16/3/2020

UN Development Programme

Brazil - Brasilia

Project: 00116194

Project Title: BRA/19/005 - GCF REDD+ Brazil

Start Year: 2020

End Year: 2026

Implementing Partner: UNDP

Responsible Parties: UNDP

Revision Type: Initial Project Approval

Budget (US$) as of Last Revision on 16-March-2020

Donor	Fund	Amount
GCF	66000 Green Climate Fund Grant	96,452,228.00
Total Budget (2020 and Beyond)		96,452,228.00
Total Utilization (2019 and Prior)		0.00
Project Total		96,452,228.00
Unprogrammed/Unfunded		0.00

Project Description:

The results-based payments received by Brazil from the GCF will contribute to the implementation of the forest sector actions of Brazil's NDC and Brazil's REDD+ National Strategy (ENREDD+) overall objective. This project has two main outputs:

1. Development of a pilot of an Environmental Services Incentive Program for Conservation and Recovery of Native Vegetation (Floresta+); and

2. Strengthen the implementation of Brazil's ENREDD+.

Agreed by Ministry of Environment:

Agreed by Ministry of Foreign Affairs:

Agreed by United Nations Development Programme:

Date: 30 / 03 / 2020

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GREEN CLIMATE FUND

United Nations Development Programme

Project Document
financed by the Green Climate Fund (GCF)

Project title: REDD+ results-based payments for results achieved by Brazil in the Amazon biome in 2014 and 2015	
Country: Brazil	
Implementing Partner: United Nations Development Program (UNDP)	**Management Arrangements :** Direct Implementation Modality (DIM)
UNDAF/Country Programme Outcome: Outcome 3. Strengthened institutional capacity to promote public policies for the sustainable management of natural resources and ecosystem services, and combating climate change and its adverse effects, and ensure the consistency and implementation of these policies.	
UNDP Strategic Plan Output: Output 1.3: Solutions developed at national and sub-national levels for sustainable management of natural resources, ecosystem services, chemicals and waste. Output 1.4: Scaled up action on climate change adaptation and mitigation cross sectors which is funded and implemented.	
UNDP Social and Environmental Screening Category: Moderate Risk	**UNDP Gender Marker for the project output:** Gender 02
Atlas Project ID (formerly Award ID): *00116194*	**Atlas Output ID (formerly Project ID):** *00113448*
UNDP-GEF PIMS ID number: 6121	**GCF ID number: FP100**
Planned start date: January 14, 2020	**Planned end date:** January 14, 2026
PAC meeting date: June 27 2019	
Brief project description:	

The results-based payments received by Brazil from the GCF will contribute to the implementation of the forest sector actions of Brazil's NDC and Brazil's REDD+ National Strategy (ENREDD+) overall objective. This project has two main outputs: 1. Development of a pilot of an Environmental Services Incentive Program for Conservation and Recovery of Native Vegetation (Floresta+); and 2. Strengthen the implementation of Brazil's ENREDD+.

FINANCING PLAN	
GCF grant	USD 96,452,228
UNDP TRAC resources	USD 0
Cash co-financing to be administered by UNDP	USD 0
(1) Total Budget administered by UNDP	**USD 96,452,228**
PARALLEL CO-FINANCING (*all other co-financing (cash and in-kind) administered by other entities, non-cash co-financing administered by UNDP)*	
UNDP	USD 0
Government	USD 0[1]
(2) Total co-financing	**USD 0**
(3) Grand-Total Project Financing (1)+(2)	**USD 96,452,228**

SIGNATURES		
Signature: Ministry of Foreign Affairs	**Agreed by Ministry of Foreign Affairs - MRE**	**Date/Month/Year:** 30/03/2020
Signature: Ricardo Salles – Minister of MMA	**Agreed by Ministry of Environment - MMA**	**Date/Month/Year:** 26/03/2020
Signature: Katyna Argueta – Resident Representative of UNDP	**Agreed by United Nations Development Programme - UNDP**	**Date/Month/Year:** 30/03/2020

Disbursement: Government is aware of the conditions of disbursement ascribed to the tranche of the GCF funding as specified in the FAA (and in particular Clause 8 and 9.02 of the FAA). To the extent that these obligations reflect actions of the Government, the Government must ensure that the conditions are met and there is continuing compliance and understands that availability of GCF funding is contingent on meeting such requirements and such compliance.

[1] The project proposal was approved by the GCF as non-reimbursable, as REDD+ results-based payments, from funds to be provided exclusively from external sources, with no provision for transfer of budgetary resources from the Federal Government of Brazil.

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II. ACRONYMS

ABC/MRE – the Brazilian Cooperation Agency

AE – Accredited Entity

APP – Permanent Preservation Areas

APR – Annual Project Report

ATLAS – UNDP Enterprise Resource Planning System

BPPS – Bureau for Policy and Programme Support

CAR – Rural Environmental Registry

CEDAW – Convention on the Elimination of All Forms of Discrimination against Women

CONAREDD+ - National Committee for REDD+

DIM – Direct Implementation Modality

ENREDD – National Strategy for REDD+

ER – Emissions Reduction

ESMF – Environmental and Social Management Framework

FAA – Funding Activity Agreement

FREL – Forest Reference Emission Level

GCF – Green Climate Fund

GHG – Green House Gases

Host Country - The Federative Republic of Brazil

IPLC – Indigenous People and Local Communities

LOA – Letter of Agreement

MMA – Ministry of Environment of Brazil

M&E – Monitoring and Evaluation

MRE – Ministry of Foreign Affairs of Brazil

NDC – National Determined Contribution

PAC – Project Advisory Committee

PB – Project Board

PES – Payment for Environmental Services

PNAD – National Household Sampling Research

PNGATI – National Policy for Territorial and Environmental Management of Indigenous Lands

POPP – Programme and Operations Policies and Procedures

PPCDAm – the Action Plan for the Prevention and Control of Deforestation in the Legal Amazon

PCU – Project Coordination Unit

PMU – Project Management Unit

RBP – Results-Based Payments

Recipient- namely the Recipient of the REDD+ RBP Proceeds: The Federative Republic of Brazil, acting through its Ministry of Environment

REDD+ - Reducing Emissions from Deforestation and forest Degradation, the plus accounts for conservation of forest carbon stocks, sustainable management of forests and enhancement of forest carbon stocks

RL – Legal Reserve

ROAR – Results Oriented Annual Report

SESP – Social and Environmental Screening Procedure

SICAR – Rural Environmental Registry System

SISREDD - REDD Safeguards Information System

SNC – Second National Communication of Brazil to the UNFCCC

UNDP – United Nations Development Programme

UNDP CO – Country Office of the United Nations Development Programme in Brazil

UNFCCC – United Nations Framework Convention on Climate Change

III. DEVELOPMENT CHALLENGE

The Brazilian Amazon, with more than 4 million km², occupies 40% of Brazilian territory and it is home to about 27 million people (PNAD, 2013). The greatest challenge faced by the Amazon region is to maintain the ecosystem services provided by the natural forest while also supporting the needs and priorities of the growing human population and the economy of the region. In addition, more than 108 million hectares are legally protected as indigenous lands in the Amazon biome.

Since 2006, Brazil has achieved significant results through reducing emissions from deforestation in the Amazon biome. Between 2006 and 2015, Brazil reduced a total of 6,125,501,727.00 tCO_{2e} of emissions from deforestation in the Amazon biome. This total result, achieved by Brazil in 10 years, corresponds to half of the total CO_2 emissions from all Annex I countries in 2012 (UNFCCC, 2018).

The success achieved in reducing deforestation in the Amazon is related to the actions contained in the Action Plan for the Prevention and Control of Deforestation in the Legal Amazon (PPCDAm). Since its first phase in 2004, the PPCDAm has achieved important results. The most significant result is the reduction in deforestation rate by approximately 80%, in relation to 2004. PPCDAm also had an important paradigm shift impact, making the case for reconciling protection of natural forests with production, maintaining the upward trend in agricultural output in States in the northern region of Brazil in years of lower deforestation rates. This shift is presented in Figure 1, where clearly in 2004, there is a change in pattern, agricultural output trends are no longer following deforestation trends.

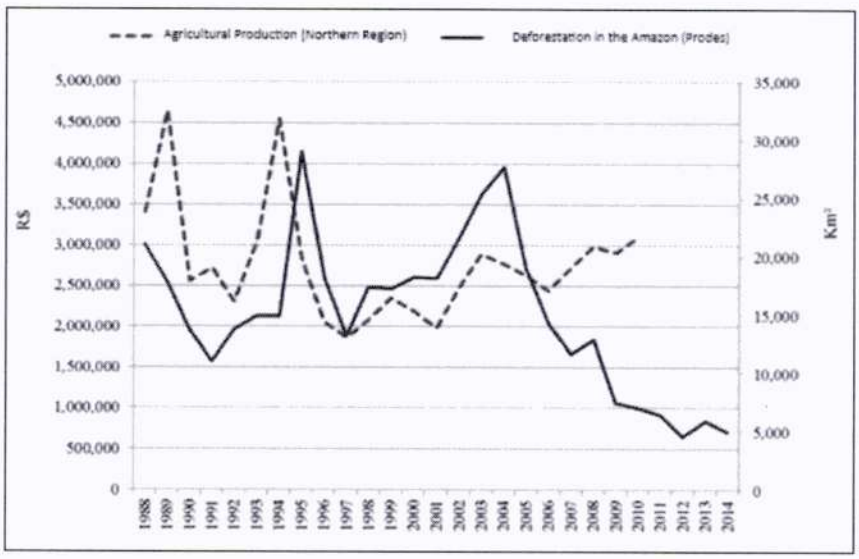

Figure 1 - Deforestation rates and agricultural output in the Amazon region. (Source: Brazil's ENREDD+, 2015)

Brazil's sovereign commitment to the protection of native vegetation and the integrity of the climate system for the well-being of present and future generations was reiterated by Law No. 12.651/2012 (Forest Code). The national law established restrictions to the use of certain areas of private properties, which should be covered by native vegetation. The Permanent Preservation Areas (APP) and Legal Reserve (RL), as defined by the law, must be maintained by the landholders.

Promoting environmental regularization of private rural properties is crucial for improving land use practices in the country and a key component of Brazil's strategy to keep deforestation under control. To this end, the Forest Code

established a mandatory and self-declaratory registry for all rural landholdings. The Rural Environmental Registry (CAR) - Article. 29, Law No. 12.651/2012, aimed to consolidate a georeferenced database of all rural properties in the country, including their Permanent Preservation Areas (APP) and Legal Reserve (RL), for control, monitoring, and environmental and economic planning. The rural properties that have environmental liabilities relating to the insufficiency of APP and RL areas may present a Degraded or Altered Area Restoration Project, which is an instrument of the Environmental Regularization Program, in accordance with Federal Decrees n. 7.830/2012 and n. 8.235/2014.

By September 2019, the number of CAR self-declaratory registries exceeded 6 million properties nationwide, distributed over a registered area of about 527 million hectares. This is one of the largest environmental geospatial databases in the world. After the property's data (perimeter, environmental features, consolidated area, etc.) is included in the CAR System (SICAR), the relevant government body needs to validate this information. State governments – usually State environmental secretaries – need to declare if the information is legitimate or if there are inconsistencies. This process is known as CAR validation. The success of the CAR is primarily based on cooperation between the Federal and State Governments for the CAR validation. By October 16, 2019, more than 700 thousand smallholdings registries analyzed in SICAR, fulfilled the necessary conditions to identify potential beneficiaries of Floresta+. This corresponds to 0.39% of total smallholdings that have their CAR analyzed and validated by State government agencies in Legal Amazon. To support this process, the Brazilian Forest Service is working on a dynamic analysis system to streamline the validation process, as well as on capacity building activities to facilitate its uptake.

The implementation of CAR's dynamic analysis tool depends on: 1) the production of high-quality cartographic inputs, 2) the engagement of the State governments, and 3) the communication strategy for landholders. This new technological tool will promote agility and effectiveness of the analysis by State agencies that adopt the SICAR platform - without prejudice to the analysis of the competent agency team. Therefore, the CAR's dynamic analysis tool will save public resources, centralize the system at the federal level, facilitate the correction of declared information, and simplify and streamline the environmental regularization process.

Another crucial aspect for improving forest conservation is to recognize the importance of Indigenous Peoples and local communities (IPLC) and their territorial and environmental management actions. The National Policy for Territorial and Environmental Management of Indigenous Land (PNGATI), has 7 thematic axis: 1) territorial and natural resources protection; 2) governance and participation; 3) protected areas and indigenous lands; 4) prevention and recovering of environmental damage; 5) sustainable use of natural resources and indigenous productive initiatives; 6) intellectual propriety and genetic heritage; and 7) training, exchange, and environmental education.

With the objective to scale up the implementation of policies to reduce deforestation and forest degradation from the Amazon and Cerrado biomes to the national level, in 2015, Brazil launched its National Strategy for REDD+ (ENREDD+). REDD+ is an instrument established under the United Nations Framework Convention on Climate Change (UNFCCC) to reward developing countries for climate change mitigation results from 5 activities: reducing emissions from deforestation; reducing emissions from forest degradation; conservation of forest carbon stocks; sustainable management of forests; and enhancement of forest carbon stocks. Through this instrument, developing countries that are producing verifiable greenhouse gas (GHG) emission reductions and/or enhancement of carbon stocks in the forest sector are eligible to receive "results-based payments" from a wide variety of sources, in particular from the Green Climate Fund (GCF).

ENREDD+'s overall objective is to contribute to climate change mitigation by eliminating illegal deforestation, promoting conservation and restoration of forest ecosystems, and fostering a low-carbon and sustainable forest economy, delivering environmental, social and economic benefits.

Also, in 2015, Brazil submitted its NDC to the UNFCCC. Brazil's NDC intends to reduce GHG emissions by 37% below 2005 levels in 2025 and a subsequent reduction of GHG emissions by 43% below 2005 levels in 2030[2]. Brazil's NDC is economy-wide, based on flexible pathways to achieve its objectives. In the annex of its NDC Brazil presented additional information **meant only for clarification purposes – these are not sectorial targets**. With regards to the forest sector, the following measures have been preliminarily identified for the implementation of Brazil's NDC:

1. strengthening and enforcing the implementation of Brazil's Forest Code (Law 12.651/2012), at federal, State, and municipal levels;
2. strengthening policies and measures with a view to achieve, in the Brazilian Amazon, zero illegal deforestation by 2030 and compensating for GHG emissions from legal suppression of vegetation by 2030;
3. restoring and reforesting 12 million hectares of forests by 2030, for multiple purposes;
4. enhancing sustainable native forest management systems, through georeferencing and tracking systems applicable to native forest management, with a view to curbing illegal and unsustainable practices.

In addition, faced with the challenge of achieving the commitments assumed and implementing the Forest Code, the Federal Government instituted the National Policy for the Restoration of Native Vegetation, known as Proveg, through Federal Decree n. 8.972/ 2017. Proveg aims to articulate, integrate and promote policies, programs and actions that encourage the restoration of forests and other forms of native vegetation and to promote the environmental regularization of Brazilian rural properties, under the terms of the Forest Code. The main instrument of implementation of Proveg is the National Plan for the Restoration of Native Vegetation (Planaveg), launched through Inter-ministerial Ordinance No. 230, dated November 14, 2017.

Maintaining and further expanding the results achieved on reducing emissions from deforestation in the Amazon biome requires large scale investments. Establishing a new strategy that provides positive incentives to the people that contribute to forest conservation and enhancement of forest carbon stocks is crucial. This would contribute to reduce the pressure on native forests, therefore consistent with the ongoing efforts to eliminate illegal deforestation and promote the restoration/recovery of ecosystems, which are part of the general objective of Brazil's ENREDD+ and the sustainable development goals (SDGs).

In this scenario, the Brazil's USD 96 million project approved by the GCF through REDD+ results-based payments for reducing emissions from deforestation in the Amazon biome is essential for the effective implementation of Brazil's ENREDD+ and NDC. This project will support the continuation of the implementation of the Forest Code, by creating a program to incentivize forest conservation and restoration, providing positive incentives to smallholders, indigenous peoples, and local communities, having as a basis the information from the National Rural Environmental Registry System (SICAR), in full alignment with ENREDD+, Brazil's NDC, PNGATI and strategic areas of investment of the Brazil's Country Program to the GCF, developed by the National Designated Authority.

[2] These estimates are based on Brazil's Second National GHG Inventory which was part of the SNC to the UNFCCC.

IV. STRATEGY

Brazil's REDD+ results-based payments proposal was approved by the GCF Board at its 22nd meeting, as the first proposal under the pilot programme for REDD+ results-based payments of GCF. The resources that will be received by UNDP will be used to create a pilot Environmental Services Incentive Program for Conservation and Recovery of Native Vegetation (Floresta+) and to strengthen the Brazil's ENREDD+ implementation. Therefore, it will be key in the implementation of the Forest Code and PPCDAm 4th phase, contributing to achieve the objectives of the ENREDD+ and Brazil's NDC and also improving the results already achieved by Brazil in reducing deforestation.

This project is based on a three-fold context. First, Brazil has the greatest area of tropical forests in the world. Second, a significant percentage of this forest is private owned or indigenous land. Third, even though there is strong legislation, there are few economic incentives for the maintenance and restoring of forests. Faced with limited public resources to provide incentives for the forest conservation, limited options for the development of sustainable agricultural and forest production, and with difficulties to fundraise resources by IPLCs to support the management of their territories and their social and productive organization, this project seeks to promote the necessary incentives for conservation and restoration/recovery of areas additional to the Brazilian forest code in small farming properties, as well as in collective territories of IPLCs, through a programme called Floresta+.

This project also aims to contribute with the ENREDD+ implementation by facing the complexity of a forest monitoring system for the whole Brazilian territory, the low capacity and resources of subnational governments and ILPCs to engage in ENREDD+ implementation, the limited amount of public resources to implement the ENREDD+, the safeguard information scattered among different governmental systems and/institutions, and the complexity to evaluate the impacts of REDD+ policies.

The project's Theory of Change is based on the premise that small farmers presently have few incentives to conserve forests beyond legal compliance. In this sense, the establishment of a mechanism to provide economic incentives for the maintenance of environmental services is important to recognize the contribution of small farmers and IPLCs to conservation and to foster forest restoration/recovery, improving local communities' livelihoods. Therefore, with the creation of Floresta+, an efficient incentive mechanism is implemented and small farmers and IPLCs continue to maintain, manage, and restore their territories through the support of economic incentives.

Floresta+ will promote benefit sharing as an incentive-based mechanism and will also contribute to stablish breakthrough technologies and innovations in the forest sector. Investments in positive incentives are key to maintain and further expand the REDD+ results achieved in the Amazon region. The improvement of monitoring systems and promotion of the engagement of subnational governments and IPLCs are fundamental to strengthen the implementation of Brazil's ENREDD+. Therefore, three long-term solutions are expected through the implementation of this project: 1. Forests are maintained, managed and restored/recovered in private properties and in IPLCs' territories through the support of economic incentives; 2. The economics of the forest sector is thriving with innovative technologies and better implementation of public policies; 3. The National Strategy for REDD+ is reviewed and fully operational, with indicators properly monitored and social participation.

To reach those three long-term solutions the project is divided in two main outputs, as detailed below:

Output 1: Development of a pilot of an Environmental Services Incentive Program for Conservation and Recovery of Native Vegetation (Floresta+)

The Floresta+ Pilot Program will operate through resource distribution modalities such as:

1. Modality 1 (Floresta+ Conservation): incentives to landowners and land users of rural properties according to the classification of item V, of article 3º, of the Forest Code (Law nº 12.651/2012), with the objective of conserving native vegetation remnants additional to the legal requirements;

2. Modality 2 (Floresta+ Recovery): incentives to landowners and land users of rural properties according to the classification of item V, of article 3º, of the Forest Code (Law nº 12.651/2012), with the objective of recovering Permanent Preservation Areas (e.g. riparian forests, mountain tops and steep inclines);

3. Modality 3 (Floresta+ Communities): support to associations and representative entities of Indigenous Peoples and local communities; and

4.Modality 4 (Floresta+ Innovation): support innovative actions and arrangements to develop, implement, and leverage public policies for conservation and restoration/recovery of native vegetation.

Modalities Floresta+ Conservation (1) and Floresta+ Recovery (2)

Floresta+ Conservation and Floresta+ Recovery will function as a pilot programme to provide incentives for Environmental Services maintenance through Conservation and Restoration/Recovery of Native Vegetation, providing valuable input for future implementation at a larger scale. Due to their high level of similarity, these two modalities will be described in tandem.

General objective and eligibility criteria: Floresta+ Conservation (1) has the general objective of promoting the conservation of areas of native vegetation that exceed the legal requirements for rural landholdings established by the Forest Code (Law No. 12.651/2012). In order to achieve this objective, Floresta+ Conservation will provide financial incentives to rural smallholders (as defined in Article 3, V, of the Forest Code) in the Legal Amazon who conserve areas of native vegetation that exceed the Legal Reserve and Permanent Preservation Area (APP, for the acronym in Portuguese) requirements and who meet the eligibility criteria that will be defined by the Project Board (PB), after a consultation process (see below).

Floresta+ Recovery (2) has the general objective of providing financial incentives to the restoration/recovery of Permanent Preservation Areas (APPs), with a view to promote compliance with the Forest Code. In order to achieve this objective, Floresta+ Recovery will provide incentives to rural smallholders (as defined in Article 3, V, of the Forest Code) in the Legal Amazon who commit to restore native vegetation in their APPs, thus contributing to the environmental regularization of beneficiary landholdings.

Implementation arrangement: the financial incentive will be provided to beneficiaries by calculating the amount according to the area of native vegetation cover that exceeds legal requirements (Floresta+ Conservation) or the area of APP to be restored/recovered (Floresta+ Recovery), to be measured in hectares, as per data from SICAR and the terms set by the PB.

During the first year of the project, a consultation process will be developed with the engagement of partner institutions and key stakeholders to further detail how the project shall be implemented, including, inter alia, the eligibility criteria and criteria for prioritizing specific regions and/or beneficiary groups. Based on the inputs obtained through the consultations and on inputs from the Project Advisory Committee (PAC), the PB will set the criteria for defining priority regions for each round of selection, as well as details pertaining to the processes for selection and provision of incentives to beneficiaries. Considerations regarding the following aspects should inform the PB's decision making concerning the amount to be provided per hectare to landholders:

a) the ratio of area covered by native vegetation to the area converted (deforested, degraded or burnt etc.) within the landholding;

b) the opportunity cost of land in areas with alternative land use; and

c) values paid under existing payment for environmental services (PES) programs, where appropriate.

Considerations regarding the following aspects should inform the PB's decision concerning prioritization of regions and beneficiaries:

a) regions under high deforestation, forest degradation, or forest fires pressure;

b) priority areas for biodiversity conservation and native vegetation restoration, as defined by other legal instruments or initiatives under the Ministry of Environment of Brazil (MMA);

c) buffer zones around protected areas (Conservation Units or Indigenous Lands);

d) regions with a high density of small rural landholdings;

e) regions with a high concentration of indigenous peoples and local communities; and

f) integration with other public policies and projects related to conservation and restoration of native vegetation.

The selection of beneficiaries for Floresta+ Conservation and Floresta+ Recovery will be conducted through a public notice process. Additionally, landholders who meet the eligibility criteria will be contacted through SICAR to learn about the project. Incentives to each smallholder will be provided for up to five years throughout the project, considering the constraints imposed by the implementation period set for this project. Incentives will be delivered on an annual basis, conditioned to the results from monitoring of forest conservation and restoration/recovery. The selection of beneficiaries for both modalities will require, at a minimum, the following steps:

1) definition of selection procedures and criteria by the PB;

2) widely publicized public notices, particularly in priority regions;

3) voluntary application of landholders through a simplified electronic system linked to SICAR and signature of the Statement of Acceptance for enrolment of landholders;

4) verification pertaining the eligibility criteria;

5) selection of beneficiaries in accordance with the prioritization criteria; and

6) signature of agreement with beneficiaries.

Incentives will, preferably, be operationalized by a large national public bank with ample presence in the region. The bank will be contracted through a selection process, with careful assessment of the costs involved, the presence throughout the region/accessibility to beneficiaries and its reputation in the market. Direct incentives will be transferred into the beneficiaries' bank accounts, drawing on the details provided by the operations manual of Floresta+ (to be developed as part of the implementation of this project) and guided by the PB. The responsibilities of the bank include: making available the necessary operational means; making transfers to the beneficiaries; and providing management reports with information on the incentives provided for monitoring and evaluation purposes, according to specifications and formats set in Floresta+´s operations manual and guided by the PB.

Incentives will be provided on annual basis, starting from the moment a beneficiary is selected and signs the agreement until the last year of project implementation, contingent on verification that the beneficiary maintains compliance with all the conditions set for taking part in the project.

Monitoring: the monitoring of Floresta+ Conservation will be carried out annually and will aim at: verifying compliance with the terms of the Statement of Acceptance; assessing whether the native vegetation cover of areas assigned to the project are maintained; and verifying compliance with the eligibility criteria. The monitoring pertaining vegetation cover will be carried out using geoprocessing technologies. Field verifications may also be carried out, where appropriate. The beneficiaries who successfully undergo the verification processes will receive a new transfer. Failure to meet the aforementioned conditions will result in the exclusion of beneficiaries from the project.

The monitoring of Floresta+ Recovery will follow similar steps, differing only on the issue of vegetation cover monitoring, which may require additional verification on the ground to assess whether the restoration/recovery of APPs takes place in a satisfactory manner.

Beneficiaries: According to Article 3, V, of the Forest Code and Brazilian land tenure regime smallholders, also known as family farmers, are those who hold ownership or possession rights over landholdings of up to 4 fiscal modules. Rural smallholders in the Legal Amazon who fulfil all the conditions set for Floresta+ Conservation and Floresta+ Recovery should be able to apply to take part in the project.

Expected outcomes: Floresta+ Conservation aims to promote the conservation of native vegetation in areas that are not under any specific protection regime and to reward and provide positive incentives for the conservation of such areas.

Floresta+ Recovery aims to incentivize compliance with the Forest Code and to promote the restoration/recovery of particularly sensitive areas for key ecological processes, such as riparian zones and springs.

Both modalities are expected to contribute to strengthen and boost the implementation the Forest Code in the region and to develop and test approaches for the implementation of incentive-based schemes for environmental services maintenance in Brazil.

Modality 3 - Support for Indigenous Peoples and local communities

General Objective: To support the implementation of projects aimed at strengthening environmental and territorial management in Indigenous Peoples' and Local Communities' (IPLCs) territories. Projects are to be designed in a participatory manner by organizations representing IPLCs, taking into account the collective nature of management activities in such territories.

Implementation Arrangement: Responsible Parties (RPs) will be selected, as per UNDP rules, to implement the local projects to be supported under modality 3 of Floresta+, according to an expression on interest (EOI) to which IPLCs organizations will present ideas (see below). RPs will also be responsible for complying with the free, prior and informed consent (FPIC) procedures suitable for IPLCs' collective territories in the Legal Amazon - often remote and extensive, difficult and costly to reach.

