

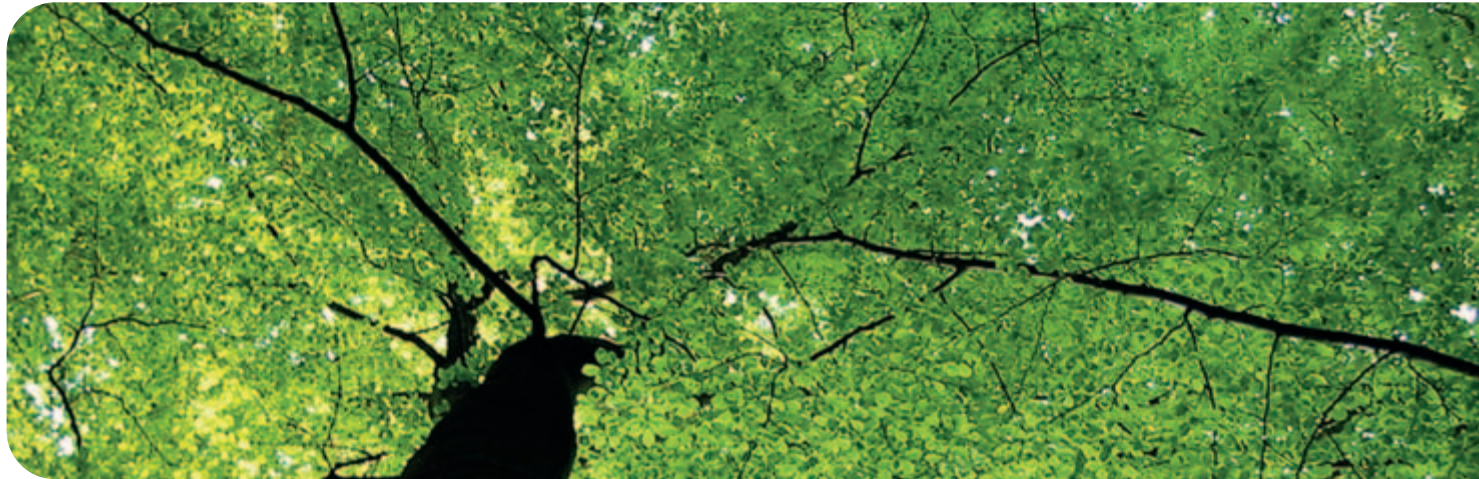


**DEVELOPING SOCIAL AND  
ENVIRONMENTAL SAFEGUARDS  
FOR REDD+**

A guide for a  
bottom-up  
approach



# DEVELOPING SOCIAL AND ENVIRONMENTAL SAFEGUARDS FOR REDD +



A guide for a  
bottom-up  
approach

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# EXECUTIVE SUMMARY

Reduced Emissions from Deforestation and Forest Degradation (REDD) mechanisms are one of the best short term alternatives for significantly reducing green house gas emissions, thus contributing to minimize the impacts of global climate changes.

REDD activities, or REDD+ when forest conservation and restoration are included, are geared to reducing the destruction of tropical forests in developing countries. This objective can only be attained if adequate measures are taken to improve forest governance in those countries, which will have direct impacts on thousands of people that live in the forest and that depend on its resources for their subsistence.

Within this context, the REDD+ debate must go beyond international negotiation where only government representatives are present. This debate must involve national and local governments and the sectors of civil society that in some way are related to this subject.

This guide describes a process for developing REDD+ socio and environmental safeguards in Brazil that is based on a broad participation of all parties involved. The discussion process included the private sector, environmental organizations, representatives of indigenous peoples and local communities, smallholders, and research institutions.

The social and environmental risks of REDD+ activities were discussed by these groups and, based on such discussions, safeguards to minimize those risks were prepared. The representatives of indigenous

peoples, local communities and smallholders played an important role in this process by bringing the discussion to the local level and incorporating the main concerns of the people that live in and depend on the forest in the final document.

Now, the REDD+ socio and environmental safeguards prepared in Brazil are being presented by civil society to government authorities as a contribution to the establishment of public policies addressing REDD+, climate change and, within a broader scenario, alternative land uses in forest areas.

**This guide has the objective of providing a platform for duplicating the process in other countries where the subject REDD+ may also involve risks and challenges. We hope that, as we have done in Brazil, this process can be carried out in an open and democratic way, with ample participation of civil society and representatives of indigenous peoples, local communities and smallholders.**

# GENERAL CONTEXT

In 2007, the Intergovernmental Panel on Climate Change (IPCC) recognized that curbing the destruction of tropical forests plays an important role in reducing global carbon emissions. From then on, Reduced Emissions from Deforestation and Forest Degradation (REDD) mechanisms have taken central stage in the international debate about climate change. Today they represent an important short and midterm strategy to minimize the negative effects of green house gas emissions.

Discussions on REDD+ socio and environmental safeguards started during COP-15, which took place in Copenhagen in December, 2009, led by the delegates participating in the working group for long term cooperative actions (LCA)<sup>1</sup>. They considered that these safeguards must be followed in any REDD+ activity carried out within the **United Nations Framework Convention on Climate Change (UNFCCC)**. The text prepared during that meeting emphasized the importance of involving civil society players in discussions related to REDD+. It recommended this subject should not be restricted only to international forums but should be addressed in national and sub-national discussions with the participation of government, private sector, civil society and, especially, representatives of indigenous peoples and local communities.

**Many REDD+ projects and pilot programs** are being implemented by national or local governments, corporations and civil society organizations in various countries. However, because there is no regulatory instrument, their effectiveness in reducing forest destruction and carbon emissions has been questioned. In addition, there is considerable concern about the potential of social and environmental risks related to REDD+ activities, especially with regard to traditional rights of indigenous peoples and local communities.

Moreover, the **United Nations Declaration on the Rights of Indigenous Peoples** states that indigenous peoples have the right to self-determination and shall not be relocated without free, prior and informed consent. These aspects are being taken into consideration in international debates on REDD+ and climate change. However, there are many doubts on how to carry out consultations with indigenous peoples and local communities in a way that such process is truly effective and well accepted by these populations.

In Brazil, during the Katoomba Seminar, which took place in April, 2009, representatives of social movements strongly expressed their concern about ensuring the rights of indigenous peoples and local communities in REDD+ projects. They asked for greater participation in REDD+ discussions and

An overview of REDD+ projects implemented in Latin America is available in English and Portuguese in a document published by IDESAM and TNC Brasil, at the site

<http://www.idesam.org.br/publicacoes.php>

proposed an initiative that could prepare a document on social and environmental safeguards that would be a national reference for REDD+ activities. They recommended that the process to reach this objective should be based on ample consultation with all parties involved.

This proposal was readily accepted by representatives of various civil society organizations, social movements, corporations and research institutions that decided to start a multistakeholder process to prepare REDD+ social and environmental safeguards. This process was carried out during the period August 2009 to July, 2010.

<sup>1</sup> Ad Hoc Working Group on Long-term Cooperative Actions

## SUMMARY OF THE BRAZILIAN INITIATIVE TO PREPARE REDD+ SOCIAL AND ENVIRONMENTAL SAFEGUARDS

The first step of this process consisted of establishing a multistakeholder committee that could be in charge of preparing these safeguards and whose members represented the different groups involved in or affected by REDD+ mechanisms. This committee made a revision of innumerable documents that dealt with social and environmental issues related to REDD+. The information gathered from this review was used to prepare the first draft of a set of socio and environmental safeguards, which was structured according to principles and criteria in order to facilitate the discussion of the different themes under consideration.

This first draft was the object of an ample public consultation, open to anyone interested in the subject, and during 150 days it was freely accessible in the Internet. Furthermore, five sectoral meetings were organized by committee members to promote in-depth discussions of its contents and format. Three of these meetings were set up by the Forest Peoples' Alliance (Aliança dos Povos da Floresta), which encompasses three organizations - GTA, CNS and COIAB, with the specific purpose of discussing the draft with leaders of indigenous peoples, traditional communities and smallholders throughout the Amazon Region. One meeting was also organized by the Life Center Institute (Instituto Centro Vida – ICV) in the Lucas do Rio Verde municipality, having smallholders as the main audience from northern Mato Grosso state. The fifth meeting was held in São Paulo under the leadership of BIOFÍLICA and FUNBIO and was attended by several representatives of the private sector.

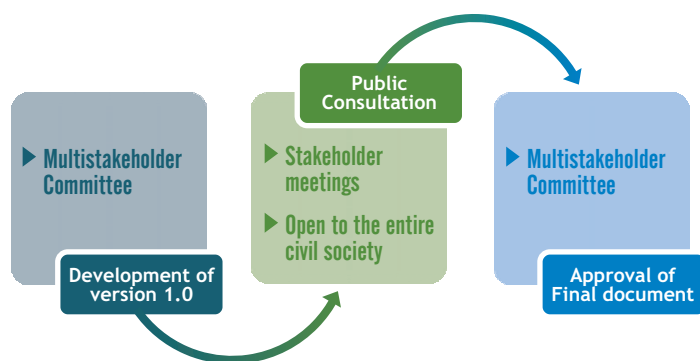
A total of 559 comments and suggestions were received from 200 people and organizations. These comments were recorded and discussed by the members of the multistakeholder committee, who took them into consideration in preparing the final text of the REDD+ socio and environmental safeguards. In the final document these safeguards are organized according to eight principles and 27 criteria. All decisions made by the committee were approved by **consensus**, so that the resulting document represents a broad multisectoral commitment to adopt its criteria.

