

**SOCIAL AND ENVIRONMENTAL PRINCIPLES AND CRITERIA FOR
REDD+**

**For development and implementation of REDD+ programs and
projects in the Brazilian Amazon**

Version 1.0

**Open to public consultation for 120 days
(from December 1st, 2009, to April 1st, 2010)**

December 1st, 2009

Introduction

Mechanisms to reduce emissions from deforestation and forest degradation (REDD) are earning an important place in the international debate about climate change. Studies suggest that the emission of greenhouse gases generated by changes in land use represent between 10 and 20% of the total global emissions caused by humans. The growing importance of REDD in climate change discussions is creating opportunities for action to reduce deforestation, both at government (federal and state) and at demonstration project levels.

However, governance mechanisms necessary to translate these opportunities into **effective deforestation reduction, biodiversity conservation benefits, social benefits and respect for the rights of Indigenous Peoples and traditional populations** are not yet in place. This creates a risky situation where carbon projects, as well as government programs may negatively impact traditional populations and biodiversity, or simply not effectively reduce deforestation rates.

It was within this context that, during the Katoomba Group Workshop (Cuiabá, April, 2009), various civil society organizations – including NGOs, rural producers and social movements – got together and decided to initiate a process to develop social and environmental principles and criteria for REDD+¹ programs and projects in Brazil. In order to create a document of national scope that is recognized by Brazilian society, this development process shall involve all stakeholders and sectors affected by REDD, and it shall be transparent and inclusive of public participation.

Thus, a broad and open development process has been adopted for these *Social and Environmental Principles and Criteria for REDD+* including the following steps:

1. Creation of a multi-stakeholder committee to develop and revise the standard of Social and Environmental Principles and Criteria for REDD+;
2. Development of version 1.0 of the standard by this committee;
3. Submission of version 1.0 to public consultation for a period of 120 days, open to all sectors of society involved with REDD;
4. Completion of regional meetings in the Amazon with Indigenous Peoples and traditional communities representatives to present the document and record the contributions of these stakeholders;
5. Completion of meetings with the various sectors involved in or affected by REDD issues in Brazil to present the document and record their contributions;
6. Development of the final version of the standard by the development and revision committee, addressing all comments received during public consultation;
7. Presentation of the REDD+ standard in a public workshop, to be conducted in 2010.

REDD+ Social and Environmental Principles and Criteria will become part of an umbrella standard, to be used as a reference point for the development and implementation of forest carbon projects, of REDD government programs, for the use and investment of international resources allocated for this purpose, and for the independent evaluation and validation of REDD projects in Brazil. The purpose of this standard is not to become the basis of a national certification mechanism for market-based carbon projects, but rather to complement

¹ Reduction of emissions from deforestation and forest degradation (REDD) combined with conservation and forest management actions (REDD+)

international carbon certification systems already in place and with established market value, or others that are yet to come.

The main objective of this standard is to strengthen forest governance, valorizing information transparency, encouraging public participation in the decision making process, coordinating action among stakeholders, and respecting and recognizing the rights of Indigenous Peoples and traditional communities. To improve the level of governance in REDD+ initiatives, it is critical to follow the principles and criteria described in this document.

Note for interpretation and use

This process does not intend to define criteria and indicators that are used to differentiate and reward REDD+ programs and projects that foster high social and environmental performance. This standard contains social and environmental criteria that are **minimum requirements** to ensure that REDD actions **effectively benefit the climate, biodiversity conservation and local populations, and minimize the risks that such actions create negative social and environmental impacts.**

Reference documents

- Katoomba conference letter (April, 2009, signed by various civil society organizations, including environmental organizations, social movements, rural producers, etc...)
- Letter of the Indigenous Peoples of the Brazilian Amazon about Climate Change (Brazilian Indigenous Federation or *Coordenação das Organizações Indígenas da Amazônia Brasileira* – COIAB, September, 2009)
- Letter of principles for REDD – Sustainable Amazon Forum;
- Key Messages from the Accra Caucus, Bangkok, October, 2009;
- Criteria and indicators of REDD Projects – LEEDS and Bangor Universities (United Kingdom);
- Manaus Declaration – April, 2008;
- Draft REDD+ Social & Environmental Standards – Climate, Community & Biodiversity Alliance/CARE International - CCBA/CARE, October, 2009;

