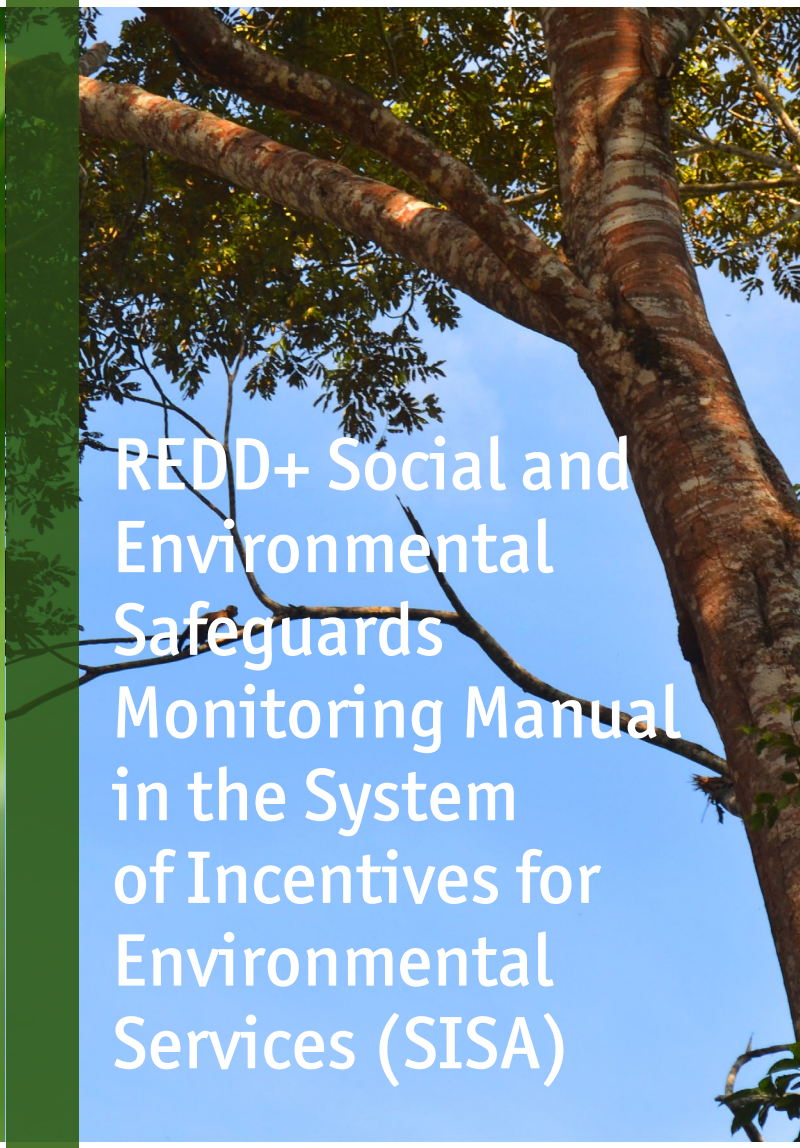




REDD+ Social and Environmental Safeguards Monitoring Manual in the System of Incentives for Environmental Services (SISA)

State of Acre, Brazil
2013, August

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1. The System of Incentives for Environmental Services – SISA and the ISA Carbom Program



1.



The System of Incentives for Environmental Services – SISA and the ISA Carbom Program

The System of Incentives for Environmental Services of the State of Acre (SISA), established by Public Law 2308, of October 22, 2010, is the result of discussions and consultations with various important sectors of society in order to promote the quality of life in a sustainable manner ensuring the preservation of forest assets and improving the quality of life of rural populations, as well as increased productivity and income from their economic activities. Because of its long term vision, the Government of the State of Acre seeks better management of their territories through mechanisms which, in turn, foster sustainable development in the region.