This procedure aims to enable a transparent process that facilitates direct support to communities by organizations with experience and respect for the specificities and autonomy of such groups, establishing and maintaining relationships of trust.

The selection of RPs will be based on UNDP rules, criteria and requirements defined by the PB, informed by inputs from the PAC and the consultations held during the first year of project implementation. The selection process for RPs will be conducted by the Project Management Unit (PMU) and validated by the PB. The selection instrument must, at a minimum, establish the following structure to guide the RP' work:

1. Implementation Plan;
2. Detailed Local Projects;
3. Workplans of the Local Projects;
4. Execution of Local Projects; and
5. Final Reports of Execution of Local Projects.

Following the selection of RPs, the PMU will prepare a call for EOI for the participation of interested IPLCs' organizations. The criteria and rules for the EOIs (e.g. lines of action, thematic scope, budgetary range, and social and environmental aspects) will be defined by the PB, also considering inputs from the PAC and the consultations held during the first year of the project. Expressions of interest should be presented by the representative organizations themselves and should include, at a minimum, a brief description of the social and environmental

context of a community, its location and a brief description of the proposed actions, in accordance with the rules and criteria set by the call for EOIs. For the selection of IPLC's organizations, a specific selection committee may be established by the PB.

The RPs will carry out a FPIC process aimed at developing and detailing a proposal for each local project with the selected IPLC organizations. The process of detailing local projects should observe the safeguards concerning participation and respect for the rights of IPLCs and should seek to promote collective ownership and, consequently, legitimacy of the actions to be undertaken. Building upon these processes, the RPs should produce the Implementation Plan, the Detailed Local Projects, and the Workplans of the Local Projects. The Detailed Local Projects should also contain records of the FPIC activities for developing and detailing the local projects.

Following approval of the workplans of the Local Projects, the RPs will define, in agreement with the Project Coordination Unit (PCU) and Project Management Unit (PMU), the details for the implementation of the local projects. These details should include the activities to be produced, procured or carried out by the RP, allowing for the local projects' implementation monitoring and for planning expenditures and disbursements. The set of activities and implementation reports will enable the Execution of Local Projects.

For the implementation of local projects, the RPs will work closely with IPLCs' organizations. Procurement and contracting activities will be carried out by the RPs, as well as the relevant accounting and reporting obligations towards the PMU. RPs are barred from providing grants or directly transferring funds to the beneficiary organizations.

Monitoring: the FPIC processes (i.e. initial consultations and local projects refinement) will enable the development of specific indicators, with participatory engagement from the beneficiary communities. Reporting obligation for the RPs include a midterm report, deliverable-specific reports and a final implementation report. These reports will feed into the adaptive management process for modality 3. Oversight of local project implementation is to be carried out in close cooperation and with ongoing communication between RPs and the PMU.

Beneficiaries: Organizations and associations representing IPLCs.

Expected Outcomes: Actions to promote environmental conservation, restoration of degraded areas, agroecological production, strengthening supply chains for products of the Amazonian socio-biodiversity, surveillance and territorial protection. Additional results are expected from capacity building and knowledge exchange activities.

Modality 4 - Innovation

The Legal Amazon still lacks the development of favourable conditions that allow the emergence and consolidation of a sector based on innovation of an eminently technological nature in the region. Nevertheless, there is great potential for innovation in the field of social technologies, and there are currently a number of initiatives that apply models associated with processes to foster innovation to develop alternatives for sustainable use of the forest and sustainable production in the Brazilian Amazon (i.e. Desafio Conexus , Plataforma Parceiros para a Amazonia , Incluir - UNDP, Humanize), through the acceleration of businesses and cooperatives and the development of new financing solutions suitable to the particularities involved. Such initiatives are predominantly centred on the development of the basic structures that allow for progressive evolution towards a more mature innovation environment. Furthermore, sustainable development and conservation efforts in the region can benefit from technological solutions developed elsewhere to address challenges such as environmental monitoring, forest restoration and track-and-trace food and timber supply chains.

General objective : The modality aims to foster the development of initiatives that can produce innovative solutions for the implementation of the Forest Code (Law No. 12,651), its objectives and associated needs, such as promoting sustainable management (with income generation purposes) of forested areas in general and of Legal Reserves and Permanent Preservation Areas in particular, cost-effective techniques for forest restoration, monitoring and

controlling deforestation and forest degradation, and enforcement efforts to fight and prevent illegal deforestation and forest degradation.

Implementation arrangement: RPs will be selected for implementation of modality 4, following UNDP rules and procedures. Taking into account the current regional context and ongoing initiatives, the stage of consultations to detail the project modalities will include an analysis of the main gaps related to the promotion and financing of enabling conditions and innovation solutions, with a view to select those that present greater potential for project support. Find below a brief description of one of the activities considered for implementation. Others may be considered after the consultation stage or over the regular course of adaptive management of the project.

- **Structuring incubation and/or acceleration programs**: providing specialized technical support for the development of initiatives associated with the objective set for the modality, with the participation of, inter alia, cooperatives, start-ups, individual entrepreneurs, NGOs, among others. Such programs will be carried out with the support of RPs, which will be selected in accordance with UNDP procedures, with proven expertise in supporting innovation initiatives in the climate change and forest sectors. The technical support will include activities such as financial consultancy, product/service development, market research, mentoring, logistics development etc. The initiatives shall be selected in a competitive process, based on criteria defined by the PB, which, in turn, will draw on inputs from experts and the PAC. The specific theme(s) for each selection process will be defined under the project governance structure. The MMA, UNDP and their partners will seek collaboration and partnerships with investors and other initiatives to enable capital injection for further development of the initiatives after the programs supported by the project reach their end. The programs will aim to produce environmental, social, and economic benefits in the region.

Monitoring: success indicators for the incubation/acceleration programs may include the number of initiatives supported, the number of initiatives that succeed in raising additional capital at the end of the programs, overall volume of capital raised, and the impact potential of supported solutions on the problems they seek to address.

Beneficiaries: academia and other research institutions, NGOs, start-ups, individual entrepreneurs and cooperatives, unions and associations of gatherers and sustainable producers in the Legal Amazon.

Expected Outcomes: to facilitate the development of solutions that foster an environment that is conducive to innovation, and that can produce greater efficacy and efficiency in the implementation of forest-related public policies and the development of a sustainable forest economy in the Legal Amazon.

Output 2: Strengthen the implementation of Brazil's ENREDD+ through improvements in its governance structure and systems

A small part of the resources will be used to improve the implementation of the ENREDD+. Brazil intends to improve its REDD+ elements to strengthen the implementation of the ENREDD+ and contribute to a more effective and transparent implementation of its NDC.

The activities in this output will follow the calendar established in the ENREDD+ and its governance mechanism. The activities are currently underway, and the project will support the enhancement of the products and processes. The focus of the first year is to support the preparation of the national FREL and to improve the implementation of SISREDD+, including exploring synergies with the Grievance Redress Mechanism and safeguards requirements for GCF. After that, the Public Policy Matrix and the revision of the National REDD+ Strategy will be conducted taking into consideration Brazil's NDC. The enhancement of the capacities and access of the various stakeholders for

participating in the ENREDD+ governance structure and promote exchanges of lessons learnt in implementing REDD+ among countries are cross-cutting issues and will be implemented during the project.

A stronger governance structure and more transparent data and information systems will contribute to the long-term sustainability of these investments. It will also contribute for the effective implementation of the measures needed in the forest sector for the achievement of the national target indicated in Brazil's NDC. The implementation of Brazil's ENREDD+ should represent less than 10% of the total funding allocation for the project.

Figure 2 - Project's Theory of Change.

V. RESULTS AND PARTNERSHIPS

Expected Results

This Project is based on Results-Based Payments received from the Green Climate Fund for emissions reduction from deforestation in Brazil already achieved in the period of 2014-2015. The use of proceeds will contribute to the conservation and valuation of the standing forests of the Brazilian Amazon.

Moreover, the results-based payments received by Brazil from the GCF will contribute to the implementation of the forest sector actions of Brazil's NDC. This project proposal has two main outputs, which will also contribute to the achievement of the ENREDD+ overall objective and Brazil's NDC:

1. Development of a pilot of an Environmental Services Incentive Program for Conservation and Recovery of Native Vegetation (Floresta+); and

2. Strengthen the implementation of Brazil's ENREDD+ through improvements in its governance structure and systems.

The Floresta+ is a new and innovative pilot program that aims to provide incentives for maintenance of environmental services in the Legal Amazon region, in accordance with Brazil's Forest Code, the ENREDD+ and Brazil's NDC. This pilot program will have the following specific objectives: 1. provide monetary compensation to incentivize native vegetation conservation and restoration/recovery and improvement of ecosystems that generate environmental services (including but not limited to carbon); 2. prevent the occurrence of deforestation, forest degradation and forest fires through financial payment ; 3. incentivize the restoration/recovery of native vegetation of rural properties, conservation areas, indigenous lands, land settlements and local communities lands; 4. Value the actions of land owners, land users, settlers, indigenous peoples and local communities in conservation and restoration/recovery of native vegetation; 5. promote compliance with the environmental legislation, especially that related to the protection and restoration/recovery of native vegetation (Forest Code); 6. offer a financial mechanism to foster the development and implementation of public policies aimed at conservation and restoration/recovery of native vegetation.

The target audience for the Floresta+ Pilot Program is comprised of:

- small farmers, according to art. 3º, V, of the Forest Code (Law nº 12.651/2012), up to 4 fiscal modules[3]
- Indigenous Peoples;
- local communities according to Art. 3º of decree nº 6.040/2007 (that use their territory collectively); and
- public institutions or agencies (subnational governments), civil associations, cooperatives and private law foundations that act in topics related to conservation and restoration/recovery of native vegetation.

The prioritization of areas to be selected as beneficiaries for the Floresta+ pilot program will consider:

a) regions with high pressure from deforestation, forest degradation and forest fires;
b) priority areas for biodiversity conservation and for the restoration/recovery of native vegetation, according to norms defined by the MMA;
c) buffer zones around protected areas;
d) regions with higher density of small farmers;
e) regions with higher concentration of local communities;

[3] A fiscal module is an agrarian unit used in each municipality in Brazil, defined according to the terms of article 50, section 2, of Law No. 6,746 of December 10, 1979. (Law No. 6.746/1979) This measure is meant to ensure Floresta+ is focused on small and medium households instead of larger landowners. Indeed 90% of farms have up to four fiscal modules according to INCRA.

f) integration with other public policies related to the conservation and restoration/recovery of native vegetation.

As for output 2, the resources received by Brazil from the GCF through REDD+ RBPs will be in part directed to support: 1) Expansion of the forest monitoring system and MRV to include additional REDD+ activities, pools and gases, considering the mapping products produced under the Brazilian Biomes Environmental Monitoring Program, for all biomes, as appropriate, following the guidance from the Working Group of Technical Experts on REDD+ - the aim is to submit a national FREL to the UNFCCC by 2021; 2) Development of a tool to monitor and measure the impacts of REDD+ policies and investments and inform decision-making regarding the forest component of Brazil´s NDC; 3) Improvement Brazil's SISREDD+ and its ombudsman, making it more complete, transparent and accessible; 4) Enhancement of the capacities and access of the various stakeholders for participating in the ENREDD+ governance, including the revision of the National REDD+ Strategy in 2020; and 5) Support exchanges among countries to ensure that this impact beyond the national boundaries is maintained in the long-run.

Partnerships

The development of Brazil´s National REDD+ Strategy has had a long history of broad stakeholder engagement since its inception. The MMA began consultations regarding the access of resources for this pilot program through CONAREDD+. For the future, the REDD+ governance structure will be reviewed in accordance with the new Brazilian government guidelines for a more efficient structure. Furthermore, the full and effective participation of stakeholders will continue to occur through a transparent governance structure, a facilitated access to adequate and quality information, establishment of work groups, and holding of workshops and seminars.

Through effective collaboration and partnerships, a diverse range of actors with a stake in forest conservation and restoration will be integrated and supported in the project, such as small farmers, IPLCs, research and academic institutes, public and private institutions, subnational governments and civil society organizations. The approach to work with IPLCs includes supporting all its seven thematic axes[4] of the National Policy for Environmental and Territorial Management of Indigenous Lands. The project will provide IPLCs and small farmers with increased understanding of forest restoration/recovery and conservation through technical assistance associated to financial support.

Establishing partnerships with different entities (governmental or non-governmental) is key for the success of the project. Several stakeholders might take a strategic role in the implementation of the project and may be involved in the project through its implementation (e.g. FUNAI – National Indigenous Foundation, SFB - Brazilian Forest Service, ICMBio – Chico Mendes Institute for Biodiversity Conservation, among others). These partnerships will be implemented during the first year of project implementation. In addition, the project will count with partnerships with a public bank that shall be selected, as well as with other civil society, academia and private institutions to work as responsible parties. It is considered that State Governments will be involved in project activities to engage local participation and disseminate good practices.

In sum, the main partners and activities for project's implementation are:

[4] The National Policy for Territorial and Environmental Management of Indigenous Land (PNGATI), has as thematic axes: 1) territorial and natural resources protection; 2) governance and participation; 3) protected areas and indigenous lands; 4) prevention and recovering of environmental damage; 5) sustainable use of natural resources and indigenous productive initiatives; 6) intellectual propriety and genetic heritage; and 7) training, exchange, and environmental education.

Table 1. Collaboration and synergies with other institutions for project's implementation

Partner	Activities and roles
The Brazilian Forestry Service (SFB)	The SFB is responsible for SICAR's management and operation. The system is key to identify, select and monitor properties for the implementation of Modalities 1 and 2. SFB and state level environmental agencies are working on CAR's data evaluation and it will be the baseline in Floresta+ for identifying environmental compliance and forest restoration at property level. There are resources in the project for updating and improving SICAR to facilitate Floresta+ implementation.
ICMBio	ICMBio is responsible for the implementation and management of the protected areas at federal level. The institution will provide parameters for the definition of priority areas and activities to be supported in Modality 3, in line with ICMBio´s policies to control deforestation and to foster sustainable production for local communities in protected areas, as well as other projects. These activities include support to the development of sustainable supply chains and local production schemes, provision of infrastructure for local communities, capacity building and social organization for the beneficiaries.
FUNAI	FUNAI is responsible for policies, guidelines and actions for indigenous peoples and territories. Like ICMBio, FUNAI will provide parameters for the definition of priority areas and activities to be supported in Modality 3, in line with institutional policies for indigenous peoples and with PNGATI. These activities include support to the development of sustainable supply chains and local production schemes, provision of infrastructure for local communities, capacity building and social organization for the beneficiaries.
Public bank	For the delivery of incentives foreseen in Modalities 1 and 2, it will be necessary to decentralize resources at a large scale to make annual disbursements for each rural property. Brazil has national and regional (banks that can play the role of mediating resources' distribution). The institution will be selected based on a public call where the best conditions of partnership and project implementation will be evaluated by the PB.
State level governments	The State level governments are responsible for evaluating and confirming the environmental compliance of each rural property in its jurisdiction, which is essential for the implementation of Modalities 1 and 2. They are also responsible for territorial, environmental and agricultural policies that have important connections with the whole project. These policies will be important for the definition of priority areas and activities. The states also play an important role in engaging local farmers and communities in the project, specially by using their decentralized infrastructure and presence in the ground.
Farmers' unions and associations	Farmers' unions and associations are important actors to represent local demands and to engage landowners in the project, especially in Modalities 1 and 2. They can be vehicles to deliver information about Floresta+, as well as act like an entry point to receive submissions. There are several farmers' representations in the Amazonian states that can be approached to multiply Floresta+ information.
Universities, foundations, innovation centers and think tanks	Universities, foundations, innovation centers, and think tanks are spaces to foster innovation regarding technologies, policies and solutions for the public and private sector. These institutions will be the main partners for the implementation of the Modality 4. Under this approach, Floresta+ will support activities regarding innovation in forest management, forest restoration/recovery, new technologies for the forest sector, innovative market instruments and improved socioeconomic arrangements for sustainable production. Private sector and civil society institutions working towards innovation in the forest sector may also be beneficiary of project's activities.

Working together with related ongoing projects to leverage funding, avoid overlap, and share lessons learned will help increase the effectiveness and efficiency of the project, as well as the overall impact on forest conservation and restoration in Brazil.

Risks and Assumptions

In terms of project implementation, the following risks were identified with appropriate mitigation measures to minimize their impact.

Table 2. Project's risks and assumptions.

1	Risk category	Execution risks: Operational
	Description	Slow start of project given decentralized mechanisms that need to be in place for execution
	Probability/Impact/Priority	Somewhat Unlikely/Somewhat Disruptive/Medium
	Mitigation	Detailed agreements with responsible parties are finalized as soon as the FAA and PRODOC are signed. Communication Plan for Floresta+ and Bidding for hiring Responsible Party need to be launched after PRODOC signature.
2	Risk category	Country specific execution risks: Operational
	Description	Institutional transition might affect project implementation during its lifespan.
	Probability/Impact/Priority	Somewhat likely/ Somewhat Disruptive/High
	Mitigation	Project strategy is based on pre-tested mechanisms for implementation. In the first months of implementation, the project shall have an inception phase and public consultation that will enable buy in by stakeholders, the dissemination of project's strategy and strengthen the participation of local community-based organizations in the project. As for federal level involvement, MMA team is mostly composed by technical civil servants with required expertise to implement the project.
3	Risk category	Execution risks: Operational
	Description	CAR analysis process, which includes validation and monitoring in the Amazonian states is not fully implemented.
	Probability/Impact/Priority	Somewhat likely/Somewhat Disruptive/High
	Mitigation	The SFB and the states are moving forward in CAR analysis, but there are still challenges to be overcome. In the case that there are no significative advances in CAR analysis by the time of the first round of properties' selection, the implementation of Modalities 1 and 2 will be delayed and it will narrow the scale of the project in the first years. In this case, the project may support the appraisal of specific and priority areas in order to start Modalities 1 and 2.
4	Risk category	Execution risks: Operational
	Description	Low engagement of partners to reach large scale, especially in Modalities 1 and 2.
	Probability/Impact/Priority	Somewhat likely/Somewhat Disruptive/Medium
	Mitigation	The successes of Floresta+ in Modalities 1 and 2 depend on a good offer of lands with forest cover and areas to be restored under the commitments of the Forest Code. The project has communication

		activities to inform beneficiaries, but it may be important to count on farmers' unions and associations, as well as to select "champions" in the ground to serve as example of implementation to other farmers.
5	Risk category	Execution risks: Financial
	Description	Transactional costs in transferring economic incentives to the final beneficiaries in Modalities 1 and 2.
	Probability/Impact/Priority	Somewhat Unlikely/Somewhat Disruptive/Medium
	Mitigation	It is expected that most of beneficiaries will have bank accounts to receive transfers for Modalities 1 and 2. For operational purposes, it will would be important to have only one bank in partnership with UNDP to make the disbursements. In case that is not possible to select one single institution, UNDP has the capacity to make decentralized payments, but it will increase time and operational costs.
6	Risk category	Execution risks: Financial
	Description	Economic recovery could lead to the appreciation of the Brazilian Real, with impact on exchange rate.
	Probability/Impact/Priority	Somewhat Unlikely/Somewhat Disruptive/High
	Mitigation	Interest may be used to reduce possible exchange rate loss during project implementation. Incentives under modalities 1 and 2 could be fixed in US dollars as to address this risk.

Stakeholder engagement plan:

This project is fully aligned with ENREDD+ principles and guidelines and it directly contributes to the implementation of Brazil's NDC. The MMA began consultations regarding the access of resources for this pilot program through REDD+ governance mechanisms. For the future, as previously mentioned, the REDD+ governance structure is being reviewed in accordance with the new Brazilian government guidelines and full and effective participation of stakeholders will continue to occur through a transparent governance structure of the Project. In addition, the tools for transparency of Brazilian government activities related to the theme will remain active, such as the REDD+ Brazil and SISREDD+ websites, the Info Hub Brasil platform, currently under reformulation, publications and policy briefs, mail of direct contact with the Executive Secretariat of CONAREDD+ (reddbrasil@mma.gov.br). The technical inputs will also continue to count on Brazilian experts with wide experience in forests and climate change, by establishing technical work groups or holding thematic seminars, for example. The collection of inputs from the different actors and beneficiaries of REDD+ will occur through meetings and workshops demanded by CONAREDD+. All these inputs will serve as an enabling environment to the implementation of the project, even though not directly linked to its implementation.

A critical factor in the success of the Floresta+ pilot program and other activities as described in the project will be the full and effective participation of stakeholders in the design and implementation of the program. This will involve additional consultations with federal agencies, state governments, CSOs, academia and other relevant stakeholders. A focus of the stakeholder consultations for the design of the Floresta+ pilot program, as well as the complementation of the ESMF, will be beneficiaries' groups of the Floresta+ pilot, throughout the Legal Amazon. An indicative plan for the Stakeholder Engagement is provided as part of the preliminary ESMF, submitted as an Annex to the funding proposal presented to the GCF. The Stakeholder Engagement Plan will be initiated upon PRODOC approval. Consultations with beneficiaries are planned in the first year of project implementation, in order to receive inputs for Floresta+ design, as well as to ensure engagement and the establishment of necessary mitigation measures for the operationalization of management plans.

Table 3. Summary of the main categories of stakeholders and their role in the project

Stakeholder group	Engagement strategy
Federal Government	The effectiveness of the project will depend on active engagement of key government agencies. The MMA will be the main beneficiary and will be part of the Project Board, which will also include UNDP as project Executing and Implementing Agency, and the Brazilian Cooperation Agency (ABC/MRE). Other federal agencies besides MMA will form part of a Project Advisory Committee, including the Brazilian Forest Service (SFB), ICMBio and FUNAI. The project will work closely with SFB in CAR's implementation to facilitate the selection and monitoring of the beneficiaries, and with ICMBio and FUNAI to define priority areas and communities and to develop activities aligned with protected areas and indigenous population's policies.
State-level government	Like the federal government, the State-level governments will also be key for project's success. The Amazonian states will be represented in the Project Advisory Committee and will help to define priority areas, activities and resource allocation. During the first year of implementation, the state-level agencies will be consulted and visited to define procedures to support selection process, communication and evaluation of the project results. The state level government are also important in the implementation of ENREDD+.
Civil society	The project will reach out to different representatives, councils and civil society organizations of small farmers, Indigenous Peoples and local communities to seek their assistance in identifying priorities and engaging beneficiaries on the ground. There will be civil society representation in the Project Advisory Committee to support the definition of priorities and procedures. Civil society are also important in the implementation of ENREDD+.
Universities and research centers	Public and private research centers might be selected as project partners to support the research and technological development under Modality 4 of Floresta+ to foster new technologies and solutions for forest management, forest restoration, innovative market instruments, and improved socioeconomic arrangements for sustainable production. The criteria and priorities to select activities and partners under this Modality will be defined by the Project Board with the support of the Project Advisory Committee. There might be consultation processes with reference institutions like Embrapa, National Institute of Amazon Research (INPA), Museu Paraense Emílio Goeldi and others.
Private sector	Companies, startups and private associations of the forest sector might be important partners for the implementation of the Modality 4 of Floresta+. There is demand for improving technologies and solutions for boosting sustainable forest management of native species, reducing the costs and increasing the scale of forest restoration, and finding innovative market and policy instruments. These results will only be achieved through a strong engagement of the private sector. The Modality 4 of Forest+ will promote the participation of these actors by the support of solution-oriented activities, according to the criteria and priorities of the Project Board with the support of the Project Advisory Committee.

Gender equality and empowering women:

Brazil is signatory to various international conventions focused on gender equality and women's empowerment, including the CEDAW, a convention by the United Nations that aims to eliminate all forms of discrimination against women. In addition, there are various national laws and legislation governing its work in promoting gender equality and women's empowerment. These include of Brazil's 1988 Constitution by which women enjoy the same legal rights and duties as men, which is clearly expressed in Article 5. In 2003, the Federal Government created the National Secretary for Women's Policies (SPM), which is now hosted at the Ministry of Women, Family and Human Rights. An

overview of relevant Gender legislation and institutions is provided in the preliminary Gender Assessment provided as an Annex of the funding proposal presented to GCF.

Data presented in the preliminary Gender Assessment provides context and an overall baseline assessment on the gender dynamics, inequalities and state-of-play within Brazil, its forest sector and in its efforts on REDD+ action to date. This analysis identified the differences between men and women and has helped to identify gaps and provide a baseline for comparison. Addressing the gender gaps noted, the preliminary Gender Action Plan provides suggested entry points for gender-responsive actions to be taken under the applicable activities of the proposed project. This can be incorporated into the detailed M&E plan which will be developed at the start of implementation and provides concrete recommendations on how to ensure data is disaggregated by sex to be collected and measured throughout implementation. Thereafter, the Gender Action Plan will be revised as necessary and gender baseline information will be provided.

International exchange:

Brazil has also invested in south-south cooperation initiatives for forests and climate change, through results-based payments received by the Amazon Fund. Just over 20% of the total resources received through results-based payments by the Amazon Fund can now be used to support the development of deforestation monitoring and control systems in other Brazilian biomes and other countries. In this regard, Brazil has invested USD 12 million in the development of the capacity to monitor deforestation, changes in the use of land and forests of other countries in the Amazon basin.

This project includes the support of exchanges among countries to ensure that this impact beyond the national boundaries is maintained in the long-run.

Sustainability and Scaling Up:

This project will contribute to the sustainability of the results already achieved by Brazil in the long term. Through the lessons learned from the project it will be possible to expand Floresta+ as a national program of payment for environmental services. With the experience of the project in the Amazon region, relevant elements will be gathered to adapt it to other biomes, extending to all Brazil.

VI. PROJECT MANAGEMENT

Cost efficiency and effectiveness

Cost efficiency of the project will be achieved through various means, including strong collaboration with ongoing projects and donors by leveraging resources for all project components. Relevant partnerships have been secured from various government agencies, which will increase the cost efficiency and impact of the project.

The Floresta+ Pilot Program will incentivize conservation and the restoration/recovery of native vegetation in accordance with Brazil's Forest Code and Proveg. This will contribute to reduce the pressure on native forests therefore consistent with the ongoing efforts to eliminate illegal deforestation and promote the restoration/ recovery of ecosystems, which are part of the general objective of Brazil's ENREDD+ and are listed as potential activities in the forest sector for the achievement of Brazil's NDC and national policies.

Additional criteria and priority areas will be developed and refined in consultation with the relevant stakeholders.

During implementation, the project will seek to maximize the financial resources made available for project activities. All activities will be included in Annual Work Plans, which will be discussed and approved by the PB to ensure that proposed actions are relevant and necessary. Cost-effectiveness will be taken into account throughout project implementation, without compromising the quality of the outputs.

Project Management:

UNDP will be responsible for establishing a Project Management Unit (PMU) which will execute the project and coordinate the management, reporting, and promote inter-institutional linkages of this project with other initiatives, disseminating its results. Inputs related to Project Execution have been costed and budgeted in the Project Management Costs.

