# Manual for monitoring of socio-environmental REDD+ safeguards in SISA, Acre, Brasil, August 2013

*English translation of sections 5 to 7 of the Manual for monitoring of social-environmental REDD+ safeguards in SISA, Acre, Brazil, August 2013.*

Full manual available in Portuguese of *Manual de Monitoramento das Salvaguardas Socioambientais de REDD+ no SISA, Acre, Brasil Agosto 2013*.

# The Monitoring Process of Social and Environmental Safeguards

This manual presents a process for monitoring the compliance with the Social and Environmental Safeguards of REDD+ for the ISA Carbon Program of Acre’s System of Incentives for Environmental Services - SISA. The process is based on the Social and Environmental Standards of REDD+ SES, however, the indicators from the State of Acre serve the strict purpose of monitoring the safeguards of this state’s public policy. In this phase, the Institute for Climate Change (IMC) shall evaluate if the indicators are being monitored and the safeguards followed in the ISA Carbon Program, of the SISA, and in complementary public policies. This evaluation will result in a public report that describes the state of compliance of the safeguards. From this report, an action plan will be developed that will continuously improve governmental tools and will include periodical revisions of the indicators.

Another aspect of the monitoring is related to the compliance with the social and environmental safeguards of private REDD+ projects that will be developed in the State of Acre. Since the Standards for REDD+ SES have not been developed for private projects, the monitoring of social and environmental safeguards of these projects will be done through voluntary social and environmental certification systems recognized by SISA.

Additionally, projects shall be evaluated by the State Commission for Validation and Monitoring – CEVA and a series of public consultations will be conducted to ensure social oversight of the safeguards in these projects. Only after going through these steps any private project will be able to be registered, approved and monitored by the jurisdictional system of the State of Acre. All the steps mentioned above will be detailed in this manual.

# REDD+ Social and Environmental Safeguards in SISA: monitorning methodology

The flowchart and image below describe the steps corresponding to the monitoring process of compliance with the social and environmental safeguards of the State of Acre:

Revision

Principles & Criteria REDD+ SES and Acre Indicators

Check-list for evaluation of compliance with

Acre Indicators

IMC: conducts Self-Assessment valuation

CEVA: revises and validates self-assessment

IMC: publishes document for public consultation

CEVA, Council Members & Indigenous WG: revise e validate the Action Plan

IMC: publishes the document for public consultation

IMC: implements the Action Plan and promotes regulation of SISA with CEVA resources.

After 2 years, new self-assessment



IMC: Identifies gaps and positive aspects of the State system

CEVA: Prioritizes new activities according to the gaps

IMC: Develops an Action Plan to fill the gaps according to the priorities identified by CEVA

IMC: Conducts self-assessments annually in new REDD+ Public Policies developed and implemented during the 2-year cycle.



**Flowchart 2:** Monitoring process of compliance with social and environmental safeguards by SISA.

Products resulting from IMC evaluation: in blue

Civil Society oversight: in red

**Chart 1 below presents the description of monitoring the social and environmental safeguards of the ISA Carbon Program of SISA.**