These criteria address aspects of REDD+ activities with respect to TRANSPARENCY, GUARANTEE OF TRADITIONAL RIGHTS and SHARING OF BENEFITS that are critical to ensure their effectiveness (*See Appendix 1*).

As a whole, these criteria contribute to a broader discussion of the issues related to land use in Brazil. Considering the process that led to the approval of the safeguards, which represent an agreement accepted by various sectors of the Brazilian civil society, such broad discussion will strengthen the links among biodiversity conservation, social rights, climate change and agriculture. This is especially true now, when the federal government and the state governments of the Amazon Region are debating how to regulate REDD+ activities. In the current scenario, this document becomes an important reference since it is the outcome of a BOTTOM-UP approach that took into consideration the concerns of groups that may be affected by REDD+ activities.

**In the Brazilian initiative, REDD+ social and environmental safeguards were organized in Principles and Criteria in order to facilitate discussion of specific subjects that are relevant to REDD+. A total of eight Principles and 27 criteria were developed. This format, which was chosen by the Multistakeholder Committee, should not be mistaken as Principles and Criteria used as standards for certification. The purpose of the Brazilian document is to define minimum criteria to be complied with in any REDD+ programs and projects and was not intended to be the base for a new certification scheme.**

## SUMMARY OF THE STEPS FOLLOWED IN THE DEVELOPMENT OF REDD+ SOCIO AND ENVIRONMENTAL SAFEGUARDS:



## HOW TO USE THIS GUIDE

The objective of this guide is to record the process carried out in Brazil and offer it as a model to be followed by other countries interested in developing similar processes in preparing REDD+ social and environmental safeguards.

In order to facilitate reaching this objective, the steps followed in the Brazilian process were structured in three chapters. Each chapter describes the main actions to be undertaken before, during and after the process. The last part of Chapter 3 lists the main lessons learned in developing the guide.

Of course, just following the structure

suggested in this document does not ensure a successful process. To guarantee quality and legitimacy of the final product it is essential that the development process be based on transparency, representativeness and decisions by consensus.

Due to the fact that no two processes are identical and that activities may run in parallel to each other, the methodology and the way activities were carried out are suggestions of how things should be organized. In addition, cultural adaptations will be necessary to fit each particular situation.

## SUMMARY

### 1 STARTING THE PROCESS

- Advanced planning \_\_\_\_\_ 09
- Involvement of interested players \_\_\_\_\_ 12

### 2 RUNNING THE PROCESS

- Multistakeholder group meeting \_\_\_\_\_ 16
- Public consultation \_\_\_\_\_ 20
- Analysis and synthesis of comments received \_\_\_\_\_ 29
- Wrap-up meeting \_\_\_\_\_ 30

### 3 USE OF SOCIAL AND ENVIRONMENTAL SAFEGUARDS AND CLOSING MESSAGE

- Public policies \_\_\_\_\_ 33
- Influencing projects \_\_\_\_\_ 34
- Main lessons learned \_\_\_\_\_ 35

### APPENDIX 1

- Final version of the REDD+ Socio and Environmental Safeguards developed in Brazil. \_\_\_\_\_ 36

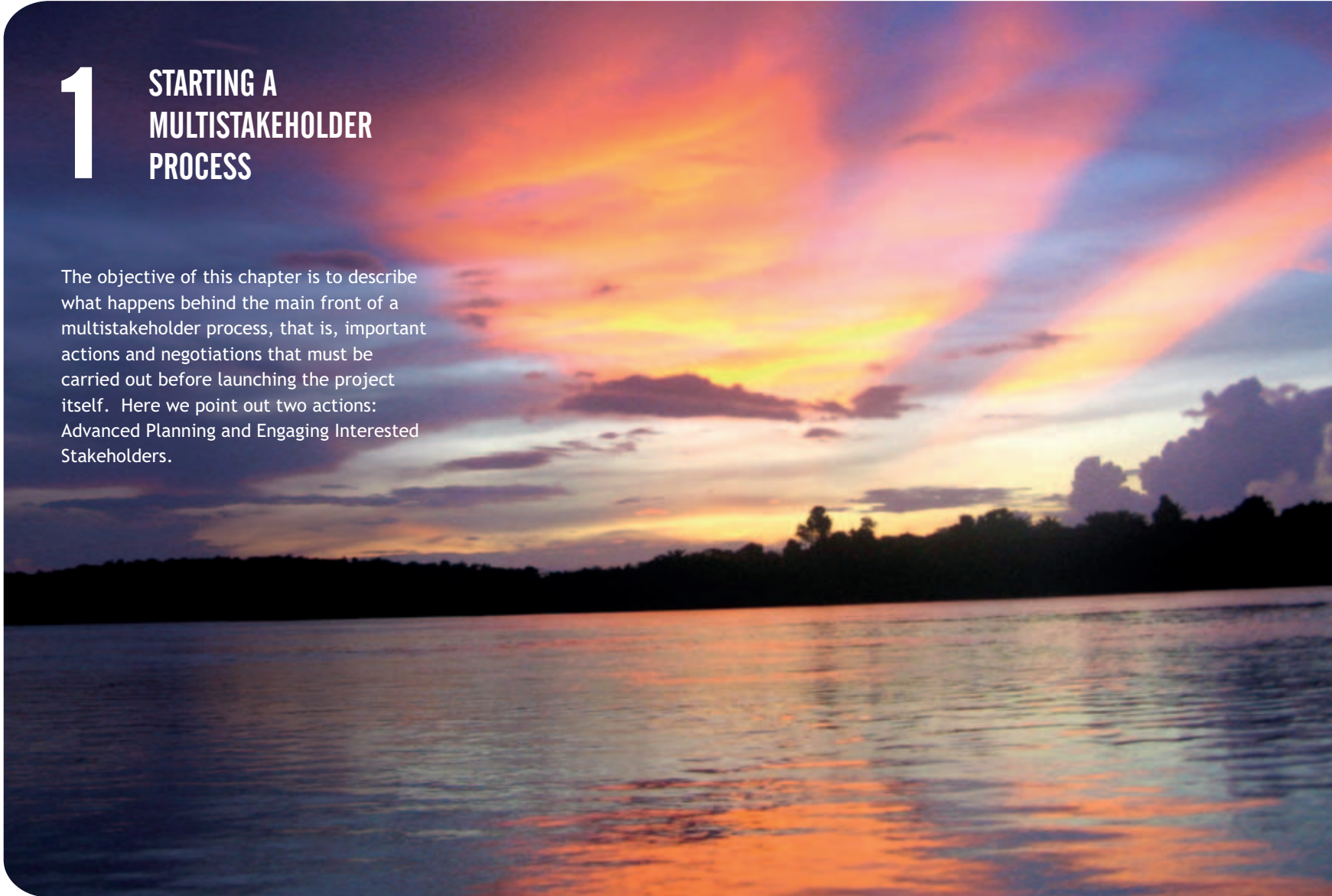
### APPENDIX 2

- Members of the Multistakeholder Committee in charge of running the process in Brazil: \_\_\_\_\_ 39



# 1 STARTING A MULTISTAKEHOLDER PROCESS

The objective of this chapter is to describe what happens behind the main front of a multistakeholder process, that is, important actions and negotiations that must be carried out before launching the project itself. Here we point out two actions: Advanced Planning and Engaging Interested Stakeholders.



# 1. ADVANCED PLANNING

Before starting a multistakeholder process for developing REDD+ socio and environmental safeguards, it is necessary to prepare a planning document that clearly defines its expected objectives and outcomes, the time needed to meet those objectives and outcomes, and the required resources.

This step is very important and should not be overlooked. It contains the main information for the stakeholders to make a decision whether they are really interested in starting a process of this type.

Moreover, this planning phase will help in mobilizing resources because all the steps necessary to reach the results expected are known in advance.

Usually, a process such as this starts when a group of stakeholders interested in the subject arrive to the conclusion that there is a need to set up an initiative to collectively develop a document defining socio and environmental references for REDD+ projects in the country.

The first step is to prepare a Term of Reference that can bring these ideas together in a single document that could be shared by various organizations and stakeholders involved with issues related to REDD+.

The Term of Reference is a document that will be the basis for the preliminary negotiations necessary to implement the process of developing REDD+ socio and environmental safeguards. With this document in hand it will be possible to map out and evaluate the level of interest of key organizations in participating in the process and to look for the necessary financial support.

**Write down the ideas and share the document with interested stakeholders**

**Tip:**

Use the Term of Reference since the early stages, as a way to validate the process among the stakeholders. Share this document with interested stakeholders and invite them to send comments and suggestions. Once this is accomplished, the decision to start the process and how it will be managed will not remain under the responsibility of a single organization, but of a group of people and institutions. This may also help in obtaining the financial resources required to its implementation.