UNDP will act in close consultation with MMA as the technical entity responsible for REDD+ public policies. MMA will also support technical coordination through its role on the PB; in chairing the PAC; and in designating a wide range of staff for delivery of different project activities and coordination of technical outputs.

In addition, UNDP may enter into agreements with other organizations or entities, known as "Responsible Parties" (RP), which may carry out project activities and produce project outputs on behalf of the Implementing Partner. RPs are accountable directly to the Implementing Partner. Given the nature of this project, and the fact that the first year of implementation will be focused on finalizing the details of Floresta+ through participative processes, all the RPs which will contribute to the implementation of the project will be selected during year 1, by MMA and UNDP, as per UNDP rules and regulations, based on the specific requirements and needs of Floresta+, as described in its operations manual.

Agreement on intellectual property rights and use of logo on the project's deliverables and disclosure of information

To accord proper acknowledgement to the GCF for providing grant funding, the GCF logo will appear together with the UNDP, MMA, and Federal Government logos on all promotional materials, other written materials like publications developed by the project, and project hardware. Any citation on publications regarding projects funded by the GCF will also accord proper acknowledgement to the GCF.

JM

The deliverables developed under this project are property of MMA. UNDP and GCF will hold a permeant license to use project material upon communication to MMA.

Disclosure of information: Information will be disclosed in accordance with relevant policies notably the UNDP Disclosure Policy [5] and the GCF Disclosure Policy [6]. Additionally, the Ministry of Environment will observe the relevant National Legislation.

6 See http://www.undp.org/content/undp/en/home/operations/transparency/information_disclosurepolicy/

7 See https://www.greenclimate.fund/documents/20182/184476/GCF_B.12_24_-_Comprehensive_Information_Disclosure_Policy_of_the_Fund.pdf/f551e954-baa9-4e0d-bec7-352194b49bcb

VII. PROJECT RESULTS FRAMEWORK

Table 4. Project results framework.

This project will contribute to the following Sustainable Development Goal (s): *SDG 13 - Take urgent action to combat climate change and its impacts* *SDG 15 - Protect, restore and promote sustainable use of terrestrial ecosystems, sustainably manage forests, combat desertification, and halt and reverse land degradation and halt biodiversity loss*					
This project will contribute to the following country outcome included in the UNDAF/Country Programme Document: *copy relevant outcome here*					
This project will be linked to the following output of the UNDP Strategic Plan: Output 1.3: Solutions developed at national and sub-national levels for sustainable management of natural resources, ecosystem services, chemicals and waste. Output 1.4: Scaled up action on climate change adaptation and mitigation cross sectors which is funded and implemented.					
GCF Paradigm shift objectives: *Floresta+ paymentis established and tested in the Amazon and ENREDD is amplified to all biomes.*					
	Indicators	**Baseline**	**Mid-term Target**	**End of Project Target**	**Assumptions**
SDG indicators	*Copy the SDG indicator(s) linked to the SDG goal listed in the top line of this table. See http://unstats.un.org/sdgs/indicators/database/ for more information*	*See http://unstats.un.org/sdgs/indicators/database/*	*Expected status a mid-point of project implementation*	*Expected status a project closure*	*Note how project data will link with national statistics offices or other bodies monitoring SDG indicators*
PROJECT OUTPUTS:					
Project Outputs Output 1: Development of a pilot of an Environmental Services Incentive Program for Conservation and Recovery of Native Vegetation (Floresta+)	• Area of forests supported with incentives for Environmental Services conservation (Modality 1).	0	150,000ha	380,000ha	The Program is for a total of up to 4 years of incentives. It is expected that 38,000 farms are benefited with 10 hectares each.
	• Area of land supported with incentives for Environmental Services for restoration/recovery (Modality 2).	0	50,000ha	180,000ha	It is expected 18,000 farms are benefited with 10 hectares each.
	• Projects supporting Indigenous Peoples and local communities (Modality 3)	0	32	64	Up to US$150,000 each project.
	• Projects supporting the improvement and the adoption of innovative instruments for public policies related to forest	0	10	20	Up to US$250,000 per project for public and private institutions.

	conservation and restoration/recovery (Modality 4).				
Project Outputs Output 2: Strengthen the implementation of Brazil's ENREDD+ through improvements in its governance structure and systems	• ENREDD+ revised.	0	1	1	Each 05 years ENREDD+ needs to be revised as per GOB decision.
	• REDD+ system and tools improved	0	1	2	GOB systems and tools for implementing REDD+ in the country are developed or improved as needed.
	• Representatives actively engaged in REDD+ meetings and activities.	0	30	30	Governance of ENREDD+: 6 meetings/6 years + other subcommittees and meetings/workshops.
Project Outputs Output 3: Program management	• Project team established	0	1	1	PMU is established as per funding proposal.
	• Project Board and Advisory Committee Meetings held	0	6	12	Funding proposal mentioned 02 meetings per year.
	• MTE and TE undertaken	0	1	2	As per GCF guidelines.

VIII. MONITORING AND EVALUATION (M&E) PLAN

The project results, as outlined in the project results framework, will be monitored and reported annually and evaluated periodically during project implementation to ensure that the project effectively achieves these results.

Project-level monitoring and evaluation will be undertaken in compliance with UNDP requirements as outlined in the UNDP POPP and UNDP Evaluation Policy. While these UNDP requirements are not outlined in this project document, the UNDP Country Office will work with the relevant project stakeholders to ensure UNDP M&E requirements are met in a timely fashion and to high quality standards. Additional mandatory GCF-specific M&E requirements will be undertaken in accordance with relevant GCF policies and considering the specific nature of this project (Results Based Payments)

In addition to these mandatory UNDP and GCF M&E requirements, other M&E activities deemed necessary to support project-level adaptive management will be agreed during the Project Inception Workshop and will be detailed in the Inception Workshop Report. This will include the exact role of project target groups and other stakeholders in project M&E activities including national/regional institutes assigned to undertake project monitoring.

M&E oversight and monitoring responsibilities:

Project Coordinator: The Project Coordinator is responsible for day-to-day project coordination, management and regular monitoring of project results and risks, including social and environmental risks. The Project Coordinator will ensure that all project staff maintain a high level of transparency, responsibility, and accountability in M&E and reporting of project results. The Project Coordinator will inform the Project Board, the UNDP Senior Management and the UNDP-GEF Regional Technical Advisor of any delays or difficulties as they arise during implementation so that appropriate support and corrective measures can be adopted.

The Project Coordinator will lead the development of annual work plans to support the efficient implementation of the project. The Project Coordinator will ensure that the standard UNDP and GCF M&E requirements are fulfilled to the highest quality. This includes, but is not limited to, ensuring the results framework indicators are monitored annually in time for evidence-based reporting in the Annual Project Report, and that the monitoring of risks and the various plans/strategies developed to support project implementation (e.g. Environmental and social management plan, gender action plan etc..) occur on a regular basis.

Project Board: The PB will take corrective action as needed to ensure the project achieves the desired results. The PB will hold project reviews to assess the performance of the project and appraise the Annual Work Plan for the following year. In the project's final year, the Project Board will hold an end-of-project review to capture lessons learned and discuss opportunities for scaling up and to highlight project results and lessons learned with relevant audiences. This final review meeting will also discuss the findings outlined in the project terminal evaluation report and the management response.

Project Implementing Partner: The Implementing Partner is responsible for providing all required information and data necessary for timely, comprehensive and evidence-based project reporting, including results and financial data, as necessary and appropriate. The Implementing Partner will strive to ensure project-level M&E is undertaken by national institutes and is aligned with national systems so that the data used by and generated by the project supports national systems.

UNDP Country Office: The UNDP Country Office will support the Project Coordinator as needed, including through annual supervision missions. The annual supervision missions will take place according to the schedule outlined in the annual work plan. Supervision mission reports will be circulated to the project team and Project Board within one month of the mission. The UNDP Country Office will initiate and organize key M&E activities including the Annual

Project Report, the independent mid-term evaluation and the independent terminal evaluation. The UNDP Country Office will also ensure that the standard UNDP and GCF M&E requirements are fulfilled to the highest quality.

The UNDP Country Office is responsible for complying with all UNDP project-level M&E requirements as outlined in the UNDP POPP. This includes ensuring the UNDP Quality Assurance Assessment during implementation is undertaken annually; the regular updating of the ATLAS risk log; and, the updating of the UNDP gender marker on an annual basis based on gender mainstreaming progress reported in the Annual Project Report and the UNDP ROAR. Any quality concerns flagged during these M&E activities (e.g. Annual Project Report quality assessment ratings) must be addressed by the UNDP Country Office and the Project Coordinator.

The UNDP Country Office will support GCF staff (or their designate) during any missions undertaken in the country and support any ad-hoc checks or ex post evaluations that may be required by the GCF.

The UNDP Country Office will retain all project records for this project for up to seven years after project financial closure in order to support any ex-post reviews and evaluations undertaken by the UNDP Independent Evaluation Office (IEO) and/or the GCF.

UNDP-Global Environmental Finance Unit (UNDP-GEF): Additional M&E and implementation oversight, quality assurance and troubleshooting support will be provided by the UNDP-GEF Regional Technical Advisor and the UNDP-GEF Directorate as needed.

Audit: The project will be audited according to UNDP Financial Regulations and Rules and applicable audit policies and the related arrangements agreed to in the Accreditation Master Agreement. Upon request, project audit reports (s) will be shared with the GCF (the donor). Cost of auditing will be bearded by the project.

Monitoring and reporting requirements:

Inception Workshop and Report: A project inception workshop will:

a) Re-orient project stakeholders to the project strategy and discuss any changes in the overall context that influence project strategy and implementation;
b) Discuss the roles and responsibilities of the project team, including reporting and communication lines and conflict resolution mechanisms;
c) Review the results framework and finalize the indicators, means of verification and monitoring plan;
d) Discuss reporting, monitoring, and evaluation roles and responsibilities and finalize the M&E budget; identify national/regional institutes to be involved in project-level M&E;
e) Identify how project M&E can support national monitoring of SDG indicators as appropriate;
f) Update and review responsibilities for monitoring the various project plans and strategies, including the risk log; Environmental and Social Management Plan and other safeguard requirements; the gender action plan; and other relevant strategies;
g) Review financial reporting procedures and mandatory requirements, and agree on the arrangements for the periodic audit; and
h) Plan and schedule Project Board meetings and finalize the first-year annual work plan.

The inception report must be elaborated within six months of project start (i.e. project effectiveness). The inception report will be cleared by the UNDP Country Office and the UNDP-GEF Regional Technical Adviser and approved by the Project Board.

GCF Annual Project Report (due 1 March each year of project implementation): The Project Coordinator, the UNDP Country Office, and the UNDP-GEF Regional Technical Advisor will provide objective input to the annual project report covering the calendar year for each year of project implementation. The Project Coordinator will ensure that

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the indicators included in the project results framework are monitored annually in advance so that progress can be included in the report. The APR will be based on the simplified reporting template to be elaborated by the GCF. The annual project report will be due for submission to the GCF in the first quarter of each year for the duration of the project. The last APR will be due for submission within 3 months after the project completion date.

The Annual Project Report submitted to the GCF will also be shared with the Project Board. The UNDP Country Office will coordinate the input of other stakeholders to the report as appropriate. The quality rating of the previous year's report will be used to inform the preparation of the subsequent report.

Lessons learned and knowledge generation: Results from the project will be disseminated within and beyond the project intervention area through existing information sharing networks and forums. The project will identify and participate, as relevant and appropriate, in scientific, policy-based and/or any other networks, which may be of benefit to the project. The project will identify, analyse and share lessons learned that might be beneficial to the design and implementation of similar projects and disseminate these lessons widely. There will be continuous information exchange between this project and other projects of similar focus in the same country, region and globally.

Interim Independent Evaluation Report: An interim independent evaluation report will be completed. The findings and responses outlined in the management response to the interim independent evaluation will be incorporated as recommendations for enhanced implementation during the final half of the project's duration. The terms of reference, the evaluation process and the evaluation report will follow the standard templates and guidance prepared by the UNDP IEO available on the UNDP Evaluation Resource Center (ERC). As noted in this guidance, the evaluation will be 'independent, impartial and rigorous'. The consultants that will be hired to undertake the assignment will be independent from organizations that were involved in designing, executing or advising on the project to be evaluated. Other stakeholders will be involved and consulted during the evaluation process. Additional quality assurance support is available from the UNDP-GEF Directorate. The final interim evaluation report will be available in English and will be cleared by the UNDP Country Office and the UNDP-GEF Regional Technical Adviser, and approved by the PB.

Final Independent Evaluation Report: A final independent evaluation report will be completed. The final evaluation will take place upon completion of all major project outputs and activities. The final evaluation process will begin at least three months before operational closure of the project allowing the evaluation mission to proceed while the project team is still in place, yet ensuring the project is close enough to completion for the evaluation team to reach conclusions on key aspects such as project sustainability.

The Project Coordinator will remain on contract until the final evaluation report and management response have been finalized. The terms of reference, the evaluation process and the final evaluation report will follow the standard templates and guidance prepared by the UNDP IEO available on the UNDP Evaluation Resource Center. As noted in this guidance, the evaluation will be 'independent, impartial and rigorous'. The consultants that will be hired to undertake the assignment will be independent from organizations that were involved in designing, executing or advising on the project to be evaluated. Additional quality assurance support is available from the UNDP-GEF Directorate. The final evaluation report will be cleared by the UNDP Country Office and the UNDP-GEF Regional Technical Adviser and will be approved by the PB. The final evaluation report will be publicly available in English on the UNDP Evaluation Resource Centre (ERC).

The UNDP Country Office will include the planned project evaluations in the UNDP Country Office evaluation plan, and will upload the evaluation reports in English and the corresponding management response to the UNDP ERC.

GCF Project Completion Report: To be developed following GCF format and delivered within three months after completion date.

Final Project Report Package: The GCF Project Completion Report along with the final independent evaluation report and corresponding management response will serve as the final project report package. The final project report package shall be discussed with the PB during an end-of-project review meeting to discuss lesson learned and opportunities for scaling up.

Mandatory M&E Requirements and M&E Budget:

Table 5. Monitoring and evaluation requirements and budget.

M&E requirements	Primary responsibility	Indicative costs to be charged to the Project Budget[7] (US$)		Time frame
		GCF grant	Co-financing	
Inception Workshop	UNDP Country Office	USD 11,000	*None*	Within 5 months of project start
Inception Report and baseline assessments	Project Coordinator; Monitoring & Evaluation Specialist	*None*	None	The inception report must be elaborated within six months of project start
Risk management	Project Coordinator; Country Office	None	None	Quarterly, annually
Monitoring of indicators in project results framework ***(including hiring of external experts, project surveys, data analysis etc...)***	Project Coordinator; Monitoring & Evaluation Specialist	Per year: USD 10,000	*None*	Annually
GCF Annual Project Report	Project Coordinator; UNDP Country Office and UNDP-GEF Unit	None	None	Annually as per FAA
Audit of Implementing Partner as per UNDP audit policies	UNDP Country Office	Per year: USD 15,000	None	As per UNDP Audit policies
Lessons learned, case studies, and knowledge generation	Project Coordinator and Monitoring & Evaluation Specialist	Per year: USD *5,000*	None	Annually
Monitoring of environmental and social risks, and corresponding management plans as relevant	Project Coordinator and Monitoring & Evaluation Specialist	Per year: USD *2,100*	None	On-going
Monitoring of gender action plan	Project Coordinator and Monitoring & Evaluation Specialist	Per year: USD 4,000	None	On-going
Monitoring of stakeholder engagement plan	Project Coordinator and Monitoring & Evaluation Specialist	Per year: USD 4,000	None	On-going
Addressing environmental and social grievances	Project Coordinator and Monitoring &	*Ad'hoc*	None	*Costs associated with missions,*

[7] Excluding project team staff time and UNDP staff time and travel expenses.

M&E requirements	Primary responsibility	Indicative costs to be charged to the Project Budget[7] (US$)		Time frame
		GCF grant	Co-financing	
	Evaluation Specialist BPPS as needed			*workshops, BPPS expertise etc. can be charged to the project budget.*
Project Board meetings	Project Board; UNDP Country Office and Project Coordinator	None	None	At minimum annually
Supervision missions	UNDP Country Office	None[8]	None	Two per year
Oversight missions	UNDP-GEF Unit	None[9]	None	Troubleshooting as needed
Learning missions/site visits	UNDP Country Office; Project Coordinator and UNDP-GEF Unit	*None*	None	To be determined.
Interim independent evaluation and management response	UNDP Country Office; Project team and UNDP-GEF Unit	USD 30,000	None	Mid-term of project execution
Final independent evaluation and management response	UNDP Country Office and Project team and UNDP-GEF Unit	USD 30,000	None	Upon completion of all major project outputs and activities.
GCF Project Completion Report	UNDP Country Office; Project Coordinator and UNDP-GEF Unit	None	None	At the end of the project
Final Project Report Package	UNDP Country Office; Project Coordinator and UNDP-GEF Unit	None	None	At the end of project
Translation of evaluation reports into English	UNDP Country Office	USD 10,000	None	As required. GCF will only accept reports in English.
TOTAL indicative COST Excluding project team staff time, and UNDP staff and travel expenses		Up to USD *121,100*	*None*	

[8] The costs of UNDP Country Office and UNDP-GEF Unit's participation and time are charged to the GCF Agency Fee.
[9] The costs of UNDP Country Office and UNDP-GEF Unit's participation and time are charged to the GCF Agency Fee.

IX. GOVERNANCE AND MANAGEMENT ARRANGEMENTS

Roles and responsibilities of the project's governance mechanism: The project will be implemented under UNDP's Direct Implementation Modality (DIM). UNDP will be the Implementing Partner. The Implementing Partner is responsible and accountable for managing this project, including the monitoring and evaluation of project interventions, achieving project outcomes, and for the effective use of the project resources.

Implementation Modality

The Implementing Partner is responsible and accountable for managing this project, including the monitoring and evaluation of project interventions, achieving project outcomes, and for the effective use of UNDP resources.

The Implementing Partner is responsible for:

- Elaborating and signing the multiyear workplan;
- Elaborating and signing the combined delivery report at the end of the year; and,
- Elaborating and signing the financial report or the funding authorization and certificate of expenditures.

In line with UNDP Internal Control Framework (ICF) there will be a clear division between UNDP's oversight function as Implementing Partner. The management arrangements described below constitute the Project Board; Project Management Unit and a Project Advisory Committee. The Ministry of Environment (MMA) will be UNDP's lead government partner and will support technical coordination through its role on the Project Board; in the Project Management Unit; in the chairing of the Project Advisory Committee and in designating a wide range of staff for delivery of different project activities.

The project organization structure is as follows:

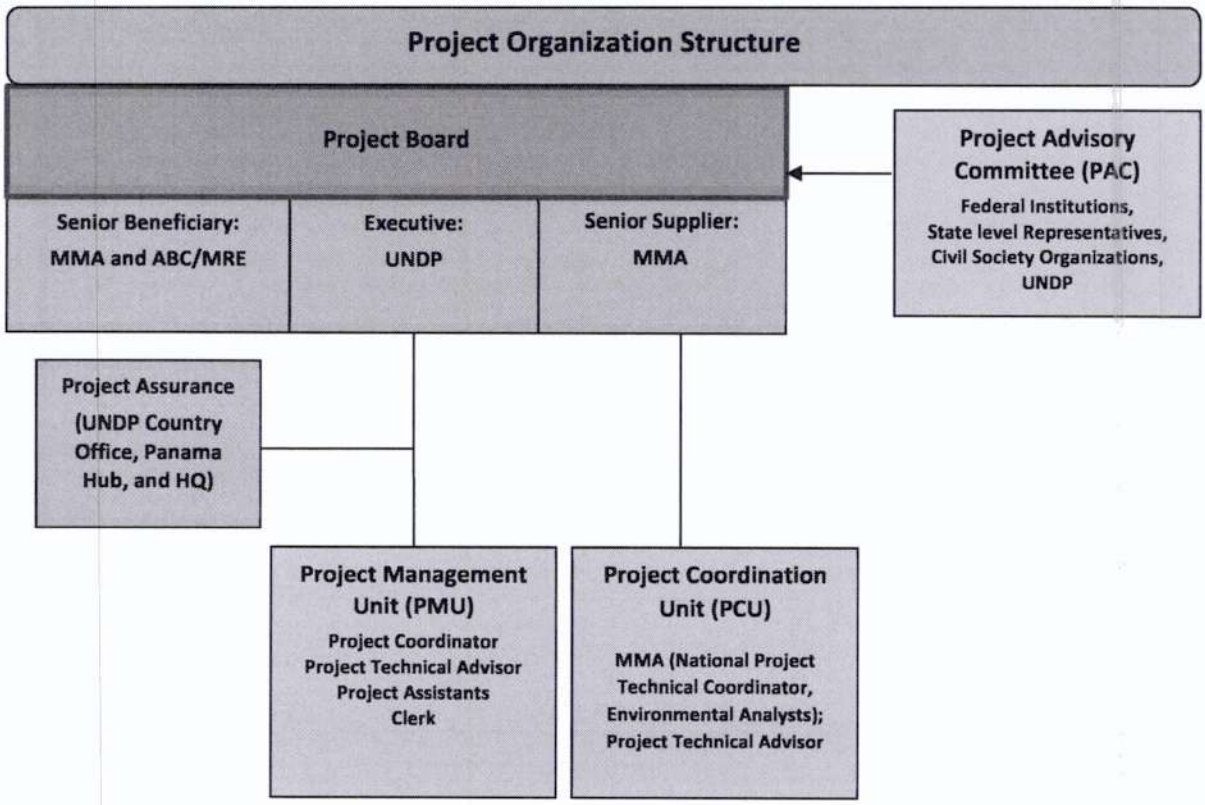

Figure 3. Governance and management arrangements scheme.

As Implementing partner, UNDP country office will carry out operational and administrative support activities which include the provision of the following services:

- Payments, disbursements and other financial transactions;
- Undertake agreements with other organizations or entities, known as "Responsible Parties";
- Recruitment of staff, project personnel, and consultants;
- Procurement of services and equipment, including disposal;
- Organization of training activities, conferences, and workshops, including fellowships;
- Travel authorization, visa requests, ticketing, and travel arrangements;
- Shipment, custom clearance, vehicle registration, and accreditation, among others.

In addition to the provision of the above services, UNDP will be responsible for establishing a Project Management Unit which will execute the project and coordinate the management, reporting, and promote inter-institutional linkages of this project with other initiatives, disseminating its results. Inputs related to Project Execution have been costed and budgeted in the Project Management Costs.

UNDP will act in close consultation with MMA as the technical entity responsible for forest public policies. MMA will also support technical coordination through its role on the PB; in chairing the PAC; and in designating a wide range of staff for delivery of different project activities and coordination of technical outputs.

Project Board (PB)

Project Board is responsible for making by consensus or majority, management decisions when guidance is required by the Project Coordinator, including recommendations for UNDP/Implementing Partner approval of project plans

and revisions, and addressing any project level grievances. To ensure UNDP's ultimate accountability, Project Board decisions should be made in accordance with standards that shall ensure management for development results, best value for money, fairness, integrity, transparency and effective international competition. In case a consensus cannot be reached within the Board, final decision shall rest with the UNDP Resident Representative, such instances of disagreement shall be duly recorded in the minutes of meeting, expressing different positions. Specific responsibilities of the PB include:

- Provide overall guidance and direction to the project, ensuring it remains within any specified constraints;
- Address project issues as raised by the project coordinator;
- Provide guidance on new project risks, and agree on possible countermeasures and management actions to address specific risks;
- Agree on project coordinator's tolerances as required;
- Review the project progress, and provide direction and recommendations to ensure that the agreed deliverables are produced satisfactorily according to plans;
- Analyze and discuss the development of the Project activities and recommend changes as required, based on project monitoring and evaluation processes and products and in line with UNDP policies;
- Discuss and approve the Annual Workplans, the Progress Reports and Final Report of the Project;
- Appraise the annual project implementation report, including the quality assessment rating report; make recommendations for the workplan;
- Analyze Project achievements and assure these are used for performance improvement, accountability and learning;
- Settle controversies arbitrating on any conflicts within the project or negotiating a solution to any problems with external bodies;
- Provide ad hoc direction and advice for exceptional situations when the project coordinator 's tolerances are exceeded;
- Assess and decide to proceed on project changes through appropriate revisions; and
- Appraise mid-term and final evaluation reports.

The PB will be composed of UNDP, the Brazilian Agency for Cooperation (ABC/MRE) and the MMA and their respective alternate members. The Board can be expanded, upon agreement between the Parties. UNDP will represent the main Implementing partner for the project, chairing the PB and organizing its meetings at least once a year or upon request of either of the Parties. The MMA and ABC/MRE are the institutions responsible, within the government, for following up on the activities for this Project; and the MMA is responsible for the provision of technical expertise and guidance for the project. For this, the MMA will appoint a National Project Technical Director (NPTD) who will be a senior staff member and will be responsible at the highest level for providing guidance on the technical feasibility of the project and ensuring its implementation leads to the achievement of project's results. He/she will represent the MMA on the PB; will chair the Project Advisory Committee (PAC); will keep the MMA updated on Project advances and challenges as needed and will represent the Project at high-level national and international meetings. This is a part-time contribution continuing for the duration of the Project. The PB's role in project management will be complemented by inputs and recommendations from the PAC (see below). In addition, the PB will approve the appointment and responsibilities of a Project Coordinator who will be responsible for the daily project execution.

The composition of the PB will include the following roles:

Executive: The Executive is an individual who represents the main Implementing partner of the project who will chair the PB. The Executive for this project is UNDP. The Executive is ultimately responsible for the project, supported by the Senior Beneficiary and Senior Supplier. The Executive's role is to ensure that the project is focused throughout its life cycle on achieving its objectives and delivering outputs that will contribute to higher level outcomes. The executive must ensure that the project gives value for money, ensuring cost-conscious approach to the project, balancing the demands of beneficiary and supplier.

Specific Responsibilities (as part of the above responsibilities for the PB):

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- Ensure that there is a coherent project organization structure and logical set of plans;
- Set tolerances in the AWP and other plans as required for the Project Coordinator;
- Monitor and control the progress of the project at a strategic level;
- Brief project board about project progress;
- Ensure that risks are being tracked and mitigated as effectively as possible;
- Organize and chair Project Board meetings.

Senior Supplier: The Senior Supplier is an individual or group representing the interests of the parties concerned which provide funding and/or technical expertise to the project (designing, developing, facilitating, procuring, implementing). The Senior Supplier's primary function within the Board is to provide guidance regarding the technical feasibility of the project. The Senior Supplier role must have the authority to commit or acquire supplier resources required. If necessary, more than one person may be required for this role. Typically, the implementing partner, UNDP and/or donor(s) would be represented under this role. Considering it to be a project of REDD+ results-based payments, MMA will perform this role on the Board.

