



WWF

FACTSHEET

2015

REDD+ Inspiring Practices

# DEVELOPMENT OF SOCIAL AND ENVIRONMENTAL SAFEGUARDS IN ACRE

## SNAPSHOT

### What

» The implementation of social and environmental safeguards in the Brazilian state of Acre under its jurisdictional System of Incentives for Environmental Services (SISA) including REDD+ aims to provide multiple benefits, protect the rights of communities and preserve ecosystem functions. This inspiring practice explains the importance of social and environmental safeguards to the successful implementation of the SISA.

### Who

- » Beneficiary communities of the SISA: indigenous and forest extractivist associations and organizations for sustainable family farming and livestock
- » State Institute for Climate Change and Environmental Services Regulation (IMC)
- » SISA's State Commission for Validation and Monitoring (CEVA) composed of equal numbers of state government and civil society representatives
- » REDD+ Social and Environmental Standards Initiative (REDD+ SES), WWF Brazil, CARE International Brazil, IMAFLORA

### Where

Acree state  
Brazilian Amazon

### When

2009–ongoing

### Project Team

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Safeguards protect cultural identity of the community Huni Kui in Tarauacá

## SUMMARY

This Inspiring Practice focuses on important moments in the development of social and environmental safeguards at the subnational level, in the Brazilian state of Acre, under its System of Incentives for Environmental Services (SISA). It describes achievements, challenges and lessons learned that may be useful for other state-wide REDD+ experiences.

Acree's SISA law was created in 2010 following a participatory consultation process which highlighted the importance of a state-wide approach to payments for environmental services rather than one based on individual projects. The SISA law is based on principles of responsibility, precaution, traditional knowledge, rights, biological and cultural diversity, cooperation, legality, justice and transparency.

The SISA's jurisdictional scope encompasses the involvement of governmental, private, social and community stakeholders, including in the processes of monitoring, analysis, evaluation and decision-making. Its implementation is complementary to a broader set of public policies, built in successive stages over recent years, that aim to foster a more sustainable and inclusive development pathway.

Following the recommendation at the UNFCCC's 16th Conference of Parties in Cancun in 2010 to apply safeguards for REDD+, the State of Acre began the process of participatory construction of its safeguard system under the guidance of the international REDD+ SES Initiative, aligned with Brazil's national REDD+ Safeguard Information System.



Beyond valuing environmental assets through the promotion of low emission development, the state of Acre uses social and environmental safeguards to provide multiple benefits, protect the rights of communities and preserve ecosystem functions. The safeguards are applied to benefit sharing through policies and programmes that support indigenous and forest extractivist associations who have historical traditions of forest conservation, as well as organizations of small scale farmers and livestock producers committed to sustainable practices, modernization of production and the reduction of deforestation.

The first programme under the SISA, called ISA Carbon, is a jurisdictional REDD+ programme, focused on both the conservation of forest carbon stocks and emission reduction. The Global REDD Early Movers (REM) initiative of the German Development Bank KfW, has provided vital support to the implementation of this programme, with results-based funding.

The participation of stakeholders, collective learning, and alignment of the safeguards with local, national and international requirements has helped the SISA and its related public policies gain acceptance and achieve positive results. The first evaluation of the safeguards system in 2014 revealed gaps in relation to transparency, participation, gender and biodiversity, and is driving improvements to the system through the implementation of an action plan.

## CONTEXT

Acre state occupies an area of 164,221 square kilometres in the southwest of the Brazilian part of the Amazon, and borders Peru and Bolivia. Native forest covers 142,884 square kilometres which is 87% of the state. Of the approximately 800,000 inhabitants, 30% live in rural areas. The indigenous population is close to 18,000, belonging to 15 ethnic groups.

Acre's history is marked by conflicts, including the so called "correrias" (chases) in the 19th century by rubber tappers, arriving mainly from north-eastern Brazil, running indigenous populations off their territories, and the "embates" (confrontations) in the seventies and eighties between forest communities wanting to protect forest land settlers from the south encouraged by the government to clear land for livestock and agriculture. It was in this latter conflict that Chico Mendes, an environmental leader in Brazil, lost his life in 1988.