**Chart 1:** Description of the steps for monitoring safeguards of the ISA Carbon Program of SISA

|  |  |  |
| --- | --- | --- |
| **Step of the monitoring process** | **Description of the process** | **Product of**  **each step** |
| a. self-assessment of the state system for monitoring the safeguards. | Based on the Acre Indicators for social and environmental safeguards developed and validated by CEVA, a check-list[[1]](#footnote-1) (Annex I) was created to help with the evaluation of the safeguards compliance by the ISA Carbon Program of SISA and by state public policies. This tool will be used for the IMC team and the objective is to identify if the current tools available in the State of Acre are sufficient to address the proposed safeguards indicators. In this phase, existing gaps will be analyzed, as well as mechanisms that currently address the indicators. Results of this evaluation conducted by the IMC will be forwarded to CEVA. This evaluation consists in a quantitative assessment of status and process. | Check-list filled out containing evaluation of the Acre Indicators and the gaps found in the system. |
| b. 1st revision and validation by CEVA and publication of the self-assessment for public contribution. | CEVA revises and validates the check-list filled out in a concise and objective manner.  The filled out check-list is published in the website of the State government, of the IMC, of CEVA and of the REDD Observatory, to facilitate public contribution. | Check-list validated by CEVA made available on the internet for consultation. |
| c. Deveopment of the Action Plan. | Based on the validated check-list, the IMC identifies gaps in the system and CEVA prioritizes activities to be conducted based on the identified gaps.  After this prioritization, the IMC develops an Action Plan where necessary improvements for the full compliance of the social and environmental safeguards are defined. | Action Plan establishing priorities. |
| d. Revision and validation of the Action Plan by CEVA, by the collective Councils, by the Indigenous WG and public consultations in general. | The proposal of actions pre-defined by the IMC shall be revised and validated by CEVA, by the collective Councils and the Indigenous Working Group, and the document shall be published for public contribution. If possible, structured public consultations will be conducted as well.  After these revisions, a new document shall include and consolidate the new recommendations. | Final version of the Action Plan with public contributions incorporated. |
| e. Implementation of the Action Plan | After the consolidation of the Action Plan with incorporation of society’s contributions, the state government will initiate implementation of the actions and activities. In this phase, it is possible that new regulations are developed with CEVA’s contribution for the enhancement of SISA . |  |

As described in the Flowchart 2, the monitoring and continuous improvement cycle re-starts with a new self-assessment of the state system after a period of 2 years[[2]](#footnote-2). At this stage, it will be possible to conduct a review of the Acre Indicators with the objective of making the system better adapted to the local reality. Flowchart 2 also takes into account the Public Policies that may be developed and implemented during the 2-year cycle, that is, after a complete self-assessment of the State policies. In this case, the process anticipates the IMC conducting an annual self-assessment only of the policies that started during the cycle. Based on this precise and point-specific self-assessment, the consultations and new actions shall be incorporated in the current Action Plan.

# Social and Environmental Safeguards in Private Projects of the ISA Carbon Program of SISA: monitoring methodology

In the case of Private Projects of the ISA Carbon Program of SISA, to be registered and approved, the following steps shall be completed so the state monitoring can be conducted (Flowchart 3):

Proponent conducts the pre-registration with IMC

Proponent develops Project Definition Document (PDD)

Proponent applies “IMC Protocol for Public Consultation and F.P.I.C.”

Project is registered with IMC

Qualifiers for private projects validation systems

**\*In case of complaints, via ombudsman or other ways, the IMC may disqualify the project until the issues raised are resolved. This action can take place from the pre-registration of the project until the maintenance of the registration with the IMC.**

Independent verifications are submitted to the IMC

Application of “IMC Protocol for Public Consultation and F.P.I.C.”

Maintenance of project registration with IMC

IMC informs CEVA of

project pre-registration

Independent Validation of the project by a system qualified by the IMC

Validation of the project by CEVA and Indigenous WG with participation of specialists



Public Consultation of the projects’ validation process is made available on the websites of the IMC, CEVA and the Independent Verification Organizations.



**Flowchart 3:** Process for monitoring compliance with the social and environmental safeguards for Private Projects of the ISA Carbon Program and of SISA.

Below is the description of the monitoring flowchart under consideration.