SISA has a series of programs that encourage forest conservation and the ISA Carbon Program is its flagship program. This is seen as a local version of the REDD + program (Reducing emissions from deforestation and forest degradation, conservation, sustainable forest management, reforestation and increasing carbon stocks) and it is based on **incentive mechanisms to productive restructuring of economic activities for the continued provision of environmental services from standing forests.** The approach used by the ISA program is Carbon stock-flow, and can be used on highly endangered forests or on those with low risk of deforestation.

2. REDD+ Social and Environmental Safeguards in the ISA Carbon Program and SISA



2.



REDD+ Social and Environmental Safeguards in the ISA Carbon Program and SISA

Social and environmental safeguards are necessary to ensure that REDD+ programs and projects do not have negative impacts on forest biodiversity conservation purposes, and do not have unwanted impacts on local communities, indigenous peoples and traditional populations.

In 2010, 2011 and 2012 the government of the State of Acre, in partnership with CARE Brazil, worked on a process to adapt the international standards of REDD+ safeguards for implementation in the State. The product of this building process was a set of Acre Indicators that should work together with the monitoring of environmental safeguards policies under the ISA Carbon Program in SISA.

The international initiative that was the basis for the development of the social and environmental safeguards system of the State of Acre system is called "REDD + Social & Environmental Standards Initiative (REDD + SES)". This initiative outlines the steps necessary for the development of social and environmental safeguards at the level of state or country and should be employed in REDD+ policies or programs or incentives for environmental services policies or programs. REDD + SES is a ten--steps process that begins with awareness-raising meetings for the establishment of governance, creation of committees to adapt international indicators, building national and / or sub-national indicators, public consultations for their validation, development of a monitoring plan, development of a program performance report, validation with stakeholders and ultimately the publication of this report. The whole process for building these environmental safeguards should ensure transparency, inclusion of stakeholders equitably and most importantly bring benefits to local communities and natural ecosystems.

3. State Commission for Validation and Monitoring (CEVA)



3.



State Commission for Validation and Monitoring (CEVA)

To ensure public participation in the policy for incentive to environmental services the State Commission for Validation and Monitoring (CEVA) was created under SISA, established by Decree No. 4.300 of July 18, 2012. The Commission is composed of eight institutions, four representatives of the Government - Brazilian Agricultural Research Corporation (EMBRAPA), Institute for Climate Change and Environmental Services Regulation (IMCI), the State Attorney General (PGE) and Secretary of State for the Environment (SEMA), and four representatives of organized civil society - Association of Industries of Timber from Forest Management of The State of Acre (ASIMMANEJO), Central Labor Union (CUT), Amazonia Working Group Network (GTA) and World Wide Fund for Nature in Brazil (WWF Brazil). The number of members of the Commission may be increased by decision of the Council Group, formed by the State Council for Environment, Science and Technology, the Board of Forestry and Sustainable Rural Development Council, as long as it maintains parity between government and civil society.

This governance structure, in turn, also meets the steps established by the REDD + SES and started to exercise the functions of the Local Standards Committee of this initiative. Thus, CEVA must participate in the continuous improvement of Social and Environmental Standards of the International Initiative, contribute to the comparison and relationship with other existing standards and environmental safeguards, analyze and validate the process of Monitoring, Reporting and Verification (MRV), relative to compliance with the principles

3.



and criteria established, and to consider and approve the Acre indicators to be used in assessing compliance with said principles and criteria.

CEVA'S ASSIGNMENTS ARE TO:

- ✔ Ensure transparency and social control of programs, subprograms, action plans and special projects of SISA;
- ✔ Analyze and approve proposed rules of this system presented by IMC;
- ✔ Weigh in about the terms of reference for hiring independent external audit and define, together with IMC, the minimum requirements for its approval;
- ✔ Recommend the continuous improvement of SISA;
- ✔ Prepare and submit annual reports of its activities to the Council Group;
- ✔ Request information and documents related to the planning, management and implementation of programs, subprograms and projects linked to the system;
- ✔ Perform the role of Local Committee for REDD+ Social and Environmental Standards of the International Initiative.

4. The process of building the Acre Indicators



4.