This scenario changed with the implementation of public policies, such as the Ecological and Economic Zoning (EEZ) and the Policy for the Valuation of Environmental and Forest Assets. These policies, aimed at sustainability and inclusion, led to an improvement in the structure of Acre's 22 municipalities and to the establishment of the State System of Protected Natural Areas (SEANP) that today covers more than 46% of the state; 10% under strict protection, 22% under sustainable use and 14% of indigenous territories.

The EEZ aimed to enhance the potential of both the existing forests as well as the restoration of cleared areas; diversifying forest production chains, agriculture, livestock and fish farming in the pursuit of the sustainable use of natural resources, adding value to local products and promoting through industrialization the inclusion of the most vulnerable segments of society.

Today a great part of the population of Acre recognizes in the forests a natural patrimony. The still largely unknown rich biodiversity is considered to have promising potential for a forest-based development pathway oriented towards knowledge and innovation.

## EXPECTED CHANGES

- Benefit sharing strengthens vulnerable groups of forest people and contributes to inclusion in social and economic development
- Improvement in compliance with social and environmental safeguards contributes to sustainable production practices and the reduction of deforestation
- Promotion of multiple benefits, respect for community rights, and ecosystem functions contribute to a transition to a low-emission development.

## TIMELINE

### Social and environmental safeguards in SISA and ISA Carbon Programme

#### 2009-2010:

In a participatory process involving nearly 200 in person and more than 100 people at a distance from local, national and international organizations, indigenous peoples, farmers, extractivists, governments, scientists and technicians, NGOs, carbon market companies and international cooperation agencies, a jurisdictional System of Incentives for Environmental Services (SISA) was built. Implementation of the SISA was approved by the state's Legislative Assembly in the form of State Law 2308 in 2010, which includes the principles of responsible use of natural resources, recognition of rights, respect for cultural diversity, transparency, effective participation, and equitable sharing of benefits.

At the international level, parties to the UNFCCC agreed on a set of safeguards for REDD+ during COP 16 in Cancun in 2010, and one year later on conditioning REDD+ payments on providing information on how safeguards are "addressed and respected" aiming to promote benefits, reduce risks, and avoid negative impacts from REDD+ programmes and projects at national and local level. The major REDD+ funding initiatives consider carbon, biodiversity, and livelihood goals as being inseparable.

#### 2011-2013:

In the following years, the new institutions of the SISA – IMC, CEVA, and Indigenous Working Group - initiated a participatory process of building indicators to monitor the compliance of environmental and social safeguards appropriate to Acre's reality, under the guidance of REDD+ SES standards and in cooperation with CARE International Brazil and IMAFLORA, two organizations, with the national REDD+ safeguard information system (SIS), which have contributed to alignment with national SIS REDD+ and related policies.

Acre's facilitation team consisted of two people, one in the IMC, who acted as the executive secretary of CEVA, and the other, who led workshops and reporting, initially supported by CARE and recently by WWF. Occasional task force actions were organized for specific work such as the self-assessment report, requiring the involvement of several institutions.

The process enriched the knowledge about environmental services and safeguards, policies, laws and regulations, the empowerment of the stakeholders involved, the debate on issues at the local level and at the same time strengthening the perception of the importance of global partnerships. The 7 principles, 22 criteria, 52 indicators and the monitoring plan were constructed and approved in 2013 by CEVA.

### REDD+ SES PRINCIPLES

1. Land rights are respected by SISA and its programmes;
2. Equitable benefit sharing among the stakeholders;
3. SISA and its programmes improve the security of livelihoods, especially for vulnerable groups;
4. SISA and its programmes contribute to good governance;
5. SISA and its programmes maintain biodiversity and ecosystem services;
6. All stakeholders participate effectively in SISA and its programmes
7. SISA and its programmes comply with local, national laws and relevant international agreements



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Workshop addressing the need of gender policies for SISA

**2014:**

In 2014 the first assessments of the development and implementation of the safeguards process and its associated outcomes were carried out. The international Initiative for REDD+ SES reviewed the methodology and its application, finding minor variations compared to the REDD+ SES guidance. The SISA stakeholders carried out a self-evaluation of performance and compliance with safeguards and identified gaps, such as the need for greater transparency, participation in decision making, promotion of gender equity and monitoring methods for biodiversity conservation.