* 1. **Pre-registration:** the proponent shall conduct the Pre-registration of the Project with the IMC, according to the established procedures. The IMC makes information about the requirements available.
  2. **Project development:** the proponent develops the Project Design Document (PDD) and makes it available to SISA, after the Pre-registration of said project.
  3. **Public Consultation:** the proponent shall employ the IMC Protocol for Public Consultation and Free, Prior and Informed Consent (FPIC), described in Annex II, during development of the Project.
  4. **Independent Validation:** the project shall pass through an independent validation. This validation follows a set of rules named “Qualifiers for private projects validation systems” described in item 7.1 of this document. The qualifiers define the criteria to qualify the validation and verification systems approved by the IMC.
  5. **Validation by Civil Society:** the project shall be made available by the IMC for validation by CEVA and the Indigenous WG with collaboration of thematic specialists.
  6. **Public Consultation:** after validation the project will remain available for Public Consultation on the IMC, CEVA and Independent Verification Organizations websites
  7. **Project registration with the IMC:** the proponent shall submit the result of the FPIC and the Project Validation Report to the IMC. CEVA and the Indigenous WG shall also send their project validation recommendation for the IMC analysis. At this point, the IMC will evaluate the Validation Report, the result of the FPIC, the analysis from CEVA and the Indigenous WG and contributions from the public consultations. If all procedures are being followed, the project will be officially registered/accredited with SISA. If the documents are not approved by the IMC due to serious complaints, lack of technical coherence or illegitimacy of the documents, the project will be returned to the proponent so that the necessary revisions can be made. After revisions to the project, it can be submitted again to the IMC for new evaluation and final registration with SISA.
  8. **Independent Verifications:** periodic verifications of private projects of the ISA Carbon Program and of SISA shall also follow the set of rules named “Qualifiers for private projects validation systems”, and new Public Consultations and FPIC shall be conducted. These verifications and consultations shall occur in a maximum period of 5 years.
  9. **Maintenance of project registration\*:** to maintain the project registered with the IMC, both the Verification Report and results of the Public Consultations need to be conducted and submitted to the IMC.

**Ombudsman:** formed by the State Secretary of the Environment (SEMA) and the Collective Councils, it has the function of receiving complaints related to Private Projects developed in the State of Acre. In this case, the ombudsman shall analyze and identify the veracity of the complaint submitted and, if needed, request suspension or disqualification of the project with the IMC until the issues raised are resolved the project’s proponent. This action may occur at any moment, from pre-registration of the project with the IMC until the maintenance of the same along the years.

## Qualifying criteria for forest certification or carbon project validation systems that ensure good compliance with social and environmental safeguards for private projects of the ISA Carbon Program to be recognized by SISA

Adapted from: “*Forest Certification Assessment Guide: A framework for assessing credible forest certification systems/schemes” WWF/World Bank Global Forest Alliance. July 2006.*

Available at: <http://siteresources.worldbank.org/EXTFORESTS/Resources/FCAG_WB_English.pdf>

For a system to be qualified by SISA, the **content** of its certification or verification norms must contain, at a minimum, the following elements:

* Full compliance with applicable laws
* Respect for the rights of land ownership and land use
* Respect for the rights of the indigenous peoples and traditional populations
* Respect for local communities
* Evaluation and mitigation of environmental impacts
* Monitoring of social and environmental impacts

In case of projects that foresee **forest exploration activities** the following additional elements also be taken into account:

* Respect for labor rights
* Worker’s health and safety measures
* Maintenance of areas of high conservation value
* Implementation of forest management plan

For a system to qualify with SISA, the **process of certification/verification** must include at least the following elements:

* + Mechanisms for transparency:
  + certification/verification norms and policies with free public access
  + public summary of certification/verification reports
  + Mechanisms for participation:
  + public consultation that includes consultation with local communities and other stakeholders affected by the project
  + participation of main actors and groups of interest in the processes of development of norms and decision making about the governance of the system
  + Mechanisms for credibility in auditing:
  + independent audits, with field visits for verification
  + certification decisions free of conflicts of interest
  + instruments for resolution of conflicts of interests
  + certification norms with focus on performance and not on process

1. The check-list is composed by the Principles and Criteria of REDD+ SES, by the Acre Indicators and also has room for description of the evidence of compliance with the safeguards, identification of existing gaps in the system and tips for a successful self-assessment. [↑](#footnote-ref-1)
2. The frequency of monitoring will be every 2 years, where the process ends in the final year of one government and leaves an action plan for the next government. [↑](#footnote-ref-2)