to the design and implementation of National Plans for Policies for Women.57 The SPM also has an Ombudsman.

The National Council on Women's Rights (Conselho Nacional dos Direitos da Mulher – CNDM), created in 1985 under the Ministry of Justice, was placed under SPM in 2003. It includes representatives of other areas of government and civil society and is comprised of 16 members of various departments of the federal government and 21 elected civil society representatives. The Council formulates guidelines for the promotion of women's rights and enforces gender-related policies.58

Gender equality is also a relevant subject for the environmental sector. Since 2012, the Ministry of Environment has a Gender Committee, which is in charge of discussing and

---

[57] Gukovas, R., Müller, M., Pereira, A.C., Reimão, M.E. (2016) "A Snapshot of Gender in Brazil Today: Institutions, Outcomes, and a Closer Look at Racial and Geographic Differences"
[58] Ibid

proposing actions to ensure gender equality in programs and policies, specifically those as they relate to Sustainable Development Goal 5 (SDG 5).

4. GENDER ISSUES AROUND FORESTS AND REDD+

In Brazil, the gender division of labor commonly associates men with timber and women with multi-use, small-scale, local, informal activities. Resource-based economies are predominantly controlled by men, including production and trade, while direct sales networks have opened opportunities for rural and urban women, despite economic risks. Men's and women's knowledge also differs according to these areas of expertise. For example, it can be the case that women list more NTFPs compared to men. Men in the Brazilian Amazon are also more likely to cite timber products among important forest products, whereas women cite a variety of species used for food, nutrition, medicines and other cultural uses. 59 Additionally, women, particularly those living in extractive reserves in Brazil, are the principal health care providers for their families. Women's accumulated knowledge of forests within the extractive reserves, the ecology, habitats, and specific location of phototherapeutics, is intimately connected with their family's health.60 This organization of knowledge into complementary but distinct gender domains provides a valuable, collective adaptive resource for rural communities.

It can, conversely, also skew realities. To illustrate, in western Brazil, one study61 found that over 64% of women had cut and collected rubber at some point and 78% had regularly collected latex usually tapped by men. Yet tapping rubber, nevertheless, continued to be viewed as a male occupation. These gender relations in Brazilian rubber tapper communities, paired with patriarchal values, the spatial division of labor, social isolation and the exclusion of women from community and public arenas have strongly influenced women's roles and livelihood strategies, and often limited their access to resource rights and decision making at household and community levels.

Cultural values within forest communities often influence the roles of women and men in Brazil as well. For example, patriarchal cultural values among some indigenous groups and among the general population in northeastern Brazil assume that men represent the family and the community in public arenas, leaving women without independent autonomous property rights and representation in decision making related to forest management.62

---

59 Schmink M and García MAG. 2015. Under the canopy: Gender and forests in Amazonia. Occasional Paper 121. Bogor, Indonesia: CIFOR.
60Shanley, P., Da Silva, F.C., Macdonald, T. (2011). "Brazil's social movement, women and forests: a case study from the National Council of Rubber Tappers". International Forestry Review Vol.13(2), 2011
61 Kainer K and Duryea M. 1992. Tapping women's knowledge: Plant resource use in extractive reserves, Acre, Brazil. Economic Botany 46(4):408–25.
62 Schmink M and García MAG. 2015. Under the canopy: Gender and forests in Amazonia. Occasional Paper 121. Bogor, Indonesia: CIFOR.

5. GENDER INTEGRATION WITHIN FOREST CONSERVATION EFFORTS AND REDD+ ACTION IN BRAZIL

5.1 WOMEN'S COLLECTIVE MICROENTERPRISES IN THE BRAZILIAN AMAZON[63]

Over the past two decades, women in the Brazilian Amazon region have organized themselves into collective microenterprises to work with forest resources and support more sustainable land use practices. These efforts in turn have contributed to their economic empowerment within their households and communities. The goals of these enterprises have typically centered on improvements for women and their families, but they also aim to enhance women's self-confidence and social visibility, political awareness, and environmental knowledge. Unfortunately, little information is available about the diverse types of rural women's collective microenterprises, as many of them are informal.

These collective microenterprises, lacking support from public policies attuned to their particular characteristics and potential, often instead are supported through church-based or NGO groups. These efforts have resulted in many positive outcomes. For example, these enterprises have helped women to change family property management models through microenterprise training and activities. They have also increased economic gains for women, and added value to the NTFP they produce. Given that women have also contributed more to their family's income composition, they have gained more voice and power in the household as well as in decision making about natural resources use, especially in households with smaller land size, because they implemented profitable productive activities and expanded their management of the family property.

However, the prospect of scaling up support for these promising small-scale women-led initiatives presents challenges, given their continued "invisibility," their hybrid nature that encouraged informality, and their lack of experience in dealing with larger commercial markets. Public policies are also lacking in support women's collective microenterprises, as they do not provide women with flexibility in accessing technical assistance and credit lines appropriate to enable them to learn and grow at their own pace.

5.2 SOCIAL MOVEMENT OF NATIONAL COUNCIL OF EXTRACTIVIST POPULATIONS (CNS)[64]

---

[63] Mello, D. Schmink, M. (2017) "Amazon entrepreneurs: Women's economic empowerment and the potential for more sustainable land use practices". Women's Studies International Forum 65 (2017) 28–36. Available at: https://www.sciencedirect.com/science/article/pii/S027753951530176X

[64] Shanley, P., Da Silva, F.C., Macdonald, T. (2011). "Brazil's social movement, women and forests: a case study from the National Council of Rubber Tappers". International Forestry Review Vol.13(2), 2011

The extractivist movement in Brazil, which started with the rubber tappers, began not as an environmental movement but a human rights movement, and has close ties with the agrarian reform movements. The rubber tappers movement then came to be allied with the environmental movement when international environmentalists adopted the purpose of the rubber tappers of defending their forests. Collaboration efforts between national and international environmental groups gave it unprecedented visibility and effectiveness throughout the 1980s until today. The council, first founded in 1985, works to advocate for the social and political empowerment of forest communities. In 1995, the council, realizing the need to better reflect women's views and needs, created the Secretariat of Women Extractivists.

Over the years, the Women's Secretariat of CNS has built on strengths of forest-reliant women by strategically mobilizing support across sectors and scales, working from the personal to the political while blurring the boundaries between lay and expert knowledge. Their efforts have helped to shift the paradigm in development, environment and health in Brazil. For example, the Secretariat worked closely with the Ministry of Health to amend health policies. They were also successful in modifying policy language away from an agriculture-centric nomenclature to new language which includes forest peoples. The name of this policy became the National Policy of Health for Rural and Forest Populations. This was a significant achievement in recognition of extractivist communities as well as calling for more equitable access to and provision of health services for forest-reliant people. Building on these efforts they also created a project entitled, A Bagagem das Mulheres da Floresta (Baggage of the Women of the Forest) signifying the knowledge that women possess and the tools and outside knowledge that the project brought to them (i.e. videos, books, workshops). Critical support from the Ministry of Health allowed them to broaden their workshops to reach every extractive reserve in Amazonia.

The Women's Secretariat of CNS helped to break down barriers in social movements around land use and forest management in Brazil as well. Once barred from entry into rural workers' unions and social and land reform movements, women are now commonly members of social movements linked with forests and land reform. Inequalities, nevertheless, persist. Women are secondary to men in institutional politics and as of yet, there are no women leaders of forest extractive reserves. Women living within reserves generally have little voice in land use and forest management decision and have little access to formal education or public health care.

5.3 NATIONALLY-LED PROGRAMMES IN RURAL AND FOREST AREAS

5.3.1 Floresta+ Pilot Program

As highlighted in the proposal, the results-based payments that would be received by Brazil through the proposed project will contribute to the implementation of Brazil's forest sector actions, one of which is the Floresta+ Pilot Program. It is a new and innovative pilot program that aims to provide incentives for environmental services (IES) in the Legal Amazon region, in accordance with Brazil's Forest Code, the ENREDD+ and Brazil's Nationally Determined Contributions (NDC) (for more details on this Program, please consult Section C.2.1 of the Proposal). The target beneficiaries for the Floresta+ Pilot Program are the following:

- Small farmers, according to art. 3º, V, of the Forest Code (Law nº 12.651/2012), up to 4 fiscal modules;
- Indigenous peoples;
- Traditional peoples and communities according to I, do art. 3º, of decree nº 6.040/2007 (that use their territory collectively); and
- Public institutions or agencies (including States), civil associations, cooperatives and private law foundations that act in topics related to conservation and recovery of native vegetation.

The amount of payment per hectare will be defined in norms to be published by the Floresta+ Program Management Committee. Direct payments will be calculated based on the area of native vegetation remnants and environmental liabilities to be recovered, in hectares, according to the data in the National Rural Environmental Registry System (SICAR), which is the system responsible for issuing the Registration Receipt of the rural property in the Rural Environmental Registry (CAR). The CAR is a national electronic public registry, mandatory for all rural properties, with the purpose of integrating the environmental information of rural properties and possessions and forming a database for control, monitoring, environmental and economic planning and deforestation. It is also important to highlight that proof of ownership of land is not necessary to register environmental information on a property in CAR. It is not a land registry system, rather a self-declaratory environmental registry.

Given this, while the CAR provides critical geographical and biophysical information on the properties, it does not display publicly who the property owner is or give any information about the owner (male/female, age, etc.). Rather, CAR assigns a code to each property, which public officials can then use to liaise with other government ministries/departments in order to obtain any specific information about a property owner. This format and design of CAR makes it very difficult and complicated to assess information pertaining to the sex of property owners (in those instances where the land is individually held). Given this, the ability for Floresta+ to integrate a gender perspective also becomes more difficult, as additional steps will need to be taken, for example, to collect sex-disaggregated data, when quotas are established to ensure Floresta+ provides incentives equitably among women and men property owners. The recommendations below look to mitigate and address some of these limitations (see Gender Action Plan below for more information).

One key entry point for gender-responsive action will be ensuring that the consultations on criteria and priority areas for Floresta+, which are taken with relevant stakeholders, fully integrate a gender approach in their design and implementation. This will help to ensure that women from different stakeholder groups can actively and equitably participate and that their interests, concerns and perspectives are taken into account.

5.3.2 Bolsa Família and Bolsa Verde

In the recent decades, some fundamental programs focused on mainstreaming gender took place in the country, among them the social welfare program known as Bolsa Família, which has defined women as preferred beneficiaries. Bolsa Familia has contributed to keep millions of Brazilian women (who account for almost 90% of all the beneficiaries[65]) and their families out of poverty. Bolsa Família has shown positive impact on forest dependent communities.