Specific Responsibilities (as part of the above responsibilities for the PB):

- Make sure that progress towards the outputs remains consistent from the supplier perspective;
- Promote and maintain focus on the expected project output(s) from the point of view of supplier management;
- Ensure that the supplier resources required for the project are made available;
- Contribute supplier opinions on PB decisions on whether to implement recommendations on proposed changes;
- Arbitrate on, and ensure resolution of, any supplier priority or resource conflicts.

Senior Beneficiary: The Senior Beneficiary is an individual or group of individuals representing the interests of those who will ultimately benefit from the project. The Senior Beneficiary's primary function within the Board is to ensure the realization of project results from the perspective of project beneficiaries. The Senior Beneficiary role is held by a representative of the government.

The Senior Beneficiary is responsible for validating the needs and for monitoring that the solution will meet those needs within the constraints of the project. The Senior Beneficiary role monitors progress against targets and quality criteria. This role may require more than one person to cover all the beneficiary interests. The Senior Beneficiaries for this project are MMA and ABC/MRE. Specific Responsibilities (as part of the above responsibilities for the PB):

- Prioritize and contribute beneficiaries' opinions on PB decisions on whether to implement recommendations on proposed changes;
- Specification of the Beneficiary's needs is accurate, complete and unambiguous;
- Implementation of activities at all stages is monitored to ensure that they will meet the beneficiary's needs and are progressing towards that target;
- Impact of potential changes is evaluated from the beneficiary point of view;
- Risks to the beneficiaries are frequently monitored.

Project Assurance

UNDP provides a three – tiered supervision, oversight and quality assurance role involving UNDP staff in Country Offices and at regional and headquarters levels. Project Assurance must be totally independent of the Project Management function. The quality assurance role supports the PB and PMU by carrying out objective and independent project oversight and monitoring functions. This role ensures appropriate project management milestones are managed and completed. The PB cannot delegate any of its quality assurance responsibilities to the Project coordinator or other members of the PMU.

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Project Advisory Committee (PAC)

The MMA through its National Project Technical Director (NPTD) in the PB; and the Project Coordinator (PC), in collaboration with the Project Technical Advisor (PTA), in the PMU will take the lead regarding technical responsibilities during the execution of the project and ensure alignment with relevant national policies and programs. In this role, the MMA, as chair of the PAC, will closely coordinate the Committee composed by: relevant federal institution representatives (e.g. SFB, FUNAI, among others), state level representatives, civil society representatives, and UNDP. The Committee can be expanded or invite experts or beneficiaries to participate in specific meetings, upon agreement between the Parties. The vehicle for this coordination will be the PAC to be constituted at Project inception as the highest level for supporting technical coordination of the project. The PAC will play a critical role in facilitating inter-institutional coordination and ensuring complementarity of actions among different stakeholders and co-financiers. The main responsibility of the PAC is to see that the project's activities lead to the required outcomes as defined in the Project Document.

The PAC will meet, at least, twice a year to review progress and obstacles and to advise on strategic and critical Project issues. Matters of institutional concern (i.e., going beyond the Project's scope and contents) will be addressed at the appropriate levels of dialogue between UNDP and the GOB. The PAC will provide recommendations to the PB on progress and on any changes that may be required for improving efficiency and effectiveness. The NPTD will instruct the PC to provide detailed project information to the PAC as needed, to convene meetings and to prepare PAC minutes. He/ she will be assisted by the PTA in these. Extraordinary PAC meetings can be held if deemed necessary by one of the PAC members. If appropriate, the PAC can invite external consultants to assist in the monitoring process.

Project Coordination Unit (PCU)

A Project Coordination Unit (PCU), created within the administrative structure of the MMA, will be responsible for the strategic orientation and overall technical coordination of the project, ensuring that progress, implementation and results are agreed in a timely and consistent manner and contribute to compliance strategic objectives of the project.

MMA will be the Technical Coordinator of the Project and will have responsibility for, among others: 1) set general strategic guiding and technical coordinating of the project; 2) validate the Annual Operational Plans (AOP) and work plans, in agreement with the UNDP; 3) approving terms of reference for consultants hiring and acquisitions; 4) analyzing and approving the products and services contracted by UNDP; and 5) reviewing the final version of the progress reports.

The PCU will be led by the National Project Technical Coordinator (NPTC) and composed of three environmental analysts and one project technical advisor. The coordinator and the environmental analysts are part of MMA staff, while the project technical advisor will collaborate with the MMA in project technical coordination.

The PCU will provide technical inputs and guidance into the planning and execution of project activities collaborating with the PMU in project implementation.

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Project Management Unit (PMU)

A Project Management Unit (PMU) will be responsible for overseeing the day-to-day execution of Project activities. The PMU will have responsibility for, among others: 1) operational planning, managing and executing the project including the direct supervision of project activities subcontracted to specialists and other institutions, as well as those that are to be implemented through the MMA, if applicable; 2) coordinating the management of financial resources and procurement; 3) reporting on the application of resources and results achieved; 4) preparing management reports for the PCU, PAC, PB, GCF, Brazil's DNA to the GCF and UNDP including annual reports and any proposals for the adaptive management of the Project, if required and based on inputs from the Project M&E plan; 5) promoting inter-institutional linkages; and 6) disseminating project results.

The PMU will consist of one Project Coordinator, one Project Technical Advisor (PTA), Project Assistants, clerks, and technical consultants responsible for specific deliverables and hired with GCF resources. The PTA will collaborate with the PMU in project implementation, channeling PCU's technical inputs and guidance into the planning and execution of project activities. The PTA will hold internal meetings in the MMA as needed to integrate the MMA specialists' guidance into project implementation and ensure consistency between the various project elements and activities provided or funded by other donors. The project implementation will be through the DIM modality with UNDP providing direct project services, such as procurement and hiring of consultants following best value for money, transparency, and effective competition. These will follow current UNDP policies and procedures including those for cost recovery.

The PMU will be led by the Project Coordinator (PC) and will be responsible for the overall management and implementation of the project's activities and requesting disbursement of the Project's resources for their execution, according with the PCU's technical inputs and guidance into the planning and execution of project activities.

The Project Coordinator has the authority to run the project on a day-to-day basis on behalf of the Project Board within the constraints laid down by the Board and in accordance the guidelines of the PCU. The Project Coordinator is responsible for day-to-day management and decision-making for the project. The Project Coordinator's prime responsibility is to ensure that the project produces the results specified in the project document, to the required standard of quality and within the specified constraints of time and cost.

The Implementing Partner appoints the Project Coordinator, who should be different from the Implementing Partner's representative in the PB.

Project Coordinator specific responsibilities include:

- Provide direction and guidance to project team(s)/ responsible party (ies);
- Liaise with the PB to assure the overall direction and integrity of the project;
- Identify and obtain any support and advice required for the management, planning and control of the project;
- Responsible for project administration;
- Plan the activities of the project and monitor progress against the project results framework and the approved annual workplan;
- Mobilize personnel, goods and services, training and subcontracts to initiative activities, including drafting terms of reference and work specifications, and overseeing all contractors' work;
- Monitor events as determined in the project monitoring schedule plan/timetable, and update the plan as required;
- Manage requests for the provision of financial resources by UNDP, through advance of funds, direct payments or reimbursement using the fund authorization and certificate of expenditures;
- Monitor financial resources and accounting to ensure the accuracy and reliability of financial reports;
- Be responsible for preparing and submitting financial reports on a quarterly basis;

- Manage and monitor the project risks initially identified and submit new risks to the project board for consideration and decision on possible actions if required; update the status of these risks by maintaining the project risks log;
- Capture lessons learned during project implementation;
- Prepare the Annual Project Report and submit the final report to the PB;
- Based on the Annual Project Report and the PB review, prepare the annual workplan (AWP) for the first, and following years;
- Ensure the interim evaluation process is undertaken as per the UNDP guidance, and submit the interim evaluation report to the PB.
- Identify follow-on actions and submit them for consideration to the PB; and
- Ensure the final evaluation process is undertaken as per the UNDP guidance, and submit the final evaluation report to the PB.

Under the PC's lead and guidance the PMU team will prepare of the Annual Operational Plans (AOP) to be discussed with the PCU for the effective and efficient implementation of the project activities to achieve stated objectives; will be responsible for all substantive reports from the Project, to be submitted to approval of the PCU; will prepare and/or oversee the development of Terms of Reference for consultants, subcontractors and partnerships hired for specific technical assignments and their close monitoring, in accordance with the PCU guidance, ensure consistency between the various project elements and activities provided or funded by other donors; and develop reports on project progress for the PB and technical meetings, and other appropriate fora. This is a full-time position continuing for the duration of the Project, reporting directly to UNDP.

Institutional Responsibilities

In order to ensure the smooth progress of actions related to the implementation of project activities, the institutions listed below will have the following obligations under this PRODOC:

Ministry of the Environment – MMA:

1. Appoint the technical team, as well as the Technical Director and Technical Coordinator for the project, who will work in coordination with UNDP in implementing the Project;
2. Monitor and evaluate Project development;
3. Develop, together with UNDP, project activity plans (PTA/UNDP) and annual budgets, making the adjustments necessary for achieving the expected results;
4. Approve the terms of reference and technical specifications for hiring consultants, purchasing goods and rendering the services required to implement the Project activities;
5. Jointly with UNDP, carry out a technical evaluation of products and goods delivered, and services rendered by companies and consultants, according to technical and qualitative criteria;
6. Participate in committees charged with selecting and evaluating companies and consultants, where necessary and in accordance with UNDP rules;
7. Propose to PB changes and adjustments required to ensure the good progress of the Project;
8. Prepare, together with UNDP, the Annual Implementation Report (Progress Report) and the Annual Work Plan, which should be submitted annually for review to PB and the GCF, as defined in the FAA;
9. Prepare, together with UNDP, the Final Project Report, which should be submitted to PB and GCF after completion of the Project.

United Nations Development Programme – UNDP:

1. Coordinate and implement the Project in its technical and administrative aspects, pursuant to the activities planned and approved in the Annual Work Plan;

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2. Develop, together with the MMA, Project work plans (PTA/UNDP) and annual budgets, suggesting reallocation of resources and budget revisions where necessary;
3. Carry out and monitor activities foreseen in the Project Document as established in the approved Annual Work Plan;
4. Provide experts from its regular staff and/or hire consultants to monitor Project implementation on a daily basis and provide operational and technical support according to the Annual Work Plan and to the activities and resources defined in the Project Document;
5. Carry out the administrative tasks necessary for implementing this Project, always in compliance with technical quality criteria, costs and estimated timelines, according to the Annual Work Plan or at the request of MMA when not provided for in this Plan;
6. Manage the Project financial resources following its accounting and financial procedures, pursuant to UNDP rules and regulations;
7. Propose to PB changes and adjustments necessary to ensure the good progress of the Project;
8. Provide MMA with quarterly reports on the financial execution of the Project;
9. Prepare, together with MMA, the Progress Report and Annual Work Plan to be submitted for review to Project Board and the GCF and the Final Project Report;
10. Maintain a Project Management Unit (PMU) for the implementation of the project;
11. Evaluation reports.

X. FIRST YEAR CONSULTATIONS AND PROJECT OPERATIONS MANUAL

As mentioned in the Funding Proposal approved by the GCF, the detailing of Floresta+ will be carried out during the first year of project implementation. This will be done through a process of dialogue and consultation with key stakeholders, including representatives of organized civil society, Indigenous Peoples and local communities, State level governments, and federal agencies. Action lines to engage all project stakeholders have been planned, such as inception workshops, government meetings, technical working groups, participation in meetings by associations and committees, regional workshops and on-line involvement.

The consultation process will seek to address the REDD+, GCF and UNDP safeguards regarding stakeholder participation and engagement,. An environmental impact assessment, drawing on the issues raised in the ESMF, will be conducted during the first 12 months of implementation of Floresta+. The assessment will contribute to the development of the Environmental and Social Management Plan (ESMP) and the broader design of Floresta+, including the selection of the beneficiaries in the Modalities 1, 2, 3 and 4.

In addition to detailing project activities, the first-year participatory process will include: discussions about additional eligibility and regional prioritization criteria; governance structure; values and priority areas for direct payments; upgrades in SICAR for analysis and monitoring processes; development of a simplified online platform to register the applications for direct payments; selection process of the beneficiaries; the terms for beneficiary contracts; and the selection of RPs for modalities 3 and 4. That process will also aim to: help all partners understand and engage in the project; define roles and responsibilities; and to obtain inputs for the elaboration of the Project Operations Manual (MOP) and its respective monitoring and evaluation plan.

As conditioned by the GCF Board, the MOP shall include the criteria and process for determining beneficiary eligibility, prioritization of areas where the Floresta+ pilot program will be implemented, estimated distribution of resources among beneficiaries and expected results at the end of the sixth year of project implementation for the four modalities of Floresta+. Therefore, the MOP will contain a specific chapter with the operations manual for Floresta+ pilot program and the operational details of the project, as well as its context of creation, purpose, structure and management. Regarding the financial arrangement, the conditions of the GCF Board and GCF terms of reference, the disbursement conditions for the beneficiaries, procurement specificities and other aspects of operationalization will also be detailed. UNDP rules and regulations will be observed in the elaboration of MOP, in case a contradiction is identified during project implementation, UNDP rules and regulations will prevail, and MOP will be updated accordingly.

The project governance structure, as presented in this PRODOC, should be reflected in the manual detailing the competences and responsibilities of each party, as well as the partner institutions. In addition, the detailed implementation design of each output as well as each modality within output 1 should be further detailed, with additional information on, inter alia, goals, beneficiaries, access to benefits and structure available for implementation. The MOP will contain in its annexes the Communication Plan , the ESMP, monitoring guidelines and tasks, cooperation agreements between the MMA and its main partner institutions (such as State environmental agencies of the Amazonian states, SFB, Funai and ICMBio), as well as all the information necessary for adequate project implementation. The operational or financial flows should also be further detailed in the MOP.

The legal and institutional context of the project should be detailed by presenting the legal frameworks that underpins the project, such as legal information pertaining all the modalities. The Manual should detail, to the extent possible, all project characteristics, while respecting the limitations of not creating new obligations or structures that are not foreseen in this Project Document and approved by all the competent bodies. Once approved by the PB, the MOP shall guide project implementation. The PB can review and update the Manual periodically as to better reflect future emerging needs.

XI. FINANCIAL PLANNING AND MANAGEMENT

The project proposal was approved by the GCF as non-reimbursable, as REDD+ results-based payments, from funds to be provided exclusively from external sources, with no provision for transfer of budgetary resources from the Federal Government of Brazil.

The total cost of the project is *USD* 96,452,228.00. This is financed through a GCF grant of *USD* 96,452,228.00 in cash to be administered by UNDP. UNDP, as the GCF Accredited Agency, is responsible for the oversight and quality assurance of the execution of GCF resources and the cash co-financing transferred to UNDP bank account.

Project Financing

Component	Outputs	Financing institution			Total (US$)
		GCF	Government	UNDP	
		Grant	Grant	Grant	
Component 1.	Output1: Development of a pilot of an Environmental Services Incentive Program for Conservation and Recovery of Native Vegetation (Floresta+)	80,954,983	Not applicable	Not applicable	96,452,228
	Output 2: Strengthen the implementation of Brazil's ENREDD+ through improvements in its governance structure and systems	6,285,450			
	Output 3: Program Management	9,211,795			
Total		**96,452,228**	-	-	**96,452,228**

GCF Disbursement schedule: GCF grant funds will be disbursed in one single tranche to UNDP.

Direct Project Services agreed with the Government: services provided to government directly under DIM. The UNDP Country Office will also deliver a pre-determined set of project-specific execution services agreed with the Government. To ensure the strict independence required by the GCF and in accordance with the UNDP Internal Control Framework, these execution services will be delivered independent from the GCF-specific oversight and quality assurance services (i.e. not done by same person to avoid conflict of interest). These execution services will be charged to the project budget in accordance with the UNDP's Harmonized Conceptual Funding Framework and Cost Recovery Methodology. A preliminary list of these activities and associated direct project costs are included as an annex to this project document (see annex J).

In addition, the Government of Brazil have agreed with UNDP that UNDP´s Climate and Forest Team will provide direct technical services for this project. The UNDP and Government of Brazil acknowledge and agree that these services are not mandatory and will be provided only upon agreement with the Government and specified in the budget. In this case, the direct technical services would follow UNDP policies on recovery of direct project costs relating to GCF funded projects. A preliminary set of services and the associated budget are presented in annex J, which can be adjusted at the inception phase of the project.

Budget Revision and Tolerance: 10% of the total overall projected costs can be reallocated among the budget account categories within the same project output. Any budget reallocation involving a major change in the project's

scope, structure, design or objectives or any other change that substantially alters the purpose or benefit of the project requires the GCF's prior written consent.

As outlined in the UNDP POPP, the PB will agree on a budget tolerance level for each plan under the overall annual work plan allowing the project coordinator to expend up to the tolerance level beyond the approved project budget amount for the year without requiring a revision from the PB (within the GCF requirements noted above). Should such deviation occur, the Project Coordinator and UNDP Country office will seek the approval of the UNDP-GEF Unit.

Any over expenditure incurred beyond the available GCF grant amount will be absorbed by non-GCF resources (e.g. UNDP TRAC or cash co-financing).

Refund to GCF: Unspent GCF resources must be returned to the GCF. Should a refund of unspent funds to the GCF be necessary, this will be managed directly by the UNDP-GEF Unit in New York.

Project Closure: Project closure will be conducted as per UNDP requirements outlined in the UNDP POPP.[10] On an exceptional basis only, a no-cost extension beyond the initial duration of the project will be sought from in-country UNDP colleagues and then the UNDP-Global Environmental Finance Executive Coordinator.

Operational completion: The project will be operationally completed when the last UNDP-financed inputs have been provided and the related activities have been completed. This includes the final clearance of the Final Independent Evaluation Report (that will be available in English) and the corresponding management response, and the end-of-project review PB meeting. UNDP through a PB decision will notify when operational closure has been completed.

Transfer or disposal of assets: In consultation with the DIM Implementing Partner and other parties of the project, UNDP programme manager (UNDP Resident Representative) is responsible for deciding on the transfer or other disposal of assets. Transfer or disposal of assets is recommended to be reviewed and endorsed by the project board following UNDP rules and regulations. Assets may be transferred to the government for project activities managed by a national institution at any time during the life of a project. In all cases of transfer, a transfer document must be prepared and kept on file[11].

In addition, the following GCF requirements must be followed: As stated in Clause 9.03 of the Funding Activity Agreement [1], the Accredited Entity shall inform the GCF, in the final APR, which steps it intends to take in relation to the durable assets and/or equipment purchased with the GCF Proceeds to implement the Funded Activity.

Financial completion: The project will be financially closed when the following conditions have been met: a) The project is operationally completed or has been cancelled; b) UNDP has reported all financial transactions; c) UNDP has closed the accounts for the project; d) UNDP as the Implementing Partner have certified a final Combined Delivery Report (which serves as final budget revision).

The project is required to be financially completed within 12 months of operational closure or after the date of cancellation. Between operational and financial closure, the implementing partner will identify and settle all financial

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[10] see https://info.undp.org/global/popp/ppm/Pages/Closing-a-Project.aspx

[11] See https://popp.undp.org/_layouts/15/WopiFrame.aspx?sourcedoc=/UNDP_POPP_DOCUMENT_LIBRARY/Public/PPM_Project%20Management_Closing.docx&action=default.

[1] 23.04 of the AMA states: " In relation to a Funded Activity that is a grant financed in whole or in part with GCF Proceeds, if any part of such grant is used to purchase any durable assets or equipment used to implement the relevant Funded Activity (such as vehicles or office equipment), upon completion of the Funded Activity or termination of the relevant FAA in accordance with its terms, the Accredited Entity shall take such steps in relation to such assets or equipment which it reasonably deems in the best interest of the continued operation of the Funded Activity taking into consideration the objectives of the Fund and the terms of the applicable BATA."

obligations and prepare a final expenditure report. The UNDP Country Office will send the final signed closure documents including confirmation of final cumulative expenditure and unspent balance to the UNDP-GEF Unit for confirmation before the project will be financially closed in Atlas by the UNDP Country Office.

The interest generated by this project will be reverted to the project activities into Output 1, modalities 1, 2 and 3.

XII. TOTAL BUDGET AND WORK PLAN

Total Budget and Work Plan		
Atlas Proposal or Award ID:	00116194	Atlas Primary Output Project ID: 00113448
Atlas Proposal or Award Title:	BRA/19/005 - REDD+ Results-Based Payments for Results achieved by Brazil in the Amazon biome in 2014 and 2015	
Atlas Business Unit	BRA10	
Atlas Primary Output Project Title	BRA/19/005 – GCF REDD+ Brazil	
UNDP-GEF PIMS No.	6121	
Implementing Partner	*UNDP*	

GCF Output/Activity	Responsible Party (Atlas Implementing Agency)	Fund	Donor	Atlas Budgetary Account Code	Atlas Budget Description	Amount Year 1 (USD)	Amount Year 2 (USD)	Amount Year 3 (USD)	Amount Year 4 (USD)	Amount Year 5 (USD)	Amount Year 6 (USD)	Total (USD)	Budget notes
Output 1: Floresta+ 1.1 Refinement of Floresta+ Pilot Program and selection of implementing partners 1.2 Operation of Floresta + Modality 1 1.3 Operations of Floresta + Modality 2 1.4 Operation of Floresta + Modality 3 1.5 Operation of Floresta + Modality 4 1.6 Technical Monitoring of Floresta+ 1.7 Implementation of an outreach strategy for Floresta+	UNDP	66000	GCF	71300	Local Consultants	60,000						60,000	1A
	UNDP	66000	GCF	71400	Contractual Services - Individual	181,440	181,440	181,440	181,440	181,440	172,800	1,080,000	1B
	UNDP	66000	GCF	71600	Travel	248,520	83,520	83,520	83,520	83,520	82,400	665,000	1C
	UNDP	66000	GCF	71800	Contractual Services - Implementing Partner	10,400	18,560,276	19,293,236	19,085,236	18,470,835	125,000	75,544,983	1D
	UNDP	66000	GCF	72100	Contractual Services - Companies	507,500	972,100	710,400	760,400	609,600	-	3,560,000	1E
	UNDP	66000	GCF	75700	Training, Workshops and Conference	45,000	-	-	-	-	-	45,000	1F
Total Output 1						**1,052,860**	**19,797,336**	**20,268,596**	**20,110,596**	**19,345,395**	**380,200**	**80,954,983**	

GCF Output/Activity	Responsible Party (Atlas Implementing Agency)	Fund	Donor	Atlas Budgetary Account Code	Atlas Budget Description	Amount Year 1 (USD)	Amount Year 2 (USD)	Amount Year 3 (USD)	Amount Year 4 (USD)	Amount Year 5 (USD)	Amount Year 6 (USD)	Total (USD)	Budget notes
Output 2: Implementation of the National REDD+ Strategy (ENREDD+) 2.1 Expansion of the forest monitoring system and improvement of the Measurement, Reporting and Verifying process for REDD+ 2.2 Development of Public Policies Impact Matrix 2.3 Improvement of REDD+ Safeguards Information System (SISREDD+) 2.4 Strengthening ENREDD participatory mechanisms 2.5 Promoting knowledge management and exchanges in CC and Forests for cooperation among countries	UNDP	66000	GCF	61300	Salary & Post Adj Cost-IP Staff	28,426	28,426	28,425	28,425	28,426	27,072	169,200	2A
	UNDP	66000	GCF	71300	Local Consultants	56,727	91,713	36,913	56,913	16,913	15,385	274,564	2B
	UNDP	66000	GCF	71400	Contractual Services - Individual	120,960	120,960	120,960	120,960	120,960	115,200	720,000	2C
	UNDP	66000	GCF	71600	Travel	-	-	100,000	100,000	200,000	-	400,000	2D
	UNDP	66000	GCF	72100	Contractual Services - Companies	51,900	897,600	605,000	551,400	1,281,600	262,500	3,650,000	2E
	UNDP	66000	GCF	74200	Audio Visual & Print Prod Costs	-	-	30,000	75,000	15,000	-	120,000	2F
	UNDP	66000	GCF	75700	Training, Workshops and Conference	108,400	418,026	59,520	90,026	179,520	96,194	951,686	2G
Total Output 2						**366,413**	**1,556,725**	**980,818**	**1,022,724**	**1,842,419**	**516,351**	**6,285,450**	

GCF Output/Activity	Responsible Party (Atlas Implementing Agency)	Fund	Donor	Atlas Budgetary Account Code	Atlas Budget Description	Amount Year 1 (USD)	Amount Year 2 (USD)	Amount Year 3 (USD)	Amount Year 4 (USD)	Amount Year 5 (USD)	Amount Year 6 (USD)	Total (USD)	Budget notes
Output 3: Program Management 3.1 Project Management 3.2 Direct Project Costs 3.3 Provision of supervision services to the project	UNDP	66000	GCF	64397	Services to Projects CO staff	240,191	240,191	240,191	240,191	240,191	228,755	1,429,710	3A
	UNDP	66000	GCF	71200	International Consultants	-	-	30,491	-	-	30,490	60,981	3B
	UNDP	66000	GCF	71400	Contractual Services - Individual	268,531	268,531	268,531	268,531	268,531	255,745	1,598,400	3C
	UNDP	66000	GCF	71600	Travel	60,480	60,480	60,480	60,480	60,480	57,600	360,000	3D
	UNDP	66000	GCF	72100	Contractual Services - Companies	14,691	14,691	14,691	14,691	14,691	15,045	88,500	3E
	UNDP	66000	GCF	72200	Equipment and Furniture	23,619	-	-	-	-	-	23,619	3F
	UNDP	66000	GCF	72500	Supplies	5,393	5,393	5,393	5,393	5,393	5,135	32,100	3G
	UNDP	66000	GCF	72800	Information Technology Equipment	54,000	-	-	-	-	-	54,000	3H
	UNDP	66000	GCF	73100	Rental & Maintenance-Premises	72,576	72,576	72,576	72,576	72,576	69,120	432,000	3I
	UNDP	66000	GCF	73300	Rental & Maint of Info Tech Eq	41,933	41,933	41,933	41,932	41,933	39,936	249,600	3J
	UNDP	66000	GCF	74596	Service to Projects – GOE	245,928	245,928	245,928	245,928	245,928	234,217	1,463,857	3K
	UNDP	66000	GCF	74700	Transport, Shipping and handle	7,258	7,258	7,257	7,258	7,258	6,911	43,200	3L
	UNDP	66000	GCF	75100	Provision of supervision services to the project (GMS)	567,139	567,139	567,139	567,140	567,139	540,132	3,375,828	3M
Total Output 3						**1,601,739**	**1,524,120**	**1,554,610**	**1,524,120**	**1,524,120**	**1,483,086**	**9,211,795**	
TOTAL						**3,021,012**	**22,878,181**	**22,804,024**	**22,657,440**	**22,711,934**	**2,379,637**	**96,452,228**	

Budget Notes

Note	Description of cost item
1A	Technical Assistant in environmental economy and land use analysis
1B	Technical Assistant in IT Technical Assistants on Floresta+ Monitoring (2 people)
1C	Stakeholder meetings for complimentary consultation State and civil society representatives participation Technical oversight missions
1D	Hiring public bank for opening and maintaining the accounts Incentives for ecosystem services (modalities 1 and 2) Project implementation (modalities 3 and 4)
1E	Design and implementation of an online system and data base Selection and Assessment of Implementing Partner Institutions Implementation of improvements in SICAR Social and environmental impact assessments Provision of technical assistance for forest restoration (Rural extension) National consultancy for communication strategy Outreach and communication materials
1F	Stakeholders meetings for complimentary consultation
2A	Global Technical Advisor in MRV Processes Global Technical Advisor in Safeguards
2B	National consultancy for development of Public Policies Impact Matrix National consultancy for the development of an ombudsman form National consultancy to compilate the evaluation of SISREDD+ results and provision the SoI National Consultancy for REDD Annex and FREL submission preparation

Note	Description of cost item
	National consultancy for support ENREDD+ revision
2C	Technical assistant in REDD+ Strategy and Consultations Technical assistant for Communication
2D	Workshops and technical debates to evaluate the SISREDD+ and its results
2E	Design, implementation and maintenance of an app for communication with beneficiaries Design, implementation and maintenance of an online system (2) Provision of activity Data for REDD+ submissions Implementation of improvements in Info Hub Brasil
2F	Outreach and communication material Outreach and communication material of the revised ENREDD+ Production of materials with lessons learned in implementing REDD+ by Brazil in Portuguese, Spanish and English
2G	Stakeholders Meetings for data validation Workshop for the evaluation of the ombudsman process Workshops Provide support for stakeholder participation (logistics) Workshops and Technical Debates
3A	Direct Project Services (DPC) - Technical support
3B	International consultancy for mid-term and final evaluations
3C	Project Assistants (2) Project Coordinator Technical Advisor Project Clerk
3D	Financial Monitoring Missions (spot checks)
3E	Audits

Note	Description of cost item
3F	Equipment and Furniture
3G	Supplies
3H	Computers Printers
3I	Office Space
3J	Basic Services for 16 people @ 6 years Communication (phone, mail, etc)
3K	Direct Project Services (DPC) - Administrative support
3L	Transportation
3M	GMS - As per letter of agreement with national government: an accredited entity fee of 3.5% to be reflected in Clause 6 of the terms sheet. A line item in the funding proposal project management output budget for an amount equivalent to 3.5% of the proceeds, to be utilized for the same category of services as is covered under the previously mentioned accredited entity fee. In summary, the combination of these two sources of fund would result in a cost recovery rate of 7%

XIII. LEGAL CONTEXT

In Brazil, UNDP has its activities governed by the Basic Agreement on Technical Assistance (BATA) that grounds the delivery of technical cooperation by the United Nations in Brazil. The BATA was signed on December 29th, 1964 between the Government of the Federative Republic of Brazil, the United Nations Organization and its Specialized Agencies. It was approved through the Legislative Degree # 11, of 1966, and enacted by Decree # 59308, of September 23th, 1966.