## What should be included in the Term of Reference?

- Description of the problem to be tackled (e.g.: REDD+ socio and environmental risks);
- A clear definition of the initiative's objectives, in order to harmonize expectations among stakeholders;
- Description of what is expected from a multistakeholder process and what is the final product to be obtained;
- A definition of the geographic scope of the document: can it be applied to the whole country or just to a specific region?
- What are the activities necessary to reach those objectives? Plan them in various phases and define a timeframe for each one of them;
- Methodology proposal for the process and also for each one of the phases;
- A definition of the mechanisms that will be used for taking decisions throughout the process;
- At the end, present a time chart with all phases, clearly defining how much time is needed to reach the expected results;
- A budget proposal, even if presenting only ball-park figures of the financial resources required for carrying out the process.

## FUND RAISING

This step is of fundamental importance for the success of the initiative. Define the financial resources necessary to carry out each activity. Be realistic and do not underestimate costs, otherwise execution of the process may be interrupted.

There are various funding sources that could be tapped to provide financial resources: government agencies, national and international donors, private corporations. When looking for financial support, have always in mind that credibility is of fundamental importance in processes such as this.

**Therefore, avoid receiving funds from stakeholders that have vested interests in the subject under consideration. If this happens it may hurt the credibility and impartiality of the entire process.**

### Good practices in developing social and environmental criteria

In order to ensure transparency, participation and credibility of the document under preparation, it is suggested that the process comply as closely as possible with ISEAL Alliance recommendations. This is an international organization in charge of defining good practices in the processes of development of social and environmental standards.

For additional information, please go to [www.isealalliance.org](http://www.isealalliance.org), and mainly the following documents:

ISEAL Code of Good Practice for Setting Social and Environmental Standards, Version 4, January, 2006.

ISEAL Code of Good Practice for Setting Social and Environmental Standards, Implementation Manual, 2006.





### Costs of the Multistakeholder Committee Meeting

Expense item	Cost (US\$)
Air tickets	9.000
Lodging	1.200
Meals	700
Printed materials	500
Meeting place	2.500
Professional time	5.000
<b>TOTAL</b>	<b>18.900</b>

Note: These are approximate costs of one meeting of the multistakeholder committee, which had about 20 participants. Since conditions vary from country to country, the figures above are given as a reference only. Professional time refers to the cost of the technical team of the facilitating institution that was involved in the preparation and coordination of the meeting. Administrative costs are not included.

### Cost of the public consultation meeting with indigenous peoples, local populations and smallholders



Expense item	Cost (US\$)
Transportation (airplane, boat and bus tickets)	15.000
Lodging	4.000
Meals	1.000
Printed materials	3.000
Meeting place	3.000
Professional time	10.000
<b>TOTAL</b>	<b>36.000</b>

Note: approximate cost of one public consultation meeting organized by Forest Peoples' Alliance (Aliança dos Povos da Floresta). Normally these meetings had about 40 participants. Since conditions vary from country to country, the figures above are given as a reference only. Professional time refers to the cost of the GTA technical team involved in the organization of the meeting. Administrative costs are not included.



## In Brazil

In our case, funds were obtained from a North-American Foundation. There were two different fund raising processes: one for the public consultation meetings involving Indigenous Peoples, Local Communities and Smallholders, under the responsibility of GTA, and another to the facilitation of the process and organization of the multistakeholder committee, under the responsibility of IMAFLORA.



### Tips:

- The highest the budget, the more difficult is for the project manager to secure funding. Thus, consider the option of breaking up the budget and submitting smaller requests to various donors.
- If you are only able to mobilize part of the resources needed to carry out planned activities, evaluate if this has any influence on the quality of the final product. If the answer is yes, ask yourself if it is worth starting the process since it may be neither strong enough to produce the expected results nor have the necessary legitimacy.



## 2. ENGAGING INTERESTED STAKEHOLDERS

Ideally, a process for developing REDD+ socio and environmental safeguards needs to include all stakeholders involved in the subject, especially those groups that might suffer losses due to REDD+ project and/or program activities. Their concerns must be taken into consideration when socio and environmental safeguards are being developed.

In addition, the **legitimacy** of the final document bears a direct relationship with the level of participation of the different stakeholders that will be affected by REDD+. These stakeholders will recognize the document as something important to be adopted as long as they feel they are part of the process and have their demands and concerns properly addressed in the final document.

### MAPPING OUT THE SECTORS AFFECTED BY OR RELATED TO REDD+

From a political point of view, a document prescribing REDD+ social and environmental safeguards will be stronger if it represents the expression and aspirations of more than just one sector of civil society. Even though different sectors may have distinct concerns and special interests, sometimes even antagonistic, with respect to REDD+, it is important that all of them take part in the discussion in order to encourage the interaction among the various stakeholders and expand their contributions to the subject.

Therefore, try to identify who are the stakeholders that will be affected by REDD+, such as Indigenous Peoples, Local Communities and Smallholders, and those that may have economic interest in REDD+, such as timber companies, large scale agricultural producers, consulting companies involved in project development, certification organizations, banks, law firms etc. In addition, identify and include in your list of stakeholders other organizations, such as higher learning institutions and research institutes that may have technical information useful to the process.



The development of REDD+ social and environmental safeguards in Brazil was based on a highly participatory process that involved an ample consultation with different representatives of civil society in many places. In particular, the engagement of traditional forest peoples and smallholders was very important to ensure the effectiveness of this new mechanism. The true participatory approach adopted by the organizers of this process established a fruitful dialogue with grassroots groups - often left out of the discussions about public policy for the Amazon Region, thus adding legitimacy to the final product. The miracle is that such a highly participatory process resulted in a final product that is very simple and elegant! We, from WWF-Brazil, believe that this experience can be used as a model for the development of REDD+ safeguards in other countries and, considering a large scenario, for the development of wise policies of more general nature, independently of their character or geographic region.

**Anthony Anderson**

Senior specialist in Forest and Climate, WWF-Brazil  
Member of the Multistakeholder Committee



#### Tip:

When putting together the Multistakeholder Committee, try to balance the number of representatives of each sector to prevent a minor group from being sidetracked during discussions. Moreover, the sectoral imbalance in the construction of the document might become a serious limiting factor for the final product's credibility and legitimacy.

## BUILDING A MULTISTAKEHOLDER COMMITTEE

After funding has been secured, the first step is to form a group of organizations whose representatives will be responsible for running the safeguard development process and writing the final document. It is important that this group cover all sectors previously identified, thus forming a **Multistakeholder Committee**.

To define the composition of the Multistakeholder Committee, take into consideration the following aspects:

### To include or not include government representatives?

This is an important issue and will directly affect the outcome of the process. The answer varies from one country to another, since in some specific cases it is really the government that is spearheading the REDD+ social and environmental safeguards development process.

An important detail here is that government officials should not use their political power to influence the development process or the final document. This will certainly reduce the legitimacy of the safeguards to civil society.

### Sectoral or grassroots organizations representation?

This is what we know as “representativeness dilemma.” Again, the best option depends very much

on the way the stakeholders are organized in each country. Both options present pros and cons.

**Sectoral representations**, or networks when available, are an interesting component of the multistakeholder committee, as they have a better capability of concentrating the demands and interests of an ample spectrum of stakeholders. However, sometimes the communication between representatives and those who they represent is not very effective and some stakeholders may feel they are not properly represented in the Committee.

**Grassroots organizations** bring on board in a quite reliable way the concerns and interests of specific groups. On the other hand, they may be unable to contribute with a more general view of the sector.

### Should a convener be in charge of the process?

Many multistakeholder processes around the world are led by a single organization. Being under a single command, it is easier to secure funding and to plan and carry out the required activities. However, care is necessary in order to avoid a strong association between the process and the organization that could compromise legitimacy, thus decreasing the appropriation of the process by other sectors and organizations.



## In Brazil

In the process conducted in Brazil, the Multistakeholder Committee was made up of representatives of innumerable sectors: private sector, environmental organizations, indigenous peoples, local communities and smallholders, large agricultural producers and research institutions with projects in the Amazon Region.

Due to the fact that the objective of the process was to prepare a document that expressed the opinion of civil society with respect to REDD+, we made the decision not to include any government representative in the committee. Government agencies involved in the subject were kept informed about the progress of the safeguard development process.

The Committee reached the consensus that no particular organization should play the role of a convener. Therefore, all Committee members had practically the same level of responsibility in the process. Moreover, all documents made publically available did not carry any logo or institutional markings - just the list of organizations that were represented in the Committee. These conditions favored greater empowerment of these organizations with respect to the entire process and the final product.

The members of the Committee decided to work as an open group, welcoming new organizations that wanted to participate in the process, but always having in mind the balance of sectors they represented. After an initial phase of consolidation, the Committee had 20 members. Imaflores, a Brazilian NGO, became in charge of facilitating the entire process. (See Appendix 2).