Scope

The *REDD+ Social and Environmental Principles and Criteria* shall be applied in REDD+, or REDD, government programs or projects to be implemented in the Brazilian Amazon (see Note below), developed and executed by governments, private entities or civil society organizations, financed by government funds or market based mechanisms (compulsory or voluntary)². Their use is also not restricted to a group or specific sector of society; rather, they shall be used for the implementation of REDD+ actions that are conducted by (or in partnership with) Indigenous Peoples, traditional populations, subsistence producers, private landowners and governments.

² Throughout the Principles and Criteria, the term “*REDD+ actions*” was adopted to refer to these various initiatives.

Note.: This standard was initially designed to be used in REDD+ actions that are or come to be implemented in the Brazilian Amazon. However, during its first meeting, the Committee for Standard Development and Revision opted to broaden the standard's scope by including other biomes, making it a standard to be used in any REDD+ actions in Brazil. The public consultation process will include presentation of the standard to organizations and networks working in other biomes to investigate their interest in conducting the consultation with their networks in order to enlarge the scope of the second version to include the other biomes.

Hierarchy and format of principles and criteria³

- Principles represent guiding values relevant to REDD+ actions.
- Criteria specify the Principle, containing the necessary elements to ensure the Principle is met. Each Criterion has a specific element, that is, a theme that is critical to guarantee conformance with the Principle.
- The term “shall” used in the criteria indicates a requirement, that is, it means that the action **has** to be conducted so the criterion can be considered met.
- All Principles are of equal value amongst themselves, and all criteria are of equal value amongst themselves. Principles and criteria shall be combined and used in a complementary way, therefore not having any meaning if used separately.

Instruction for public consultation

As an open document, developed by Brazilian society, the public consultation aims to enable interested stakeholder to give their contributions, so that the final document reflects the various needs and interests of different sectors of society.

To submit comments, go to the website www.reddsocioambiental.org.br and download the form for public consultation. Fill out this form and send it by e-mail to consultapublica@reddsocioambiental.org.br, or by fax to (19) 3414 4015.

All comments will be reviewed by the *Committee for Standard Development and Revision* and will be considered in drafting the second version of this standard. In preparing and publishing this second version, the committee will make available a document that records all the comments received, and a description of how those comments were incorporated into the document by the committee.

³ Indicators are specifications to the Criteria, containing elements that verify conformance with the Criteria. Normally, they are specific to a certain situation or region. The first version of the standard purposefully does not include indicators, because: i) their scope is very generic, including various stakeholders, scales and regions; ii) this document is not expected to be used in the field by itself, (not used with another standard/norm), to evaluate REDD projects or programs.

Principles and criteria

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

1.1 REDD+ actions shall not disrespect any aspect of the Brazilian labor legislation, including stipulations regarding rural workers' health and safety.

1.2 REDD+ actions shall not disrespect any aspects of the Brazilian environmental legislation, including state and municipal regulations.

1.3 REDD+ actions shall respect all international socio-environmental agreements ratified by Brazil.

1.4 Legislation relating to property rights should not be disrespected in areas where REDD+ actions will be implemented.

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

2.1 There shall be recognition of and respect of the rights (statutory or customary) associated with land ownership, demarcation of territories and use of natural resources of Indigenous Peoples, small land owners and traditional populations, including total respect of the UN Declaration on the Rights of Indigenous Peoples, of the FAO Treaty on Agriculture and Food, and of the ILO Convention 169.

2.2 The socio-cultural systems and traditional knowledge of Indigenous Peoples, subsistence producers and traditional populations shall be recognized and valued. The rights to self-determination, to refuse REDD+ mechanisms or to create their own mechanisms shall be respected.

2.3 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 lands, territories and natural resources.

2.4 There shall be formal mechanisms for resolution of conflicts over the use of land, territories and natural resources. These mechanisms seek the peaceful resolution of existing conflicts, through dialogues that include the effective participation of all stakeholders.