Another important programme from the Federal Government in forest areas is the Bolsa Verde, which provides conditional cash transfers in return for the maintenance of forest cover. Bolsa Verde shares targeting and cash transfer channels with Bolsa Família. Launched in 2011, the programme aims to promote conservation of the ecosystems while also improving the livelihoods of people living in extreme poverty – the condition of nearly 17% of the population in the Amazon region. The traditional people and communities of the babassu coconut breakers (largely constituted by women), is an important group that benefited from this initiative.

5.4 REDD+ DESIGN

5.4.1 National REDD+ Strategy

In 2015, Brazil launched its National Strategy for REDD+ (ENREDD+)[66] with the objective to scale up the implementation of policies to reduce deforestation and forest degradation from the Amazon and Cerrado biomes to the national level. ENREDD+'s overall objective to contribute to climate change mitigation by eliminating illegal deforestation, promote conservation and restoration of forest ecosystems and foster a low-carbon and sustainable forest economy, while delivering environmental, social and economic benefits. It notes that these actions will be achieved through three specific objectives: (i) improving the monitoring

---

[65] For more information see: http://www.worldbank.org/en/news/opinion/2013/11/04/bolsa-familia-Brazil-quiet-revolution, last accessed on August 3rd, 2018.
[66] http://redd.mma.gov.br/images/publicacoes/enredd_english_web.pdf

and impact assessment of public policies for REDD+; (ii) integrating governance structures for climate change, forests and biodiversity in all levels; (iii) contributing to the mobilization of resources at the scale compatible with Brazil's commitments to mitigate climate change in accordance with Brazil's NAMAs by 2020.

Although ENREDD+ discusses social and economic aspects, it lacks explicit mention of gender aspects, and does not identify women as a group to be engaged with and who will benefit from REDD+ action in the country. It also does not incorporate principles of gender equality or women's empowerment within its objectives, governance arrangements or action lines. Thus, in order to ensure that Brazil's efforts on REDD+ do no harm to more marginalized groups, such as women, youth and the elderly, and actively promotes their meaningful involvement in such efforts, Brazil will need to take proactive and explicit measures to ensure a gender perspective is fully integrated into the revised ENREDD+ and REDD+ implementation.

5.4.2 REDD+ Safeguards

The application of the UNFCCC REDD+ safeguards requires adapting them to the reality of each country, taking into account national and regional context, and aligning them with existing policies and national REDD+ actions. Given this, Brazil's National REDD+ Committee (CONAREDDD+) commissioned the REDD+ Thematic Advisory Board on Safeguards (CCT-Salv) to adapt the seven UNFCCC REDD+ safeguards to the Brazilian reality, in order support the effective implementation of REDD + actions in the country. Within this national interpretation of the REDD+ safeguards[67], the following gender considerations were incorporated:

- Safeguard (b) - Transparent and effective national forest governance structures, with a view to national sovereignty and national legislation: Governance bodies of ENREDD+ and polices or bodies receiving REDD+ resources will be guided by principles of representativeness, participation, commitment, accountability, transparency, effectiveness and integrity. These instances of partnership should be balanced in composition, encompassing the representation of indigenous peoples, traditional peoples and communities, traditional and family agriculture, and the private sector, taking into account gender and generational representation.
- Safeguard (c) - Respect for the knowledge and rights of indigenous peoples and members of local communities, taking into account relevant international obligations, national circumstances and laws and noting that the UN General Assembly adopted in the United Nations Declaration on the Rights of Peoples Indigenous people: The rights of indigenous peoples, traditional peoples and communities, and traditional and family farmers should be based on non-discrimination, where these groups should enjoy the same rights as other citizens, especially as regards human rights and fundamental freedoms, without discrimination, including gender equity.

---

[67] http://redd.mma.gov.br/images/conaredd/SEI_MMA---0160864---Resoluo-9.pdf

- Safeguard (d) - Full and effective participation of stakeholders, in particular indigenous peoples and local communities, in the actions referred to in paragraphs 70 and 72 of this decision: Full and effective participation of stakeholders should be achieved through transparent governance structures and instruments that ensure stakeholder representation and engagement, while safeguarding sociocultural diversity and gender equity.

While gender considerations are integrated into the national REDD+ safeguards, it is done so to a limited degree, with a focus on ensuring gender equity. For example, they do not provide information on whether and how the safeguards will ensure the meaningful and active participation of marginalized groups, such as youth and women, in REDD+ implementation. There is also a lack of information on how such groups will equitably benefit from such national efforts on REDD+. Thus, in REDD+ implementation and in the use of proceeds for this project, additional efforts will need to be undertaken to ensure gender is sufficiently mainstreamed within national efforts to address and respect the UNFCCC REDD+ safeguards, to ensure all groups, including those who are more marginalized in Brazilian society, such as youth and women, will be meaningfully involved and can equitably benefit from such actions.

To note, and as illustrated above, gender equitable participation is an important consideration for REDD+ planning within Brazil. This has been reflected in various CONAREDD+ working groups, including its CCTs. To illustrate, as of 11 July 2016, 67% of the members of CCT-Salv, the Thematic Advisory Board on Safeguards, are women. Additionally, the development of indicators for Brazil's REDD+ Safeguards Information System (SISREDD+) is currently underway, with four workshops having already taken place. These workshops are representative of various societal sectors/groups. Of the 158 representatives thus far, 80 have been female and 78 have been male.

5.5 REDD+ IMPLEMENTATION

5.5.1 REDD+ Governance

While there are gender gaps in its REDD+ design efforts, Brazil has taken steps in REDD+ implementation to ensure equitable representation of women, including within its governance for REDD+. Most of the representatives from the Ministries, states and civil society in CONAREDD+ are female. To illustrate, CNS has one seat in CONAREDD+ and they have appointed a woman to represent them in it. Also, CONAREDD+ has gender balance as one of the selection criteria for the representatives within the CCTs. As a result, as indicated in Figure 1, more than 50% of the representatives in the CCTs are female. Some CCTs, including the one dealing with safeguards, have a majority of women.

Figure 1. Sex-disaggregated data of CCT participants
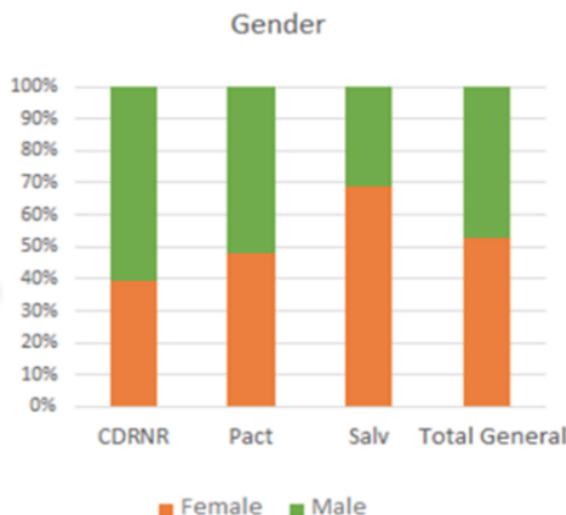
CDRNR = Thematic Advisory Board on Fundraising and Distribution of Non Reimbursable Resources;
Pact = Thematic Advisory Board on Federal Relations; Salv = Thematic Advisory Board on Safeguards

5.5.2 Early REDD+ implementation

There have efforts undertaken by the international community to assess REDD+ implementation impacts on women, both in terms of their roles in REDD+ implementation, as well as any changes of their well-being. The results of these studies can help shed light on existing gender gaps in REDD+ implementation, inform Brazil's efforts in how it integrates a gender perspective in its REDD+ efforts moving forward, including in its use of REDD+ proceeds, as well as demonstrate areas in which good practices and lessons learned can be drawn upon.

Within the study "The role of women in early REDD+ implementation: lessons for future engagement", led by CIFOR in 2016[68], an assessment was undertaken to analysis women's role in REDD+ initiatives in four countries (one of which being Brazil), as well as assess corresponding implications for implementation and future outcomes. The results from this assessment are not meant to be representative of all REDD+ sites. To note, the choice of study sites was not random and the sites for the REDD+ initiatives were chosen based on proponents' interest in an outside evaluation and their prior identification of specific villages for REDD+ interventions. The following four sites where evaluated in Brazil (from the period from 2009 to 2011):

---

[68] Larson, A.M., Dokken, T., Duchelle, A.E., Atmadja, S., Resosudarmo, I.A.P., Cronkleton, P., Cromberg, M., Sunderlin, W., Awono, A., and Selaya, G. (2015). "The role of women in early REDD+ implementation: lessons for future engagement". Center for International Forestry Research. International Forestry Review Vol.17(1), 2015

- Acre State System of Incentives for Environmental Services
- Northwest Mato Grosso Pilot REDD+ Project
- Sustainable settlements in the Amazon: the challenge of family production in a low carbon economy
- The sustainable Landscape Pilot Program in Säo Félix do Xingu

In the Brazil sites, results from the survey found that women's focus groups demonstrated a basic understanding of REDD+ in all the villages where the village focus groups demonstrated understanding. However, in Acre, Brazil, although all villages had at least one woman in the main decision making body, a majority of the women disagreed to at least one of the statements that they were sufficiently represented, able to influence and participate actively in meetings. Additionally, in the Brazil sites, women did not perceive that they influenced village decisions, did not participate in forest decisions and used the forest less relative to men. They were also very dissatisfied with their level of participation in decision-making bodies. At the household level, the majority of women believed that they did not influence household decisions on land and forest use.

This study concluded that promoting women's participation in REDD+ alone is insufficient. This is not only due cultural norms, discrimination and lack of experience, confidence and skills and power relations that may limit women's voice in the public sphere, but also because of the limited analysis and understanding of gendered forest uses and community and household relations that may be affected by interventions. While women's active participation is key, gender-responsive analyses are also needed to understand real and perceived gender differences and anticipate risks.[69]

In another study on "Gender lessons for climate initiatives: A comparative study of REDD+ impacts on subjective wellbeing"[70], subnational REDD+ initiatives in six countries (one of which was Brazil) were analyzed to assess the gendered impact of the initiatives on women's perceived wellbeing. The results show net negative movement in Brazil, wherein more women in REDD+ villages perceived that their wellbeing decreased and were worse off than those in non-REDD+ villages. In cases were women in the villages were undecided on whether the effects of conditional livelihood enhancements were positive or negative, the reasons given were primarily due to perceptions that the expected benefits may not materialize, was not or will not be distributed fairly, or that the payment value was low. Concern over REDD+ interventions related to those that restricted forest access and conversion. In the case of Brazil, some women in villages viewed such environmental policing as detrimental to their livelihoods. In cases where women in villages saw REDD+ as having a positive impact on their well-being, the reasoning focused on environmental and health benefits of less deforestation

---

[69] Ibid
[70] Larson, A.M., Solis, D., Duchelle, A.E., Atmadja, S., Resosudarmo, I.A.P., Dokken, T., and Komalasari, M. (2018). "Gender lessons for climate initiatives: A comparative study of REDD+ impacts on subjective wellbeing". World Development Volume 108, August 2018, Pages 86-102

and burning.