## THE ROLE OF STAKEHOLDERS

### TAKING PART IN THE MULTISTAKEHOLDER COMMITTEE

It is important that each member of the committee:

- Be fully committed to reach the objectives of the process;
- Have the necessary negotiating skills in presenting his demands so that the committee can reach consensus;
- Actively participate and remain committed in all phases of the process;
- Be an effective representative of his sector, bringing its demands to the multistakeholder committee and defending its interests;
- Be responsible for bringing the documents produced by the committee to be discussed by the sector he represents.

### PROCESS FACILITATOR

In the absence of an organization that plays the role of convener, it is very important to appoint a facilitator (or an organization to function as facilitator) that will assist the committee in all phases of the process. It is expected that this facilitator go beyond coordinating meetings and take up the responsibility of ensuring that the adopted methodology be followed in a consistent and correct manner.

The facilitator or facilitator organization should have the following attributes:

- Be trustworthy and with a good rapport with the representatives of the other organizations part of the group;
- Have a good knowledge of the issues related to REDD+;
- Have experience in processes involving the collective development of standards/documents.
- Be as impartial as possible with respect to specific interests of the various groups with respect to REDD+ issues.

THE FACILITATOR is in charge of the following tasks:

- Ensuring methodology consistency in all phases of the process;
- Preparing and distributing background material for discussion;
- Facilitating communication among members of the group;
- Organizing logistics of the meetings;
- Defining how each meeting is to be ran;
- Recording, organizing and filing comments received during public consultations.



We, from the Forest Peoples' Network, recognize the importance of having such a highly relevant document that provides guidelines for the development of Reduced CO<sub>2</sub> Emissions from Deforestation and Forest Degradation projects in Indigenous Lands. This document is especially important because of universal nature of its guidelines that make possible their application on a case-by-case basis. In addition, this document is compatible with the Indigenous REDD Document agreed upon with the Brazilian Government

**Ailton Krenak**

President Director of  
FOREST PEOPLES NETWORK  
(REDE POVOS DA FLORESTA -  
an OSCIP-type organization\*)  
Member of the Multistakeholder  
Committee

\* OSCIP: a Civil Society Organization of Public Interest

**BEAR IN MIND that the FACILITATOR's role is to guide the group through the process and should never use his position to influence decisions.**

## 2 RUNNING THE PROCESS

The objective of this chapter is to describe the main activities involved in carrying out a process for developing REDD+ socio and environmental safeguards.

These activities have been organized in four groups:

- Multistakeholder Committee Meeting
- Public Consultation
- Processing Comments
- Wrap-up Meeting



# 1. MULTISTAKEHOLDER COMMITTEE MEETING

Bringing the members of the Multistakeholder Committee together in the first meeting is a very important step. The success or failure of the entire process depends on how this meeting is run.

Note that on this occasion each different sector represented in the Committee will present its own interests to be discussed by the whole group. The discussions may evolve to a debate that pitches stakeholders into opposite camps. These conflicts must be resolved to allow the process to go forward.

Therefore, **it is very important that this meeting be carefully planned and skillfully run.**

## ORGANIZING THE MEETING

- The first challenge is to choose a date that is compatible with the agenda of all Committee members. It is essential to ensure the presence of all members so that there is a good balance among the various sectors represented in the Committee.
- The distribution of background material before the meeting is important to provide focus to the discussions. If at all possible, the facilitator should compile available documents addressing REDD+ safeguards, organizing them according to their subjects and using them to select the topics of the basic document to be discussed by the group.
- The facilitator must forward the background documents in advance to committee members together with synthesis document that organizes the different subjects to be discussed.

- In addition, the facilitator must submit a draft agenda to committee members. This agenda should state the time and place of the meeting, its objective, the subjects to be discussed and how the meeting is going to be run. With this draft agenda in hand, committee members will know in advance what to expect from the meeting and prepare themselves accordingly.

## PLACE WHERE THE MEETING WILL BE HELD:

- Look for a neutral place, where members will feel comfortable;
- Arrange the tables in the shape of an U, so that members will directly face each other and neutralizing any sense of hierarchy;
- Make sure that all support material - projector, flipchart, color magic markers, ballpoints, writing pads etc., is available to the group. Plan ahead coffee and lunch breaks at convenient places.



### Tip:

*Carefully establish the duration of each session of the meeting!*

Throughout the meeting, the facilitator has a very important role: he must be the time keeper. Very often the agenda includes themes that are controversial and discussions tend to last forever. In order to finish the approved agenda, the facilitator must ensure that the time allowed for each session is not exceeded.

Just as the meeting starts, present the agenda to the members of the Committee, explaining how each subject will be discussed and how the decisions will be taken.



## In Brazil

The basic document used in the first meeting of the Multistakeholder Committee was prepared as a synthesis of the following documents:

- Declaration of the Katoomba Conference (April 2009, signed by various civil society organizations, including environmental organizations, social movements, rural producers, etc.);
- Declaration of the Indigenous Peoples of the Brazilian Amazon about Climate Change (COIAB, Sept. 2009);
- REDD'S Charter of Principles - Fórum Amazônia Sustentável;
- Key Messages from Accra Caucus, Bangkok, October 2009;
- Criteria and Indicators for REDD Projects - University of Leeds/Bangor University (United Kingdom);
- Manaus Declaration - April 2008, and
- Draft REDD+ Social & Environmental Standards - CCBA, Oct.. 2009.

A large Excel spreadsheet was prepared to include, according broad subjects, the contents of each document listed above. These subjects were then carefully organized within a Principles and Criteria (P&C) structure in order to eliminate redundancy and make them as objective as possible.

## RUNNING THE MEETING



### Tip:

Consider the possibility of organizing a special meeting, previously to first Committee meeting, to explain the main issues related to social and environmental safeguards to those members that are not well versed on those subjects.



### Tip:

If you find that the discussions on a particular subject is taking too much time and not leading to consensus, write down this subject on the flipchart and go on to the next subject. If time is available after all agenda items have been covered, go back to that subject. Otherwise, set up a subgroup to address it later and bring a proposal to the Committee.

This is a special meeting. Probably, most of the participants have never met before. For this reason, it is important to begin with an introductory round where each person introduces himself/herself. This way, participants will know with whom they will be working during the process of developing the document.

It is expected that not all Committee members have the same expertise on the subjects under discussion. Therefore, in order to ensure that the objectives of the meeting be attained, at the beginning of the meeting the facilitator should explain the main concepts to be used during discussions.

Right at the start of the meeting, explain the objective that brings all the members of the Committee together: the development of REDD+ Social and Environmental Safeguards. Point out that this is the common objective of all participants and that it will be important to keep this in mind during negotiations and when seeking consensus.

Describe to Committee members the proposal for the decision making process and check whether all of them accept it. **Consensus** is always the best option for this type of process, but it can present difficulties in running the meeting.

Define, after discussing with all Committee members, the geographic region (geographic scope) where the document will be applied. REDD+ activities in different regions of the country may pose different social and environmental risks. It is important that this definition be made right at the beginning of the process because it will orient the strategy for organizing public consultations.





## In Brazil

In Brazil, surprisingly enough, there were very few controversial subjects in the first meeting. Apparently, REDD+ issues in Brazil do not present much conflict; on the contrary, people seem to agree on most of them. There were no great disagreements among the various sectors with respect to the definition of social and environmental safeguards.

The geographic scope defined in the first meeting was the Brazilian Amazon Region, the reason being that the members of the Multistakeholder Committee had greater experience in this region. They did not feel comfortable to address the concerns of other biomes.

Divide the day in two parts:

**A** Initial considerations

- Introduction of the members of the Committee;
- What is expected from the meeting and what is its objective;
- Motivation for developing the document/Background information;
- Knowledge harmonization;
- Role definition;
- Comments and suggestions from group members.

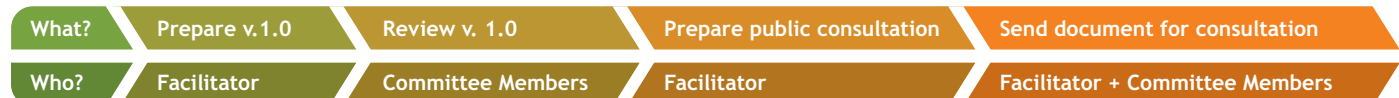
**B** Discussion of the first draft of the document

- During this phase, the facilitator shall submit for discussion the various subjects that he had previously organized. Here, the goal is to obtain the group's agreement on what are the main elements that need to be incorporated as safeguards in the document.
- Do not waste time in trying to write the full text. Just record the subjects that have been agreed upon and that will be incorporated in the document later.



**Tips:**

- Keep all the notes taken by the rapporteur visible to all participants. This way, all members of the Committee will be able to follow what is being recorded and check whether it is in agreement with what was approved by the group.
- Organize the discussion of each subject around the following key questions:
  - Is the text clear and easy to understand?
  - Anything to be removed from the text?
  - Anything to be included in the text?
  - Is there an issue that is relevant to REDD+ and that was left out of the document?
- Before wrapping-up the meeting:
  - Prepare a summary of what was done and what matters remain pending, if any;
  - Describe the next steps and how long each one of them will take.