The work of the UNDP in Brazil is also governed by the UN Convention on Privileges and Immunities, adopted by the UN General Assembly on February 13th, 1946, approved by the Legislative Decree # 4 of February 13th, 1948, ratified with no remarks by the Government of the Federative Republic of Brazil on December 15th, 1949, and enacted by Decree # 27784, of February 16th, 1950. This multilateral convention provides for the privileges and immunities granted to the UN offices in the respective countries.

Nothing in or relating to this Project document shall be deemed a waiver, express, or implied, of any of the privileges and immunities of the United Nations, including its subsidiary organs.

The UNDP Resident Representative in Brazil is authorized to effect in writing the following types of revision to this Project Document, provided that he/she has verified the agreement thereto by the UNDP-GEF Unit and is assured that the other signatories to the Project Document have no objection to the proposed changes:

a) Revision of, or addition to, any of the annexes to the Project Document;
b) Revisions which do not involve significant changes in the outcomes, outputs or activities of the Project, but are caused by the rearrangement of the inputs already agreed to or by cost increases due to inflation;
c) Mandatory annual revisions which re-phase the delivery of agreed project inputs or increased expert or other costs due to inflation or take into account agency expenditure flexibility; and
d) Inclusion of additional annexes and attachments only as set out here in this Project Document.

This project will be implemented by UNDP in accordance with its financial regulations, rules, practices and procedures.

Any designations on maps or other references employed in this project document do not imply the expression of any opinion whatsoever on the part of UNDP concerning the legal status of any country, territory, city or area or its authorities, or concerning the delimitation of its frontiers or boundaries.

By signing this UNDP GCF project document, the Implementing Partner also agrees to the terms and conditions of the GCF Funded Activity Agreement (FAA) included in Annex and to use the GCF funds for the purposes for which they were provided. UNDP has the right to terminate this project should the Implementing Partner breach the terms of the GCF FFA.

XIV. RISK MANAGEMENT

UNDP as the Implementing Partner will comply with the policies, procedures and practices of the United Nations Security Management System (UNSMS.)

UNDP as the Implementing Partner will undertake all reasonable efforts to ensure that none of the [project funds][12] [UNDP funds received pursuant to the Project Document][13] are used to provide support to individuals or entities associated with terrorism and that the recipients of any amounts provided by UNDP hereunder do not appear on the list maintained by the Security Council Committee established pursuant to resolution 1267 (1999). The list can be accessed via http://www.un.org/sc/committees/1267/aq_sanctions_list.shtml. This provision must be included in all sub-contracts or sub-agreements entered into under this Project Document.

Social and environmental sustainability will be enhanced through application of the UNDP Social and Environmental Standards (http://www.undp.org/ses) and related Accountability Mechanism (http://www.undp.org/secu-srm).

UNDP as the Implementing Partner will: (a) conduct project and program-related activities in a manner consistent with the UNDP Social and Environmental Standards, (b) implement any management or mitigation plan prepared for the project or program to comply with such standards, and (c) engage in a constructive and timely manner to address any concerns and complaints raised through the Accountability Mechanism. UNDP will seek to ensure that communities and other project stakeholders are informed of and have access to the Accountability Mechanism.

All signatories to the Project Document shall cooperate in good faith with any exercise to evaluate any program or project-related commitments or compliance with the UNDP Social and Environmental Standards. This includes providing access to project sites, relevant personnel, information, and documentation.

UNDP as the Implementing Partner will ensure that the following obligations are binding on each responsible party, subcontractor and sub-recipient:

a. Consistent with the Basic Agreement on Technical Assistance (BATA) [*or the Supplemental Provisions to the Project Document]*, the responsibility for the safety and security of each responsible party, subcontractor and sub-recipient and its personnel and property, and of UNDP's property in such responsible party's, subcontractor's and sub-recipient's custody, rests with such responsible party, subcontractor and sub-recipient. To this end, each responsible party, subcontractor and sub-recipient shall:
    i. put in place an appropriate security plan and maintain the security plan, taking into account the security situation in the country where the project is being carried;
    ii. assume all risks and liabilities related to such responsible party's, subcontractor's and sub-recipient's security, and the full implementation of the security plan.

b. UNDP reserves the right to verify whether such a plan is in place, and to suggest modifications to the plan when necessary. Failure to maintain and implement an appropriate security plan as required hereunder shall be deemed a breach of the responsible party's, subcontractor's and sub-recipient's obligations under this Project Document.

c. Each responsible party, subcontractor and sub-recipient will take appropriate steps to prevent misuse of funds, fraud or corruption, by its officials, consultants, subcontractors and sub-recipients in implementing the project or program or using the UNDP funds. It will ensure that its financial management, anti-corruption and anti-fraud policies are in place and enforced for all funding received from or through UNDP.

d. The requirements of the following documents, then in force at the time of signature of the Project Document, apply to each responsible party, subcontractor and sub-recipient: (a) UNDP Policy on Fraud and other Corrupt Practices and (b) UNDP Office of Audit and Investigations Investigation Guidelines. Each responsible party, subcontractor and sub-recipient agrees to the requirements of the above documents, which are an integral part of this Project Document and are available online at www.undp.org.

[12] To be used where UNDP is the Implementing Partner

[13] To be used where the UN, a UN fund/programme or a specialized agency is the Implementing Partner

e. In the event that an investigation is required, UNDP will conduct investigations relating to any aspect of UNDP programs and projects. Each responsible party, subcontractor and sub-recipient will provide its full cooperation, including making available personnel, relevant documentation, and granting access to its (and its consultants', subcontractors' and sub-recipients') premises, for such purposes at reasonable times and on reasonable conditions as may be required for the purpose of an investigation. Should there be a limitation in meeting this obligation, UNDP shall consult with it to find a solution.

f. Each responsible party, subcontractor and sub-recipient will promptly inform UNDP as the Implementing Partner in case of any incidence of inappropriate use of funds, or credible allegation of fraud or corruption with due confidentiality.

Where it becomes aware that a UNDP project or activity, in whole or in part, is the focus of investigation for alleged fraud/corruption, each responsible party, subcontractor and sub-recipient will inform the UNDP Resident Representative/Head of Office, who will promptly inform UNDP's Office of Audit and Investigations (OAI). It will provide regular updates to the head of UNDP in the country and OAI of the status of, and actions relating to, such investigation.

g. UNDP will be entitled to a refund from the responsible party, subcontractor or sub-recipient of any funds provided that have been used inappropriately, including through fraud or corruption, or otherwise paid other than in accordance with the terms and conditions of the Project Document. Such amount may be deducted by UNDP from any payment due to the responsible party, subcontractor or sub-recipient under this or any other agreement.

Where such funds have not been refunded to UNDP, the responsible party, subcontractor or sub-recipient agrees that donors to UNDP (including the Government) whose funding is the source, in whole or in part, of the funds for the activities under this Project Document, may seek recourse to such responsible party, subcontractor or sub-recipient for the restoration of any funds determined by UNDP to have been used inappropriately, including through fraud or corruption, or otherwise paid other than in accordance with the terms and conditions of the Project Document.

Note: The term "Project Document" as used in this clause shall be deemed to include any relevant subsidiary agreement further to the Project Document, including those with responsible parties, subcontractors and sub-recipients.

h. Each contract issued by the responsible party, subcontractor or sub-recipient in connection with this Project Document shall include a provision representing that no fees, gratuities, rebates, gifts, commissions or other payments, other than those shown in the proposal, have been given, received, or promised in connection with the selection process or in contract execution, and that the recipient of funds from it shall cooperate with any and all investigations and post-payment audits.

i. Should UNDP refer to the relevant national authorities for appropriate legal action any alleged wrongdoing relating to the project or program, the Government will ensure that the relevant national authorities shall actively investigate the same and take appropriate legal action against all individuals found to have participated in the wrongdoing, recover and return any recovered funds to UNDP.

j. Each responsible party, subcontractor and sub-recipient shall ensure that all of its obligations set forth under this section entitled "Risk Management" are passed on to its subcontractors and sub-recipients and that all the clauses under this section entitled "Risk Management Standard Clauses" are adequately reflected, *mutatis mutandis*, in all its sub-contracts or sub-agreements entered into further to this Project Document.

XV. REDD+ RESULT BASED PAYMENTS, SPECIFIC REQUIREMENTS FROM THE GCF

The terms of references[14] of the Pilot Program of the GCF for REDD+ Result Based payments include requirements which are specific to REDD+ RBP. In addition, the GCF Board approved the Funding Proposal FP100 with a series of conditions which are also specified in the FAA signed by UNDP. They are all listed below.

Use of GCF Proceeds

The Federative Republic of Brazil confirms that no other party other than the Federative Republic of Brazil has a competing claim to the GCF Volume of ERs for which the REDD+ RBPs are or were made.

The Federative Republic of Brazil ensures and UNDP will monitor that:

a. The GCF Volume of ERs and the REDD+ RBP paid by the Fund for such GCF Volume of ERs will be recorded in the Info Hub as well as in the Host Country's national registry, 30 days after the Accredited Entity inform the Recipient about the disbursement;
b. The GCF Volume of ERs are then no longer eligible for REDD+ RBP under the GCF or in any other arrangement; and
c. The Federative Republic of Brazil will set aside the GCF Volume of ERs and will not sell, transfer, purport to sell or transfer or otherwise use the GCF Volume of ERs (by way of offsetting or otherwise).

The Federative Republic of Brazil authorizes for UNDP and the GCF to monitor the use of GCF proceeds, and co-operate with UNDP and the GCF in carrying out of such monitoring.

If the GCF determines that the past activities or any part thereof that led to the GCF Volume of ERs for which the REDD+ RBP was made have or has been implemented in a manner inconsistent with the requirements of the RfP (including compliance with the Standards, Gender Policy, Indigenous Peoples Policy, and Interim Policy on Prohibited Practices as well as the Cancun Safeguards), UNDP may exercise the following remedies for the benefit of the GCF, by notice to the Federative Republic of Brazil and the GCF:

(i) Seek refund from the Federative Republic of Brazil of all or part of the GCF Proceeds disbursed under this Agreement;
(ii) In the event the refund is insufficient, where practicable, direct the Federative Republic of Brazil to set aside additional ERs that meet the requirements of the RfP as paid for by the GCF, on top of the GCF Volume of ERs, and provide appropriate evidence of such action through the Lima Information Hub;
(iii) In the event the remedy set out above is inadequate, the right of the GCF to apply the GCF Proceeds already paid under this Agreement as credit against future GCF REDD+ RBP proceeds to be paid to the Brazil by the GCF under the RfP (either through the Accredited Entity or through a different accredited entity that is acceptable to the Fund);
(iv) Rights of the GCF or of a third party acceptable to the GCF, in its sole discretion, to assume the contractual position of UNDP under the present project document in order to exercise remedies against Brazil or to continue the operation of the Funded Activity, in case of an Event of Default of UNDP, termination of the AMA, and/or upon lapse of UNDP's Accreditation status; and
(v) Brazil to co-operate in the effective exercise of the right by the GCF under clauses detailed above.

UNDP shall ensure that:

(a) The GCF Proceeds will be used exclusively to finance the Eligible Expenditures, in accordance with the Funding Proposal;
(b) All Eligible Expenditures shall be accrued and all activities of the Funded Activity are completed before the Completion Date.

Modifications to the Funded Activity.

UNDP shall inform the GCF as soon as possible of any proposed modification to the Funded Activity which could reasonably constitute a Major Change, and seek the GCF's instructions on the necessary steps to be taken to address such event or to effect such proposed modification, which may involve seeking a new No-Objection Letter and/or new Board approval.

14 https://www.greenclimate.fund/documents/20182/1203466/Terms_of_reference_for_the_pilot_programme_for_REDD__results-based_payments.pdf/e26651fc-e216-c8b0-55a1-8eea16a90f39

Reporting, Monitoring and Evaluation Schedule; Reviews; Ad Hoc Checks

The GCF shall have the right to conduct ad hoc checks, evaluations and/or investigations in respect to the past activities that were performed by Brazil and that have led to/generated the GCF Volume of ERs for which the REDD+ RBP was granted.

Brazil shall cooperate with the GCF, should it exercise its rights to conduct ad hoc checks, evaluations and/or investigations in Brazil.

In respect of the past activities that led to the GCF Volume of ERs, any such ad hoc checks and evaluations may be initiated by the GCF during the project lifetime.

UNDP shall report on the Funded Activity in accordance with a simplified APR template established by the GCF.

Additional Representations, Warranties and Covenants of UNDP

UNDP covenants that as from the Effective Date it shall:

(i) Ensure that no further GCF Proceeds are transferred to the Recipient, or are spent or disbursed for the Funded Activity, if a default has occurred under the Project Document, until such time as the default has been remedied to the satisfaction of the Accredited Entity in accordance with the Project Document;

(ii) In case any amendment or modification is entered to or otherwise agreed by the Accredited Entity with respect to the Project Document, inform of such event and furnish to the Fund the executed copies of the such amendment or modification within ten (10) days from its execution. For the avoidance of doubt, the Accredited Entity shall ensure that such amendment or modification does not contravene the terms and conditions provided in this Agreement, the AMA and the RfP;

(iii) Undertake and/or put in place any adequate measures in order to ensure that the management of the environmental and social risks and impacts arising from the use of the GCF Proceeds complies at all times with the recommendations, requirements and procedures set forth in the Environmental and Social safeguards, Social and Environmental Screening Procedure ("SESP") Report and Environmental and Social Management Framework ("ESMF")[15] which were provided by the Accredited Entity to the Fund for the relevant Funded Activity (annex VI to the Funding Proposal), and shall not assign, amend, abrogate or waive any provisions of these documents without prior approval of the Fund;

(iv) Ensure that the GCF Proceeds will not support or finance, directly or indirectly, any activities with potential environmental and social risks that are equivalent to category A pursuant to the Environmental and Social Risks Categories to be conducted as part of the Funded Activity;

(v) Obtain, as and when needed, all land and rights in respect of land that are required to carry out the Funded Activity, and shall promptly furnish to the GCF, upon its request, evidence that such land and rights in respect of the land are available for the purposes of the Funded Activity; and

(vi) Prior to commencing any activities that have potential application of the Accredited Entity's safeguards standards on indigenous peoples and/or cultural heritage, the Accredited Entity shall submit to the Fund the relevant indigenous peoples plan, cultural heritage plan, or other appropriate mitigation measure, including related to benefit sharing and/or a grievance mechanism where relevant, and shall also furnish to the Fund evidence, satisfactory to the GCF Secretariat, that free, prior and informed consent from the indigenous communities has been obtained for the purposes of the relevant activities.

[15] The ESMF sets out the principles, rules, guidelines and procedures for screening, assessing, and managing the potential social and environmental impacts of the forthcoming but as yet undefined interventions, particularly those which will make up the use of proceeds as it is designed. The ESMF summarizes the key potential social and environmental impacts and specifies the most likely applicable social and environmental policies, requirements and management measures. The contents of the ESMF will serve as the basis for further assessment to be undertaken at the project's inception: an environmental and social impact assessment (ESIA) will be conducted, resulting in an Environmental and Social Management Plan (ESMP) and associated management plans.

XVI. MANDATORY ANNEXES

The following documents are mandatory annexes and must be included as part of the final project document package. Links can be provided to these documents if they have been posted to the UNDP GEF PIMS and open.undp.org.

Annex A: GCF Funding Activity Agreement and Notice of Effectiveness

Annex B: GCF Board approved GCF Funding Proposal

Annex C: Timetable of project implementation

Annex D: Draft Procurement plan

Annex E: Draft Terms of References for Project Team

Annex F: UNDP Social and Environmental and Safeguards screening procedure (SESP) and Environmental and Social Management Plan or Framework (ESMP or ESMF) as relevant

Annex G: Stakeholder Engagement Plan

Annex H: Gender Analysis and Action Plan

Annex I: UNDP Risk Log

Annex J: List of technical and administrative services to be provided by UNDP, in addition to its obligations as AE

Annex K: UNDP Project Quality Assurance Report (to be completed in UNDP online corporate planning system, does not need to be attached as separate document)

GREEN
CLIMATE
FUND

GCF
FUNDED ACTIVITY AGREEMENT
(REDD+ RBP)

between

UNITED NATIONS DEVELOPMENT PROGRAMME

and

GREEN CLIMATE FUND

FUNDED ACTIVITY: FP100
"REDD-PLUS results-based payments for results achieved by Brazil in the Amazon biome in 2014 and 2015"

Dated 27/08/2019 2019

GREEN
CLIMATE
FUND

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CLIMATE
FUND

Funded Activity Agreement (REDD+ RBP)

This FUNDED ACTIVITY AGREEMENT (the "**FAA for REDD+ RBP**" or this "**Agreement**") is entered into on 27 Aug 2019 between:

UNITED NATIONS DEVELOPMENT PROGRAMME, an international organization established by the General Assembly of the United Nations pursuant to its resolution 2029(XX) of 22 November 1965 and having its registered office at One UN Plaza, New York, New York 10017, United States of America (the "**Accredited Entity**" or "**UNDP**"); and

The **GREEN CLIMATE FUND**, designated as an operating entity of the financial mechanism under Article 11 of the United Nations Framework Convention on Climate Change and established pursuant to the Governing Instrument for the Green Climate Fund, approved by the COP at its seventeenth session on 11 December 2011 and is annexed to Decision 3/CP.17, possessing juridical personality in order to operate effectively internationally, having such legal capacity as is necessary for the exercise of its functions and the protection of its interests and having its headquarters at Songdo, Incheon, Republic of Korea ("**GCF**" or the "**Fund**"),

each a "**Party**" and together the "**Parties**".

WHEREAS

(A) The Accredited Entity and the GCF entered into an accreditation master agreement on 5 August 2016 ("**AMA**"), which sets forth, amongst others, the general terms and conditions applicable between the Parties in connection with a funded activity;

(B) In accordance with clause 4.11 of the AMA, and the Request for Proposals for the pilot programme for REDD+ results-based payments adopted in *annex XI. Draft terms of reference for the pilot programme for REDD-plus results-based payments* of Decision B.18/07 ("**RfP**"), the Accredited Entity has submitted to the Fund a funding proposal, which is attached to this Agreement as Annex 1 (the "**Funding Proposal**"), requesting REDD+ RBP (as defined below) for emission reduction results achieved in the Amazon Biome in Brazil in years 2014-2015, on behalf and for the benefit of the Federative Republic of Brazil, and pursuant to paragraph 14 of the RfP, proposing to use the REDD+ RBP proceeds for funding the activities described in the Funding Proposal;

(C) The NDA of the Host Country has issued the No-Objection Letter with respect to the Funding Proposal, and pursuant to paragraph 6(d) of the RfP, the REDD+ national entity/focal point to the UNFCCC of the Host Country has provided written consent for participation in the RfP;

(D) The Board of the Fund, by its Decision B.22/07 ("**Approval Decision**"), approved the Funding Proposal in the amount of USD96,452,228 (ninety-six million four hundred fifty-two thousand two hundred twenty-eight US Dollars) as REDD+ RBP for the GCF Volume of ERs (as defined below), which amount is to be used for the implementation of the activities described in the Funding Proposal ("**GCF Proceeds**") subject to the conditions set out in the Approval Decision annex III "List of conditions and recommendations" of the Approval Decision and in the respective term sheet; and

(E) In accordance with clause 6.02 of the AMA and the Approval Decision, the Parties now wish to enter into this Agreement in order to set out the agreed terms for the transfer and use of the GCF Proceeds for the benefit of the Recipient.

THE PARTIES HEREBY AGREE AS FOLLOWS:

Clause 1. Definitions; AMA

1.01 The terms of the AMA are incorporated, and form part of, this Agreement and pursuant to clauses 1.02 and 1.03 of the AMA, any derogations from, deviations or modifications to the AMA in relation to the Funded Activity are set forth in this Agreement. In case of termination of the AMA, its terms as incorporated in this Agreement shall continue to apply.

1.02 In the event of a conflict between:

(a) the terms and conditions in the Clauses of this Agreement and the terms and conditions of any of its Schedules or Annexes, the terms and conditions in the Clauses of the Agreement shall prevail; and

(b) the terms and conditions in the Schedules to this Agreement and the terms and conditions in Annex 1 to this Agreement, the terms and conditions in the Schedules shall prevail.

1.03 Wherever used in this Agreement, terms defined in the AMA shall have the respective meanings therein set forth unless modified herein or the context otherwise requires. Additional terms used in this Agreement shall have the following meanings:

(a) "**Accredited Entity Fee**" shall have the meaning ascribed to it in Clause 3 of this Agreement;

(b) "**AML/CFT Policy**" means the Fund's Anti-Money Laundering and Countering the Financing of Terrorism Policy adopted by Decision B.18/10;

(c) "**BATA**" means Basic Agreement on Technical Assistance between UNDP and the Federative Republic of Brazil dated 29 December 1964;

(d) "**Budget**" means the costs of the Funded Activity and the breakdown thereof, as set out in Part B of Schedule 2 to this Agreement;

(e) "**Cancun Safeguards**" means the safeguards developed under the UNFCCC in paragraph 2 of Appendix I to COP decision 1/CP.16;

(f) "**Closing Date**" means the date which is one (1) year after the Effective Date (or such later date as the Fund shall establish by notice to the Accredited Entity), on which the Accredited Entity's right to receive GCF Proceeds to the GCF Account for the purposes of this Agreement will terminate;

(g) "**Completion Date**" means the date which is no later than six (6) years after the Effective Date (except if otherwise agreed with the Fund), upon which the implementation of all the activities set out in the Funding Proposal will be finalized in accordance with the updated implementation timetable set out in Part C of Schedule 3;

(h) "**Disbursement(s)**" means a disbursement of all or part of the GCF Proceeds made, or to be made, available by the Fund to the Accredited Entity, upon receipt of a Request for Disbursement and pursuant to the terms and conditions set out in this Agreement;

(i) "**Disbursement Plan**" means the disbursement plan included in Part A of Schedule 2;

(j) "**Effective Date**" shall have the meaning ascribed to it in Clause 5.01 of this Agreement;

(k) "**Eligible Expenditures**" means any reasonable costs of Goods or Services required for the implementation of the Funded Activity to be financed with the GCF Proceeds, in accordance with this Agreement, the AMA and the Funding Proposal;

(l) "**Emission Reduction(s)**" or "**ER(s)**" means the emission unit that represents a reduction or sequestration of greenhouse gases from the atmosphere represented in tonnes of CO_2eq achieved and reported by the Host Country as REDD+ results in the technical annex to its bi-annual update report to the UNFCCC;

(m) "**Event of Default**" means, in addition to those set forth in clause 19.01 of the AMA, any event or circumstance set forth in Clause 9.01 of this Agreement;

(n) "**Executing Entity**" means the entity specified in Clause 4.04 of this Agreement;

(o) "**Floresta+ pilot programme**" means the pilot Environmental Services Incentive Program for Conservation and Recovery of Native Vegetation (Floresta+) that will be developed by the Government of Brazil under Brazil's Forest Code;

(p) "**Funded Activity**" shall have the meaning ascribed thereto in the Funding Proposal for which the GCF Proceeds will be used pursuant to paragraph 14 of the RfP;

(q) "**Funding Proposal**" shall have the meaning ascribed thereto in Annex 1 and in Recital (B) of this Agreement;

(r) "**GCF Volume of ERs**" means the resulting volume of ERs as set out in Schedule 1 of this Agreement, based on the RfP scorecard set out in annex XII of Decision B.18/07, and for which the REDD+ RBP is made under this Agreement;

(s) "**Host Country**" means the Federative Republic of Brazil in which the GCF Volume of ERs were generated and in which a Funded Activity is to be or is being implemented pursuant to this Agreement;

(t) "**Indigenous Peoples Policy**" means the Fund's indigenous peoples policy adopted in Decision B.19/11;

(u) "**Info Hub**" means the Lima REDD+ Information Hub on the UNFCCC REDD+ web platform;

(v) "**Project Document**" means a document that the Accredited Entity enters into with the Host Country in accordance with the BATA defining the detailed financial, procurement and implementation plans, and the respective responsibilities of the parties thereto in respect of the Funded Activity. For the avoidance of doubt, the Project Document shall serve as the RBP Transfer Agreement and shall reflect the requirements of this Agreement and the AMA, as applicable;

(w) "**RBP**" means results-based payment;

(x) "**Recipient**" means the entity specified in Clause 4.01 for whose benefit the REDD+ RBP is granted by the GCF;

(y) "**REDD+**" means reducing emissions from deforestation and forest degradation, and the role of conservation, sustainable management of forests, and enhancement of forest carbon stocks;

(z) "**Request for Disbursement**" means a request for disbursement substantially in the form set forth in Schedule 4;

(aa) "**RfP**" has the meaning ascribed to it in Recital B of this Agreement;

(bb) **"RBP Transfer Agreement"** means the agreement that the Accredited Entity will enter into with the Recipient in respect of the GCF Volume of ERs and the REDD+ RBP, and the transfer, use and/or administration of the GCF Proceeds in accordance with the terms of this Agreement; and

(cc) **"Tax(es)"** means any tax, levy, impost, fee, duty or other charge or withholding of a similar nature (including any penalty or interest payable in connection with a failure to pay or any delay in the payment of any such amounts), whether in effect at the date of execution of this Agreement or imposed thereafter.