**2015:**

Aiming at opportunities to improve the monitoring and compliance of the safeguards, the SISA stakeholders proposed to develop, in addition to the 10 steps of REDD+ SES: (1) an action plan based on the gaps and recommendations of the assessment report, and (2) a feedback mechanism in dialogue with CEVA on the effectiveness of the success of monitoring. Both of these activities are supported by WWF. In order to address one of the gaps, in 2015 CEVA and IMC carried out workshops with 50 representatives of government and civil society, including beneficiary communities, on matters relating to gender, climate change, forest conservation and development, and incentives for environmental services in cooperation with a researcher team from the University of Florida and REDD+ SES.

## ACHIEVEMENTS

### ▣ Establishment of the SISA governance

The main outcome and basis of the SISA is the State Law 2308 from 2010 that creates the jurisdictional governance system including the institutional arrangement and a framework of policies, laws and regulations. The governance system includes:

- For control and monitoring: the Institute for Climate Change and Environmental Services Regulation (IMC).
- To exercise social control functions: the State Commission for Monitoring and Validation of Acre (CEVA), the Indigenous Working Group (WG) and the Ombudsman office.
- To provide advice to IMC on methodology and results: the Scientific Committee.
- To develop subprogrammes and manage assets and benefits: Company for Development of Environmental Services (CDSA).

Other institutions such as the Institute of Land Tenure Regulation of Acre (ITERACRE) contribute to progress on security of land tenure, and the State Department of Agroforestry Extension and Family Production (SEAPROF) provides technical assistance to rural producers.

## GOVERNANCE STRUCTURE OF SISA

*“The social and environmental safeguards were built in a participatory way with a view and focus on Acre’s reality. Community rights and beneficiaries are safeguarded by monitoring compliance with social policies, and listening to what they think about the SISA. By involving the representatives of the institutions and social groups (CEVA and the Collective of the State Councils) we have enriched their understanding of the concepts related to climate and environmental services.”*

Joci Aguiar  
Coordinator of the Acre  
Network of Women and Men  
(RAMH) and CEVA



### ▣ Strengthening of the Indigenous Communities

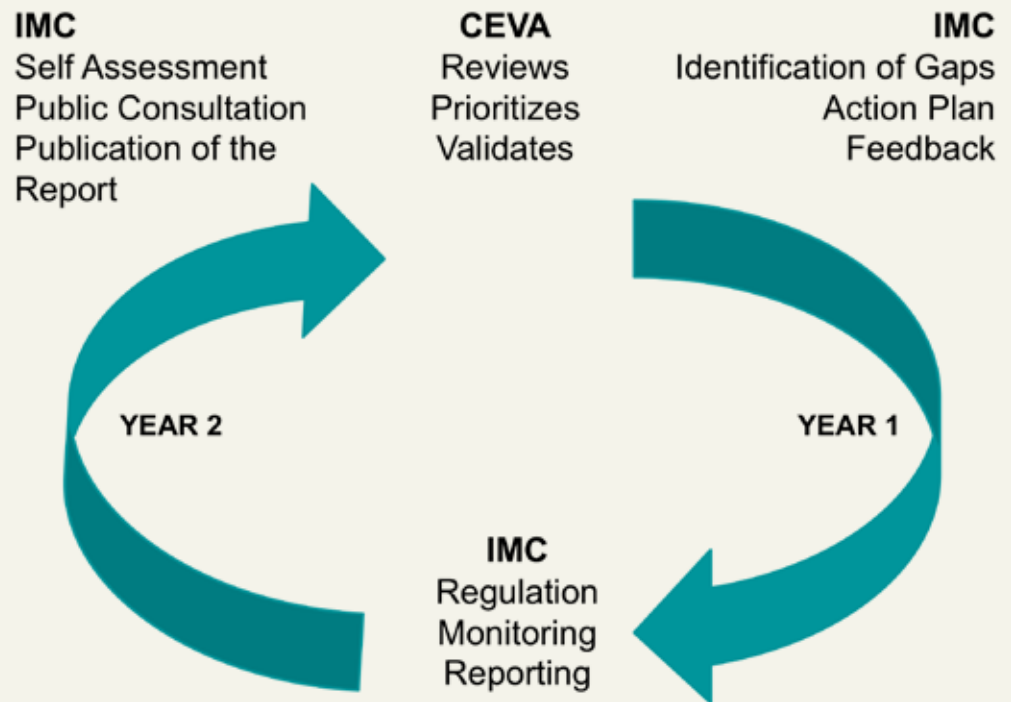
The Indigenous Working Group, which represents 12 associations, advises CEVA and IMC on the effective implementation of the SISA within indigenous territories, defining the principles and criteria for implementation of the SISA actions according to the Indigenous Charter of Principles published in 2013.