## FOLLOW-UP TO THE FIRST MEETING

- The facilitator shall prepare, strictly on the basis of the discussions held at the Multistakeholder Committee, the first draft of the REDD+ socio and environmental safeguards document (Version 1.0). The facilitator must not add or exclude anything that was not approved in the meeting.
- When ready, this Version 1.0 shall be sent to all Committee members for review.
- Committee members shall be instructed not to add new subjects but to focus on what had been discussed and agreed upon during the meeting. Otherwise the process will never end.
- All comments received from Committee members shall be incorporated in the document on REDD+ social and environmental safeguards and reviewed by all members until the whole group is satisfied with its contents and formally **approve** the draft that will be submitted to public consultation.



In Brazil the success of REDD+, and its effective contribution to the reduction of emissions from deforestation, depends mainly on a type of pact among the various sectors of our society. Governments, corporations, civil society and academia need not only to get involved but, above all, they need to decide among themselves what are the responsibilities, contributions and obligations of each one of them.

That is exactly the great merit of the process that led to the establishment of these principles and criteria. In a very open and transparent way, the organizations engaged in a “win-win” process that helped paving the way for the effective implementation of this mechanism in Brazil.

For us, from Biofílica – a Brazilian corporation focused on managing forest areas and trading environmental credits, this publication breaks the inertia that was blocking good initiatives and good projects. Lack of regulatory mechanisms cannot be an excuse for inaction. From a business point of view, this moment of uncertainties also brings greater opportunities. The publication of these principles and criteria brings us the comfort that pursuing these opportunities will be done in a legal, equitable and transparent way, thus contributing to the valorization of the greatest environmental asset of the planet, the Amazon Region.

**Plinio Ribeiro**

Executive Secretary, Biofílica Corporation  
Member of the Multistakeholder Committee



## 2. PUBLIC CONSULTATION

Once the Multistakeholder Committee is fully satisfied with Draft 1.0 of the REDD+ Socio and Environmental Safeguards, this document will have to be submitted to a **public consultation** process.

The objective of the public consultation is to encourage the participation of any person that is interested in the development of the document. A well designed public consultation will allow the document to become a product of a collective process of civil society, developed through a transparent and inclusive process.

Public consultations can be carried out in many different ways but, in this case, the important point is that the public consultation gives access to the REDD+ document to any person that is interested in the subject and may want to send comments.

**Stakeholders that can be affected by REDD+, such as indigenous peoples, local communities and smallholders make up an important group to be consulted with. Their interests and concerns must necessarily be incorporated in social and environmental safeguards.**

### PUBLIC CONSULTATION WITHIN INDIVIDUAL STAKEHOLDER GROUPS

- A good way to organize a public consultation is to share the responsibility for the dissemination of the document among all members of the Multistakeholder Committee.
- Therefore, each member is charged with the task of taking the document to the organizations of his/her sector for discussion. When this can be done, the process becomes more effective and takes the burden off a single organization – usually the facilitator organization – of being responsible for the entire public consultation process.

### DEFINING THE DURATION OF THE CONSULTATION

- It is important that the public consultation have its duration well defined, with a deadline for receiving comments.
- The duration of the public consultation shall be established by the members of the Multistakeholder Committee. Each member shall consider the time needed to consult with the sector he/she represents.
- 30 days is the minimum duration recommended by ISEAL.



#### Tip:

**People do take part in a public consultation process when they believe that their comments will be taken into account during the process and in the final document.**

**Therefore, define from the very beginning how comments will be recorded and processed and display this information in all materials made available to the public.**



## MATERIALS FOR THE PUBLIC CONSULTATION

The documents listed in the following paragraphs should be prepared and distributed together with Draft 1.0 of the REDD+ socio and environmental safeguards during the public consultation.

- Public announcement about the process of developing REDD+ socio and environmental safeguards and invitation for people to participate in the public consultation;
- A printed form where people willing to participate in the process can write their comments and send them by e-mail or fax;
- A supplementary document describing the process in more detail, a brief history on the debate about REDD+ socio and environmental safeguards, phases of the on-going process and the list of Multistakeholder Committee members.



### Tip:

When preparing the printed form for the consultation, ASK ABOUT:

- Is the proposed format attractive, easy to understand and to fill out?
- What type of information about the consultation participant is necessary? Participation should be confidential?
- The way comments will be received allows for easy visualization, systematization and processing of the information gathered?



## In Brazil

Extensive discussions were held during the first meeting of the Multistakeholder Committee about the role of its members on the public consultation. The collective decision was that each member should be responsible for carrying out the public consultation within his/her sector.

This decision was especially important because Imaflora, as the facilitating organization, had not secured financial support to carry out public consultations with the physical presence of participants.

The social movement organizations represented by the Forest Peoples' Alliance, which included GTA, COIAB and CNS, were able to obtain special financial support to conduct a public consultation involving indigenous peoples, local communities and smallholders.

Imaflora carried out the consultation via Internet and e-mail. To accomplish this task, Imaflora prepared background material, created a specific Web page and sent e-mails to

contact lists of innumerable organizations that work with or, in one way or another, are involved with subjects related to REDD+.

Many other organizations also helped to disseminate information about the process by including links in their Web pages and sending e-mails to their contact lists.

[www.reddsocioambiental.org.br](http://www.reddsocioambiental.org.br)

This was the website created to divulge the development of the document and the respective public consultation. All the information related to development of the REDD+ Social and Environmental Safeguards were made available in this site as well the information required for the participation in the public consultation process.

In addition, news about the public consultation were also published by the media, especially in magazines and journals related to environmental issues, giving ample coverage to the entire process.

## CONSULTATION VIA INTERNET AND E-MAIL

If at all possible, set up a specific Web page for the public consultation about the document. This site will be the communication channel between the multistakeholder group and local stakeholders interested in REDD+. In addition, this site will be the repository of all available electronically information.

The contents of the site must include:

- History of process;
- Different phases of the process;
- Time chart of phases and activities;
- Instructions for participation;
- Document under consultation
- Appropriate form for recording comments:
- List of members of the Multistakeholder Committee (Name of the organization and name of its representative), and
- Web address for sending comments and e-mail for further contacts.

In addition, each organization that takes part in the Multistakeholder Committee may be able to add a link on its Web page to the Web page of the process, or even supply the public consultation documents in electronic form.

Another way to make a wide distribution of the information about the process is to send e-mails with a complete set of materials on the public consultation to group contact lists and networks dealing with REDD+ and related subjects.

If this done, a great number of people will be informed about the ongoing process of developing REDD+ Socio and Environmental Safeguards and will have the opportunity to make their contribution.

## PUBLIC MEETINGS

Although the importance of the public consultation carried out via Internet and e-mail is recognized, it is not quite sufficient in case of stakeholders that do not have access to electronic media. This is the situation faced by indigenous peoples, local communities and smallholders or by other groups that live in areas where the access to Internet and e-mails is limited.

**Therefore, the organization of meetings with the physical presence of participants to discuss the document is of fundamental importance to improve the quality of the debate and comments. The main risks associated with REDD+ surface to a greater extent in this type of meeting and, only through this fora they can be incorporated in the final document of social and environmental safeguards.**



### Tips:

- Begin the meeting explaining the objectives of the process of developing social and environmental safeguards and the importance of meetings with the physical presence of participants to stress the collective character of the opinions expressed in the document.
- Clearly explain how comments offered during the meeting will be used in developing the final version of the social and environmental safeguards document.
- Record and display the comments received during the whole meeting so that participants will be able to read the final formulation of the comments whilst they are incorporated in the minutes. Doing this you ensure that the minutes reflect exactly what was said in the meeting.



## In Brazil

Meetings with the physical presence of participants were organized by members of the Multistakeholder Committee. Five meetings involving different audiences were held for discussions and consultations about the document.

Over 200 people took part in these meetings and, therefore, were able to learn about the document and offer their contributions.

Three meetings covering the entire Brazilian Amazon Region were organized by the Forest Peoples' Alliance (GTA, CNS, COIAB) in order to discuss the document with leaders of indigenous peoples, local communities and smallholders.

Center Life Institute (Instituto Centro Vida - ICV) organized a meeting with smallholders in the southern part of the Amazon Region. BIOFÍLICA corporation organized a meeting in São Paulo, SP, with several representatives of the private sector in partnership with the Brazilian Fund for Biodiversity (Fundo Brasileiro para Biodiversidade - FUNBIO).



## MEETINGS WITH INDIGENOUS PEOPLES, LOCAL COMMUNITIES AND SMALLHOLDERS

These groups have a great importance in the process because they present the greatest potential to be affected by REDD+ activities. In addition, usually it is more difficult to include them in public consultations and in processes for the collective development of documents.

Therefore, in the process of developing REDD+ Socio and Environmental Safeguards it is necessary to specifically plan meetings with these groups.

Such a plan must include the place where the meeting will be held, how invitations will be distributed and how to select participants. In this situation, the following issues should be taken into consideration:

- Geographic coverage of the participants of the meeting: people from different regions may bring distinct visions of the issues related to REDD+;
- Diversity of participants: include representatives of different ethnic groups, peoples and communities that live under different conditions (edges of deforested areas, preservation areas, areas already deforested, etc.);
- Gender diversity: men, women, youths, senior people, etc. Each group may bring different perspectives into the discussion. This is quite important!