This study concluded that perceived wellbeing decreased in REDD+ villages both for villagers as a whole and for women, relative to control villages, but the decrease was much worse for women – a decrease that is significantly associated with living in a REDD+ village.71

These analyses reveal, moving forward, the need for REDD+ efforts in Brazil to fully mainstream gender into design, monitoring and evaluation. These efforts need to more comprehensively explore the ways in which men and women interact and differ with regard to REDD+ implementation in their respective sites, and incorporate such dimensions into national efforts on REDD+. To avoid perpetuating gender inequalities and worsening the situation of women, REDD+ action in Brazil needs to focus on empowering women, increasing their control over assets and safeguarding their rights.

6. RECOMMENDATIONS

This preliminary gender analysis acts as an entry point for gender mainstreaming throughout design and implementation of the proposed project. The results and findings of the gender analysis has also informed and guided the development of a Gender Action Plan (please see Section 7 below).

This gender analysis, conducted through desk review, resulted in the following actions:

- Identification of gender gaps and inequalities within Brazil's land tenure system and incentives for environmental services;
- Identification of gender inequalities and challenges and risks faced by women and other marginalized groups in Brazil around thematic areas of relevance to REDD+ action, such decision-making processes, labor force participation, forest use, land tenure, safeguards, etc.;
- Identification of gaps, entry points and opportunities for mainstreaming gender in the proposed project, and in the implementation of REDD+ action and safeguards more broadly;
- Development of the gender approach used within this proposal to effectively integrate gender and women's and youth empowerment considerations within the social, economic, political and local context within the country;
- Identification of sectors and thematic area of particular relevance in REDD+ in which gender-responsive actions can catalyze transformational positive change for marginalized groups, such as women and youth;
- Demonstration of the need to develop a gender-responsive environmental and social impact assessment (ESIA), which also focuses on the collection of additional baseline

---

[71] Ibid

data on gender (e.g. on land tenure, women's involvement in decision-making at local/community levels, etc.)

- Demonstration of the need to ensure the stakeholder consultations and engagement efforts for the ESIA are designed and undertaken using a gender approach and equitably include representatives from more marginalized groups, including women, youth, single-family households.
- Establishment of recommendations to incorporate into the preliminary Gender Action Plan.

Key entry points and recommendations for gender action within programme design and implementation are listed below. To note, these recommendations are based on preliminary findings of this assessment (based solely on a desk review). Thus, the findings and recommendations of this gender assessment, including the gender-responsive actions, indicators, etc., noted in the Gender Action Plan in Section 7 below, will need to be re-assessed and revised as necessary during the ESIA process, as well as will need to be consulted with and validated by state and non-state stakeholders, including those more marginalized, such as women, youth, indigenous, people, etc.

- Undertake measures within work on Floresta+ (e.g. establishment of quotas, capacity building, etc.) to address identified gender gaps and inequalities within Brazil's land tenure system and incentives for environmental services.
- Develop a gender-responsive ESIA which also focuses on the collection of additional baseline data on gender (e.g. on land tenure, women's involvement in decision-making at local/community levels, etc.).
- In partnership with MMA, work with the applicable government agencies to identify gender gaps in data within CAR (both individual and collective) and address these gaps to the best extent possible to help ensure that women can actively participate in and receive equitable benefits under Floresta+.
- Ensure governance arrangements with Floresta+ (e.g. Program Management Committee) and ENREDD+ (e.g. CONAREDD+) are gender equitable in their memberships. In cases where there are seats for civil society groups, ensure women and youth are represented.
- Take affirmative measures to solicit and incorporate the perspectives of women in the design, implementation, monitoring, and evaluation of the proposed outputs of this proposed project.
- Hire a gender specialist within the project to support the mainstreaming of gender throughout the design and implementation of the outputs of the project, as well as any associated gender action plans and mitigation measures that are developed during the safeguards work and social and environmental assessments, etc.
- In stakeholder engagements activities, ensure a gender approach is fully integrated into their design and implementation so that women and men across different

stakeholder groups can actively and equitably participate and that their interests, concerns and perspectives are taken into account.

- Build capacity of women and youth from local and indigenous communities on REDD+ and provide them with adequate resources (e.g. financing, know-how, etc.) to actively participate and benefit from the activities of the proposed project.
- Carry out training and capacity building among MMA and REDD+ staff, stakeholders and partners on matters of gender equality, the contributions of women to REDD+, and the specific harms faced by women in the context of ecosystem destruction and conversion.
- Given its responsibility to promote the integration of gender equality principles within MMA programs and policies, train and build capacity of the MMA's Gender Committee on Floresta+ and ENREDD+ so that their guidance can be context specific and they can be used as a resource to help mainstream gender into REDD+ action.
- Require and develop capacities to collect and report on accurate disaggregated data around all REDD+ activities with respect to male and female participation, benefit sharing, positive and negative impacts, then share it across government institutions, and make such data publicly accessible.
- Devote and allocate adequate funds, resources and expertise for implementing gender-related strategies, monitoring the results of implementation, and holding individuals and institutions accountable for outcomes that promote gender equality.
- During project implementation conduct qualitative assessments on the gender-specific benefits that can be directly associated to the project.

Addressing the gender dimensions and gaps identified within this preliminary assessment and implementing the corresponding recommendations noted above and gender-responsive actions noted below in the Gender Action Plan, within project design and implementation, will help to promote the project provides gender-responsive results.

7. PRELIMINARY GENDER ACTION PLAN

Data presented above provides context and an overall baseline assessment on the gender dynamics, inequalities and state-of-play within Brazil, its forest sector and in its efforts on REDD+ action to date. This analysis identified the differences between men and women and has helped to identify gaps and provide a baseline for comparison.

Addressing the gender gaps noted above, this preliminary Gender Action Plan provides suggested entry points for gender-responsive actions to be taken under the applicable activities of the proposed project. In addition, specific indicators are also proposed to measure and track progress on these actions at the activity level. This can be incorporated into the detailed M&E plan which will be developed at the start of implementation, and provides concrete recommendations on how to ensure gender (including disaggregated data) continues to be collected and measured throughout implementation.

The gender budget assigned to each of the outputs below reflects the portion of the output and corresponding budget, which either has gender equality as a significant objective or has gender equality as a principal objective within it.

To note, as additional gender data collection in the field still needs to be undertaken in the forest sector and around REDD+ issues within the country, detailed gender baseline data, as they pertain to the project activities, in many cases are not yet known. In these instances, baseline information for the activities within the Gender Action Plan are currently marked with a '0', to illustrate that such information is not yet available. Such information will be collected during the process of developing the gender-responsive ESIA, wherein the generation of gender-responsive baseline data for the proposed programme will be undertaken. Thereafter, the Gender Action Plan below will be revised as necessary and gender baseline information will be provided.

Gender Action Plan

Objective	Gender-responsive actions	Gender indicators	Responsible Institutions/ Individuals	Budget (USD)
Output 1: Floresta+ Pilot Program	- In any outreach activities on Floresta+ Pilot Program, ensure equitable participation of women and men, including from single-headed households - Under modalities 1 and 2 of the Floresta+ Pilot Program: ● Ensure that at least 40% of the landowners and/or land users rewarded are women. ● Ensure at least 10% of the landowners and land users rewarded are women from single-headed households - Under modality 3 of the Floresta+ Pilot Program: ● Organize all awareness	Baseline: 0 Indicator: % and # of participants of outreach activities and consultations/workshops related to this output who are women and are heads of single-headed households (disaggregated by sex) Target: 40% of participants of outreach activities and consultations/workshops related to this output are women and at least 10% are from single-headed households (disaggregated by sex) Baseline: 0 Indicator: % and # of women and single headed household participants involved in consultations/workshops for this output who felt they 1) understood the content being discussed; 2) could actively participate and 3) had their perspectives taken into account Target: 90% of women and single headed household participants felt the consultations/workshops for this output at least 'adequately' met and/or achieved these parameters Baseline: 0 Indicator: % of outreach activities and consultations/workshops associated with this output which are designed to account for women's and single-headed household constraints (e.g. location, timing, women's only groups, etc.) Target: 100% of outreach activities and consultations/workshops associated with this output are designed to account for women's and	MMA, UNDP	TBD

	raising workshops on Floresta+ Pilot Program with associations and representative entities of indigenous and traditional peoples and communities to ensure women's and youth's active and equitable involvement • Build capacity of women and men (both married and unmarried) within indigenous and traditional communities receiving rewards from Floresta+ on the benefits of having both women and men involved in decision-making on use of rewards. - In systems developed to monitor distribution of rewards under Floresta+ pilot program: • Undertake a workshop to build capacity of staff responsible for monitoring system on	youth constraints Baseline: 0 Indicator: % and # of landowners and/or land users under Floresta+ Pilot Program rewarded who are women Target: 40% of landowners and/or land users under Floresta+ Pilot Program rewarded are women Baseline: 0 Indicator: % and # of landowners and/or land users under Floresta+ Pilot Program rewarded who are women from single-headed households Target: 10% of landowners and/or land users under Floresta+ Pilot Program rewarded are women from single-headed households Baseline: 0 Indicator: Evidence that staff responsible for the monitoring system for the Floresta+ pilot program attended a gender workshop in order to have their capacity on gender and monitoring systems built Target: All staff responsible for the monitoring system attended the workshop on gender Baseline: 0 Indicator: Evidence that the monitoring system for the Floresta+ pilot program 1) disaggregates data on modality 1 and 2 by sex and household type (e.g. single, etc.) and 2) consulted equitably with women and men in communities in its data collection methodology Target: Both of these elements noted above present in the monitoring system for the Floresta+ pilot program and corresponding data for them successfully collected Baseline: 0		