▣ **Agreement on the monitoring method**

The process of development, implementation and monitoring of safeguards is described in a manual of monitoring and assessment of social and environmental safeguards performance in the SISA, published in 2013 by IMC in cooperation with IMAFLORA and CARE. The manual includes a monitoring plan that identifies what information should be collected, using what methods and by whom, as well as an assessment plan that describes the process and timetable for the development of assessment reports.

*“The implementation of safeguards for the SISA contributed to protect our indigenous land rights, to preserve cultural traditions and traditional knowledge. The safeguards reinforce the right to self-determination of peoples, as guaranteed by article 231 of the Federal Constitution and the Convention 169 of the International Labour Organization. Safeguards preserve our rights from threats by adverse interests. The Association of Indigenous Agroforest Agents of Acre (AMAAIAC) became a body that provides communication and exchange of knowledge and experiences, for example about the territorial management policies or how benefits can respect the local traditions.”*

Francisca Arara (Yaka Shawādawa), Treasurer Association of Indigenous Agroforest Agents of Acre (AMAAIAC)



▣ **First cycle of safeguard compliance**

The 2014 self-assessment report on compliance with the social and environmental safeguards within the SISA and the ISA Carbon Programme is a result of the application of the 10-step process proposed by REDD+ SES. The first safeguards cycle has been focused on the performance level and identified gaps, incorporated recommendations from public consultations and serves as a basis for an action plan aimed at continuous improvement of monitoring and compliance.

**REDD+ SES 10 steps process**

1. Awareness and capacity building;
2. Governance: create a facilitation team;
3. Governance: establish CEVA as the Standards Committee;
4. Interpretation: develop plan for the process;
5. Interpretation: develop draft of locally relevant indicators;
6. Interpretation: organize consultations on indicators
7. Assessment: prepare a monitoring and assessment plan;
8. Assessment: preliminary analysis of the collected information;
9. Assessment: organize review of draft assessment report;
10. Assessment: publish assessment report

## ▣ Reduction of deforestation

Several task force activities on monitoring deforestation, environmental licensing and control on the ground and community-based vigilance, based on Acre's Plan for Prevention and Control of Deforestation, contribute to intensifying stakeholder participation, increasing transparency and guiding more efficient prevention policies for continued reductions in deforestation. National monitoring data on annual deforestation rates from INPE/PRODES are used to calculate the emission reductions from deforestation and forest degradation as compared to reference levels from previous years. This allows the demonstration of significant results from the implementation of public policies on tackling deforestation from 2006 onwards.

### Acre's experience in benefit sharing

Since 2013 Acre has implemented benefit sharing through financial support from the Global REDD Early Movers Initiative of the German Development Bank KfW. The funding is given in return for validated, registered and deactivated Units of Emission Reduction. More than 70% of the funding is invested in activities for beneficiary communities, with less than 30% being used to strengthen the operational capacity of SISA and the ISA Carbon programme. The benefit gives almost equal consideration to communities that conserve forest, such as indigenous and forest extractivist associations, and organizations of small farmers and livestock ranchers that contribute to reduction of deforestation.