The process of building the Acre Indicators

It took almost two years for the development and validation of the Acre indicators, when many stakeholders were consulted over several workshops and preparatory meetings of various sectors. Flow Chart 1 below shows all stages of the process for building the indicators and the monitoring plan for social and environmental safeguards of the ISA Carbon Program in SISA. **CEVA, working as the Local Committee, validated the final version of the indicators and of the monitoring plan, adapting them to the needs of the State of Acre, striving to reduce the number of these indicators, in order to facilitate monitoring.**

According to the international initiative steps, the Acre indicators should be monitored regularly so that we can inform society where the Program and the system are in relation to these indicators. To develop a methodology for this monitoring process, IMC and CARE Brazil have partnered with IMAFLORA, an organization with vast experience in social and environmental safeguards and indicator monitoring processes. This monitoring methodology was reviewed and validated during a workshop facilitated by IMAFLORA, CARE and IMC on May 10, 2013 in Rio Branco that included the participation of approximately 30 people representing various relevant stakeholders, such as: Indigenous People Working Group (Indigenous WG), Council Group, Cooperfloresta, IPAM, SDS/CECLIMA (State of Amazonas), IDAF, OPIAC, SEMEIA, SEPLAN , INCRA, AEAI, AMAAIAC, ASPIRH, SOS Amazônia, UFAC, ITERACRE, ASIMMANEJO, CREA, CPI/AC, SEMA, MEP and SEE.

Flow chart 1: participatory process for building and validating the Acre indicators and the monitoring plan



5. The Monitoring Process of Social and Environmental Safeguards



5.



The Monitoring Process of Social and Environmental Safeguards

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

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

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

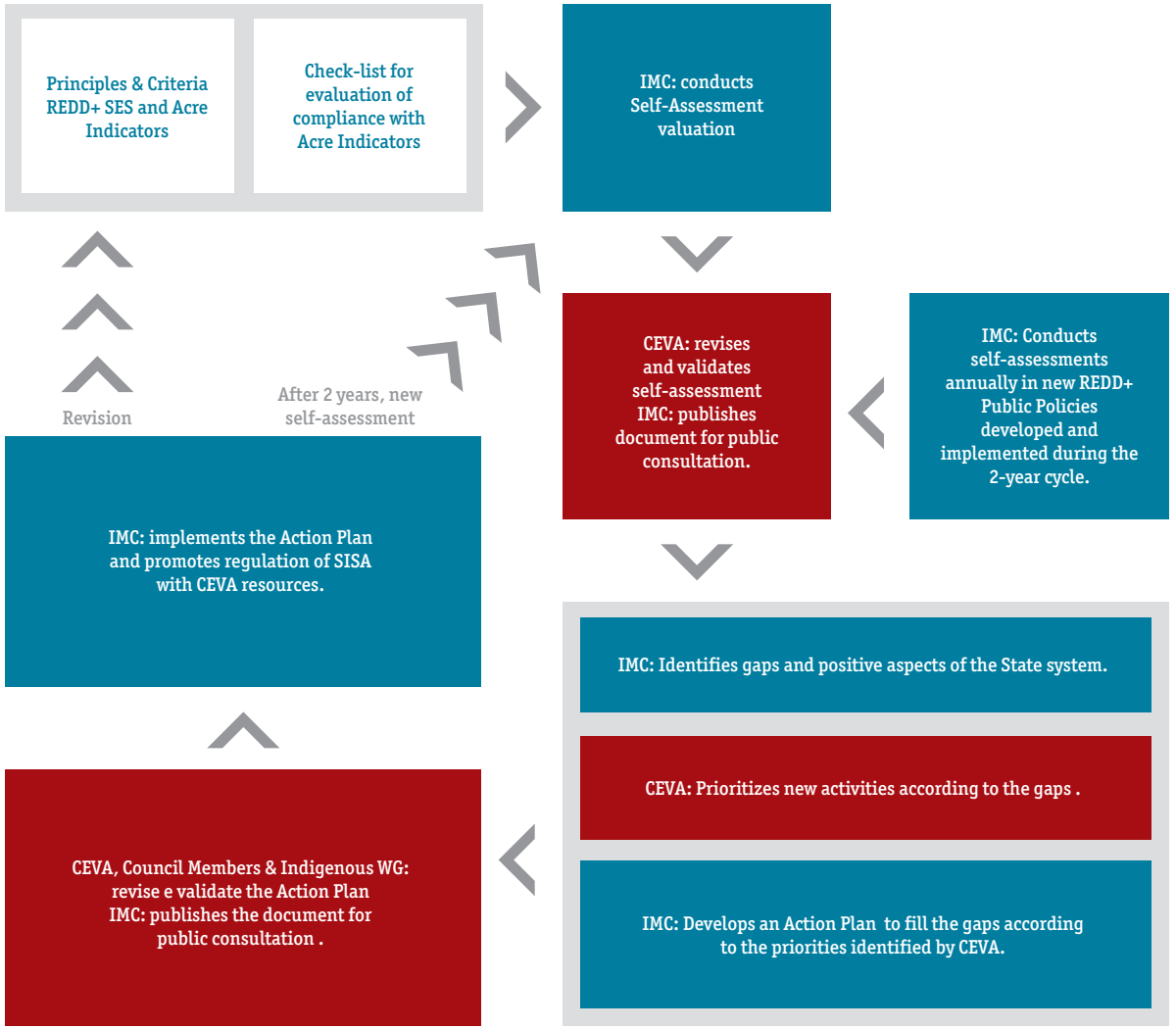
6. 6. REDD+ Social and Environmental Safeguards in SISA: monitorning methodology