	how a gender perspective can be incorporated into their work • Integrate a gender perspective into monitoring system to ensure information collected is disaggregated by sex and household type • Measure women's 1) involvement in decision-making on use of rewards; and 2) satisfaction in how household and community used rewards (as applicable per modality used) - In any governance structure for the Floresta+ pilot program 1) gender equitable participation of women and men; 2) representatives of marginalized groups, such women, indigenous people, etc. - Equitably build capacity of women and men	Indicator: Evidence that the monitoring system for the Floresta+ pilot program measures women's 1) involvement in decision-making on use of rewards; and 2) satisfaction in how household and community used rewards (as applicable per modality used) Target: Both of these elements noted above present in the monitoring system for the Floresta+ pilot program and corresponding data for them successfully collected Baseline: 0 Indicator: # and % of women who are involved in the governance structure for Floresta+ pilot program Target: 40% of those involved in the governance structure for Floresta+ pilot program are women Baseline: 0 Indicator: # and % of representatives within the governance structure of Floresta+ pilot program who are from a women's organization Target: 1 representative from a women's organization actively participants within governance structure for Floresta+ pilot program Baseline: 0 Indicator: % of women and men beneficiaries (both married and unmarried) trained on the stipulations of the Floresta+ pilot program contracts (disaggregated by sex, marital status and household type) Target: 100% of women and men beneficiaries trained on the stipulations of the Floresta+ pilot program contracts before contract is signed		

	participating in the Floresta+ pilot program on the stipulations of the contracts including their stipulations (undertaken before they sign the contracts)			
Output 2: The implementation of Brazil's ENREDD+	**NFMS** - In the expansion of the NFMS, when undertaking local monitoring and validation, equitably and meaningfully consult with and involve women, men and youth from communities **REDD+ Policies Monitoring & Revision** - Mainstream gender into the tool developed to monitor and measure the impacts of REDD+ policies and investments -Integrate a gender perspective throughout the revised national REDD+ Strategy	**NFMS** Baseline: 0 Indicator: % and # of women and female youth involved in monitoring activities (disaggregated by stakeholder group) Target: 40% of community participants of involved in monitoring activities are women or female youth Baseline: 0 Indicator: % of consultations and workshops associated with this activity which are designed to account for women's constraints (e.g. location, timing, women's only groups, etc.) Target: 100% of consultations and workshops associated with this activity are designed to account for women's and youth constraints Baseline: 0 Indicator: % and # of women from communities involved in the monitoring efforts who felt they 1) could actively participate, 2) understood the activities being undertaken and 3) had their perspectives taken into account Target: 90% of women participants involved in the monitoring efforts felt this activity at least 'adequately' met and/or achieved these parameters	MMA, UNDP	TBD

	SISREDD+ - Equitably include women and female youth as key non-state information holders for the SIS - Assess women's and youth's capacity on safeguards themes, and conduct any necessary capacity building to facilitate their meaningful involvement and inform their decision-making under this activity - As more marginalized groups (e.g. women, youth, etc.) can face increased barriers (e.g. safety, trust, etc.) in engagement within information sharing channels, ensure such processes are gender responsive, participatory and encourage active engagement from information holders. Stakeholder Participation and Capacity Building - Equitably include women and female youth within	REDD+ Policies Monitoring & Revision Baseline: 0 Indicator: Evidence that gender was mainstreamed into the 1) tool developed to monitor and measure the impacts of REDD-plus policies and investments; and 2) revised National REDD+ Strategy Target: Gender mainstreamed into the 1) tool developed to monitor and measure the impacts of REDD-plus policies and investments; and 2) revised national REDD+ Strategy SISREDD+ Baseline: 0 Indicator: # and % of information holders for the SIS who are women and female youth (disaggregated by stakeholder group) Target: At least 40% of information holders for the SIS are women and female youth (disaggregated by stakeholder group) Baseline: 0 Indicator: % and # of women and female youth consulted on the SIS under this output who felt they 1) understood the content being discussed; 2) could actively participate and 3) had their perspectives taken into account Target: 90% of women and women and female youth consulted on the SIS under this output at least 'adequately' met and/or achieved these parameters Baseline: 0 Indicator: Evidence that feedback from women and youth (including from associated organizations that represent them) was integrated into SIS		

	consultations and validation processes with this output - Ensure women represent an equitable number of positions and/or seats within CONAREDD+ and its Consultative Chambers -Ensure capacities of women and men stakeholders (both state and non-state) are equitably built on REDD+ - Design all consultations and training associated with this activity to encourage women's active involvement - Address any knowledge gaps and particular needs of women and youth in advance of consultations for this activity to enable the active participation of these groups	Target: 80% of feedback from women and youth (including from associated organizations that represent them) integrated into SIS Baseline: 0 Indicator: % of outreach activities and consultations/workshops associated with this output which are designed to account for women's and single-headed household constraints (e.g. location, timing, women's only groups, etc.) Target: 100% of outreach activities and consultations/workshops associated with this output are designed to account for women's and youth constraints **Stakeholder Participation and Capacity Building** Baseline: For gender make-up within REDD+ thematic advisory groups, see Figure 1 above Indicator: % and # of women 1) involved in consultations, workshops, and/or validations associated with this output (disaggregated by stakeholder group); and 2) who occupy positions and/or seats within CONAREDD+ and its Consultative Chambers Target: 40% of people who are 1) involved in consultations, workshops, and/or validations associated with this output are women; and 2) occupy positions and/or seats within CONAREDD+ and its Consultative Chambers are women Baseline: 0 Indicator: % of consultations, workshops, and/or validations associated with this output which are designed to account for women's and single-headed household constraints (e.g. location, timing, women's only groups, etc.) Target: 100% of consultations, workshops, and/or validations associated with this output are designed to account for women's and youth		

		constraints Baseline: 0 Indicator: % and # of women participants involved in capacity building and consultations for this output who felt they 1) could actively participate, 2) understood the content being discussed and 3) had their perspectives taken into account Target: 90% of women participants felt the consultations and capacity building for this output at least 'adequately' met and/or achieved these parameters		
Output 3: Program management	- Train and build capacity of MMA staff and REDD+ staff, stakeholders and partners on the 'why' and 'how to' integrate a gender perspective within REDD+ Implementation - Hire a gender expert to support the mainstreaming of gender within this proposed project - Train and build capacity of MMA's Gender Committee on REDD+ concepts as necessary, so that their guidance can be context specific and they can be used as resource to help gender integration into REDD+	Baseline: 0 Indicator: # of MMA and REDD+ staff and stakeholders who have had their capacity built/awareness raised on gender and REDD+ (disaggregated by sex and stakeholder group) Target: 80% of MMA and REDD+ staff and stakeholders have their capacity built/awareness raised on gender and REDD+ Baseline: 0 Indicator: Evidence of changes in perception/understanding of gender among MMA and REDD+ staff and stakeholders Target: at least 80% of MMA and REDD+ staff and stakeholders trained demonstrate changes in perception/ understanding of gender (e.g. through use of pre and post workshop surveys, etc.) Baseline: There is no existing gender expert supporting the mainstreaming of gender in REDD+ efforts in Brazil Indicator: Evidence that a gender expert is supporting the mainstreaming of gender in REDD+ efforts in Brazil for the lifespan of the project Target: A gender expert is hired to support the mainstreaming of gender	MMA, UNDP, MMA's Gender Committee – safeguards officer	TBD

		in REDD+ efforts in Brazil for the lifespan of the project Baseline: 0 Indicator: % and # of members of MMA's Gender Committee who have had their capacity built/awareness raised on REDD+ (disaggregated by sex) Target: 80% of members of MMA's Gender Committee have their capacity built/awareness raised on REDD+		

ANNEXURE: 7: INDICATIVE OUTLINE FOR LIVELIHOOD ACTION PLAN

Please refer to the UNDP SES Guidance Note: Standard 5: Displacement and Resettlement for additional information.

INTRODUCTION

A Livelihood Action Plan (RAP) details the **procedures** and **actions** that will be undertaken in order to ensure that 1) the capacity, production levels, and standards of living of beneficiaries of Floresta + are improved or at least restored, 2) the beneficiaries are compensated adequately for the opportunity cost, and 3) that payments do not displace livelihood activities or trigger adaptive practices that have adverse environmental or social impacts (eg., increased use of pesticides and fertilizers, refer Annex 1, SESP). The LAP reflects the commitment made by the Implementing Partner and UNDP to affected people and communities to meet obligations arising from economic displacement.

Briefly describe the project and associated facilities (if any)

Describe project components requiring economic displacement; land acquisition and resettlement; give overall estimates of land and/or resources to which access has been restricted

Provide explanation of how economic displacement is necessary to achieve the project objectives, how the project is in the 'public interest' and how displacement is proportional to project outcomes

MINIMIZING ECONOMIC DISPLACEMENT

- Describe the justification for the displacement (Economic displacement things to consider: losses related to food security and livelihood activities (income generating activities), Fair and full payment, Legal tenure and land security…)

- Different beneficiaries (production level, land size, targeted beneficiary group)

- Describe efforts and measures to minimize displacement, and expected outcomes of these efforts and measures

- Describe how requirements of Indigenous Peoples Standard have been addressed if Indigenous Peoples are displaced.

CENSUS AND SOCIOECONOMIC SURVEYS

- Provide results of the census, assets inventories, natural resource assessments, and socioeconomic surveys and briefly describe how these were performed, i.e., techniques used, individuals interviewed, etc.

- Identify all people and communities potentially affected by displacement activities and potential impacts to each

- Summary of what surveys have been done in past programs and planning for FLoresta +, and outline what types of surveys would be needed for implementation of each modality

LEGAL FRAMEWORK

- Describe all relevant international, national, local, and community laws and customs that apply to displacement activities, with particular attention to laws and customs relating to tenure rights (especially of indigenous people, refer to indigenous plan)

- Describe how free, prior, informed consent was obtained for displacement of indigenous peoples and traditional communities

- Describe project-specific mechanisms to address conflicts

- Describe entitlement/compensation policies for each type of impact

- Describe method of valuation used for affected structures, land, trees, and other assets

- Prepare entitlement matrix, which includes budget and timeframe for payment of entitlements

DISPLACEMENT-RELATED PROPERTY

- Describe how affected people have been involved in a participatory process to identify replacement property when they have lost access to property to which they have legitimate rights. Describe the advantages and disadvantages of the properties, including the property chosen.

- Describe how affected people whose livelihoods are urban-based have been involved in a participatory process to identify livelihood replacement and support opportunities.

- Describe how affected people whose livelihoods are land-based have been involved in a participatory process to identify lands they can access, including lands with productive potential, locational advantages, and other factors at least equivalent to that being lost.

- Describe how affected people whose livelihoods are natural resource-based have been involved in a participatory process to identify resources they can access with equivalent livelihood-earning potential and accessibility.

- Describe how affected people whose access to legally designated parks and protected areas has been restricted have been involved in identifying and choosing measures to mitigate impacts.

- Describe the feasibility studies conducted to determine the suitability of chosen lands and/or natural resources described above, including natural resource assessments (soils and land use capability, vegetation and livestock carrying capacity, water resource surveys) and environmental and social impact assessments of the sites.