3 DISTRIBUTION OF BENEFITS: just and equitable distribution of benefits generated by the REDD+ program.

3.1 Benefits generated by REDD actions shall be accessed in a just and equitable way by all stakeholders directly responsible for the measures of forest use and conservation.

3.2 Benefits from the reduction of deforestation and forest degradation, including carbon credits, shall belong to the stakeholders who produced such results by means of their actions or way of life.

4 ECONOMIC SUSTAINABILITY AND POVERTY REDUCTION: contribution to economic and sustainable diversification of the use of natural resources and to the improvement of the standard of living of local communities.

4.1 REDD+ actions shall promote economic alternatives based on standing forest valorization and on the sustainable use of natural resources and deforested areas, and are not restricted to a simple transfer of resources to the beneficiaries.

4.2 REDD+ actions shall seek poverty reduction, social inclusion and improvement of livelihoods for people who live in and around REDD implementation areas.

5 ENVIRONMENTAL CONSERVATION: contribution to conservation of natural biodiversity ecosystems and environmental services.

5.1 REDD+ actions shall not threaten natural ecosystems or cause significant negative impacts to biodiversity and ecosystem services.

5.2 REDD+ actions shall promote sustainable use of natural resources, biodiversity conservation and the enhancement of ecosystem services.

5.3 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.

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

6.1 The actors that are directly responsible for measures regarding forest use and conservation shall participate in all steps of REDD+ actions and in the decision-making processes, and they are effectively guaranteed free, prior and informed consent.

6.2 The actors that are directly responsible for measures regarding forest use and conservation shall participate in the decisions about definition, negotiation and distribution of benefits generated by REDD+ actions.

6.3 Stakeholders potentially affected by REDD+ actions shall be informed and consulted during the planning phase for these actions.

7 TRANSPARENCY: complete availability of information related to REDD+ actions, not restricted to the stakeholders who are directly involved.

7.1 Involved stakeholders have free and unrestricted access to information pertaining to REDD+ actions, to enable them to 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 information related to the methodology, location and size of the area, definition and participation of involved and affected stakeholders, activities to be executed and the duration of the project.

7.3 In public lands, protected areas and in other areas that involve Indigenous Peoples and traditional populations, the transparency of information regarding collection, use and distribution of benefits generated by REDD+ actions shall be ensured.

7.4 There shall be periodic monitoring of the social, environmental and climate related benefits and impacts of REDD+ actions, and the results of monitoring shall be made publicly available.

8 COORDINATION: fostering of better land use governance, coordination and alignment with national, regional and local policies and guidelines.

8.1 REDD+ actions shall be coordinated and be coherent with national, state and regional policies and guidelines for avoiding deforestation and promoting sustainable development.

8.2 REDD+ actions shall meet criteria and guidelines of state or national REDD+ programs.

8.3 REDD+ actions shall generate effective reduction of deforestation and forest degradation that can be quantified and integrated with a REDD accounting system at the state and national levels.

8.4 REDD+ actions shall contribute to strengthening forest management tools and processes.

Glossary

Affected stakeholders: Any person or entity that is affected, positively or not, by the proposed and/or implemented project activity.

Consultation: Process through which governments consult their citizens about certain policy or action of any other nature. Only those processes that offer people the opportunity to manifest their opinion and influence decision-making can be considered consultation.

Customary Right: Norms that the Indigenous Peoples and traditional populations usually apply to members of their own communities. In general, this right is not statutory, or stated by legislation, and it is not always recognized by the legal system of the countries where they live. In the case of Brazil, Article 231 of the Federal Constitution of 1988 states that the social organization, customs, language, beliefs and traditions of Indigenous Peoples are recognized by the State (but it does not mention the same recognition for other non-indigenous traditional populations).

Ecosystem Services: Benefits secured by humans directly or indirectly from ecosystems performance, such as: food security, climate regulation, soil formation, protection of water resources, etc.

Endemic ecosystem: Ecosystem restricted to a particular geographic region.

Endemic species: A species which is native and restricted to a particular geographic region.