6. REDD+ Social and Environmental Safeguards in SISA: monitorning methodology

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

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



Color legend:

- Products resulting from IMC evaluation
- Civil Society oversight

6.

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

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

[1]*The check-list is composed by the Principles and Criteria of REDD+ SES, by the Acre Indicators and also has room for description of the evidence of compliance with the safeguards, identification of existing gaps in the system and tips for a successful self-assessment.*

[2]*The frequency of monitoring will be every 2 years, where the process ends in the final year of one government and leaves an action plan for the next government.*

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

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

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

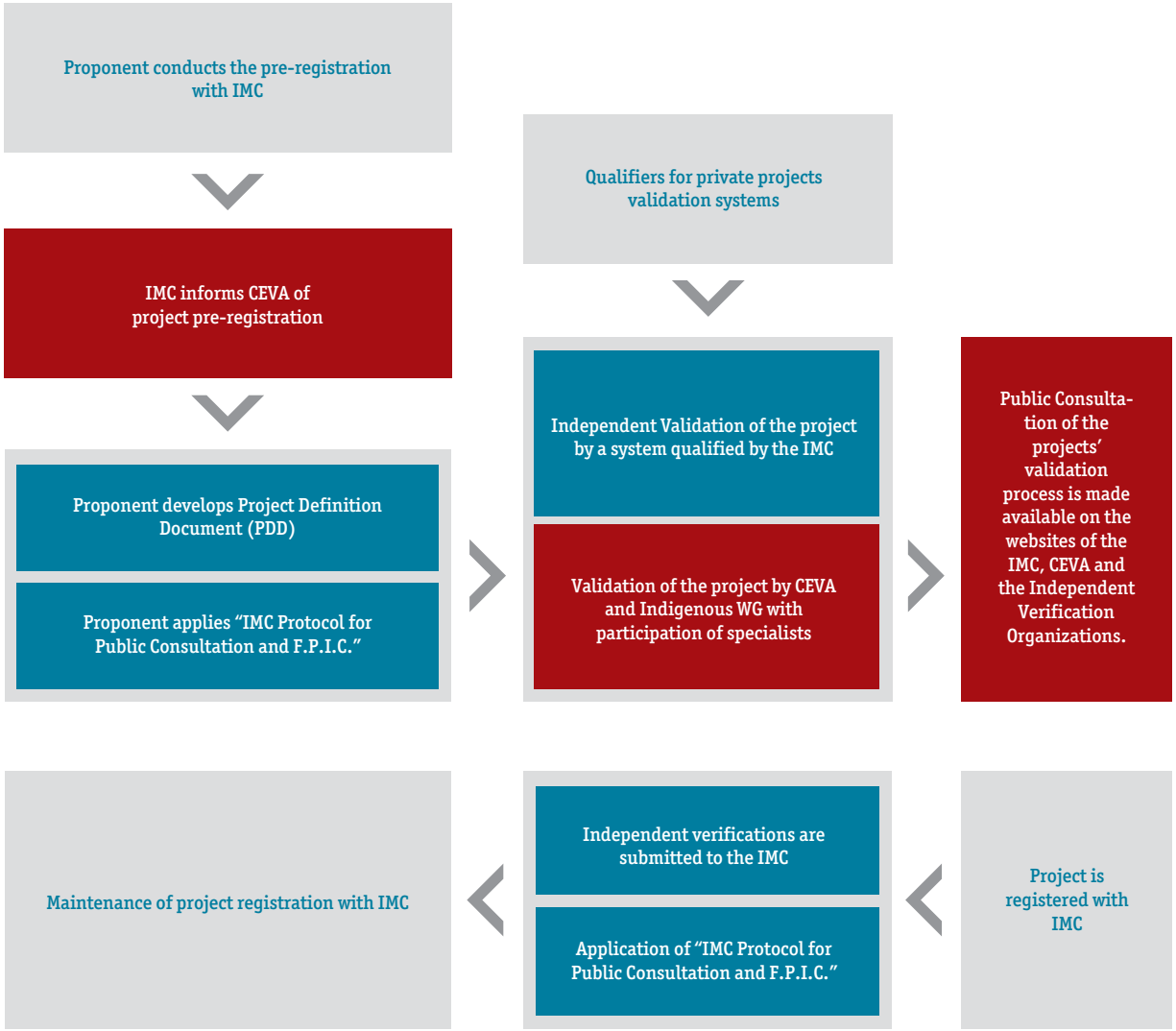


7.

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

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

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



Color legend:

- Products resulting from IMC evaluation
- Civil Society oversight

7.

Below is the description of the monitoring flow chart under consideration.

a. Pre-registration: the proponent shall conduct the Pre-registration of the Project with the IMC, according to the established procedures. The IMC makes information about the requirements available.

b. Project development: the proponent develops the Project Design Document (PDD) and makes it available to SISA, after the Pre-registration of said project.