- Give calculations relating to land and resource availability

- Describe, as relevant, mechanisms for: 1) procuring, 2) developing and 3) allotting displacement property, including the awarding of title or use rights to allotted lands and/or resources. Indicate to whom titles and use rights will be allocated, including by gender.

- Provide detailed description of the arrangements for site development for agriculture, including funding of development costs

- If circumstances made it difficult to provide land or resources as described above, provide evidence of mutual agreement with affected people/communities on alternative measures.

INCOME RESTORATION

- Are compensation entitlements sufficient to restore and/or improve livelihoods and income streams for each category of impact? Attach independent review of opportunities to restore and improve incomes/livelihoods. What additional economic rehabilitation measures are necessary?

- Briefly spell out the restoration strategies for each category of impact and describe their institutional, financial, and technical aspects

- Describe the process of consultation with affected populations and their participation in finalizing strategies for income restoration

- How do these strategies vary with the area of impact?

- Does income restoration require change in livelihoods, development of alternative farmlands or some other activities that require a substantial amount of training, time for preparation, and implementation?

- How are the risks of impoverishment to be addressed?

- What are the main institutional and other risks for the smooth implementation of the resettlement programs?

- Describe the process for monitoring the effectiveness of the income restoration measures

- Describe any social or community development programs currently operating in or around the project area. If programs exist, do they meet the development priorities of their target communities? Are there opportunities to support new programs or expand existing programs to meet the development priorities of communities in the project area?

INSTITUTIONAL ARRANGEMENTS

- Describe the institution(s) responsible for delivery of each item/activity in the entitlement policy; implementation of income restoration programs; and coordination of the activities associated with and described in the livelihood action plan

- State how coordination issues will be addressed where displacement is spread over a number of jurisdictions or where displacement will be implemented in stages over a long period of time

- Identify the agency that will coordinate all implementing agencies. Does it have the necessary mandate and resources?

- Describe the external (non-project) institutions involved in the process of income restoration (land development, land allocation, credit, training) and the mechanisms to ensure adequate performance of these institutions

- Discuss institutional capacity for and commitment to displacement

- Describe mechanisms for ensuring independent monitoring, evaluation, and financial audit of the LAP and for ensuring that corrective measures are carried out in a timely fashion

IMPLEMENTATION SCHEDULE

- List the chronological steps in implementation of the LAP, including identification of agencies responsible for each activity and with a brief explanation of each activity

- Prepare a month-by-month implementation schedule of activities to be undertaken as part of resettlement implementation

- Describe the linkage between resettlement implementation and initiation of civil works for each of the project components

PARTICIPATION AND CONSULTATION

- Describe the various stakeholders

- Describe the process of promoting consultation/participation of affected populations and stakeholders in resettlement preparation and planning

- Describe the process of involving affected populations and other stakeholders in implementation and monitoring

- Describe the plan for disseminating LAP information to affected populations and stakeholders, including information about compensation for lost assets, eligibility for compensation, displacement assistance, and grievance redress

GRIEVANCE REDRESS

- Describe the step-by-step process for registering and addressing grievances and provide specific details regarding a cost-free process for registering complaints, response time, and communication modes

- Describe the mechanism for appeal

- Describe the provisions for approaching civil courts if other options fail

MONITORING AND EVALUATION

- Describe the internal/performance monitoring process. Ensure monitoring program seeks to measure whether displaced enjoy at least a standard of living and access to livelihoods equal to what they enjoyed before displacement

- Define key monitoring indicators derived from baseline survey. Provide a list of monitoring indicators that will be used for internal monitoring, including number and location of displaced persons

- Describe institutional (including financial) arrangements

- Describe frequency of reporting and content for internal monitoring

- Describe process for integrating feedback from internal monitoring into implementation

- Define methodology for external monitoring

- Define key indicators for external monitoring

- Describe frequency of reporting and content for external monitoring. Ensure monitoring program is regular and ongoing following project completion until durable solutions are reached

- Describe process for integrating feedback from external monitoring into implementation

- Describe arrangements for final external evaluation

- Describe need for updates to census, assets inventories, resource assessments, and socioeconomic surveys, if necessary, as part of LAP monitoring and evaluation

COSTS AND BUDGETS

- Provide a clear statement of financial responsibility and authority

- List the sources of funds for displacement and describe the flow of funds

- Ensure that the budget for displacement is sufficient and included in the overall project budget. Include provisions for non-anticipated adverse impacts.

- Identify displacement costs, if any, to be funded by the government and the mechanisms that will be established to ensure coordination of disbursements with the LAP and the project schedule. Prepare estimated budget, by cost and by item, for all displacement costs including planning and implementation, management and administration, monitoring and evaluation, and contingencies

- Describe the specific mechanisms to adjust cost estimates and compensation payments for inflation and currency fluctuations

- Describe the provisions to account for physical and price contingencies

- Describe the financial arrangements for external monitoring and evaluation including the process for awarding and maintenance of contracts for the entire duration of displacement

ANNEXURE 8: GUIDANCE ON STAKEHOLDER ENGAGEMENT PLAN

UNDP supported projects require the development of an appropriately scaled Stakeholder Engagement Plan. See UNDP Guidance Note: Stakeholder Engagement for further information on stakeholder engagement. The following information is provided here as guidance to assist in the development of a Stakeholder Engagement Plan.

Appropriately scaled plans. No one type or format of a stakeholder engagement plan will accommodate all projects. Its content will depend on various factors, including the nature, scale, location, and duration of project; the diverse interests of stakeholders; the scale of the project's potential positive and adverse impacts on people and the environment; and the likelihood of grievances.

For a relatively small project with few if any potential adverse social and environmental impacts or initial stakeholder concerns (e.g. Low Risk project, straightforward Moderate Risk project), it is likely that only a "simplified" stakeholder engagement plan would be needed, focusing primarily on initial consultations, information disclosure and periodic reporting (see Box). In such cases, the "plan" would be relatively simple and easily described in the body of the Project Document (that is, no separate plan would be needed).

> **Box. Triggering the appropriate scale of stakeholder engagement plans**
>
> - *Simplified stakeholder engagement plan*: Project funding aimed at providing technical support (training in survey equipment) and materials (office space, computers, GPS equipment) to a national land and survey commission will likely have minimal impact on stakeholders other than the government.
>
> - *Comprehensive stakeholder engagement plan*: Project funding to the same land and survey commission to actually conduct land titling in indigenous and forest-dependent communities across the nation, however, would require a comprehensive plan.

A project with greater complexity and potentially significant adverse social and environmental impacts (complex Moderate Risk project or High Risk project) should elaborate a more strategic plan. A "comprehensive" plan would outline mechanisms that buttress not just disclosure and good communications, but iterative consultations and possibly consent processes over the course of the social and environmental assessment process, development of mitigation and management plans, monitoring project implementation, and evaluation. A separate, detailed stakeholder engagement plan should be appended to the Project Document (see outline below).

All stakeholder engagement plans – whether simplified or comprehensive (see below) – should address basic minimum criteria. The following checklist will help ensure that the plan addresses key issues and components.

> Checklist: Key questions for developing a stakeholder engagement plan[72]

---

[72] As modified, see Asian Development Bank (ADB), Strengthening Participation, p. 43.

Who	Which stakeholder groups and individuals are to be engaged based on the stakeholder analysis? Have potentially marginalized groups and individuals been identified among stakeholders?
Why	Why is each stakeholder group participating (e.g. key stakeholder objectives and interests)?
What	What is the breadth and depth of stakeholder engagement at each stage of the project cycle? What decisions need to be made through stakeholder engagement?
How	How will stakeholders be engaged (strategy and methods, including communications)? Are special measures required to ensure inclusive participation of marginalized or disadvantaged groups?
When	What is the timeline for engagement activities, and how will they be sequenced, including information disclosure?
Responsibilities	How have roles and responsibilities for conducting stakeholder engagement been distributed among project partners (e.g. resident mission, executing agency, consultants, NGOs)? What role will stakeholder representatives play? Are stakeholder engagement facilitators required?
Resources	What will the stakeholder engagement plan cost and under what budget?

Building mutual trust and ensuring meaningful and effective engagement is facilitated by stakeholder ownership of the relevant processes. All efforts should be made to work with the relevant stakeholders to design by mutual agreement the engagement and consultation processes, including mechanisms for inclusiveness, respecting cultural sensitivities, and any required consent processes. Cultural understanding and awareness are central to meaningful stakeholder engagement.

Moreover, a general solicitation of feedback or input cannot be relied upon, nor accepted as the sole method of consultation. Information laden questions presenting various options, the reasons for those options, and their consequences may be a better method in that it presents information in a relationship-building manner, does not assume full stakeholder knowledge of

the project plans, and solicits input on specific project instances instead of placing the impetus on the stakeholder to make seemingly high-level suggestions.

Recall that stakeholder engagement may be minimal at certain times and intense at others, depending on the issues and particular project phase. Also, targeted input from select stakeholder groups may be needed at key points in project development and implementation.

As project information changes – perhaps from subsequent risk assessments, the addition of project activities, stakeholder concerns – the stakeholder engagement plan should be reviewed and modified accordingly to ensure its effectiveness in securing meaningful and effect stakeholder participation.

The stakeholder engagement plan should also anticipate if/when professional, neutral facilitators might be needed to lead key engagement activities. For projects where the stakeholder engagement process is likely to be complex or sensitive, social advisors or other expert staff should help design and facilitate the process and assist with participatory methodologies and other specialized techniques. [73]

Grievance redress processes for the project need to be described in the stakeholder engagement plan. Section 3.4 above elaborates on relevant SES requirements.

The plan should also outline a reasonable budget for stakeholder engagement activities, including potential support for groups to facilitate their participation where necessary (noting that meeting locations should be as convenient as possible and stakeholder acceptance of such support should not be interpreted as endorsement of the project).

Comprehensive Stakeholder Engagement Plan

Below is an example of elements that should be addressed in a comprehensive stakeholder engagement plan. The scope and level of detail of the plan should be scaled to fit the needs of the project.

INTRODUCTION

- Briefly describe the project including design elements and potential social and environmental issues. Where relevant, include maps of the project site and surrounding area.

REGULATIONS AND REQUIREMENTS

- Summarize any legal, regulatory, donor/lender requirements pertaining to stakeholder engagement applicable to the project. This may involve public consultation and

---

[73] IFC Stakeholder Engagement, p. 101.

disclosure requirements related to the social and environmental assessment process as well as relevant international obligations.