1.04 Any references in this Agreement to "Clause", "Schedule" or "Annex" shall refer to a clause of, a schedule to or an annex to, this Agreement, unless otherwise specified or if the context requires otherwise.

1.05 For the purposes of this Agreement, the following provisions of the AMA are modified as follows:

(a) The definition of "Policy on Prohibited Practices" shall mean the Policy on Prohibited Practices of the Fund adopted in Decision B.22/19;

(b) The definition of "Prohibited Practices" shall mean the prohibited practices set forth in the Policy on Prohibited Practices; and

(c) Exhibit 1of the AMA shall be considered null and void;

For the avoidance of doubt the Policy on Prohibited Practices as defined in this Agreement shall apply from the date of execution of this Agreement.

(d) Amend clause 15.02 to read as follows:

"15.02 The Accredited Entity shall provide to the Fund the following reports prepared in a form and manner compliant with the practices and procedures of the Fund for individual Funded Activities:

(a) APRs on the status of each Funded Activity throughout the relevant Reporting Period, including a narrative report on implementation progress based on the simplified reporting for GCF REDD+ RBP modality approved by Decision B.18/07, and a report on ESS as well as gender. Unless otherwise specified in the FAA, the APR shall be submitted to the Secretariat on an annual basis for the period ending on 31 December within sixty (60) days after the end of the relevant annual period, with the first APR required to be submitted following the end of the calendar year after the Parties have entered into the relevant FAA, and the last APR required to be submitted within six (6) months of the end of the relevant Reporting Period; and

(b) such other reports as the Accredited Entity may prepare or require in accordance with its own rules, policies or practices in relation to a Funded Activity, and any other reports as may reasonably be requested by the Fund in order to enable it to assess the results and impacts of the Funded Activity and/or compliance with this Agreement."

(e) Add a new clause 15.04 to read as follows:

"15.04 The Accredited Entity shall provide to the Fund, in accordance with the Monitoring and Accountability Framework, on an annual basis for the

period ending on 31 December within sixty (60) days after the end of the relevant annual period:

(a) a self-assessment of its compliance, in accordance with Clause 13.01, with the Fiduciary Principles and Standards, ESS and Gender Policy; and

(b) a report on its actions carried out or planned to be carried out pursuant to Clause 18.02(i)."

Clause 2. GCF Proceeds; Disbursement by GCF

2.01 Subject to the terms and conditions of this Agreement, the Fund agrees to make available to the Accredited Entity by or before the Closing Date, as set forth in the Disbursement Plan, an amount equal to USD96,452,228 (ninety-six million four hundred fifty-two thousand two hundred twenty eight US Dollars) of GCF Proceeds in the form of REDD+ RBP for the benefit of the Recipient, which to be used for funding the activities described in the Funding Proposal.

2.02 The GCF Proceeds shall be transferred, in accordance with the Disbursement Plan provided in Part A of Schedule 2, to the Accredited Entity upon the fulfillment by the Accredited Entity, to the satisfaction of the Fund, of the relevant conditions precedent to Disbursement set forth in Clause 7 below. In accordance with this Clause 2.02, the GCF Proceeds shall be transferred to the bank account to be notified by the Accredited Entity to the Fund in writing in the Request for Disbursement ("**GCF Account**"). For the avoidance of doubt, the GCF Account for the Funded Activity will be a ledger account.

2.03 The GCF Holding Currency for the Disbursement shall be USD. The financial reporting and accounting currency for the Funded Activity shall be USD.

2.04 Any Investment Income as well as any other income, interest or gains earned or losses incurred on other balances held in the GCF Account shall be for the benefit of the Recipient, and shall be transferred, together with any unused funds, to the Recipient in accordance with the terms agreed under the RBP Transfer Agreement. The Accredited Entity shall agree on the terms and conditions for the use and transfer of Investment Income and unused funds in the RBP Transfer Agreement, including for the use of the Investment Income and unused funds in accordance with the Funding Proposal, the requirements of the RfP and this Agreement.

Clause 3. Accredited Entity Fee

3.01 The Accredited Entity's fee is an amount equal to three point five per cent (3.5%) of the total GCF Proceeds (the "**Accredited Entity Fee**").

3.02 ***Disbursement of the Accredited Entity Fee.*** Ninety per cent (90%) of the Accredited Entity Fee shall be disbursed by the GCF to the Accredited Entity in six (6) annual equal instalments during the Reporting Period (as defined in Schedule 3), and such instalments shall be transferred to the bank account of the Accredited Entity indicated in the Request for Disbursement. The first instalment of the Accredited Entity Fee will be disbursed together with the Disbursement of the GCF Proceeds.

3.03 Ten per cent (10%) of the Accredited Entity Fee shall be disbursed by the GCF to the Accredited Entity within thirty (30) calendar days after the Accredited Entity submits to the GCF the final APR to the satisfaction of the GCF. The amount of each instalment of the Accredited Entity Fee is specified in Part C of Schedule 2.

3.04 The Accredited Entity Fee will be disbursed to the Accredited Entity in addition to the GCF Proceeds.

3.05 If the Fund decides to suspend the Disbursement, in accordance with clause 15.03 of the AMA, or Clause 4.12 of this Agreement, the Fund may also, at its own discretion, suspend the payment of Accredited Entity Fee.

3.06 ***Reporting on the Accredited Entity Fee.*** The Accredited Entity shall report on the usage of the Accredited Entity Fee annually as part of the APRs to be submitted in accordance with the AMA.

Clause 4. Recipient; Use of GCF Proceeds

4.01 ***Recipient.*** The Recipient of the REDD+ RBP is the Federative Republic of Brazil.

4.02 The Accredited Entity shall enter into a RBP Transfer Agreement with the Recipient that shall include the following terms and conditions:

(a) Detailed terms for, as applicable, transfer, use and/or administration of the GCF Proceeds in accordance with the Funding Proposal, the requirements of the RfP, and this Agreement, in recognition of the achievement of the GCF Volume of ERs;

(b) Requirements for the use the GCF Proceeds for Eligible Expenditures in accordance with the Funding Proposal, the requirements of the RfP set out in paragraphs 14, 19 and 37 of the RfP, and this Agreement;

(c) A representation and warranty from the Recipient to the Accredited Entity that no other party other than the Federative Republic of Brazil has a competing claim to the GCF Volume of ERs for which the REDD+ RBPs are or were made;

(d) A requirement for the Recipient to ensure that, and for the Accredited Entity to monitor:

(i) The GCF Volume of ERs and the REDD+ RBP paid by the Fund for such GCF Volume of ERs be recorded in the Info Hub as well as in the Host Country's national registry;

(ii) The GCF Volume of ERs are then no longer eligible for REDD+ RBP under the GCF or in any other arrangement; and

(iii) The Recipient sets aside the GCF Volume of ERs and does not sell, transfer, purport to sell or transfer or otherwise use the GCF Volume of ERs (by way of offsetting or otherwise);

(e) Authorization for the Accredited Entity and the Fund to monitor the Recipient's use of GCF Proceeds, and the Recipient to co-operate with the Accredited Entity and the Fund in carrying out of such monitoring);

(f) Pursuant to paragraph 36 of the RfP, if the GCF determines that the past activities or any part thereof that led to the GCF Volume of ERs for which the REDD+ RBP was made have or has been implemented in a manner inconsistent with the requirements of the RfP (including compliance with the Standards, Gender Policy, Indigenous Peoples Policy, and Interim Policy on Prohibited Practices as well as the Cancun Safeguards), the Accredited Entity may exercise the following remedies for the benefit of the GCF, by notice to the Recipient and the Fund:

(i) Seek refund from the Recipient of all or part of the GCF Proceeds disbursed under this Agreement; and

(ii) In the event the refund due under Clause 4.02(f)(i) is insufficient, where practicable, direct the Recipient to set aside additional ERs that meet the requirements of the RfP as paid for by the GCF, on top of the GCF Volume of ERs, and provide appropriate evidence of such action through the Lima Information Hub;

(g) In the event the remedy set out in Clause 4.02(f) is inadequate, the right of the Fund to apply the GCF Proceeds already paid under this Agreement as credit against future GCF REDD+ RBP proceeds to be paid to the Recipient by the GCF under the RfP (either through the Accredited Entity or through a different accredited entity that is acceptable to the Fund);

(h) Rights of the Fund or of a third party acceptable to the Fund, in its sole discretion, to assume the contractual position of the Accredited Entity under the RBP Transfer Agreement in order to exercise remedies against the Recipient or to continue the operation of the Funded Activity, in case of an Event of Default of the Accredited Entity, termination of the AMA, and/or upon lapse of the Accredited Entity's Accreditation status; and

(i) The Recipient to co-operate in the effective exercise of the right by the Fund under Clause 4.02(h) above.

4.03 ***Executing Entity.*** The Accredited Entity shall carry out the Funded Activity, with due diligence and efficiency and in conformity with appropriate financial, technical, economic, social, environmental and administrative practices, and shall provide, promptly as needed, the funds, facilities, services and other resources required for the Funded Activity.

4.04 The Accredited Entity shall act as the Executing Entity for this Funded Activity, as further described in the Funding Proposal.

4.05 Without prejudice to the provisions of Clause 4.03 above and except as the Accredited Entity and the Fund may otherwise agree, the Funded Activity shall be carried out in within the timeframe set out in Schedule 3 of this Agreement and the Funding Proposal.

4.06 The Accredited Entity shall ensure that:

(a) The GCF Proceeds will be used exclusively to finance the Eligible Expenditures, in accordance with this Agreement and the Funding Proposal, and as further specified in the Budget;

(b) All Eligible Expenditures shall be accrued and all activities of the Funded Activity are completed before the Completion Date.

4.07 The implementation of all the activities of the Funded Activity shall be completed no later than the Completion Date and shall be subject to confirmation by the Fund based on the completion report (final APR) to be provided in accordance with Schedule 3.

4.08 Provided the Recipient has given its prior consent to the Accredited Entity, the Accredited Entity may request in writing an extension of the Closing Date and/or the Completion Date setting forth its justification for such an extension request, which shall not be unreasonably denied by the Fund following due consideration of such justification. The Fund shall approve or deny such request within thirty (30) calendar days following the Accredited Entity's request, except in case such extension needs the GCF Board approval, which may require a longer period to respond to the Accredited Entity's request.

4.09 Any durable assets and equipment purchased using GCF Proceeds shall be owned by the Recipient.

4.10 ***Taxation.*** The tax exemptions accorded under the BATA shall apply to Eligible Expenditures procured with the GCF Proceeds. The Accredited Entity will not withhold any amount for Taxes from any Investment Income, unused funds or any assets held in the GCF Account, to be transferred from the Accredited Entity to the Recipient or the Fund. The Fund shall not pay any funds in addition to the amount specified in Clause 2.01 above, including for the payment of Taxes, for and during the implementation of the Funded Activity.

4.11 ***Modifications to the Funded Activity.*** For the purposes of clause 11.03 of the AMA, the Accredited Entity shall inform the Fund as soon as possible of any proposed modification to the Funded Activity which could reasonably constitute a Major Change, and seek the Fund's instructions on the necessary steps to be taken to address such event or to effect such proposed modification, which may involve seeking a new No-Objection Letter and/or new Board approval.

4.12 The Accredited Entity shall, promptly, inform the Fund of any credible risks of money laundering and/or financing of terrorism in relation to a Funded Activity, or of any event of money laundering and/or financing of terrorism that is suspected to have or have occurred in relation to the past activities that led to the GCF Volume of ERs, and promptly take steps recommended by the Fund in consultation with the Accredited Entity to address such identified risks. In those cases, the Fund may:

(a) Suspend the Disbursement to the Accredited Entity under this Agreement until such risks have ceased or are reduced to the level satisfactory to the Fund; and

(b) Instruct the Accredited Entity to suspend the disbursement of GCF Proceeds to the Recipient or third parties until further instructions are given by the Fund to continue the disbursement, and the Accredited Entity must comply with such instructions.

Clause 5. Effectiveness

5.01 Except for Clauses 5.02 and 5.03 below, this Agreement shall enter into effect on the date upon which the Fund dispatches to the Accredited Entity a notice of its acceptance of the evidences specified below ("**Effective Date**"):

(a) A duly authorized and executed copy of this Agreement by the Accredited Entity; and

(b) A certificate issued by the Accredited Entity's most senior legal officer, in a form that is satisfactory to the Fund, certifying that this Agreement entered into by the Accredited Entity has been duly authorized or ratified by all necessary corporate actions, duly executed and delivered on behalf of the Accredited Entity, and is legally binding and enforceable upon the Accredited Entity in accordance with its terms.

5.02 If, before the Effective Date, any event has occurred which would entitle the Fund to suspend the right of the Accredited Entity to request the Disbursement under this Agreement if this Agreement had been effective, the Fund may postpone the dispatch of the notice referred to in this Clause 5 until such event (or events) has (or have) ceased to exist.

5.03 ***Termination for Failure to Become Effective.*** This Agreement and all obligations of the Parties under it shall terminate if it has not entered into effect by the date which falls hundred and fifty (150) calendar days after the date of execution of this Agreement, unless the Fund, after consideration of the reasons for the delay and following

consultations with the Accredited Entity, establishes a later date for the purpose of this Clause 5. The Fund shall promptly notify the Accredited Entity of such later date.

Clause 6. Reporting, Monitoring and Evaluation Schedule; Reviews; Ad Hoc Checks

6.01 The reporting, monitoring and evaluation of the Funded Activity shall be done in accordance with Schedule 3.

6.02 Without prejudice to clause 16 of the AMA in respect of the Funded Activity, the Fund shall have the right to conduct ad hoc checks, evaluations and/or investigations in respect to the past activities that were performed by the Recipient and that have led to/generated the GCF Volume of ERs for which the REDD+ RBP was granted. The Accredited Entity shall include in the RBP Transfer Agreement:

(a) The right of the Fund to conduct such ad hoc checks, evaluations and/or investigations in respect of the activities that led to the GCF Volume of ERs; and

(b) That the Recipient shall cooperate with the Fund, should it exercise its rights to conduct ad hoc checks, evaluations and/or investigations in the Host Country.

6.03 In respect of the past activities that led to the GCF Volume of ERs, any such ad hoc checks and evaluations may be initiated by the Fund during the Reporting Period (as defined in Schedule 3).

6.04 The Accredited Entity shall report on the Funded Activity in accordance with a simplified APR template established by the Fund.

Clause 7. Conditions Precedent to Disbursement

7.01 The obligation of the Fund to make any Disbursements under this Agreement shall be subject to the following conditions having been fulfilled to the satisfaction, in form and substance, of the Fund:

(a) *General conditions for Disbursement of the GCF Proceeds*:

(i) Effectiveness of this Agreement;

(ii) Delivery to the Fund by the Accredited Entity of a Request for Disbursement, signed by the person or persons authorized to do so, with thirty (30) calendar days prior to the date on which the Disbursement is requested to be made, which shall not be later than the Closing Date;

(iii) Delivery to the Fund by the Accredited Entity of an executed copy of the Project Document, between the Accredited Entity and the Recipient; and

(iv) Delivery to the Fund by the Accredited Entity of evidence of the authority of the person or persons authorized to sign each Request for Disbursement (with respect to the GCF Proceeds and the Accredited Entity Fees) under this Agreement, and the authenticated specimen signature of each such person.

(b) *Conditions precedent to disbursement of the Accredited Entity Fee*:

(i) Other than in relation to the first disbursement of the Accredited Entity Fee, submission to the Fund by the Accredited Entity of APRs and Financial Information, in accordance with the AMA and this FAA; and

(ii) Delivery to the Fund by the Accredited Entity of a Request for Disbursement, signed by the person or persons authorized to do so, with thirty (30) calendar days prior to the date on which the disbursement of the Accredited Entity Fee is requested to be made, which shall not be later than the Closing Date.

7.02 If at the Closing Date, the Accredited Entity has not requested the Disbursement of the GCF Proceeds, with at least thirty (30) calendar days prior to such date, or the Fund has not otherwise disbursed the GCF Proceeds, the undisbursed portion of the GCF Proceeds shall automatically be cancelled and no longer available for Disbursement.

Clause 8. Additional Representations, Warranties and Covenants of the Accredited Entity

8.01 In addition to clause 18.01 of the AMA, the Accredited Entity represents and warrants that:

(a) On the date of the execution of this Agreement, the date of Disbursement, and the date of each disbursement of the Accredited Entity Fee, made by the Fund under this Agreement, there are no circumstances of which the Accredited Entity is aware, including through its oversight of the Funded Activity as per the obligations of this FAA, the AMA and UNDP's own policies and practices, that may substantially interfere with the performance of its obligations under this Agreement, the AMA or with the implementation of the Funded Activity, or otherwise jeopardize the achievements of any objectives, outcomes or outputs of the Funded Activity and the RfP;

(b) On the date of Disbursement by the Fund under this Agreement and throughout the term of this Agreement, the Project Document/RBP Transfer Agreement remains in effect;

(c) On the date of each Disbursement by the Fund under this Agreement, no Event of Default has occurred and is continuing under this Agreement and no event of default or equivalent event has occurred and is continuing under the Project Document/RBP Transfer Agreement;

(d) On the date of the execution of this Agreement, the date of Disbursement, and the date of each disbursement of the Accredited Entity Fee, made by the Fund under this Agreement, the policies of the Accredited Entity addressing AML/CFT are substantially consistent with the principles of the AML/CFT Policy;

(e) On the date of the execution of this Agreement, Effective Date, the date of Disbursement, and the date of each disbursement of the Accredited Entity Fee, made by the Fund under this Agreement:

(i) The Recipient has entitlement to the GCF Volume of ERs for which the REDD+ RBP is made, and no other party has a valid competing claim to that GCF Volume of ERs;

(ii) Any factual information provided by it to the GCF as part of the Funding Proposal or otherwise pursuant to paragraph 18 of the RfP is to the best of its knowledge true and accurate in all material respect;

(iii) No practices inconsistent with the Interim Policy on Prohibited Practices including, money laundering and financing of terrorisms have occurred in the implementation of the activities that led to the GCF Volume of ERs for which the REDD+ RBP is requested and made; and

(iv) No activities that led to the GCF Volume of ERs for which the REDD+ RBP is requested and made were implemented in a manner inconsistent with the Accredited Entity's own policies and procedures, which enabled the Accredited Entity to comply with the Standards, the Indigenous Peoples Policy and the relevant safeguards for REDD+ including Cancun Safeguards; and

(f) On date of Disbursement, and the date of each disbursement of the Accredited Entity Fee, made by the Fund under this Agreement, the GCF Proceeds are used and the Funded Activity is being carried in a manner consistent with the RfP, Funding Proposal, the Project Document/RBP Transfer Agreement and this Agreement.

8.02 In addition to clause 18.02 of the AMA and other relevant clauses of this Agreement, the Accredited Entity covenants that as from the Effective Date it shall:

(a) Ensure that no further GCF Proceeds are transferred to the Recipient, or are spent or disbursed for the Funded Activity, if a default has occurred under the Project Document, until such time as the default has been remedied to the satisfaction of the Accredited Entity in accordance with the Project Document;

(b) In case any amendment or modification is entered to or otherwise agreed by the Accredited Entity with respect to the Project Document, inform of such event and furnish to the Fund the executed copies of the such amendment or modification within ten (10) days from its execution. For the avoidance of doubt, the Accredited Entity shall ensure that such amendment or modification does not contravene the terms and conditions provided in this Agreement, the AMA and the RfP;

(c) Undertake and/or put in place any adequate measures in order to ensure that the management of the environmental and social risks and impacts arising from the use of the GCF Proceeds complies at all times with the recommendations, requirements and procedures set forth in the Environmental and Social Safeguards, Social and Environmental Screening Procedure ("**SESP**") Report and Environmental and Social Management Framework ("**ESMF**") which were provided by the Accredited Entity to the Fund for the relevant Funded Activity (annex VI to the Funding Proposal), and shall not assign, amend, abrogate or waive any provisions of these documents without prior approval of the Fund;

(d) Ensure that the GCF Proceeds will not support or finance, directly or indirectly, any activities with potential environmental and social risks that are equivalent to category A pursuant to the Environmental and Social Risks Categories to be conducted as part of the Funded Activity;

(e) Obtain, as and when needed, all land and rights in respect of land that are required to carry out the Funded Activity, and shall promptly furnish to the GCF, upon its request, evidence that such land and rights in respect of the land are available for the purposes of the Funded Activity;

(f) Prior to commencing any activities that have potential application of the Accredited Entity's safeguards standards on indigenous peoples and/or cultural heritage, the Accredited Entity shall submit to the Fund the relevant indigenous peoples plan, cultural heritage plan, or other appropriate mitigation measure, including related to benefit sharing and/or a grievance mechanism where relevant, and shall also furnish to the Fund evidence, satisfactory to the GCF Secretariat, that free, prior and informed consent from the indigenous communities has been obtained for the purposes of the relevant activities;

(g) Apply, in accordance with its own policies and procedures, its own fiduciary principles and standards relating to AML/CFT in the implementation of the Funded Activity;

(h) In case of a change of the authorized representative to sign the Request for Disbursement, provide, together with the Request for Disbursement, evidence, satisfactory to the Fund, of the authority of such person to sign the Request for Disbursement and the relevant authenticated specimen signature of such person;

(i) Contractually require and monitor that (i) the GCF Volume of ERs and the REDD+ RBP paid by the GCF for those ERs are published in the Info Hub as well as in the Host Country's national registry; (ii) the GCF Volume of ERs are no longer eligible for RBPs under the GCF or in any other arrangement; and (iii) the GCF Volume of ERs are and will not be transfer or otherwise used (e.g. offsetting);

(j) Inform and explain to the Recipient of and provide in the RBP Transfer Agreement the requirements of the RfP and this Agreement, including but not limited to the requirements set forth in Clause 4;

(k) Ensure and confirm in each APR that the GCF Proceeds are used and the Funded Activity is implemented in a manner consistent with the Funding Proposal, this Agreement, the RFP, and the underlying national policy framework within which the activities set out in the Funding Proposal are to be implemented;

(l) Include, in an annex to the first APR to be provided to the GCF, a copy of the operations manual for the Floresta+ pilot programme and the related monitoring and evaluation plan, which shall include the criteria and process for determining the eligibility of the beneficiaries, the prioritization of areas where the Floresta+ pilot programme will be implemented, the estimated distribution of the GCF Proceeds amongst the different beneficiary stakeholder groups, and the expected outcomes at the end of year six (6) of the Floresta+ pilot programme of the four modalities; and

(m) At least thirty (30) calendar days prior to the delivery of Floresta+ pilot programme incentives to the beneficiaries:

(i) Disclose the relevant documentation related to ESS required by the GCF's Environmental and Social Policy and Information Disclosure Policy (the "**Project Disclosure Package**");

(ii) Make the Project Disclosure Package available on its website and in locations convenient to affected peoples; and

(iii) Provide the Project Disclosure Package to the GCF Secretariat for further distribution to the Board and active observers and for posting on the GCF website.

Clause 9. Additional Remedies to the Fund

9.01 ***Events of Default.*** In addition to clause 19 of the AMA, the following events shall constitute an event of default of this Agreement (each, an "**Event of Default**"):

(a) The Accredited Entity has failed to comply, in any material respect with, or shall have failed to perform in any material respects, any of its obligations under this Agreement, including, but not limited to, misrepresentation and breach of warranties, and non-performance of any covenants;

(b) If an event of default has occurred under: (i) the AMA; or (ii) any other funded activity agreements entered between the Parties, pursuant to the terms of the relevant agreement;

(c) The Accredited Entity has failed to take in a timely manner the necessary steps instructed by the Fund, in accordance with Clause 4.11 of this Agreement and clause 11.03 of the AMA;

(d) the Recipient has failed to comply, in any material respect with, or has failed to perform in any material respects, any of its obligations under the RBP Transfer Agreement to which it has entered with the Accredited Entity (including, but not limited to, misrepresentation and breach of warranties, and non-performance of any covenants);

(e) The Fund determines that the past activities or any part thereof that led to the GCF Volume of ERs for which the REDD+ RBP was made, have or has been implemented in a manner inconsistent with the requirements set out in paragraph 18 of the RfP (including compliance with the Standards, Gender Policy, Indigenous Peoples Policy and Interim Policy on Prohibited Practices); and

(f) the Accredited Entity and/or Recipient uses the GCF Proceeds or carries out the Funded Activity other than in compliance with the RfP, the Funding Proposal and this Agreement (including but not limited to where the Recipient encumbers, sells, transfers, or purports to sell or transfer the GCF Volume of ERs to, or in favour of, a third party).

9.02 ***Remedies and Consequences of Default.*** In addition to clause 20 of the AMA, and notwithstanding any other right or remedy available to the Fund, upon an Event of Default described under Clause 9.01 above, the Fund may:

(a) Except for the events specified in 9.01(e), require the Accredited Entity to remedy such Event of Default within a reasonable period of time set by the Fund at its sole discretion;

(b) If the Event of Default is an event described in Clause 9.01(e), by notice to the Accredited Entity:

(i) seek refund from the Accredited Entity of all or part of the GCF Proceeds disbursed under this Agreement; and

(ii) in the event the refund due under Clause 9.02(b)(i) is partially or fully insufficient, require, where practicable, that the Accredited Entity to (1) direct the Recipient to set aside additional ERs that meet the requirements of the RfP as being paid for by the GCF, on top of the GCF Volume of ERs, and provide appropriate evidence of such action through the Lima Information Hub; and/or (2) notify the Recipient of the Fund's reservation of its right to apply the GCF Proceeds already paid under this Agreement as credit against future GCF REDD+ RBP proceeds to be paid to the Recipient by the GCF under the RfP (either through the same Accredited Entity or different Accredited Entity); and

(c) For any other Event of Default other than an event described in clause 9.01(e), if such Event of Default is not remedied pursuant to paragraph (a) of this Clause 9.02, or if the Fund did not opt to require the Accredited Entity to remedy such Event of Default, the Fund may, by notice to the Accredited Entity exercise one or more of the rights specified in paragraphs (b) and (c) of clause 20.01 of the AMA.