c. Public Consultation: the proponent shall employ the IMC Protocol for Public Consultation and Free, Prior and Informed Consent (FPIC), described in Annex II, during development of the Project.

d. Independent Validation: the project shall pass through an independent validation. This validation follows a set of rules named "Qualifiers for private projects validation systems" described in item 7.1 of this document. The qualifiers define the criteria to qualify the validation and verification systems approved by the IMC.

e. Validation by Civil Society: the project shall be made available by the IMC for validation by CEVA and the Indigenous WG with collaboration of thematic specialists.

f. Public Consultation: after validation the project will remain available for Public Consultation on the IMC, CEVA and Independent Verification Organizations websites

g. Project registration with the IMC: the proponent shall submit the result of the FPIC and the Project Validation Report to the IMC. CEVA and the Indigenous WG shall also send their project validation recommendation for the IMC analysis. At this point, the IMC will evaluate the Validation Report, the result of the FPIC, the analysis from CEVA and the Indigenous WG and contributions from the public consultations. If all procedures are being followed, the project will be officially registered/accredited with SISA. If the documents are not approved by the IMC due to serious complaints, lack of technical coherence or illegitimacy of the documents, the project will be returned to the proponent so that the necessary revisions can be made. After revisions to the project, it can be submitted again to the IMC for new evaluation and final registration with SISA.