SUMMARY OF ANY PREVIOUS STAKEHOLDER ENGAGEMENT ACTIVITIES

- If any stakeholder engagement activities had been undertaken to date, including information disclosure and/or consultation, provide the following details:
- Type of information disclosed, in what forms and languages (e.g., oral, brochure, reports, posters, radio, etc.), and how it was disseminated
- Locations and dates of any meetings undertaken to date
- Individuals, groups, and/or organizations that have been consulted
- Key issues discussed and key concerns raised
- Responses to issues raised, including any commitments or follow-up actions
- Process undertaken for documenting these activities and reporting back to stakeholders

PROJECT STAKEHOLDERS

- List the key stakeholder groups who will be informed about and engaged in the project (based on stakeholder analysis). These should include persons or groups who:
    - Are directly and/or indirectly affected by the project
    - Have "interests" in the project that determine them as stakeholders
    - Have the potential to influence project outcomes or operations
    - [Examples of potential   stakeholders are beneficiaries and project-affected communities, local organizations, NGOs, and government authorities, indigenous peoples; stakeholders can also include politicians, private sector companies, labor unions, academics, religious groups, national environmental and social public sector agencies, and the media]
    - Consider capacities of various stakeholder groups to effectively participate in the stakeholder engagement activities, and include measures to support them where capacity is limited

STAKEHOLDER ENGAGEMENT PROGRAM

- Summarize the purpose and goals of the stakeholder engagement program
- Briefly describe what information will be disclosed, in what formats and languages, and the types of methods that will be used to communicate this information to each of the stakeholder groups identified in section 4 above. Methods used may vary according to target audience, for example:
    - Newspapers, posters, radio, television

- o Information centers and exhibitions or other visual displays
  - o Brochures, leaflets, posters, non-technical summary documents and reports
- Briefly describe the methods that will be used to engage and/or consult with each of the stakeholder groups identified in section 4. Methods used may vary according to target audience, for example:
  - o Interviews with stakeholder representatives and key informants
  - o Surveys, polls, and questionnaires
  - o Public meetings, workshops, and/or focus groups with specific groups
  - o Participatory methods
  - o Other traditional mechanisms for consultation and decision-making
- Describe how the views of women and other relevant groups (e.g. minorities, elderly, youth, other marginalized groups) will be taken into account and their participation facilitated
- Where relevant, define activities that require prior consultation and FPIC from indigenous peoples (and refer to Indigenous Peoples Plan and FPIC protocols)
- Outline methods to receive feedback and to ensure ongoing communications with stakeholders (outside of a formal consultation meeting)
- Describe any other engagement activities that will be undertaken, including participatory processes, joint decision-making, and/or partnerships undertaken with local communities, NGOs, or other project stakeholders. Examples include benefit-sharing programs, stakeholder-led initiatives, and training and capacity building/support programs.

TIMETABLE

- Provide a schedule outlining dates/periodicity and locations where various stakeholder engagement activities, including consultation, disclosure, and partnerships will take place and the date by which such activities will be undertaken

RESOURCES AND RESPONSIBILITIES

- Indicate who will be responsible for carrying out the specified stakeholder engagement activities
- Specify the budget and other resources allocated toward these activities
- [For projects with significant potential impacts and multiple stakeholder groups, it is advisable to hire a qualified stakeholder engagement facilitator to undertake all or portions of the stakeholder engagement activities]

GRIEVANCE MECHANISM

- Describe the process by which people concerned with or potentially affected by the project can express their grievances for consideration and redress. Who will receive grievances, how and by whom will they be resolved, and how will the response be communicated back to the complainant? (see Guidance Note on Grievance Redress Mechanisms)
- Ensure reference is made to and stakeholders are informed of the availability of UNDP's Accountability Mechanism (Stakeholder Response Mechanism, SRM, and Social and Environmental Compliance Unit, SECU) as additional avenues of grievance redress.

MONITORING AND REPORTING

- Describe any plans to involve project stakeholders (including target beneficiaries and project-affected groups) or third-party monitors in the monitoring of project implementation, potential impacts and management/mitigation measures
- Describe how and when the results of stakeholder engagement activities will be reported back to project-affected and broader stakeholder groups. Examples include newsletters/bulletins, social and environmental assessment reports; monitoring reports.

ANNEXURE 9: INDICATIVE OUTLINE OF BIODIVERSITY ACTION PLAN

Please refer to the UNDP SES Guidance Note: Standard 1: Biodiversity Conservation and Sustainable Natural Recourse Management for additional information.

INTRODUCTION

Where biodiversity values of importance to conservation are associated with a project or its area of influence, the preparation of a Biodiversity Action Plan (BAP) or Biodiversity Management Plan (BMP) provides a useful means to focus a project's mitigation and management strategy. For project activities in critical habitats and protected areas, Standard 1 notes that a BAP needs to be in place. For projects solely designed to strengthen biodiversity and maintain or restore ecosystems in areas of critical habitat, the project document itself would constitute such a plan. Biodiversity plans are highly encouraged when also operating in natural habitats (or in modified habitats with biodiversity values of importance to conservation).

Targeted biodiversity-related mitigation and management measures may be integrated into more general Environmental and Social Management Plans (ESMFs) or related plans. However, a BAP or BMP provides focused attention to actions in ecologically critical areas. A BAP/BMP may be included as part of a broader ESMF.

As noted in the Section 2.1 of this guidance note, National Biodiversity Strategies and Action Plans (NBSAP) are the primary instruments for implementing the Convention on Biological Diversity at the national level. A BAP/BMP is a more targeted instrument for enhancing and conserving biodiversity and ecosystem services in particular habitats, demonstrated on an appropriate geographic scale. A BAP/BMP should seek to achieve net gains to the biodiversity values for which the critical habitat was designated. A BAP/BMP is highly context specific.

There is no one widely recognized, cross-sectoral framework for the development of a BAP/BMP. Typically a BAP will be undertaken to address significant gaps in information for undertaking biodiversity-related actions (such as insufficient baseline data or understanding of key biodiversity values) whereas a BMP would be developed where adequate information is available for developing appropriate actions.

DESCRIPTION OF BIODIVERSITY CONTEXT:

Identifies national and/or regional biodiversity context; location of projects site/s; relevant physiography; general description of relevant ecosystems, habitats, flora, fauna; priority biodiversity features and components of elevated significance.

OBJECTIVES AND TARGETS BIODIVERSITY ACTIONS AND MITIGATION:

Identifies measures and actions to enhance and conserve biodiversity and/or in accordance with the mitigation hierarchy avoid, minimize, mitigate, potentially significant adverse social and environmental impacts to acceptable levels. Describes – with technical details – each biodiversity-related action/mitigation measure, including the type of issue/impact to which it relates and the conditions under which it is required (e.g., continuously or in the event of contingencies), together with designs, implementation descriptions and operating procedures, as appropriate; takes into account, and is consistent with, other relevant mitigation plans (e.g. indigenous peoples, economic displacement).

IMPLEMENTATION ACTION PLAN (SCHEDULE AND COST ESTIMATES):

Outlines an implementation schedule for measures that must be carried out as part of the project, showing phasing and coordination with overall project implementation plans; and the capital and recurrent cost estimates and sources of funds for implementing the BAP/BMP. Describes institutional arrangements, identifying which party is responsible for carrying out the actions/mitigation and monitoring measures.

STAKEHOLDER ENGAGEMENT:

Outlines plan to engage in meaningful, effective and informed consultations with relevant stakeholders, including locally affected groups. Includes information on (a) means used to inform and involve affected people and description of effective processes for receiving and addressing stakeholder concerns and grievances regarding the project's social and environmental performance.

MONITORING AND REPORTING:

Identifies monitoring objectives and specifies the type of monitoring, with linkages to the biodiversity actions and mitigation measures. Describes parameters to be measured, methods to be used, sampling locations, frequency of measurements, detection limits (where appropriate), and definition of thresholds that will signal the need for corrective actions. Establishes reporting schedule and format.

ANNEXURE 10. INDICATIVE OUTLINE FOR RESETTLEMENT ACTION PLAN (IF APPLICABLE)

If deemed applicable after the full ESIA, a Resettlement Action Plan (RAP) will be developed. The plan details the **procedures** to be followed and the **actions** to be taken in order to properly resettle and compensate affected people and communities. This plan must be developed after it has been determined, following the process outlined in Standard 5, that displacement and resettlement are unavoidable. The RAP reflects the commitment made by the Implementing Partner and UNDP to affected people and communities to meet obligations arising from resettlement. refer to the UNDP SES Guidance Note: Standard 5: Displacement and Resettlement for additional information.

1.   Introduction

Briefly describe the project and associated facilities (if any)

Describe project components requiring land acquisition and resettlement; give overall estimates of land acquisition and resettlement

Provide explanation of how displacement is necessary to achieve the project objectives, how the project is in the 'public interest' and how displacement is proportional to project outcomes

2.   Minimizing Resettlement

Describe the justification for the resettlement

Describe efforts and measures to minimize displacement, and expected outcomes of these efforts and measures

3.   Census and Socioeconomic Surveys

Provide results of the census, assets inventories, natural resource assessments, and socioeconomic surveys and briefly describe how these were performed, i.e., techniques used, individuals interviewed, etc.

Identify all people and communities potentially affected by displacement activities and potential impacts to each

4.   Legal Framework

Describe all relevant international, national, local, and community laws and customs that apply to displacement and resettlement activities, with particular attention to laws and customs relating to tenure rights

Describe how free, prior, informed consent was obtained for resettlement of indigenous peoples and tribal communities, if applicable

Describe project-specific mechanisms to address conflicts

Describe entitlement/compensation policies for each type of impact

Describe method of valuation used for affected structures, land, trees, and other assets

Prepare entitlement matrix, which includes budget and timeframe for payment of entitlements

5.   Resettlement Sites and Housing

If the project requires relocation, describe how affected people have been involved in a participatory process to identify sites, assess advantages and disadvantages of each site, and select preferred sites. Site selection to be risk-informed (e.g. ensure not subject to higher levels of risks from floods, landslides, earthquakes). Describe the options

If housing must be replaced, describe how affected people have been involved in developing an acceptable strategy for housing replacement and how alternative housing meets adequate housing criteria (including legal security of tenure; availability of services, materials, facilities and infrastructure; affordability; habitability; accessibility; location; cultural adequacy). Describe the specific process of involving affected populations in identifying potential housing sites, assessing advantages and disadvantages, and selecting sites

If the project involves allocation of agricultural land or pasture/rangeland, describe how individual households that will be allocated lands have been involved in identifying potential new sites, and how they have explicitly accepted the selected sites

Describe the feasibility studies conducted to determine the suitability of the proposed relocation sites and housing, including where relevant natural resource assessments (soils and land use capability, vegetation and livestock carrying capacity, water resource surveys) and environmental and social impact assessments of the sites. Include a description of potential access of affected people to necessary services, shelter, food, water, energy, and sanitation

Demonstrate where relevant that the land quality and area are adequate for allocation to all of the people eligible for allocation of agricultural land. Provide data on land quality and capability, productive potential, and quantity

Give calculations relating to site requirements and availability

Describe mechanisms for: 1) procuring, 2) developing and 3) allotting resettlement sites and housing, including the awarding of title or use rights to allotted lands. Indicate to whom titles and use rights will be allocated, including by gender

Provide detailed description of the arrangements where relevant for site development for agriculture, including funding of development costs

6.   Income Restoration

Are compensation entitlements sufficient to restore and/or improve livelihoods and income streams for each category of impact? Attach independent review of opportunities to restore and improve incomes/livelihoods. What additional economic rehabilitation measures are necessary?