9.03 In respect of the remedy exercised under Clause 9.02(b)(ii), to the extent such remedy is to be recovered by the Accredited Entity through a contractual claw back against the Recipient, any repayment obligation of the Accredited Entity shall be limited to such amounts which have actually been recovered by the Accredited Entity from the Recipient or any other third party having exercised all best efforts without prejudice to or requiring the waiver of its privileges and immunities.

Clause 10. Applicable Law; Dispute Resolution

10.01 Clauses 28 and 29 of the AMA apply to this Agreement *mutatis mutandis.*

Clause 11. Designated Authority; Notices

11.01 Any notice, request, document, report, or other communication submitted by either the Accredited Entity or the Fund, shall unless expressly specified in this Agreement, be in English and delivered by hand or by facsimile or email to the Party to which it is required or permitted to be given or made to the following addresses:

For the Accredited Entity:

Attn: Executive Coordinator & Director, Global Environmental Finance
Address: 304 East 45th Street
New York, NY 10017
United States of America
Fax: +1 212 906 5884
Email: pradeep.kurukulasuriya@undp.org

For the Fund:

Attn: Division of Mitigation and Adaptation
Address: G-Tower, 175, Art Center-daero
Yeonsu-gu, Incheon 22004
Republic of Korea
Fax: +82 32 458-6092
Email: dma.postapproval@gcfund.org

With copy to:
Attn: Office of Portfolio Management (OPM)
Fax: +82 32 438 6092
Email: OPM@gcfund.org

11.02 A Party may change the information set forth in Clause 11.01 by delivery to the other Party of a written notice signed by an authorized representative, provided that such changes will become effective only after five (5) calendar days from the receipt of such notice by the other Party.

Clause 12. Miscellaneous

12.01 ***Assignment; Novation.*** The Accredited Entity will not be entitled to assign or otherwise transfer its rights and obligations under this Agreement, in full or in part, without the prior written consent of the Fund, which consent may be granted or not granted at the Fund's absolute discretion.

12.02 ***Failure to Exercise Rights.*** No delay in exercising, or omission to exercise, any right, power or remedy accruing to any Party under this Agreement upon any default shall impair any such right, power or remedy or be construed to be a waiver thereof or an acquiescence in such default. No action of such Party in respect of any default, or any acquiescence by it in any default, shall affect or impair any right, power or remedy of such Party in respect of any other or subsequent default.

12.03 ***Execution in Counterparts.*** This Agreement may be executed in two counterparts, each of which shall be an original.

12.04 ***Rights of Third Parties.*** This Agreement is intended solely for the benefit of the Parties and is not intended to be for the benefit of, nor may any provision be enforced by, any person or entity that is not a party to this Agreement. Any other statute or law to the contrary is hereby excluded or disapplied.

12.05 ***Entire Agreement.*** This Agreement constitutes the entire agreement and understanding of the Parties with respect to its subject matter and supersedes all oral communication and prior writings with respect thereto, other than those writings expressly referred to or incorporated into this Agreement entered into hereunder, including the AMA.

12.06 ***Modification or Amendment.*** No modification or amendment of this Agreement shall be valid unless in writing and signed by an authorized representative of the Fund and an authorized representative of the Accredited Entity.

12.07 ***Relationship of the Parties.*** Nothing contained in this Agreement shall be deemed or construed as creating a principal-agent relationship between the Parties hereto or be construed to evidence the intention of the Parties to constitute such. Neither Party shall have any express or implied right or authority to assume or create any obligations on behalf of or in the name of the other Party or to bind the other Party to any contract, agreement or undertaking with any third party.

12.08 ***Severability.*** If any term of this Agreement is to any extent invalid, illegal, or incapable of being enforced, such term shall be excluded to the extent of such invalidity, illegality, or unenforceability; all other terms hereof shall remain in full force and effect.

12.09 ***Duration and Survival.*** This Agreement shall remain in full force and effect until all obligations of the Accredited Entity have been fulfilled. Notwithstanding the foregoing, Clause 10.01 of this Agreement shall, unless explicitly provided otherwise, survive for a period of five (5) years after the termination of this Agreement.

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IN WITNESS WHEREOF the Parties hereto, acting through their representatives thereunto duly authorized, have caused this Agreement to be signed in their respective names as of the day and year first above written and to be delivered at the principal office of the Fund.

UNITED NATIONS DEVELOPMENT PROGRAMME

By _____ Date 8/26/2019
Pradeep Kurukulasuriya
Executive Coordinator and Director,
Global Environmental Finance

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By _____ Date 8/27/2019
German Velasquez
Director of Mitigation and Adaptation

Schedule 1. GCF Volume of ERs /Scorecard evaluation/Description of the Funded Activity

A. GCF Volume of ERs

(a) **Period of eligible ERs:** 2014 and 2015

(b) **GCF Volume of ERs:** 18,819,946.9 tCO_2eq

(c) **REDD+ RBP for the GCF Volume of ERs:** USD96,452,228 (ninety-six million four hundred fifty-two thousand two hundred twenty-eight US Dollars), including two point five per cent (2.5%) addition pursuant to paragraph 13 (Step 4) of the RfP for the non-carbon benefits.

(d) **Scale of proposal:** Sub-national level

(e) **Ownership and title to the ERs:** The Ministry of Environment of the Federative Republic of Brazil

(i) Under Brazilian legislation, the National REDD+ Committee (CONAREDD+) is responsible for authorizing eligible entities to access REDD+ results-based payments achieved by Brazil and recognized by the UNFCCC. Only four entities may receive REDD+ results-based payments: the States of Acre and Mato Grosso, the Ministry of Environment and the Amazon Fund (Resolution n.10 of December 7th, 2017, Federal Decree, n. 8576/2015 and Federal Decree n. 6527/2008).

(ii) The REDD+ RBPs are registered in Brazil's national repository for REDD+, Info Hub Brasil, and no longer available for payments. The Secretariat of the UNFCCC is also informed of these payments which are also registered into the Info Hub. Pursuant to the foregoing, ERs cannot be transferred or otherwise be transacted.

B. Scorecard

Scorecard section		Results	
Carbon elements		Score: 36	All criteria "pass"
Non-carbon elements	Cancun Safeguards:	All criteria "pass"	
	Use of proceeds and non-carbon benefits	Score: 2	
GCF investment framework		All criteria "high"	
GCF policies		All criteria "pass"	

C. Description of the Funded Activity

The description of the Funded Activity is included in the Funding Proposal attached herein as Annex 1. The implementation of the Funded Activity will be carried out in accordance with the activities described below:

Component	Output	Activity
REDD+ Results Based Payments for Results Achieved by Brazil in the	**Output 1 Floresta+ Incentives**	Activity 1.1 Refinement of Floresta+ pilot programme and selection of implementing partners
		Activity 1.2 Operation of Floresta+ Modality 1
		Activity 1.3 Operation of Floresta+ Modality 2
		Activity 1.4 Operation of Floresta+ Modality 3

Amazon Biome in 2014 and 2015		Activity 1.5 Operation of Floresta+ Modality 4
		Activity 1.6 Technical Monitoring of Floresta+
		Activity 1.7 Implementation of an outreach strategy for Floresta+
	Output 2 Implementation of the National REDD+ Strategy (ENREDD+)	Activity 2.1 Expansion of the forest monitoring system and improvement of the Measurement, Reporting and Verifying process for REDD+
		Activity 2.2 Development of Public Policies Impact Matrix
		Activity 2.3 Improvement of REDD+ Safeguards Information System (SISREDD+)
		Activity 2.4 Strengthening ENREDD+ participatory mechanisms
		Activity 2.5 Promoting knowledge management and exchanges in Climate Change (CC) and Forests for South-South cooperation
	Project Management Cost	Project management
		Direct project costs
		Provision of supervision to the project

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Schedule 2. Budget and Disbursement Plan

A. Disbursement Plan: Single Disbursement

The GCF will disburse the GCF Proceeds to the Accredited Entity in a single disbursement, which the Accredited Entity will utilize in accordance with the Funding Proposal, this Agreement and the RBP Transfer Agreement, as agreed with the Recipient.

Disbursements	GCF Proceeds
1	USD96,452,228
Total	USD96,452,228

B. Budget: Costs per Output/Breakdown

Component	Output	Activity	Executing Entity	Financing Source	GCF Amount (USD)
REDD+ Results Based Payments for Results Achieved by Brazil in the Amazon Biome in 2014 and 2015	Output 1 Floresta+ Incentives	1.1 Refinement of Floresta+ pilot programme and selection of implementing partners	UNDP	GCF	2,320,000
		1.2 Operation of Floresta+ Modality 1			49,400,000
		1.3 Operation of Floresta+ Modality 2			12,604,984
		1.4 Operation of Floresta+ Modality 3			7,500,000
		1.5 Operation of Floresta+ Modality 4			5,000,000
		1.6 Technical Monitoring of Floresta+			3,620,000
		1.7 Implementation of an outreach strategy for Floresta+			510,000
		Total Output 1			80,954,983
	Output 2 Implementation of the National REDD+ Strategy (ENREDD+)	2.1 Expansion of the forest monitoring system and improvement of the Measurement, Reporting and Verifying process for REDD+	UNDP	GCF	3,113,964
		2.2 Development of Public Policies Impact Matrix			190,000
		2.3 Improvement of REDD+ Safeguards Information System (SISREDD+)			1,400,200
		2.4 Strengthening ENREDD+ participatory mechanisms			1,059,600

		2.5 Promoting knowledge management and exchanges in CC and Forests for South-South cooperation			521,686
		Total Output 2			6,285,450
	Project Management Cost	Project management	UNDP	GCF	2,942,400
		Direct project costs			2,893,567
		Provision of supervision to the project			3,375,828
		Total Project Management			9,211,795
	Total Project Budget				96,452,228

C. Accredited Entity Fee Instalment Schedule:

%	Installments	Accredited Entity Fee (USD)
90%	1	506,374.20
	2	506,374.20
	3	506,374.20
	4	506,374.20
	5	506,374.20
	6	506,374.20
10%	7 (after final APR)	337,582.80
	Total	3,375,827.98

Schedule 3. Reporting

A. Reporting Period

The reporting period is six (6) years from the Effective Date, which covers the duration of the period to implement the Funded Activity ("**Reporting Period**").

During the Reporting Period, simplified APRs will be submitted in accordance with schedule set out in the AMA (as amended under Clause 1.05 above), and will include information on the activities undertaken with the GCF Proceeds as well as on the use of the GCF Proceeds in compliance with the Standards, Gender Policy, Indigenous Peoples Policy and the Policy on Prohibited Practices.

B. Project Calendar/Milestones

The reports indicated in the project calendar are due to be submitted as per the indicated timing. The APRs, Financial Information, audited and unaudited financial statement shall be submitted as set out in the AMA.

Milestones	Expected Dates
Start of Project Implementation	Effective Date
Project Completion Report	Within three (3) months after Completion Date
End of Project Implementation	Six (6) years after the Effective Date

C. **Implementation Timetable.** Annex X. Timetable for Programme Implementation of the Funding Proposal is modified as set out below and the Funded Activity shall be implemented in accordance with such modified timetable.

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Output/Activity/Input	Indicative Implementation Timetable																							
	Y1				Y2				Y3				Y4				Y5				Y6			
	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4
OUTPUT 1. Floresta+ Incentives																								
Activity 1.1 Refinement of Floresta+ pilot programme and selection of implementing partners	x	x	x	x																				
Activity 1.2 Operation of Floresta+ Modality 1					x	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x				
Activity 1.3 Operations of Floresta+ Modality 2					x	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x				
Activity 1.4 Operation of Floresta+ Modality 3					x	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x				
Activity 1.5 Operation of Floresta+ Modality 4					x	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x				
Activity 1.6 Technical Monitoring of Floresta+					x	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x		
Activity 1.7 Implementation of an outreach strategy for Floresta+			x	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x						
OUTPUT 2. Implementation of the National REDD+ Strategy (ENREDD+)																								
Activity 2.1 Expansion of the forest monitoring system and improvement of the Measurement, Reporting and Verifying process for REDD+	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x
Activity 2.2 Development of Public Policies Impact Matrix									x	x	x	x	x	x	x	x	x	x	x	x	x	x		
Activity 2.3 Improvement of REDD+ Safeguards Information System (SISREDD+)	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x
Activity 2.4 Strengthening ENREDD+ participatory mechanisms	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x
Activity 2.5 Promoting knowledge management and exchanges in CC and Forests for South-South cooperation				x	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x				
Project Management Cost																								
Project Management	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x
Direct project Cost	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x
Provision of supervision to the project	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x

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Schedule 4. Request for Disbursement[1]

[ACCREDITED ENTITY'S LETTERHEAD]

Green Climate Fund
175, Art Center-daero
Yeonsu-gu, Incheon 22004
Republic of Korea
Attn: [CFO]

[DATE]

Ref: Request for Disbursement – Funded Activity Agreement – Funded Activity: FP[***XX***] – Request for Disbursement [No. [____]]

Ladies and Gentlemen:

1. Reference is made to the Funded Activity Agreement dated as of [***DATE***] (the "Agreement") between [■] (the "Recipient") and the Green Climate Fund ("GCF"). Capitalized terms used but not defined in this request have the meanings assigned to them in the Agreement. The rules of interpretation set forth in Clause 1 of the Agreement shall apply to this request.
2. The Recipient irrevocably requests disbursement on [***DATE***] (or as soon as practicable thereafter) of the following amount(s):
   (a) [_____] [USD] under the Agreement (the "Disbursement"), in accordance with Clause 2 of the Agreement, to be transferred to the GCF Account – Account No. _____, [***SWIFT/ABA***] at [***name and address of bank***] in [***city/country***]; and
   (b) [_____] [USD] as payment of the Accredited Entity Fee, in accordance with Clause 3 of the Agreement, to be transferred to the Account No. _____, [***SWIFT/ABA***] at [***name and address of bank***] in [***city/country***].

   [GCF is requested to pay the amounts described in paragraphs (a) and (b) above to the GCF Account – Account No. _____, [***SWIFT/ABA***] at [***name and address of bank***] in [city and country].][2]
3. The Recipient certifies that all the conditions precedent set forth in Clause 7 of the Agreement have been satisfied.
4. The Recipient further certifies that the proceeds of all Disbursements shall be applied only for the purpose described in Clause 2 of the Agreement.
5. The above certifications are effective as of the date hereof and shall continue to be effective as of the date of disbursement for this Disbursement. If any certification is no longer valid as of or prior to such Disbursement, the Recipient will notify GCF immediately and, on demand, repay the Disbursement (or any portion thereof) if the Disbursement is made prior to GCF's receipt of such notice.
6. The Recipient acknowledges hereby that the total amount of funds disbursed by the GCF under the Agreement prior to the date of this Request for Disbursement are as follows:
   (a) [_____] [USD] as Grant; and
   (b) [_____] [USD] as towards payment of the Accredited Entity Fee.[3]

Yours truly,
[■]

By: _____
Authorized Representative

By: _____
Authorized Representative

[1] Schedule 4 - Request for Disbursement is referred to in the conditions for all disbursement of funds which includes the delivery of a Request for Disbursement in accordance with the template attached hereto (Schedule 4).
[2] Include if GCF Proceeds and the Accredited Entity Fee will be disbursed to the same accounts. If so, remove the bracketed language in paragraphs (a) and (b) above accordingly.
[3] To be tailored depending on the arrangements for the timing of disbursement of the Accredited Entity Fee.

GREEN
CLIMATE
FUND

MITIGATION & ADAPTATION

Executive Coordinator and Director
Global Environmental Finance
United Nations Development Programme
304 East 45th Street
New York, NY 10017
United States of America

Date : 14 January 2020
Reference : DMA/2020/06

Subject: Notice of Effectiveness of the Funded Activity Agreement FP100 – UNDP Brazil

Dear Executive Coordinator and Director of Global Environmental Finance,

Reference is made to the Funded Activity Agreement entered into by and between United Nations Development Programme ("UNDP"), and the Green Climate Fund ("GCF") on 27 August 2019 (the "FAA") in relation to FP100 "*REDD-PLUS results-based payments for results achieved by Brazil in the Amazon biome in 2014 and 2015*". In accordance with Clause 5.01 of the FAA, we hereby give you notice of our acceptance of the evidence required by such clause.

We hereby, therefore, confirm that the FAA is effective as of the date of this notice.

Please do not hesitate to contact us at dma.postapproval@gcfund.org in case of any queries.

Yours sincerely,

German Velasquez
Director

GREEN CLIMATE FUND
Songdo International Business District
175 Art Center-daero
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Funding Proposal

FP100: REDD-PLUS results-based payments for results achieved by Brazil in the Amazon biome in 2014 and 2015

Brazil | United Nations Development Programme (UNDP) | Decision B.22/07

28 February 2019

GREEN CLIMATE FUND

Funding Proposal

REDD-plus results based payments

Version 1.0

Accredited entities are expected to develop a funding proposal in close consultation with the relevant national designated authority and REDD-plus entity/focal point, in response to the request for proposals for the Pilot Program for REDD-plus results-based payments (Decision B.18/07). The funding proposal should follow the terms of reference of that Board decision and will be assessed per Stage 2 (sections 2 – 5) of the scorecard annexed to the same Board decision.

Program Title:	REDD+ results-based payments for results achieved by Brazil in the Amazon biome in 2014 and 2015
Country:	Brazil
Results period in this proposal:	2014 – 2015
National Designated Authority:	Secretariat for International Affairs, Ministry of Finance Mr. Marcello de Moura Estavão Filho Secretary for International Affairs and.gcf@fazenda.gov.br
REDD-plus entity/focal point	Ministry of Environment Mr. Jair Schmitt Director, Department for Forests and Fighting Deforestation jair.schmitt@mma.gov.br Ms. Monique Ferreira Coordinator for Forests Transparency and Finance Department for Forests and Fighting Deforestation monique.ferreira@mma.gov.be reddbrasil@mma.gov.br
Accredited Entity:	United Nations Development Program, UNDP
Date of first submission/ version number:	*2018-08-27 [V.1]*
Date of current submission/ version number	*2019-01-25 [V.2]*

GREEN CLIMATE FUND

Please submit the completed form to fundingproposal@gcfund.org
Please use the following naming convention in the subject line and file name:
"[Country] REDD-plus RBP FP-[Accredited entity]-yyyymmdd"

A. Proposed and projected REDD-plus results

Please provide the following information:

Total volume of REDD-plus results achieved in the results period as reported in the country's BUR technical annex (tCO_2eq):	The total volume of REDD-plus results achieved by Brazil in the Amazon biome[1] during the results period reported in the 2nd Biennial Update Report (BUR) technical annex (from 2011 to 2015) was 3,154,501,726.77 tCO_2e or 3.15 billion tCO_2e. The total volume of REDD-plus results achieved by Brazil in the Amazon biome that is eligible for the GCF pilot program (from 2014 to 2015) is 1,254,663,127.74 tCO_2e, or 1.25 billion tCO_2e. Table 1. REDD+ results from 2011 to 2015

Year	REDD+ results (tCO_2e/ year)
2011	622,451,671.72
2012	671,275,311.89
2013	606,111,615.42
2014	634,367,865.74
2015	620,295,262.00
Total (2011 – 2015)	**3,154,501,726.77**
Total (2014 – 2015)	**1,254,663,127.74**

Source: Brazil's 2nd BUR, REDD+ Technical Annex, 2017.

A= Achieved volume of REDD-plus results offered to the pilot program in this proposal (tCO_2eq):	Between 2006 and 2015, Brazil achieved significant results reducing emissions from deforestation in the Amazon biome (a total of 6,125,501,727.00 tCO_2e). **Only 2% of the total volume of REDD-plus results achieved between 2014 and 2015 (measured against FREL B) will be offered to the GCF in this proposal, a total of 25,093,262.55 tCO_2e or 25 $MtCO_2e$.** Table 2. REDD+ results offered to the GCF

Year	REDD-plus results (tCO_2e/ year) offered to the pilot program in this proposal (2% of the total REDD-plus results achieved by Brazil/ year)
2014	12,687,357.31
2015	12,405,905.24
Total (2014 – 2015)	**25,093,262.55**

Source: Brazil's 2nd BUR, REDD+ Technical Annex, 2017

[1] In addition to the Amazon biome, which comprises approximately 4,197,000 km^2 and corresponds to 49.29% of the national territory, Brazil has five other biomes: Cerrado (2,036,448 km^2 – 23.92% of the national territory), Mata Atlântica (1,110,182 km^2 – 13.04% of the national territory), Caatinga (844,453 km^2 – 9.92% of the national territory), Pampa (176,496 km^2 – 2.07% of the national territory), and Pantanal (150,355 km^2 – 1.76% of the national territory) (BRASIL, 2010, Volume 1, Table 3.85).

	So far Brazil received payments for less than 5% of its total REDD-plus results (for more information on payments see Section B.2.2 (viii) of this proposal). All the results already paid for have been excluded from the estimate of results offered to the GCF for payments. Since 1988 the Brazilian National Institute for Space Research (INPE) of the Ministry of Science, Technology, Innovation and Communication (MCTIC) monitors deforestation rates in the Legal Amazon region. Brazil used the Amazon Deforestation Monitoring Program (PRODES) as activity data for its REDD+ estimates. Every year, Brazil releases the deforestation rate for the previous year in the Legal Amazon region[2]. PRODES estimates are considered reliable by national and international scientists (Kintish, 2007). This system has been shown to be of great importance for the actions and planning of public policies in the Amazon. The PRODES database is open and available to the public. The methodology used by Brazil to estimate yearly deforestation rates in its REDD-plus technical submissions is modified, compared to the PRODES methodology. This was done to improve accuracy, verifiability and limit the scope to the Amazon biome, following the biome-level approach of the policies developed by Brazil to combat deforestation (more information in Section B.1.1 (ii.a) of this proposal). REDD-plus results are presented to the United Nations Framework Convention on Climate Change (UNFCCC) through the BUR. In 2014, after validation by the Working Group of Technical Experts on REDD+, as part of the domestic MRV process, Brazil submitted its 1st BUR and technical annex with REDD-plus results achieved in the Amazon biome between 2006 and 2010, measured against FREL A. In 2017, Brazil's 2nd BUR technical annex presented the REDD-plus results achieved by Brazil in the Amazon biome between 2011 and 2015, measured against FREL B. The 3rd BUR is expected to the submitted to the UNFCCC in 2019 and should include REDD-plus results up to 2017, measured against FREL C.
B= Expected volume of REDD-plus results to be achieved in the following years of the eligibility period (tCO_2eq):	Table 3 presents **an indication of the expected volume of REDD-plus results to be achieved by Brazil in the Amazon biome between 2016 and 2018, a total of 1,122,289,619.33 tCO_2e or 1.1 billion tCO_2e.**

[2] The Legal Amazon region is an area of approximately 5.217.423 km² (521.742.300 ha) that covers the totality of the following states: Acre, Amapá, Amazonas, Pará, Rondônia, Roraima and Tocantins; and part of the states of Mato Grosso and Maranhão. The Legal Amazon region encompasses three different biomes: the entire Amazon biome; 37% of the Cerrado biome; and 40% of the Pantanal biome.

Table 3. Expected volume of REDD+ results for the 2016 to 2018 period

Year	Expected volume of REDD+ result (tCO_2e)
2016	361,880,230.19
2017	392,437,303.00
2018	390,000,000.00
Total (2016-2018)	**1,122,289,619.33**

Source: REDD+Brasil and PRODES, 2018

Between 2014 and 2018, the expected volume of REDD-plus results to be achieved by Brazil in the Amazon biome is 2,398,980,660.93 tCO_2e, or 2.39 billion tCO_2e.

This amount, greatly exceeds the limit established by the GCF pilot program for REDD-plus results-based payments per country, which is USD 150 million or 30 million tCO_2e. **The GCF limit per country corresponds to 1.2% of the total REDD-plus results achieved by Brazil between 2014 and 2018.**

The REDD-plus results for year 2016 were preliminarily estimated using the FREL C and validated by the Working Group of Technical Experts on REDD-plus in February 28th, 2018 (Technical Note n. 285/ 2018-MMA).

The REDD-plus results for year 2017 have not yet been estimated by Brazil. The expected volume presented here, estimated only for this proposal, are based on the PRODES deforestation rate for year 2017 and the FREL average carbon content for the Amazon biome of 151.6 tC/ ha.

For year 2018, the emission reductions estimate was an extrapolation of 2017 results.

A+B =Total volume expected to be submitted to the pilot program (tCO_2eq):	Between 2014 and 2018, Brazil is expected to achieve a total reduction in emission from deforestation in the Amazon biome of around 2,398,980,660.93tCO_2e, or 2.39 billion tCO_2e. **Table 4 presents the total volume expected to be submitted to the pilot program for payments is 47,979,613.22 tCO_2e. This is 2% of the expected volume of REDD-plus results to be achieved by Brazil in the Amazon biome between 2014 and 2018.** This submission includes only results achieved in years 2014 and 2015. Brazil will submit the 2016 to 2018 REDD-plus results to the GCF for results-based payments in the future.

Table 4. Total expected volume of REDD-plus results for the eligible period (2014 to 2018) and the 2% to be offered by Brazil to the GCF

Year	Expected volume of REDD+ result to be achieved	Expected volume of REDD+ result to be offered to the GCF (2% of the total)
2014	634,367,865.74	12,687,357.31
2015	620,295,262.00	12,405,905.24
2016	361,880,230.19	7,237,604.60
2017	392,437,303.00	7,848,746.06
2018	390,000,000.00	7,800,000.00
Total (2014-2018)	2,398,980,660.93	47,979,613.22

Source: Brazil's 2nd BUR, REDD+ Technical Annex, 2017, REDD+Brasil and PRODES, 2018

The terms of reference for this GCF pilot program indicate that countries "will be expected to present a significant, indicative volume of results" throughout the eligibility period. A footnote explains that in this context, significative means "that the annual indicative volume of results should be proportional to the overall level of results achieved in relevant years".

The indicative volume of results to be presented by Brazil to the GCF is not significant if compared with the total amount of results achieved. It is, nevertheless, proportional for all years of the eligibility period.

The total payable volume per country is set by the terms of reference as 30Mt CO_2e for the entire length of the pilot. There are no rules concerning the allocation of **payments** per year within the eligibility period. Countries are required to present an **indicative significant volume**, , **proportional** for all years, as stated above. Country specific allocation, however, may vary and will be determined by the GCF based on the scorecard. There are no specifications of or restrictions on the volumes of REDD+ results countries elect to offer to the GCF.