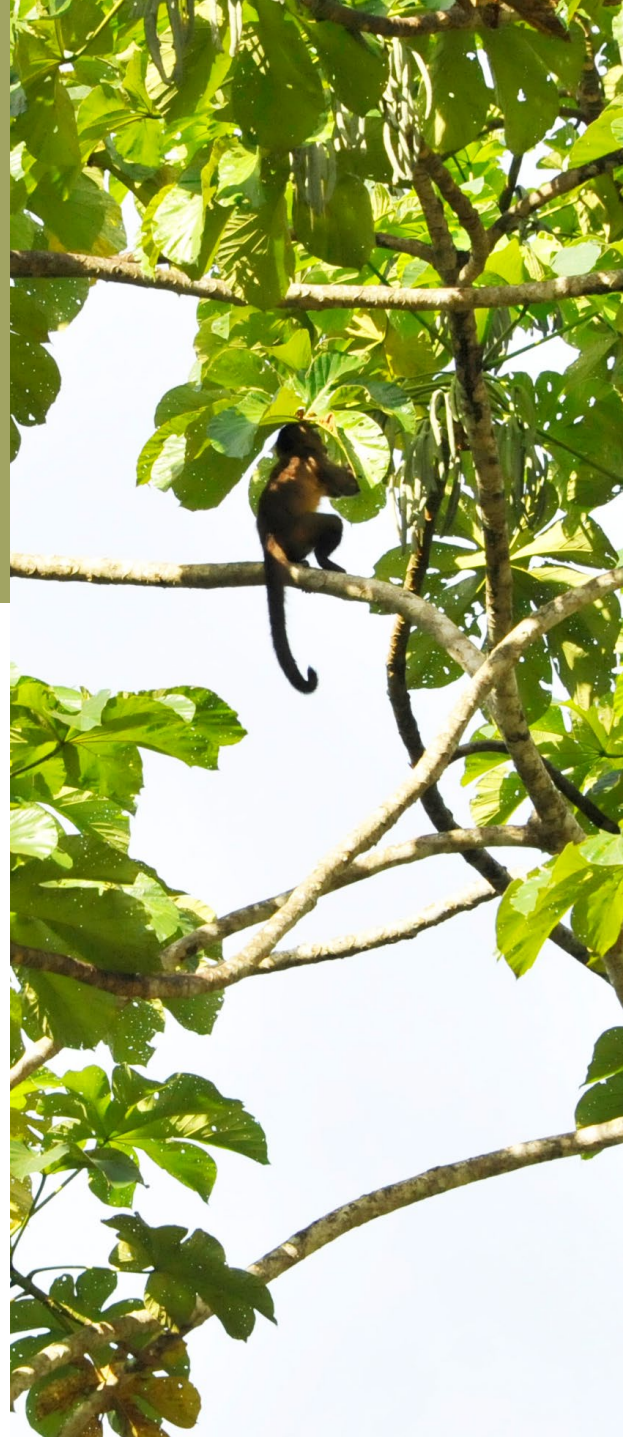
h. Independent Verifications: periodic verifications of private projects of the ISA Carbon Program and of SISA shall also follow the set of rules named "Qualifiers for private projects validation systems", and new Public Consultations and FPIC shall be conducted. These verifications and consultations shall occur in a maximum period of 5 years.

i. Maintenance of project registration*: to maintain the project registered with the IMC, both the Verification Report and results of the Public Consultations need to be conducted and submitted to the IMC.

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

*Em caso de denúncias, via ouvidoria ou outras formas, o IMC pode descredenciar o projeto até que se resolvam as questões levantadas. Esta ação pode ocorrer desde o pré-registro do projeto até a manutenção do seu registro junto ao IMC.

7.