Briefly spell out the restoration strategies for each category of impact and describe their institutional, financial, and technical aspects

Describe the process of consultation with affected populations and their participation in finalizing strategies for income restoration

How do these strategies vary with the area of impact?

Does income restoration require change in livelihoods, development of alternative farmlands or some other activities that require a substantial amount of training, time for preparation, and implementation?

How are the risks of impoverishment to be addressed?

What are the main institutional and other risks for the smooth implementation of the resettlement programs?

Describe the process for monitoring the effectiveness of the income restoration measures

Describe any social or community development programs currently operating in or around the project area. If programs exist, do they meet the development priorities of their target communities? Are there opportunities to support new programs or expand existing programs to meet the development priorities of communities in the project area?

7.   Institutional Arrangements

Describe the institution(s) responsible for delivery of each item/activity in the entitlement policy; implementation of income restoration programs; and coordination of the activities associated with and described in the resettlement action plan

State how coordination issues will be addressed where resettlement is spread over a number of jurisdictions or where resettlement will be implemented in stages over a long period of time

Identify the agency that will coordinate all implementing agencies. Does it have the necessary mandate and resources?

Describe the external (nonproject) institutions involved in the process of income restoration (land development, land allocation, credit, training) and the mechanisms to ensure adequate performance of these institutions

Discuss institutional capacity for and commitment to resettlement

Describe mechanisms for ensuring independent monitoring, evaluation, and financial audit of the RAP and for ensuring that corrective measures are carried out in a timely fashion

8.   Implementation Schedule

List the chronological steps in implementation of the RAP, including identification of agencies responsible for each activity and with a brief explanation of each activity

Prepare a month-by-month implementation schedule of activities to be undertaken as part of resettlement implementation

Describe the linkage between resettlement implementation and initiation of civil works for each of the project components

9.   Participation and Consultation

Describe the various stakeholders

Describe the process of promoting consultation/participation of affected populations and stakeholders in resettlement preparation and planning

Describe the process of involving affected populations and other stakeholders in implementation and monitoring

Describe the plan for disseminating RAP information to affected populations and stakeholders, including information about compensation for lost assets, eligibility for compensation, resettlement assistance, and grievance redress

10.   Grievance Redress

Describe the step-by-step process for registering and addressing grievances and provide specific details regarding a cost-free process for registering complaints, response time, and communication modes

Describe the mechanism for appeal

Describe the provisions for approaching civil courts if other options fail

11.   Monitoring and Evaluation

Describe the internal/performance monitoring process. Ensure monitoring program seeks to measure whether displaced enjoy at least a standard of living and access to livelihoods equal to what they enjoyed before displacement

Define key monitoring indicators derived from baseline survey. Provide a list of monitoring indicators that will be used for internal monitoring, including number and location of displaced/resettled persons

Describe institutional (including financial) arrangements

Describe frequency of reporting and content for internal monitoring

Describe process for integrating feedback from internal monitoring into implementation

Define methodology for external monitoring

Define key indicators for external monitoring

Describe frequency of reporting and content for external monitoring. Ensure monitoring program is regular and ongoing following project completion until durable solutions are reached

Describe process for integrating feedback from external monitoring into implementation

Describe arrangements for final external evaluation

Describe need for updates to census, assets inventories, resource assessments, and socioeconomic surveys, if necessary, as part of RAP monitoring and evaluation

12.   Costs and Budgets

Provide a clear statement of financial responsibility and authority

List the sources of funds for resettlement and describe the flow of funds

Ensure that the budget for resettlement is sufficient and included in the overall project budget. Include provisions for non-anticipated adverse impacts.

Identify resettlement costs, if any, to be funded by the government and the mechanisms that will be established to ensure coordination of disbursements with the RAP and the project schedule. Prepare estimated budget, by cost and by item, for all resettlement costs including planning and implementation, management and administration, monitoring and evaluation, and contingencies

Describe the specific mechanisms to adjust cost estimates and compensation payments for inflation and currency fluctuations

Describe the provisions to account for physical and price contingencies

Describe the financial arrangements for external monitoring and evaluation including the process for awarding and maintenance of contracts for the entire duration of resettlement

Annexes

Copies of census and survey instruments, interview formats, and any other research tools

Information on all public consultation including announcements and schedules of public meetings, meeting minutes, and lists of attendees

Examples of formats to be used in monitoring and reporting on RAP implementation

Entitlement matrix

Evidence of prior informed consent for indigenous peoples and tribal communities

ANNEXURE 11. SAMPLE TOR FOR PROJECT-LEVEL GRIEVANCE REDRESS MECHANISM

Sample Terms of Reference: Project-level Grievance Redress Mechanism

I. Mandate

The mandate of the GRM will be to:

receive and address any concerns, complaints, notices of emerging conflicts, or grievances (collectively "*Grievance*") alleging actual or potential harm to affected person(s) (the "*Claimant(s)*") arising from Project;

assist in resolution of Grievances between and among Project Stakeholders; as well as the various government ministries, agencies and commissions, CSOs and NGOs, and other natural resource users (collectively, the "*Stakeholders*") in the context of the REDD+ Project;

Conduct itself at all times in a flexible, collaborative, and transparent manner aimed at problem solving and consensus building.

II. Functions

The functions of the GRM will be to:

Receive, Log and Track all Grievances received;

Provide regular status updates on Grievances to Claimants, Policy Board (PB) members and other relevant Stakeholders, as applicable;

Engage the PB members, Government institutions and other relevant Stakeholders in Grievance resolution;

Process and propose solutions and ways forward related to specific Grievances within a period not to exceed sixty (60) days from receipt of the Grievance;

Identify growing trends in Grievances and recommend possible measures to avoid the same;

Receive and service requests for, and suggest the use of, mediation or facilitation;

Elaborate bi-annual reports, make said reports available to the public, and more generally work to maximize the disclosure of its work (including its reports, findings and outcomes);

Ensure increased awareness, accessibility, predictability, transparency, legitimacy, and credibility of the GRM process;

Collaborate with Partner Institutions and other NGOs, CSOs and other entities to conduct outreach initiatives to increase awareness among Stakeholders as to the existence of the GRM and how its services can be accessed;

Ensure continuing education of PB members and their respective institutions about the relevant laws and policies that they will need to be aware of to participate in the development of effective resolutions to Grievances likely to come before the GRM;

Monitor follow up to Grievance resolutions, as appropriate.

III. Composition

The GRM will be composed of:

[Name of Implementing Partner] as the Secretariat and either:

A standing GRM Sub-Committee [made up of x, y, z PB members]; and/or

Ad hoc GRM Task Teams in response to specific requests for grievance

The GRM Sub-Committee will be balanced in composition (government and non-government) and should not include any PB members with a direct interest or role in the grievance/dispute.

IV. [Name of Implementing Partner]

In its role as GRM Secretariat, [Name of Implementing Partner] will perform the following core functions:

Publicize the existence of the GRM and the procedure for using it;

Receive and log requests for dispute resolution;

Acknowledge receipt to the requestor;

Determine eligibility;

Forward eligible requests to the PB for review and action, and

Track and document efforts at grievance/dispute resolution and their outcomes.

V. Project Board

The Project Board would perform the following core functions:

GRM Sub-Committee and/or GRM Task Team will:

Take direct action to resolve the grievance/dispute (e.g. bring the relevant parties together to discuss and resolve the issue themselves with oversight by the PB);

Request further information to clarify the issue, and share that information with all relevant parties, or ensure that a government agency represented on the PB took an appropriate administrative action to deal with a complaint;

Refer the grievance/dispute to independent mediation, while maintaining oversight; or

Determine that the request was outside the scope and mandate of the PB and refer it elsewhere (e.g. Ministry of Justice and Police or to the courts).

VI. Communicating a Grievance

Who can Submit a Grievance?

A Grievance can be sent by any individual or group of individuals that believes it has been or will be harmed by the Project.

If a Grievance is to be lodged by a different individual or organization on behalf of those said to be affected, the Claimant must identify the individual and/or people on behalf of who the Grievance is submitted and provide written confirmation by the individual and/or people represented that they are giving the Claimant the authority to present the Grievance on their behalf. The GRM will take reasonable steps to verify this authority.

How is the Grievance Communicated?

The GRM shall maintain a flexible approach with respect to receiving Grievances in light of known local constraints with respect to communications and access to resources for some Stakeholders. A Grievance can be transmitted to the GRM by any means available (i.e. by email, letter, phone call, meeting, SMS, etc.). The contact information is the following:

[Implementing Partner to add address, phone number, fax, etc.]

To facilitate communications with and between the GRM and potential Claimants, the GRM will receive support from the PB members' institutions, District Commissioners, [local actors and others?]

What information should be included in a Grievance?

The Grievance should include the following information:

the name of the individual or individuals making the Complaint (the "Claimant");

a means for contacting the Claimant (email, phone, address, other);

if the submission is on behalf of those alleging a potential or actual harm, the identity of those on whose behalf the Grievance is made, and written confirmation by those represented of the Claimant's authority to lodge the Grievance on their behalf;

the description of the potential or actual harm;

Claimant's statement of the risk of harm or actual harm (description of the risk/harm and those affected, names of the individual(s) or institutions responsible for the risk/harm, the location(s) and date(s) of harmful activity);

what has been done by Claimant thus far to resolve the matter;

whether the Claimant wishes that their identity is kept confidential; and

the specific help requested from the GRM.

VII. Logging, Acknowledgment, and Tracking

All Grievances and reports of conflict will be received, assigned a tracking number, acknowledged to Claimant, recorded electronically, and subject to periodic updates to the Claimant as well as the office file.