Andrie Costa Nahur



### Tips:

- Think about the possibility of securing funds for covering transportation, lodging and meals expenses of the participants of these meetings. Without financial support it will be impossible to have the participation of groups with scarce resources and from distant places.
- Try to organize the meetings where participants can also eat and sleep. This simplifies logistics and promotes integration among participants and improves the outcome of discussions.

## MOBILIZING PARTICIPANTS TO COME TO THE MEETINGS

Even though meetings are open to the general public, it is important to select participants that represent indigenous peoples, local communities and smallholders. They should be the ones to receive financial support to attend meetings (by covering expenses of lodging, meals, transportation, etc.).

Therefore, when choosing participants, give preference to community LEADERS or REPRESENTATIVES of organizations that:

- Can function as multipliers in their respective communities;
- Have some previous experience in debates related to public policies or land management;
- Are already involved in discussions related to REDD+ and/or other environmental issues.

## CAPACITY BUILDING

The objective of this first part is to bring all participants to the same level of knowledge about REDD+, in order to offer them the information necessary for them to realize how important their contributions are to the process. At the same time, it is hoped that this capacity building phase will ensure that their contributions are made in a CONSCIOUS and EFFECTIVE way.

## MEETING DYNAMICS: CAPACITY BUILDING + DISCUSSION OF SAFEGUARDS

It is quite clear that the objective of the public consultation is to discuss Draft 1.0 of the REDD+ socio and environmental safeguards that had been prepared by the Multistakeholder Committee and to bring contributions to the final version of the document.

However, considering that REDD+ and social and environmental safeguards are a new subject for most people and may seem highly complex to indigenous peoples, local communities and smallholders, it is important that some time and energy be spent to explain that subject to these participants.

This being said, it makes sense that the meeting should be divided into two parts: one for instructing participants about REDD+ and related issues and the other for the discussion of the safeguards themselves.

At the end of this phase make an assessment of what the participants learned by asking them, based on the explanations given, what are the risks and opportunities related to REDD+. If they understand what the risks are, it will be easier for them to come up with the social and environmental safeguards that shall be enforced.



## In Brazil

The public consultation meetings with leaderships from indigenous peoples, local communities and smallholders were organized by the Forest People's Alliance, which is made up of GTA, CNS and COIAB. These organizations are networks that represent hundreds of groups of local communities throughout the entire Brazilian Amazon Region.

Financial support was obtained especially to cover the expenses of these meetings. These funds were managed by GTA.

The decision was made that each organization would nominate ten representatives from their networks to take part in each one of three meetings to be held in capitals of the Amazon Region. The selection of those ten participants was made according to the criteria mentioned above.

All lodging, meals and transportation expenses were covered by the Forest People's Alliance project, under GTA's leadership. As recommended earlier in this document, all meetings were held in places that offered meeting rooms, sleeping and eating facilities, which made logistics easier.

Therefore, each one of these meetings had the participation of representatives of indigenous peoples, local communities and smallholders that came from various parts of the Brazilian Amazon Region.



## In Brazil

Consultation meetings with indigenous peoples, local communities and smallholders lasted for three days. The first part took one-and-a-half days and was used to instruct participants about REDD+ and harmonize their knowledge on the subject. The second part was used for discussions about the document containing REDD+ socio and environmental safeguards.

The capacity building and knowledge harmonization workshop was divided in three components:

- It began with a very informative presentation on themes related to climate change, greenhouse effect, global warming, impact of climate change on people's lives and the relationship between deforestation and climate change.
- The next presentation focused on payment for environmental services and REDD+, including conceptual aspects, elements of REDD+ projects and programs, monitoring and governance.
- In the end, participants were asked to identify what would be the risks and opportunities associated with REDD+ activities to their families and communities.

Content depth varied according to the level of knowledge of participants and also their interest. All meetings had the participation of professionals that work in REDD+ projects, who presented actual cases being developed in Brazil.

The organization Forest People's Alliance had the assistance of IPAM in running the capacity building workshop. This support was highly positive, since IPAM has great experience in conceptual aspects of climate change and REDD+ and has already conducted a number of training and capacity building events for social movement organizations.

## DISCUSSION OF DRAFT 1.0 OF THE DOCUMENT REDD+ SOCIAL AND ENVIRONMENTAL SAFEGUARDS

Begin the second part of the meeting with an initial presentation of:

- History of the process of development the document;
- Document objectives;
- Types of participation;
- Reasons why the participation of the people invited to the workshop is important to process of developing the document;
- Method used in recording comments and incorporating them in the process of developing the final version of REDD+ socio and environmental safeguards.

Next, start the discussions on Draft 1.0 of REDD+ socio and environmental safeguards. It is highly desirable that participants have enough time to review, discuss and comment the whole document.



### Tips:

- When preparing your explanations about REDD+, do not try to mention everything available on the subject. There is no need for going into great detail and, moreover, the time available is not enough.
- Keep focused on basic information so that participants will have sufficient knowledge to make CONSCIOUS and INFORMED contributions during the consultation.
- During your presentations, try not to be too technical. The simpler your explanations, the better chances the participants will have to understand and absorb the information.
- Whenever possible, invite people involved with REDD+ projects to present their case. This is a good way to give the audience an opportunity to learn about real situations, understand the complexity that characterizes REDD+ projects and how they are evolving. In addition, participants will be able to visualize the risks and opportunities associated with this type of project.

## WORKSHOP DYNAMICS

- Divide participants in small groups of up to ten people. This way, participants will have a better chance to make contributions.
- When making these groups, take into account the social and institutional context of participants. This will allow that each group of stakeholders to present and analyze their interests and points of view, without being influenced by interests of other stakeholders.
- Assign two people that had been involved in the organization of the public consultation to each group. One will function as moderator and the other as Rapporteur.
- Limit the time of discussion of each part of the document. This way you ensure that all participants will have time to review the whole document.
- At the end of each discussion, the Rapporteur shall present the recommendations made by the group and check whether those recommendations truly reflect the group's opinion.



### Tip:

Try to associate this activity with the previous exercise of identifying the risks generated by REDD+ activities. Safeguards should be directly related to them, since the objective is exactly to reduce such social and environmental risks posed by REDD+ activities.



## In Brazil

Participants were divided in four groups:

- Indigenous peoples;
- Extractivism communities;
- Smallholders;
- Local organizations.

Moreover, each pair of moderator and Rapporteur was responsible for a portion of the document. Due to the fact that in Brazil the safeguards had been organized in the format of Principles and Criteria and that there were eight principles, each pair was made responsible for two principles.

The eight Principles and their respective Criteria were printed on heavy cloth panels in order to facilitate visualization by members of the groups.

Therefore, each one of the four groups spent about two hours with each pair of Moderator/Rapporteur. During this time the members of the group were able to review, discuss and comment two principles at a time. At the end of the day, all four groups had circulated by all eight Principles.

The following model was used: the moderator started the work with each group by reading the Principle and its Criteria and provided explanation to clarify any question presented by participants. Next, the group discussed each one of the Principles and Criteria and presented comments trying to answer three questions:

- Is the text clear and easy to understand?
- Is there any safeguard in the document with which the group does not agree?
- Is there any safeguard that is not in the document but that the group considers important enough to be included?

All comments and suggestions were recorded by the Rapporteur of the group to be presented at the end of meeting, in order to be validated by the participants of the consultation.





The definition of REDD+ social and environmental principles and criteria was a process of fundamental importance in the Brazilian REDD+ scenario, because it was the first consultation initiative about this mechanism in an Amazonian scale. In a context where there is scarce information about this mechanism, the consultation workshops supplied participants with the necessary knowledge to correctly position themselves with respect to REDD+.

With a broad participation of the civil society of the Amazon Region, the process was able to truly establish a national reference that takes into account the various realities of the Amazon Region. For us, of ICV, the workshop organized in April 2010 for the Rural Workers Union of Lucas do Rio Verde was remarkable. It gave us the opportunity to evaluate, together with representatives of smallholders of the state of Mato Grosso, the potentials, risks and challenges of REDD+ mechanism to small scale agricultural producers.

In an international context where the participation issue is regarded as a challenge, this process must be interpreted as an example of how to ensure the participation and the respect of the peoples of the forest and smallholders in constructing a REDD+ mechanism.

**Alice Thuault**

Public Policies Analyst - Forest Governance Program - ICV  
Member of the Multistakeholder Committee

### 3. PROCESSING COMMENTS

The facilitating organization must be prepared to receive a large number of comments that need to be organized and processed before they are brought to the final meeting of the Multistakeholder Committee.