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

Adapted from: "Forest Certification Assessment Guide: A framework for assessing credible forest certification systems/schemes" WWF/World Bank Global Forest Alliance. July 2006.
Available at: http://siteresources.worldbank.org/EXTFORESTS/Resources/FCAG_WB_English.pdf

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

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

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

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

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

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

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Edition

Imaflora

Support

CEVA

ASIMMANEJO

CUT

EMBRAPA

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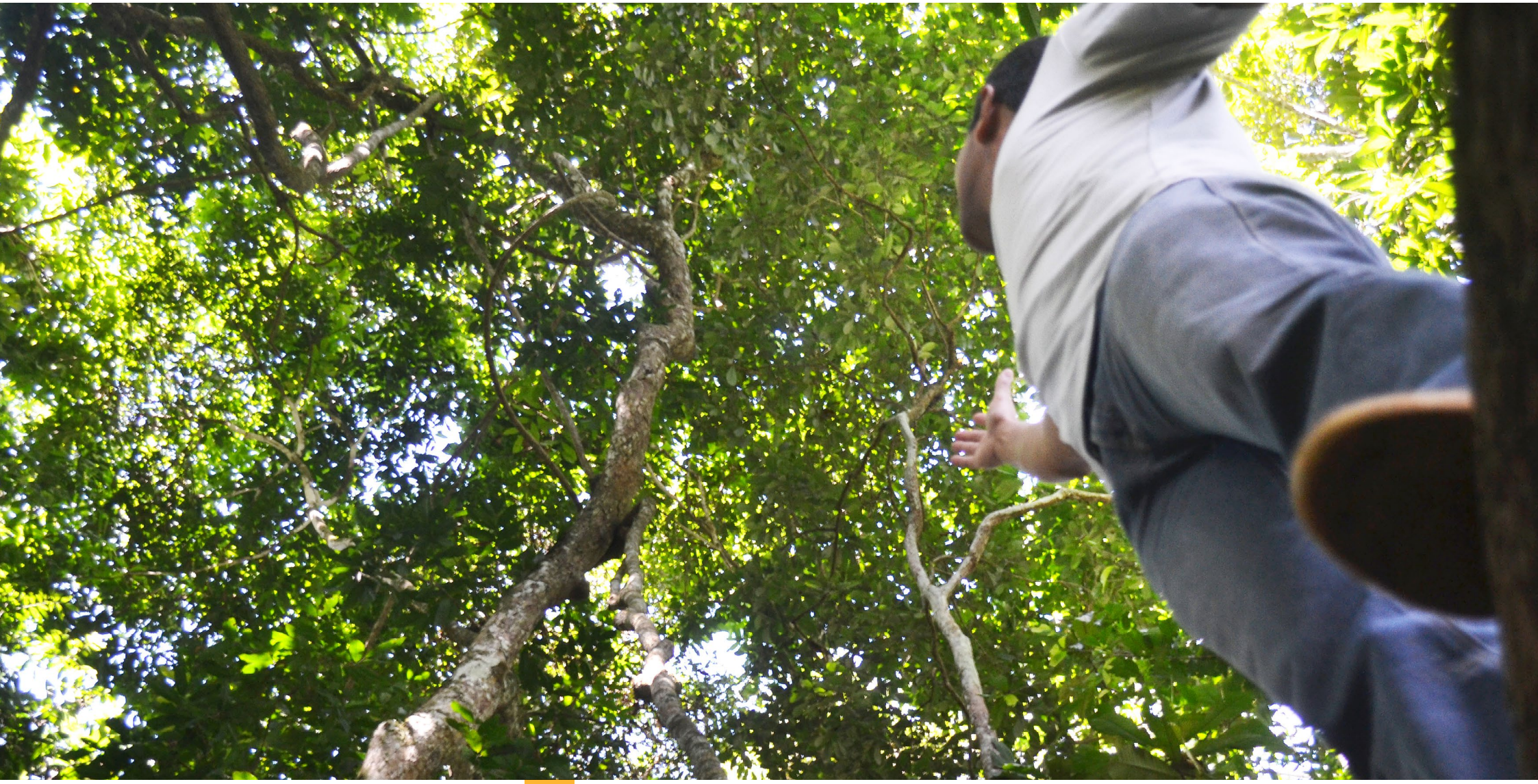
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