Within one (1) week from the receipt of a Grievance, the GRM will send a *written* acknowledgement to Claimant of the Grievance received with the assigned tracking number.[74]

Each Grievance file will contain, at a minimum:

the date of the request as received;

the date the written acknowledgment was sent (and oral acknowledgment if also done);

the dates and nature of all other communications or meetings with the Claimant and other relevant Stakeholders;

any requests, offers of, or engagements of a Mediator or Facilitator;

the date and records related to the proposed solution/way forward;

the acceptance or objections of the Claimant (or other Stakeholders);

the proposed next steps if objections arose;

the alternative solution if renewed dialogues were pursued;

notes regarding implementation; and

---

[74] Oral acknowledgments can be used for expediency (and also recorded), but must be followed by a written acknowledgment.

any conclusions and recommendations arising from monitoring and follow up.

IX. Maintaining Communication and Status Updates

Files for each Grievance will be available for review by the Claimant and other Stakeholders involved in the Grievance, or their designated representative(s). Appropriate steps will be taken to maintain the confidentiality of the Claimant if previously requested.

The GRM will provide periodic updates to the Claimant regarding the status and current actions to resolve the Grievance. Not including the acknowledgment of receipt of the Grievance, such updates will occur within reasonable intervals (not greater than every thirty (30) days).

X. Investigation and Consensus Building

Within one (1) week of receiving a Grievance, [Implementing Partner] will notify the PB and any other relevant institutions of the receipt of the Grievance.

The PB will identify [Need to develop a specific procedure for doing this] a specific team of individuals drawn from the PB and/or their respective institutions to develop a response to the Grievance. The names of these individuals will be made available to the Claimant.

The designated PB members [hereafter called Task Team] will promptly engage the Claimant and any other relevant Stakeholders deemed appropriate, to gather all necessary information regarding the Grievance.

Through the PB members, the GRM will have the authority to request from relevant Government institutions any information (documents or otherwise) relevant to resolving the Grievance and avoiding future Grievances of the same nature.

As necessary, the Task Team will convene one or more meetings with relevant individuals and institutions in [national capital], or elsewhere in [name of country] as needed.

The objective of all investigative activities is to develop a thorough understanding of the issues and concerns raised in the Grievance and facilitate consensus around a proposed solution and way forward.

The PB members will procure the cooperation of their respective staff with the investigation.

At any point during the investigation, the Task Team may determine that an onsite field investigation is necessary to properly understand the Grievance and develop an effective proposed solution and way forward.

XI. Seeking Advisory Opinion and/or Technical Assistance

At any point after receiving a Grievance and through to implementation of the proposed solution and way forward, the Task Team may seek the technical assistance and/or an advisory opinion from any entity or individual in [country] or internationally which may reasonably be believed to be of assistance.

XII. Making Proposed Actions and Solutions Public and Overseeing Implementation

The Task Team will communicate to the Claimant one or more proposed actions or resolutions and clearly articulate the reasons and basis for proposed way forward.

If the Claimant does not accept the resolution, the Task Team will engage with the Claimant to provide alternative options.

If the Claimant accepts the proposed solution and way forward, the GRM will continue to monitor the implementation directly and through the receipt of communications from the Claimant and other relevant parties. As necessary, the GRM may solicit information from the relevant parties and initiate renewed dialogue where appropriate.

XII. Monitoring and Evaluation

Bi-annually, the GRM will make available to the public, a report describing the work of the GRM, listing the number and nature of the Grievances received and processed in the past six months, a date and description of the Grievances received, resolutions, referrals and ongoing efforts at resolution, and status of implementation of ongoing resolutions. The level of detail provided with regard to any individual Grievance will depend on the sensitivity of the issues and Stakeholder concerns about confidentiality, while providing appropriate transparency about the activities of the GRM. The report will also highlight key trends in emerging conflicts, Grievances, and dispute resolution, and make recommendations regarding:

measures that can be taken by the Government to avoid future harms and Grievances; and

improvements to the GRM that would enhance its effectiveness, accessibility, predictability, transparency, legitimacy, credibility, and capacity.

XIII. Mediation

For the option of independent mediation, mediators on the roster/panel should have at least the following qualifications:

professional experience and expertise in impartial mediation;

knowledge of [project type and activities in the country] and the region, including an understanding of indigenous and tribal culture and practices;

[national and local language, as appropriate] proficiency;

availability in principle for assignments of up to 20 days; and

willingness to declare all relationships and interests that may affect their ability to act as impartial mediators in particular cases.

If mediation succeeded in resolving the dispute or grievance, the outcome would be documented by [Implementing Partner] and reviewed by the Task Team. If it were unsuccessful, stakeholders would have the option to return to the Task Team for assistance.

XIV. Without Prejudice

The existence and use of this GRM is without prejudice to any existing rights under any other complaint mechanisms that an individual or group of individuals may otherwise have access to under national or international law or the rules and regulations of other institutions, agencies or commissions.

ANNEXURE 12: GUIDANCE FOR SUBMITTING A REQUEST TO THE SOCIAL AND ENVIRONMENTAL COMPLIANCE UNIT AND/OR THE STAKEHOLDER RESPONSE MECHANISM

Guidance for Submitting a Request to the Social and Environmental Compliance Unit (SECU) and/or the Stakeholder Response Mechanism (SRM)

Purpose of this form

- If you use this form, please put your answers in bold writing to distinguish text
- The use of this form is recommended, but not required. It can also serve as a guide when drafting a request.

This form is intended to assist in:

(1)   Submitting a request when you believe UNDP is not complying with its social or environmental policies or commitments and you are believe you are being harmed as a result. This request could initiate a 'compliance review', which is an independent investigation conducted by the Social and Environmental Compliance Unit (SECU), within UNDP's Office of Audit and Investigations, to determine if UNDP policies or commitments have been violated and to identify measures to address these violations. SECU would interact with you during the compliance review to determine the facts of the situation. You would be kept informed about the results of the compliance review.

and/or

(2)   Submitting a request for UNDP "Stakeholder Response" when you believe a UNDP project is having or may have an adverse social or environmental impact on you and you would like to initiate a process that brings together affected communities and other stakeholders (e.g., government representatives, UNDP, etc.) to jointly address your concerns. This Stakeholder Response process would be led by the UNDP Country Office or facilitated through UNDP headquarters. UNDP staff would communicate and interact with you as part of the response, both for fact-finding and for developing solutions. Other project stakeholders may also be involved if needed.

Please note that if you have not already made an effort to resolve your concern by communicating directly with the government representatives and UNDP staff responsible for this project, you should do so before making a request to UNDP's Stakeholder Response Mechanism.

Confidentiality   If you choose the Compliance Review process, you may keep your identity confidential (known only to the Compliance Review team). If you choose the Stakeholder Response Mechanism, you can choose to keep your identity confidential during the initial eligibility screening and assessment of your case. If your request is eligible and the assessment indicates that a response is appropriate, UNDP staff will discuss the proposed response with you, and will also discuss whether and how to maintain confidentiality of your identity.

Guidance
When submitting a request please provide as much information as possible. If you accidentally email an incomplete form, or have additional information you would like to provide, simply send a follow-up email explaining any changes.

Information about You
Are you…
1.   A person affected by a UNDP-supported project?
Mark "X" next to the answer that applies to you: Yes: No:
2.   An authorized representative of an affected person or group?
Mark "X" next to the answer that applies to you: Yes: No:

If you are an authorized representative, please provide the names of all the people whom you are representing, and documentation of their authorization for you to act on their behalf, by <u>*attaching one or more files to this form*</u>.
3.   First name:
4.   Last name:
5.   Any other identifying information:
6.   Mailing address:
7.   Email address:
8.   Telephone Number (with country code):
9.   Your address/location:
10.   Nearest city or town:
11.   Any additional instructions on how to contact you:
12.   Country:

What you are seeking from UNDP: Compliance Review and/or Stakeholder Response
You have four options:
• Submit a request for a Compliance Review;
• Submit a request for a Stakeholder Response;

- Submit a request for both a Compliance Review and a Stakeholder Response;
- State that you are unsure whether you would like Compliance Review or Stakeholder Response and that you desire both entities to review your case.

13. Are you concerned that UNDP's failure to meet a UNDP social and/or environmental policy or commitment is harming, or could harm, you or your community? Mark "X" next to the answer that applies to you: Yes: No:

14. Would you like your name(s) to remain confidential throughout the Compliance Review process?

Mark "X" next to the answer that applies to you: Yes: No:
If confidentiality is requested, please state why:

15. Would you like to work with other stakeholders, e.g., the government, UNDP, etc. to jointly resolve a concern about social or environmental impacts or risks you believe you are experiencing because of a UNDP project?
Mark "X" next to the answer that applies to you: Yes: No:

16. Would you like your name(s) to remain confidential during the initial assessment of your request for a response?
Mark "X" next to the answer that applies to you: Yes: No:
If confidentiality is requested, please state why:

17. Requests for Stakeholder Response will be handled through UNDP Country Offices unless you indicate that you would like your request to be handled through UNDP Headquarters. Would you like UNDP Headquarters to handle your request?
Mark "X" next to the answer that applies to you: Yes: No:
If you have indicated yes, please indicate why your request should be handled through UNDP Headquarters:
18. Are you seeking both Compliance Review and Stakeholder Response?
Mark "X" next to the answer that applies to you: Yes: No:

19. Are you unsure whether you would like to request a Compliance Review or a Stakeholder Response? Mark "X" next to the answer that applies to you: Yes: No:

Information about the UNDP Project you are concerned about, and the nature of your concern:
20. Which UNDP-supported project are you concerned about? (if known):
21. Project name (if known):
22. Please provide a short description of your concerns about the project. If you have concerns about UNDP's failure to comply with its social or environmental policies and commitments, and can identify these policies and commitments, please do (not required). Please

describe, as well, the types of environmental and social impacts that may occur, or have occurred, as a result. If more space is required, please attach any documents. You may write in any language you choose

-
-
-
-

23. Have you discussed your concerns with the government representatives and UNDP staff responsible for this project? Non-governmental organisations?

Mark "X" next to the answer that applies to you: Yes: No:

If you answered yes, please provide the name(s) of those you have discussed your concerns with

Name of Officials You have Already Contacted Regarding this Issue:

First Name	Last Name	Title/Affiliation	Estimated Date of Contact	Response from the Individual

24. Are there other individuals or groups that are adversely affected by the project?

Mark "X" next to the answer that applies to you: Yes: No:

25. Please provide the names and/or description of other individuals or groups that support the request:

First Name	Last Name	Title/Affiliation	Contact Information

Please attach to your email any documents you wish to send to SECU and/or the SRM. If all of your attachments do not fit in one email, please feel free to send multiple emails.

Submission and Support

To submit your request, or if you need assistance please email: project.concerns@undp.org

Page left intentionally blank.