At this point you must note that:

- All comments are equally important. The facilitator cannot, under any circumstance, modify or exclude comments sent during the public consultation.
- Try to ensure the traceability of all types of information because this will help in the analysis to be carried out by committee members. Therefore, when processing comments, for each one of them insert the following information:
  - A serial number that identifies the comment;
  - The portion of the document it refers to;
  - Who sent the comment, an individual or an organization;

- The means used to forward the comment: via e-mail or Internet or during one of the meetings with the physical presence of participants.
- Organize comments on a spreadsheet that is self explanatory, so that this material can be made available not only to the members of the Multistakeholder Committee, but also to the general public.
- If the number of comments is too large, in order to facilitate review on the part of the members of Multistakeholder Committee consider the option of classifying them in groups according to pre-established criteria as it was done in Brazil (See below). Thus, the members of the Multistakeholder Committee will be able to use this classification to decide, for example, which group of comments will be reviewed first.



**Tip:**

Excel spreadsheet can be a good tool to record and process data. Comments can be visualized on a single spreadsheet. In addition, it is possible to use the function [FILTER], for example, to select comments sent by a specific social group or comments referring to a given subject presented in the document.



### In Brazil

At the end of the public consultation, we had received a total of 559 comments through electronic means and also from meetings with the physical presence of participants. All of them were processed by Imaflora, as the facilitating organization, by means of an Excel spreadsheet. For each comment it was possible the identification of:

- The comment’s author;
- The portion of the document the comment referred to;
- The origin of the document (whether by electronic means or physical presence).

Each comment received an identification number (ID) that made possible its traceability. Finally, in order to facilitate the review by the Multistakeholder Committee, which could not handle 559 comments, one by one, comments were classified in the following way:

DISCUSSION	Suggestion for significant change, conceptual or introduction of a new concept
QUESTIONING	Questions about the process, about REDD+, public policies or about any other related subject
OPINION	Manifestation of opinion that does not imply changes or that is not directly related to text of the document
MINOR	Suggestions for minor changes in content or format that do not modify concepts or insert a new idea
GLOSSARY	Suggestion to add a definition of terms appearing in the document

## 4. WRAP-UP MEETING

After the public consultation process is closed, the Multistakeholder Committee has the responsibility to review all comments and, based on this review, prepare the final version of the REDD+ socio and environmental safeguards document.

In order to reach this objective, the facilitating organization must send in advance to the Multistakeholder Committee the spreadsheet with all comments and a proposal for the methodology to be used. This will save time and improve the effectiveness of the debate within the Committee.

In this phase, all the recommendations made in the beginning of this chapter with respect to meeting preparation and infrastructure are applicable.

### DYNAMICS OF THE FINAL MEETING

The meeting may be divided in three sessions: **General Updates, Comments Review, and Next Steps.**

In the session **General Updates**, the facilitating organization shall present to the members of the committee a brief recap about the process of developing the document, including:

- Review of the objectives of the initiative, context surrounding the need for preparing social and environmental safeguards;

- Chronology of the different phases of the process;
- Role of the Committee and of the facilitating organization;
- Presentation on the public consultation and its outcomes;
- Organization and processing of comments;
- Proposal of methodology to be used for reviewing comments.

In the session **Comments Review** it is important that members of the Committee be able to defend the comments sent by people or organizations that belong to his/her sector. This is exactly the exercise of sectoral dialogue and, for this reason, it is important to ensure comment traceability.

Although the time available might not be sufficient to review comments one by one, the facilitating organization may suggest that a group of comments be given priority. However, any member should be entitled to decide that the Committee must review one or more specific comments.



#### Tip:

During this phase it is important that the Multistakeholder Committee limit its actions to reviewing comments and deciding which ones should be incorporated in the document and which should be left out and why.

Avoid as much as possible that Committee members add new concerns, or safeguards, that had not been previously discussed and did not show up during the public consultation phase. This is very important to maintain the consistency of the process and to prevent that every time the Committee meets, a new document is prepared.

Reserve some time at the end of the meeting for a discussion about the initiative's **next steps**. Take into consideration the activities described in the following paragraphs and define the duration and responsibilities of each one of them:

- Consolidation of decisions taken during the preparation of the final document;
- Elaboration of one answer for each one of the comments received, on the basis of the decisions made by the Committee (ACCEPTED/ REJECTED and WHY);
- Forwarding the final document and the spreadsheet with replies to all comments to Committee members for approval;
- Publication and dissemination of the final version of the REDD+ social and environmental safeguards and of the spreadsheet with all comments received during the public consultation and a reply from the Committee to each one of them;
- Forwarding these materials to all participants of the public consultation.

Finally, make up some time to discuss with Committee members how this document should be used, once it is finalized.



## In Brazil

- The spreadsheet containing all comments received during the period of the public consultation, which were also processed as explained earlier, were delivered in digital and printed form to the Committee members;
- All comments classified as DISCUSSION were addressed by Committee members in the meeting until a consensus was reached about what to do with them. The final outcome of each discussion was recorded by the facilitator;
- After discussion, each comment received one of two decisions: ACCEPTED, which meant it would be incorporated in the final version of the document, or REJECTED, which meant that it would be left out of the final document. In this case, the reason for rejection was also recorded by the facilitating organization;
- Comments that did not received this classification, but were of interest to some member of the Committee, could also be brought into the discussions and processed by the Committee;
- The remaining comments were not addressed by the group, but were processed by the facilitating organization after the meeting;
- In order to ensure the transparency of the process, the spreadsheet with all comments and their respective replies was sent to all the people that took part in the public consultation and was made available at the site [www.reddsocioambiental.org.br](http://www.reddsocioambiental.org.br).

**Sending all comments received during the consultation and their respective replies by the members of the Multistakeholder Committee to all the people that participated in the public consultation increases the TRANSPARENCY of the process, since it opens the possibility that any person or organization that sent contribution can follow up what happened to them.**





# 3 USE OF SOCIAL AND ENVIRONMENTAL SAFEGUARDS AND CLOSING MESSAGE

This last chapter shows how the REDD+ socio and environmental safeguards document is being used in Brazil. Furthermore, we include the main lessons learned during the process carried out in Brazil with the purpose of contributing to the international debate on REDD+ Socio and Environmental Safeguards.

**This is just a reference that may or may not be used as an example. Each country, based on its own local conditions, must decide what the best way to use the document is.**

## 1. SUBSIDES TO REDD+ PUBLIC POLICIES

A process like this, a collective development of REDD+ Socio and Environmental Safeguards, if conducted in a way that ensures the possibility of participation of the various sectors of civil society that are interested in the subject, will result in a document that reflects the risks of REDD+ activities and advances ways of minimizing such risks.

Therefore, as this document expresses the opinion, concerns and expectations of civil society, governments will consider taking into account the safeguards described here to guide their public policies regarding REDD+.

Many countries are now in the process of preparing their legislation and regulatory mechanisms related to climate change and REDD+. There is no doubt that such national and regional legislation will have to incorporate

ways and means to reduce the social and environmental risks of these activities and the REDD+ Socio and Environmental Safeguards presented here can be a useful tool towards this objective.

In Brazil, although government representatives did not participated in the Multistakeholder Committee, specialists of the Federal Government and of State Governments have been kept permanently informed about the process and have received a copy of the final document.

In Brazil, public policies related to REDD+ are still being discussed by Federal and State Governments, but already there are clear signs that the REDD+ Socio and Environmental Safeguards will be part of any and every piece of legislation that is approved on this subject.

## 2. ADOPTION OF SOCIAL AND ENVIRONMENTAL SAFEGUARDS IN REDD+ PROJECTS

Once social and environmental safeguards have been developed, it is important that the various REDD+ initiatives being implemented in the country, either projects of the private sector or government programs, include these safeguards in their planning so that social and environmental risks are reduced.

Even before social and environmental safeguards becomes part of our legislation, the Multistakeholder Committee could make a survey of the various REDD+ initiatives being developed or under implementation in the country and present social and environmental safeguards to them.

Taking into consideration that this was a multistakeholder initiative, which also had the participation of representatives of the private sector, it would be important that the person responsible for the project make a commitment to implement social and environmental safeguards in order to make sure that his/her project will be in agreement with what has been intensively discussed by civil society and agreed upon by a multistakeholder group.

This way, REDD+ socio and environmental safeguards developed here become a reference for all REDD+ initiatives now being developed in the country.

### **REDDNESS: getting prepared for REDD+**

The process of getting ready for REDD+, also known as REDDNESS, necessarily involves national discussions and the development of REDD+ socio and environmental safeguards that can reduce the potential risks associated to this type of activities.

When entering a process such as this, the country shows that is getting ready to receive international funds to finance REDD+ and that it may join with more confidence multilateral initiatives such as the FCPF program, sponsored by the World Bank, or the UN-REDD, sponsored by the United Nations.





### 3. MAIN LESSONS LEARNED

- Discussions about REDD+ Socio and Environmental Safeguards must be held at national or sub-national level. The risks associated with REDD+ activities are directly related to the local conditions of each country and each region.
- The collective development of these safeguards through processes involving the various sectors of civil society affected by and/or interested in REDD+ can be done and the financial resources required are relatively small.
- The discussion about REDD+ Socio and Environmental Safeguards carried out in a multistakeholder process, where the various sectors of civil society affected by and/or interested in REDD+ are effectively involved, is highly positive. It promotes the dissemination of information about the subject and the interaction of different sectors and realities, which results in a form of collective social learning.
- This process, conducted in a participatory and inclusive way, is of fundamental importance to ensure credibility to the REDD+ Socio and Environmental Safeguards document, and for it to be recognized as a legitimate expression for civil society.
- The effective involvement of groups that can be directly affected by REDD+ activities - especially indigenous peoples, local communities and smallholders - is the condition sine qua non for the success of this process. The concerns and expectations of these groups must be duly taken into account in the final version of the social and environmental safeguards.