## STAKEHOLDERS

### DIRECT STAKEHOLDERS

ENGAGED IN DESIGN, DECISION-MAKING AND BENEFIT SHARING:

- ▣ IMC (supported by the Scientific Committee) responsible for monitoring, reporting, and verification
- ▣ CEVA and Indigenous Working Group responsible for social control, inside and outside of Indigenous Territories
- ▣ Ombudsman office responsible for receiving claims, observations and suggestions
- ▣ CDSA responsible for designing of subprogrammes of ISA Carbon programme
- ▣ State Councils for Environment, Forests and Rural Development, responsible for participation in the design of public policies, and for the allocation of benefits
- ▣ Indigenous and extractivist associations, organizations of farmers and ranchers, beneficiaries

SUPPORT FOR DESIGN OF THE IMPLEMENTATION OF SAFEGUARDS IN THE SISA:

- ▣ IMAFLORA
- ▣ WWF
- ▣ CARE
- ▣ REDD+ SES

### STRATEGIC PARTNERS AND STAKEHOLDERS

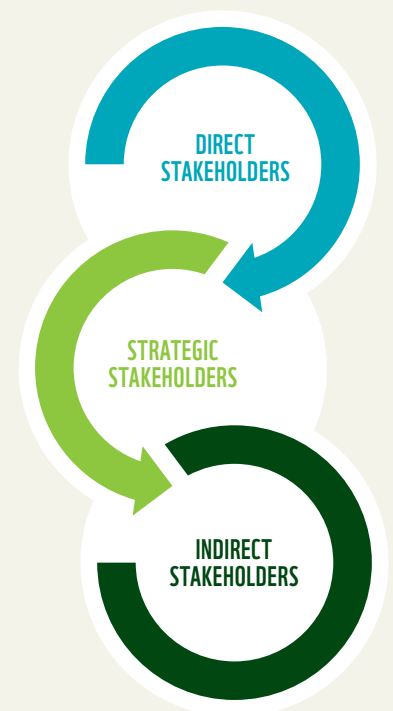
PROVIDING MATERIAL, HUMAN AND OTHER RESOURCES:

- ▣ Brazil's environment ministry provides information on policies
- ▣ National Institute for Space Research INPE provides deforestation monitoring data
- ▣ Institute for Environmental Research in the Amazon IPAM, Global Canopy Programme GCP, and Earth Innovation Institute EII, provide environmental, forestry, socioeconomic research
- ▣ KfW, and NORAD donors

### INDIRECT STAKEHOLDERS

INFLUENCE THE IMPLEMENTATION OF SAFEGUARDS

- ▣ Local civil society organizations, private REDD+ project developers, Institute of Conservation and Sustainable Use of Natural Resources of the Amazonas State IDESAM, Governors' Task Force for Climate and Forests GCF





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Riverine communities benefitted and safeguarded by SISA

## CHALLENGES

- ▣ **The management of information, including communication and documentation, needs to be improved.** Communication and dissemination need to address diverse audiences, at the right time and in clear language. Transparency of decision making and visibility of the relevant decisions are necessary to achieve effective social empowerment and performance of the SISA and its programmes. The safeguard information system must ensure a comprehensive and accessible documentation of all stages of the institutionalization process and especially the visibility of relevant decisions, institutions, methodologies and documents. Especially, CEVA should intensify the dissemination and exchange of information with the state councils that represent relevant segments of the society.
- ▣ **Ensure sufficient resources** for the effective participation of society, including potential beneficiary communities, which increases coverage and security of positive impacts of the policies, and specifically the compliance of safeguards.
- ▣ **The monitoring of social and environmental safeguards should be adopted as an intrinsic practice** that applies specific methods and tools at the jurisdictional scale of the SISA and at property scale for nested private REDD+ projects. At jurisdictional scale decisions and reports from meetings, institutional reports, programmes, and field monitoring reports support the safeguard monitoring, while at property scale participation and consent protocols are relevant. The main challenge related to private projects is the compliance of the SISA safeguards.