Free, prior and informed consent: Indigenous Peoples, as well as other traditional populations or groups, make use of this legal instrument to ensure the autonomy of their decision before any action, of the State or society, that affects them. This decision shall be preceded by all necessary information, from written documents or gathered through public hearings, and shall respect the processing timeline and format of each people or community, so they can freely make a decision about the action in question. This decision cannot be made, in any circumstance, under duress, coercion or threat, that is, consent shall be given, or not, in a good-faith relationship between the parties and shall be freely manifested.

Governance or good governance: A shared power system, where stakeholders with different interests coordinate their actions in an unstable environment. It is related to the processes or the way that various stakeholders interact to create and modify rules and how these rules are implemented by the stakeholders. Good governance should be based on principles of transparency, participation, accountability, coordination among different stakeholders, and the capacity that such stakeholders have to participate effectively in the decision-making processes and to use the available information. (Adapted from World Resources Institute - WRI, Instituto do Homem e do Meio Ambiente da Amazônia - Imazon, and Instituto Centro de Vida - ICV, 2009)

High conservation value attributes: Attributes of exceptional environmental, socio-economic and scenic importance, such as: rare and endemic species, areas important for reproduction of

fauna, ecological stations, biological reserves, vulnerable areas due to their physical characteristics, biological and ecological corridors, areas of special cultural and religious value, areas of scenic value.

Involved stakeholders: Any person or entity who is directly involved in activities of the proposed and/or implemented project.

Participation: Participation refers to the involvement of the various stakeholders in the decision-making processes. Contributions from these stakeholders help decision makers seek more appropriate solutions to problems involving forest resources, because they promote addition of new knowledge, integration of societal concerns in the decision-making process, and management of social conflict during the initial stages of decision-making process, while changes are still possible. The elements that compose public participation include formal spaces for public participation, use of proper mechanisms to advertise the opportunity for public participation, and the incorporation of suggestions offered by civil society into government laws and policies. (WRI, Imazon and ICV, 2009)

REDD: Reduction of emissions from deforestation and forest degradation (REDD), combined with conservation and forest management actions (REDD+). It is a mechanism that provides incentives for those who maintain or enhance standing forests, therefore avoiding emissions of greenhouse gases to the atmosphere.

Self determination: The right of Indigenous Peoples to deliberate freely over their own matters, with complete liberty to promote their economic, political, social, cultural, educational and judicial development, as well as any other aspect regarding their life and destiny, including the right to autonomy and self-governing, and the right to travel freely across borders.

Stakeholder / Interested party: Any person or entity who may be interested in the proposed or implemented project activity.

Traditional Populations: Groups who are culturally differentiated and recognize themselves as such, who have their own forms of social organization, and who occupy and use territories and natural resources as a condition for their cultural, social, religious, ancestral and economic reproduction, using knowledge, innovations and practices generated and transmitted by tradition. (As defined by the Brazilian Decree-Law 6040/2007).

Traditional Territories: the geographic space necessary for cultural, social and economic reproduction of traditional peoples and communities, whether permanently or temporarily, observing, when regarding Indigenous Peoples and quilombo⁴ dwellers, respectively, what is

⁴ **Quilombos** are Brazilian hinterland settlements founded by escaped former slaves. Most of the inhabitants of quilombos were people of African origin and, in some cases, a minority of marginalized non-black, non-slave Brazilians that faced oppression during colonization.

stated in the articles 231 of the Brazilian Constitution and 68 of the Brazilian Constitution's Transitory Provisions, as well as other regulation. Brazilian Decree-Law 6040/2007.

Transparency: Transparency consists in disclosing all actions from the government and other stakeholders with the purpose of informing third parties and allowing evaluation. Ensuring access to information is critical to allow the participation of civil society in the decision making process. Some aspects of transparency include the scope of disclosure, the time allowed for data availability, the format of disclosed information, as well as the efforts employed to ensure the information reaches affected and more vulnerable groups. (WRI, Imazon and ICV, 2009)

Use rights: May be defined by local customs, mutual agreements or stipulated by other institutions with land tenure rights. These rights may restrict the use of certain resources to specific levels of consumption or to specific exploration techniques.