## APPENDIX 1.

# FINAL VERSION OF THE REDD+ SOCIO AND ENVIRONMENTAL SAFEGUARDS DEVELOPED IN BRAZIL.

The safeguards were organized in Principles and Criteria to facilitate the organization of the subjects.

The text presented below does not include the whole Brazilian document, but only the Principles and Criteria. For the whole document access: [www.reddsocioambiental.org.br](http://www.reddsocioambiental.org.br)

## PRINCIPLES AND CRITERIA

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### **1. LEGAL COMPLIANCE: conformance to legal requirements and relevant international agreements.**

1.1. REDD+ actions shall respect the Brazilian labor legislation, including requirements on health and safety and repression of any form of slave and child labor, while respecting the distinctiveness of the organization of labor of Indigenous Populations, small landowners and local communities.

1.2. REDD+ actions shall respect the Brazilian environmental legislation.

1.3. REDD+ actions shall respect all international social, environmental, cultural, labor and commercial agreements ratified by Brazil.

### **2. RIGHTS RECOGNITION AND GUARANTEE: recognition and respect to rights to lands, territories and natural resources.**

2.1. There shall be the recognition and respect of the constitutional, statutory and customary rights associated with land ownership, the official designation of occupied lands, and the use of natural resources of Indigenous Peoples, small

landowners, including complete respect to the UN Declaration on the Rights of Indigenous Peoples, to the FAO Treaty on Agriculture and Food, and to the ILO Convention 169.

2.2. REDD+ actions shall recognize and value the socio-cultural systems and traditional knowledge of Indigenous Peoples, small landowners and local communities.

2.3. REDD+ actions shall respect the rights to self-determination of the Indigenous Peoples and local communities.

2.4. In the areas where REDD+ actions are implemented, lawful ownership and possession rights shall be respected, as well as those rights associated with the use of land and natural resources.

2.5. There shall be formal mechanisms for conflict resolution associated with REDD+ actions, through dialogs that include the effective participation of all involved stakeholders.

**3. BENEFIT SHARING: fair, transparent and equitable benefit sharing generated by REDD+ actions.**

3.1. Benefits generated by REDD+ actions shall be accessed in a fair, transparent and equitable form by those who hold the rights to the use of land and/or natural resources and promote activities related to conservation, sustainable use and forest restoration<sup>1</sup>.

**4. ECONOMIC SUSTAINABILITY, IMPROVEMENT IN QUALITY OF LIFE AND POVERTY ALLEVIATION: contribution to economic and sustainable diversification of the use of natural resources.**

4.1 REDD+ actions shall promote economic alternatives based on standing forest valorization and on the sustainable use of natural resources and deforested areas.

4.2 REDD+ actions shall contribute to poverty alleviation, social inclusion and improvement of livelihoods for people who live in REDD+ implementation areas and in areas affected by it.

4.3 REDD+ actions shall contribute to the empowerment and autonomy of populations involved, based on participatory planning and local

development tools.

4.4 REDD+ actions shall consider adaptation measures to minimize the negative impact of climate change on Indigenous Peoples, small landowners and local communities.

**5. ENVIRONMENTAL CONSERVATION AND RECOVERY: contribution to conservation and recovery of natural ecosystems, biodiversity and environmental services.**

5.1 REDD+ actions shall contribute to the conservation and recovery of natural ecosystems and avoid causing significant negative impacts to biodiversity and ecosystem services.

5.2 Species or ecosystems that are rare, endemic or threatened with extinction, as well as any other high conservation value attribute, shall be previously identified, protected and monitored.

5.3 In case of restoration activities in degraded areas, REDD+ actions shall use native species.

**6. PARTICIPATION: participation in the development and implementation of REDD+ actions and in decision making processes.**

6.1. Conditions for the participation of the beneficiaries shall be ensured in all phases of REDD+ actions and in the decision making processes, including the identification, negotiation and distribution of benefits.

6.2. Decision making processes relating to REDD+ actions shall effectively ensure the right to free, previous and informed consent, considering local representations and respecting the traditional forms of electing representatives by Indigenous Peoples, small landowners and local communities.

6.3. Populations living in areas affected by REDD+ actions shall be informed about them.

**7. MONITORING AND TRANSPARENCY: complete availability of information related to REDD+ actions.**

7.1 Beneficiaries shall have free access to information relating to REDD+ actions, in simple language, so they can participate in the decision making process in a previously informed and responsible manner.

7.2 Transparency of information about REDD+ actions shall be guaranteed, including at least those related to the methodology, location and size of the

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<sup>1</sup> For the application purposes of this document, the expression "forest restoration" does not include any type of homogeneous forest plantation.

area, definition and participation of involved and affected stakeholders, activities to be executed, time length of the project and conflict resolution mechanisms.

7.3 In public lands, protected areas and in other areas that involve Indigenous Peoples, small landowners and local communities, or in REDD+ actions supported by public funds, there shall be ensured transparency of information regarding the raise, use and distribution of benefits generated by REDD+, as well as periodic financial reporting.

7.4 There shall be periodic monitoring of the socio-environmental, economic and climate related impacts and benefits of REDD+ actions, while respecting the traditional way of life and practices of Indigenous Peoples, small landowners and local communities, and results of this monitoring shall be made publicly available.

**8. GOVERNANCE: fostering of better governance, coordination and alignment with national, regional and local policies and guidelines.**

8.1 REDD+ actions shall be coordinated and be consistent with national, state, regional and municipal policies and program on climate change, conservation, sustainable development and deforestation prevention.

8.2 REDD+ actions shall meet the requirements of state or national REDD+ policies.

8.3 Emissions reduction and carbon sequestration generated by REDD+ actions shall be quantified and registered in a way to avoid double counting.

8.4 REDD+ government actions shall contribute to strengthen public instruments and processes for forestry and territory management.

## APPENDIX 2.

# MEMBERS OF THE MULTISTAKEHOLDER COMMITTEE IN CHARGE OF RUNNING THE PROCESS IN BRAZIL:

**CNS Conselho Nacional das Populações  
Extrativistas**

*(National Extractivism Communities' Council)*

Mr. Joaquim Belo

**CONTAG Confederação Nacional dos  
Trabalhadores da Agricultura**

*(National Confederation of Agriculture Workers)*

Ms. Fani Mamede

**GTA Grupo de Trabalho Amazônico**

*(Amazon Working Group)*

Mr. Rubens Gomes

**COIAB Coordenação das Organizações  
Indígenas da Amazônia Brasileira**

*(Coordination of the Brazilian Amazon Indigenous  
Organizations).*

Mr. Marcos Apurinã

**Rede Povos da Floresta**

*(Forest Peoples' Network)*

Mr. Ailton Krenak

**Biofílica**

Mr. Plínio Ribeiro

**CNA Confederação Nacional da Agricultura**

*(National Agriculture Confederation)*

Mr. Rodrigo Justo de Brito

**PFCA Grupo de Produtores Florestais  
Certificados da Amazônia**

*(Amazon Certified Forest Producers' Group)*

Ms. Andresa Dias

**ICV Instituto Centro de Vida**

*(Life's Center Institute)*

Mr. Laurent Micol

**ISA Instituto Socioambiental**

*(Socio-environmental Institute)*

Ms. Erica M. Yamada

**Greenpeace**

Mr. João Talocchi

**WWF Fundo Mundial para a Natureza**

*(World Wide Fund For Nature)*

Mr. Anthony Anderson

**Fundação AVINA**

*(AVINA Foundation)*

Mr. Carlos Miller

**ICRAF Centro Mundial de Agrofloresta**

*(World Agroforestry Center)*

Mr. Marcos Tito

**IMAZON Instituto do Homem and Meio  
Ambiente da Amazônia**

*(Amazon Institute of People and the Environment)*

Ms. Brenda Brito

**IPAM Instituto de Pesquisa Ambiental da  
Amazônia**

*(Amazon Environmental Research Institute)*

Mr. André Lima

**FUNBIO - Fundo Brasileiro para a  
Biodiversidade**

*(Brazilian Biodiversity Fund)*

Mr. Angelo Augusto dos Santos

**CI Conservação Internacional**

*(Conservation International)*

Mr. Alexandre Prado

**TNC The Nature Conservancy**

Mr. Gilberto Tiepolo

**FAS Fundação Amazonas Sustentável**

*(Sustainable Amazon Foundation)*

Mr. Gabriel Ribenboim

Process and Committee Facilitator

**Imaflora Instituto de Manejo e Certificação  
Florestal e Agrícola**

*(Institute for Agricultural and Forest Management and  
Certification)*

Mauricio Voivodic

Talía M. Bonfante





Partner Organization



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