*“The processes of capacity building, including Free, Prior and Informed Consent, and participation did not reach all villages of Acre.”*

Lucas Sales Kaxinawa (Bane Hunikui), Secretary, Association of Indigenous Agroforestry Agents of Acre (AMAAIAC)

- **The SISA safeguards need to comply with national legislation** and keep in consonance with the development of the national and international REDD+ strategies.
- **Some major gaps**, such as the need for greater transparency, for the promotion of gender equality and for monitoring methods specific to the conservation of biodiversity, were identified in the self-assessment report on compliance with environmental and social safeguards. The monitoring of the policy’s impacts will require additional technical, economic and political effort that will be included and approved within the action plan for improving the safeguards.
- **The complexity of the safeguard monitoring system** including 52 indicators should be simplified, according to local needs and capacity. After the first monitoring cycle, which was focused mainly on the SISA performance, the stakeholders understood that monitoring of indicators focused on results and impacts in the beneficiary communities should be prioritized.
- Although the SISA has received financial contributions for its implementation and maintains promising contacts with potential donors, its **financial autonomy and sustainability** remains a strategic challenge.

*“It is necessary to consolidate in the society the understanding of the SISA, improve communication, the transfer of information, coordination between public institutions and social groups, to promote dialogue on the SISA and the safeguards with communities, and to learn to deal with the time constraints involved.”*

Joci Aguiar  
Coordinator of the Acre Network of Women and Men (RAMH) and CEVA



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Seringal Curralinho community

*“It’s important to listen to the local community, to listen and respect people in the debates; the involvement of institutions at an early stage of the process allowed for learning and for collective articulation in the search for convergence, collaboration and solidarity.”*

Joci Aguiar  
Coordinator of the Acre  
Network of Women and Men  
(RAMH) and CEVA

*“Our participation in the construction and implementation of safeguards in the broadest sense contributed to the enrichment and dissemination of our knowledge and vision of an inseparable universe. We know, we have done it, nobody has done it for us. Through the participatory construction of safeguards and the implementation of the management plans for indigenous territories, we learned to understand the SISA, its programmes and safeguards, prior to the announcement of new projects to benefit indigenous lands.”*

Josias Pereira Kaxinawa  
(Mana Hunikui), President  
of Association of Indigenous  
Agroforest Agents of Acre  
(AMAAIAC)

## LESSONS LEARNED

The governance structure, the institutional arrangement, the policy, laws, and framework of regulations represent an important basis for the implementation of social and environmental safeguards in the SISA. In addition, the **leadership - supported by a dedicated facilitation team** - turned out to be equally indispensable for the progress of the different phases; for the construction, implementation, monitoring and compliance of the safeguards.

The safeguards of the SISA and the ISA Carbon Programme have been constructed, implemented, monitored, and assessed in participatory workshops and meetings with stakeholders from government, social and environmental organizations and the private sector.

The success of the safeguards process depends on the **effective participation of the stakeholders**. On the one hand, the limited resources affected the territorial coverage, but allowed on the other hand a reasonable level of social representation during the process. The stakeholders’ participation contributed to the understanding, ownership and strengthening of the SISA and the safeguards.

The activities for constructing and implementing the safeguards required **specific resources**, which will also be needed for the monitoring of their compliance in the field. CEVA accessed resources from the international REDD+ SES Initiative and WWF that supported and strengthened participation and gender policies.

**Adequate communication in both directions** is the key to the successful development of safeguards. The communities and beneficiary groups are not homogeneous. To address their diversity of needs and interests, above all careful listening is essential. Stakeholders require not only the dissemination of information, but also that their needs and interests are listened to, adequately responded to, and acted on strategically with proposals and solutions. To maintain the interest and engagement of communities and beneficiary groups, beyond satisfactory answers to questions and demands, what is required is the logical continuity of the process. Qualified and transparent communication between the stakeholders opens the way to a promising future for the implementation of social and environmental safeguards.

Find out more at <http://www.wwf.org.br> and [redd+ses](http://redd+ses)

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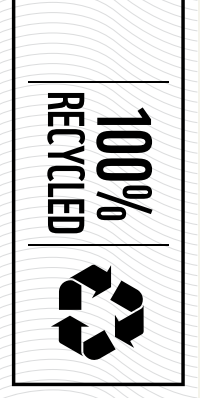
**IMC:** <http://www.imc.ac.gov.br/>

**Redd+SES:** <http://www.redd-standards.org/>



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CEVA and IMC strengthen participation and gender in indigenous communities



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