B. Carbon elements

B.1. Forest Reference Emission Level / Forest Reference Level (FREL/FRL)

Please provide link to the FREL/FRL submission:
https://redd.unfccc.int/files/redd_brazil_frel_final_19nov.pdf

Please provide link to the UNFCCC Technical Assessment Report:
https://unfccc.int/resource/docs/2014/tar/bra01.pdf

B.1.1. UNFCCC Technical Assessment and Analysis process

(i) Consistency of the FREL/FRL: *Please provide any additional information that supplements the information contained in the Technical Assessment Report in relation to the consistency of the FREL/FRL with the GHG Inventory, including the definition of forest used. If the report identifies inconsistencies,*

explain these inconsistencies between the GHG inventory and FREL/FRL, and describe how they will be resolved in the next GHG inventory or FREL/FRL.

Brazil values and prioritizes data consistency and transparency as crucial to ensure a high level of confidence in its REDD+ estimates.

Paragraph 8 in Decision 12/CP.17 requires that FRELs/ FRLs shall be established maintaining consistency with anthropogenic forest-related greenhouse gas emissions (GHG) by sources and removals by sinks as contained in the country's National GHG Inventory.

In the Technical Assessment Report (TAR), the assessment team (AT) noted that, overall, **Brazil's FREL maintains consistency, in terms of sources for the activity data and the emission factors, with the national GHG inventory included in Brazil's Second National Communication (SNC),** the national GHG inventory available when Brazil submitted its FREL (FREL A and B) to the UNFCCC in 2014. In 2016, Brazil submitted to the UNFCCC its Third National Communication (TNC) with an updated national GHG inventory.

In 2018, Brazil submitted to the UNFCCC an updated FREL that will be used to estimate results achieved through reducing emissions from deforestation in the Amazon biome from 2016 to 2020 (FREL C).

Brazil applied the IPCC definition of consistency (IPCC, 2006) which is that an inventory should be internally consistent in all its elements over a period of years. "*An inventory is consistent if the same methodologies are used for the base year and all subsequent years and if consistent data sets are used to estimate emissions or removals from sources or sinks. An inventory using different methodologies for different years can be consistent if it has been estimated in a transparent manner considering the guidance in Volume 1 on good practice in time series consistency*" (IPCC Glossary, 2006).

Below is an assessment of the differences in emissions from gross deforestation in the Amazon biome as presented in Brazil's FREL and its Second National GHG Inventory (Box 1).

Box 1. Emissions from gross deforestation as presented in the Second National GHG Inventory and in the FREL

Table 3.97 from the Second National GHG Inventory provides the following information for the Amazon biome:

For the area of primary forest converted to other land uses:

- Total area of managed and unmanaged primary forest land (FM and FNM, respectively) converted to other land uses from 1994 to 2002, inclusive = 164,997.14 km^2.
- Average annual primary forest land area converted to other land uses from 1994 to 2002, inclusive = 164,997.14/8 years = 20,624.64 km^2.

The corresponding data in the FREL submission is as follows:

- Total area of managed and unmanaged primary forest deforested (adjusted deforestation increment) for all years from 1996 to 2002, inclusive = 137,860.00 km^2.
- Average annual area deforested in this period is 137,860.00/7 years = 19,694.29 km^2.

It is also important to note that the Second and the Third National GHG Inventories included emission estimates from the conversion of forest land (natural, secondary, subject to selective logging, planted) to other land-use categories. However, for REDD-plus purposes, Brazil only included emissions from conversion of natural forests to other land uses, given its importance. **The relative contribution of emissions from the conversion of other than primary forests to the total emissions from deforestation in the Amazon biome is low (only 1.57%** – refer to Table 3.98 in the Second National GHG Inventory).

Analysis of the differences

It is important to note that the analysis of the transition areas and associated emissions provided in the transition matrices in the Second National GHG Inventory (Table 3.97 and Table 3.98, respectively) was carried out only for two years (1994) and (2002), and the area changes were not adjusted for the different dates and/or the presence of clouds. Rather, a reporting category has been introduced in the transition matrix, referred to as areas not observed due to cloud cover.

The difference between the average annual area deforested (adjusted deforestation increment) from the submission and the average annual area of forest land converted to other land-uses from the Second National GHG Inventory was 930.36 km². This corresponds to a percent difference of 4.72% relative to the average annual area deforested in the period 1996 to 2002 presented in the FREL.

Table 5 provides the CO_2 emissions reported in the Second National GHG Inventory for the period 1994 to 2002, inclusive (Table 3.98) from conversion of Forest Land (FNM and FM) to Grassland (Ap), Cropland (Ac), Settlements (S), Reservoirs (R) and Others (O) which total 8,175,002,260.0 tCO_2. Thus, the average annual emission is 1,021,875,828.5 tCO_2 yr-1.

Table 5 also provides the CO_2 emissions for years 1996 to 2002 inclusive, estimated for the FREL, which total 7,141,038,666.2 tCO_2, providing an annual average emission of 1,020,148,380.9 tCO_2 yr-1.

The difference between the average annual emission from the SNC and the FREL is nearly zero, or 0.17%.

Table 5. Average annual emissions: FREL for the Amazon biome vs National GHG Inventory

Forest land conversion to: *		Ap	Ac	S	Res	O	Total emissions from 1994 to 2002 (tCO2)	Average annual emissions from 1994 to 2002 (tCO2)
Second Inventory **	FNM	6,882,784,770.0	901,422,860.0	11,017,800.0	5,610,650.0	4,605,170.0	8,175,002,260.0	1,021,875,282.5
	FM	322,777,250.0	39,564,070.0	1,101,070.0	145,090.0	2,943,490.0		
FREL	1996	979,523,413.9					Total emissions from 1996 to 2002 - FREL (tCO2)	Average annual emissions from 1996 to 2002 - FREL (tCO2)
	1997	979,523,413.9						
	1998	979,523,413.9						
	1999	979,523,413.9					7,141,038,666.2	1,020,148,380.9
	2000	979,523,413.9						
	2001	903,964,139.9						
	2002	1,334,457,456.9						
Percent Difference								0.17%

* Grassland (Ap), Cropland (Ac), Settlements (S), Reservoirs (R) and Others (O).

** Note that the emissions in Table 3.98 in the Second National GHG Inventory are reported in Gg CO2, and have been converted to t CO2 in the present table.

Source: FREL, 2014 and BRAZIL, 2010, Brazil's SNC, MCTIC.

The percent difference of 0.17% is indicative of results that are very similar despite the minor (but consistent) change in the methodology used for the purposes of the Second National GHG Inventory and the one applied to the FREL.

It is important to reiterate, and as the AT also noted, that the sources for the activity data and the emission factors are consistent between the Second National GHG Inventory and the FREL, with the activity data based on the analysis of remotely sensed data and the emission factors based on the same carbon map.

Brazil adopted Approach 3 for land representation, meaning that all the data on land conversions and lands remaining in a same land-use category between inventories are spatially explicit. The basis for all activity data in the Second National GHG Inventory, as well as the assessment of deforestation for the purposes of its FREL, was remotely sensed data of the same spatial resolution (Landsat-class, up to 30 meters).

The same national institutions and team engaged in the development of the land use, land use change and forestry (LULUCF) estimates for the Second National GHG Inventory were in charge of the annual estimation of the rate of gross deforestation for PRODES, ensuring an even greater consistency between the estimates for the Second National GHG Inventory and those used for the generation of PRODES data, which are the basis for estimating the gross CO_2 emissions from deforestation for the Amazon biome included in the FREL. The minimum mapping unit was defined as 1 mm^2 for the printed maps, which is equivalent to 6.25 ha on the surface. The digital PRODES data maintained this threshold to ensure consistency of the time series. Since 2008, the small deforestation patches under the minimum mapping area are monitored by INPE and are retrieved later by PRODES if they evolve into an area larger than 6.25 ha. The AT commended Brazil for its effort and encouraged Brazil to continue monitoring small deforestation events and to provide information on the extent of deforestation areas that are not retrieved later by PRODES, with the aim of showing that no significant deforestation is excluded from the FREL. This is being done by INPE/MCTIC.

Furthermore, the experts from the institutions responsible for the development of the Second National GHG Inventory and the PRODES data are also part of the Working Group of Technical Experts on REDD+ that supported the development of the FREL submission and its quality control.

LULUCF reporting under Brazil's Second National GHG Inventory covered the period 1994 to 2002 and included land-use transition areas and net CO_2 emissions for each individual biome. Hence, the figures provided in the Second National GHG Inventory for the area deforested in both managed and unmanaged forest land represent the area converted or maintained in the same land-use category for the 8-years interval between years 1994 and 2002. In addition, the figures provided in the Second National GHG Inventory considered both the emissions from the conversion to a new land-use category as well as removals from this new category. The Amazon biome data presented in the FREL refers only to gross emissions. The emissions associated with forest land converted to other land-use categories in the Second National GHG Inventory and those estimated for gross deforestation in Brazil's FREL for the Amazon biome are based on the same carbon map.

The forest definition used by Brazil in the construction of the FREL was the same as the one that Brazil used in its Second National GHG Inventory (i.e. minimum area of 0.5 ha, height of 5 m or more and at least 10 per cent canopy cover).

Area for future improvement: The AT considered the treatment of non-CO_2 gases as an area for future technical improvement.

Brazil's response: The FREL included only CO_2 emissions, consistent with the Second National GHG Inventory. The Third National GHG Inventory, submitted to the UNFCCC in 2016, two years after Brazil's submission of a FREL for results achieved between 2014-2015, included estimates of non-CO_2 emissions from biomass burning resulting from deforestation in the Amazon biome, but only for a single year (2010).

Box 2 below presents some considerations regarding the treatment of non-CO_2 gases. More information can be found in the next sections of this proposal.

Box 2. Consideration regarding non-CO_2 gases

Paragraph 29 of the TAR of the FREL submitted by Brazil to the UNFCCC indicated the treatment of emissions of non-CO_2 gases as an area for future technical improvement of the FREL. An analysis of the impact of non-CO_2 emissions of carbon monoxide (CO), methane (CH4), nitrous oxide (N_2O) and NOx for year 2010, included in the Third National GHG Inventory indicates the following emissions: 8,400 Gg; 549 Gg; 16 Gg; and 129 Gg, respectively.

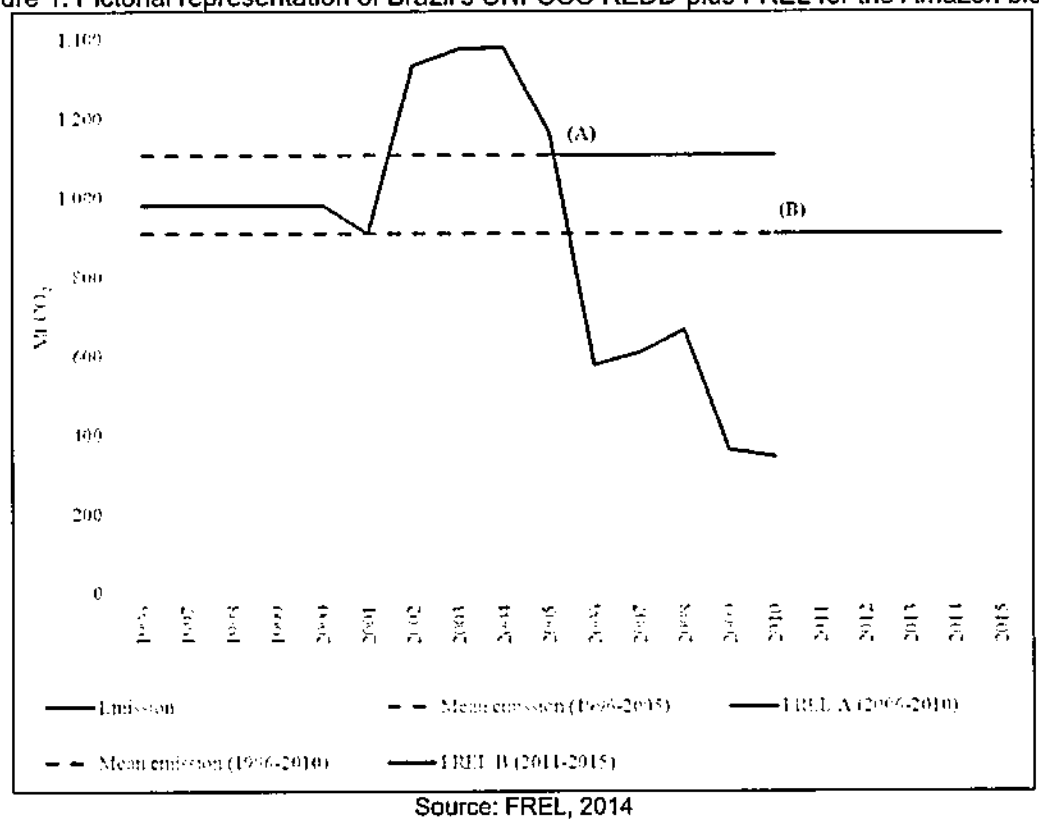
Non-CO_2 emissions from deforestation in the Amazon biome are not available for other years and hence, recalculation of the emission estimates to include non-CO_2 emissions would not be possible, nor would it be consistent overtime.

Estimation of non-CO_2 emissions from fire resulting from deforestation is expected to be improved in the next national GHG inventories. These estimates will be included in the national FREL to be submitted by Brazil to the UNFCCC in 2020 if consistency of the time-series can be assured and if deemed significant.

(ii.a) Data source of the FREL/FRL: *Please provide any additional information that supplements the information contained in the Technical Assessment Report in relation to the data used for to the construction of the FREL/FRL, specifying whether the FREL/FRL is based on historical data and is equal to or below the average annual historical emissions during the reference period.*

For results achieved in the period from 2011 to 2015, **the FREL (Figure 1) is equal to mean historical annual emissions from gross deforestation in the Amazon biome for the period 1996–2010 (historical data) and corresponds to 907,959,466 tCO_2 (FREL B).**

Figure 1. Pictorial representation of Brazil's UNFCCC REDD-plus FREL for the Amazon biome



Source: FREL, 2014

The gross emissions from deforestation in the Amazon biome were estimated by combining activity data (i.e. the area of annual gross deforestation) with the appropriate emission factors (i.e.CO_2 emissions associated with the corresponding forest type).

Activity data

The **activity data** used for the construction of the FREL for the Amazon biome were based on a historical time series from INPE/ MCTIC. Through PRODES, INPE/ MCTIC has been assessing annual gross

deforestation (clear cut in areas of primary forests) in the Legal Amazon since 1988 using Landsat-class satellite data on a wall-to-wall basis, with a minimum mapping unit of 6.25 ha.

The area of the Legal Amazon region (5,217,423 km^2) is 24.3% bigger than the Amazon biome, as it includes areas from the Cerrado and Pantanal biomes. The Amazon biome comprises approximately 4,197,000 km^2 and corresponds to 49.29% of the national territory.

For the construction of its FREL, Brazil used the PRODES data for the Legal Amazon region excluding the areas from other biomes. Activity data (area deforested) are available in analogue format until 1997 and in digital format from 1998 onwards. Only since 2001 are data in digital format available annually. No ground truthing was required for the Amazon biome owing to the unequivocal identification of the clear-cut patches through visual interpretation.

In response to technical inputs by the AT, Brazil clarified that gross deforestation under cloud-covered areas has been estimated, so as not to under- or overestimate deforestation in any particular year, by **using an approach (adjusted deforestation increment) that evenly distributes the area of the deforestation polygons observed in the satellite image for the first time over previously cloud-covered areas over the year of the observation and all previous year(s) with persistent cloud cover in the same area**. For more information on the different methodologies used to estimate the area of gross deforestation in the Amazon biome, see Box 3 below.

Box 3: Approaches to estimate the area of gross deforestation in the Amazon biome

There are several approaches to estimate the area deforested and different results may be obtained depending on the approach adopted. For example, the annual deforested area can be estimated from the annual increments of deforestation; from the annual rate of deforestation; or from the adjusted deforestation increment. The explanation provided below is meant to clarify these different approaches and terminologies.

(1) **Deforestation Polygons (at year t):** refers to new deforestation events identified from the analysis of remotely sensed data (satellite images) at year t as compared to the accumulated deforestation mapped up to year t-1. Each deforestation polygon is spatially identified (geocoded), has accurate shape and area representations, and has an associated date of detection (the date of the satellite image from which it was mapped). For each year, a map containing all deforestation polygons (deforestation map) is made available in shapefile format for PRODES (and hence, for the Amazon biome, after exclusion of the areas associated with the Cerrado and Pantanal biomes) at (http://www.obt.inpe.br/prodesdigital/cadastro.php). **This map does not include deforestation polygons under cloud covered areas.** However, the deforestation map also renders spatially explicit distribution of the cloud covered areas.

(2) **Deforestation Increment or Increments of Deforestation (at year t):** refers to the sum of the areas of all observed deforestation polygons within a given geographical extent. This geographical extent may be defined as the boundaries of a satellite scene which has the same date as the deforestation polygons mapped on that scene; or the entire Amazon biome, for which the deforestation increment is calculated as the sum of the individual deforestation increment calculated for each scene that covers the biome. **The deforestation increment may underestimate the total area deforested (and associated emissions), since it does not account for the area of deforestation polygons under clouds.**

(3) **Adjusted Deforestation Increment or Adjusted Increments of Deforestation (at year t):** this adjustment is made to the deforestation increment at year t-1 (or years t-1 and t-2, etc., as applicable) to account for deforestation polygons in areas affected by cloud cover and that are observable at time t. It is calculated according with the following equation:

$$Inc_{adj(t)} = Inc_{(t)} - \sum_{\Delta=1} A_{CC(t-\Delta),(t)} + \sum_{\Delta=1} \frac{A_{CC(t-\Delta),(t)}}{\Delta+1} + \sum_{\Omega-1} \frac{A_{CC(t+\Omega),(t)}}{\Omega+1}$$

Where:

Incadj(t) = adjusted deforestation increments at year t; km^2
Inc(t) = deforestation increment at year t; km^2
$\sum ACC(t-\Delta),(t)$ = area of the deforestation polygons observed (cloud-free) at year t over cloud-covered areas at year t- Δ ; km^2. Note that when Δ =1, ACC(t−1),(t) equals the area of the deforestation polygons observed at year t over cloud-covered areas at year t-1 (but which were under cloud-free at year t-2); for Δ = 2, ACC(t−2),(t) equals the area of the deforestation polygons observed at year t over an area that was cloud-covered at both years t-1 and t-2.
ACC(t+Ω),(t) = area of the deforestation polygons observed at year t+ Ω over cloud-covered areas at year t; km^2. Note that when Ω =1 , the ACC(t+1),(t) provides the area of the deforestation polygons observed at year t+1 over the area that was cloud-covered at year t; when Ω = 2 , the term ACC(t+2),(t) provides the area of the deforestation polygons observed at year t+2 over the area that was cloud-covered at years t and t+1.
Δ = number of years that a given area was persistently affected by cloud cover prior to year t but was observed at year t; Δ =1, 2, ...
Ω = number of years until a given area affected by cloud cover at year t is observed in subsequent years (i.e., is free of clouds); Ω = 1,2, ...

As an example, suppose that the area of the deforestation increment observed at year t, Inc(t), is 200 km^2 and that 20 km^2 of this occurred over primary forest areas that were cloud covered at year t-1 (but are cloud-free at year t). Since these 20 km^2 may accumulate the area of the deforestation polygons under clouds at year t-1 and the area of the deforestation polygons that occurred at year t, the deforestation increment may overestimate the total area deforested area (and associated emissions) at year t.

(4) **Deforestation Rate (at year t):** was introduced in PRODES to sequentially address the effect of cloud cover; and, if necessary, the effect of time lapse between consecutive images. The deforestation rate aims at reducing the potential under or over-estimation of the deforested area at year t. The presence of cloud-covered areas in an image at year t impairs the observation of deforestation polygons under clouds, and may lead to an **underestimation** of the area deforested; while the presence of clouds in previous years (e.g., at 17-year t-1) may lead to an **overestimation** of the area deforested if all deforestation under clouds at year t-1 is attributed to year t.

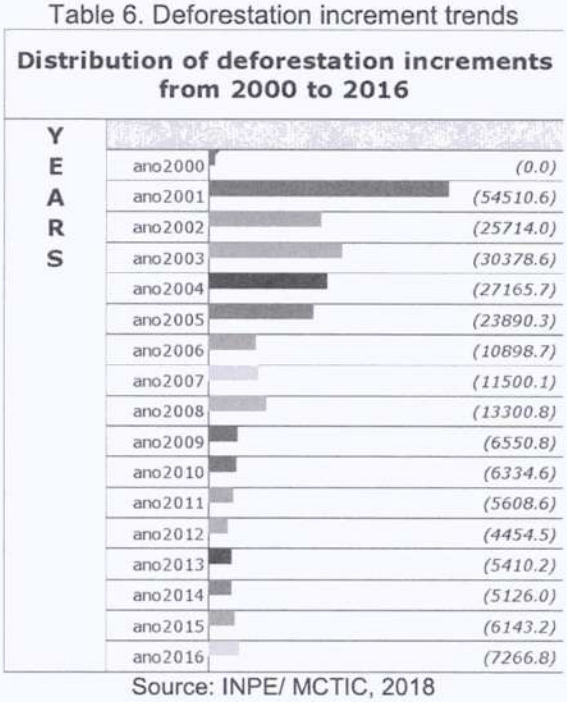
This over or under-estimation may also occur if the dates of the satellite images used in subsequent years are not adjusted. To normalize for a one-year period (365 days) the time lapse between the images used at years t and t+1, the rate considers a reference date of August 1st and projects the cloud corrected increment to that date, based on a model that assumes that the deforestation pace is constant during the dry season and zero during the wet season.

As an example of cloud correction, suppose that the primary forest area in an image is 20,000 km^2 and that 2,000 km^2 of this occurred over primary forest areas that were cloud covered. Suppose also that the observed deforestation increment is 180 km^2. As part of the calculation of the rate, it is assumed that the proportion of deforestation measured in the cloud-free forest area (18,000 km^2) is the same as that in forest under cloud (2,000 km^2). Therefore, the proportion 80/18,000 = 0.01 is applied to the 2,000 km^2, generating an extra 20 km^2 that is added to the observed deforestation increment. In this case, the adjusted increment of deforestation is 200 km^2.

IMPORTANT REMARKS:

(1) Note that at any one year, an estimate based on the adjusted deforestation increment may be higher or lower than the rate of gross deforestation.
(2) For the sake of verifiability, Brazil's FREL submission introduced a slight change in the methodology used in PRODES to estimate the annual area deforested. **The PRODES methodology to annualize observed deforestation and to consider unobserved areas due to cloud cover is not directly verifiable unless all the estimates are adjusted backwards.**
(3) The approach applied in Brazil's FREL submission relies on a verifiable deforestation map and does not annualize the time lapse between consecutive scenes. It deals with the effect of cloud cover by equally distributing the area of the deforestation polygons observed at year t over cloud-covered areas at year t-1 (or to years where that area was persistently cloud covered) among years t and t-1.
(4) **The use of the adjusted deforestation increments to estimate the gross deforestation area and associated gross CO_2 emissions is appropriate for the purposes of REDD-plus, since the areas covered by clouds in the Amazon biome were significant and non-consideration of deforestation under clouds could result in an underestimation of the annual emissions.**
(5) As seen in Table 6, in recent years, the availability of data from similar spatial resolution sensors to Landsat is reducing the need for adjustments, as deforestation under cloud-covered areas is assessed using alternative satellite data.

Table 6. Deforestation increment trends



Source: INPE/ MCTIC, 2018

The AT sought several clarifications on the estimation of activity data from Brazil. Brazil clarified that PRODES considers deforestation not only as the clear-cut in "intact" primary forest, but also as the clear-cut areas of primary forest that may have been previously subjected to a process of degradation (e.g. selective logging). The emissions from deforestation of these areas are estimated using the same carbon map.

Area for future improvement: The AT noted that the carbon density of the areas previously subjected to selective logging is likely to be lower than the carbon density of corresponding intact primary forests. Consequently, **the AT noted that for these areas the emission estimates used in the construction of the FREL include both the emissions from deforestation (clear cuts) and the emissions from degradation processes that occurred previously. The AT acknowledges the complexity of separating emissions between the two activities. The AT considers better understanding of the relationship between degradation and deforestation as an area for future technical improvement of the FREL.**

Brazil's response: The modified FREL submission clarified **that the extent of degraded area that is subsequently deforested is small** (see Table 7). Brazil continues its efforts to progress discussions on the best tools to generate estimates of forest degradation that are as accurate as possible. The major challenge of monitoring and addressing forest degradation adequately (in particular in relation to the anthropogenic contribution to the associated emissions) lies in the ability to accurately assess the changes of carbon stock in the areas affected by degradation, particularly aboveground biomass. Degradation may have different intensities, from very low (where few trees are removed) to very high (where, most likely, the land will be deforested at some point in time). As mentioned on the previous sections of this proposal, forest degradation is an area in which the Working Group of Technical Experts on REDD+ has worked intensively over the past few years and which will be included in Brazil's national FREL submission to the UNFCCC in the future.

Table 7. Percentage of the areas identified as degraded by DEGRAD and subsequently converted to clear-cut (deforestation) and included in PRODES, from 2007 to 2012.

% conversion of the area degraded (DEGRAD) to clear cut (PRODES)		PRODES (year)					
		2008	2009	2010	2011	2012	2013
DEGRAD (year)	2007	12	2	2	2	1	2
	2008		1	2	1	1	1
	2009			2	2	2	2
	2010				3	1	2
	2011					2	4
	2012						4

Source: FREL, 2014

The AT considered the exclusion of degraded areas conservative in the context of constructing the FREL.

Emission factors

Data from the Second National GHG Inventory (in tonnes of carbon per unit area, tC ha-1) were used to calculate the **emission factors**. The emission factors in the FREL were defined as the carbon densities in living biomass (above and below-ground biomass) and litter, consistent with those adopted in the Second National GHG Inventory. The carbon stock of the different forest types in the Amazon biome were estimated by combining sample-plot information (i.e. circumference at breast height (CBH)) from RADAMBRASIL (conducted between 1970 and 1985 this project collected geo-referenced data from 2292 sample plots, including CBH and height of all trees above 100 cm in CBH), with various equations (equations 5 to 9 in the modified FREL submission).

Box 4 below presents detailed information on the selection of the allometric equation to estimate aboveground biomass.

Box 4. Choice of the Allometric Equation to Estimate Aboveground Biomass

Four statistical models (linear, non-linear and two logarithmic) selected from thirty-four models in Santos (1996) were tested with data from 315 trees destructively sampled to estimate the aboveground fresh biomass of trees in areas near Manaus, Amazonas State, in the Amazon biome (central Amazon). This area is characterized by typical dense "terra firme" moist forest in plateaus dominated by yellow oxisols.

In addition to the weight of each tree, other measurements such as the diameter at breast height, the total height, the merchantable height, height and diameter of the canopy were also collected. The choice of the

best statistical model was made based on the largest coefficient of determination, smaller standard error of the estimate, and best distribution of residuals (Santos, 1996[3]).

In the case of each model, the difference between the observed and estimated biomass was consistently below 5%. In addition, the logarithm model using a single independent variable (diameter at breast height - DBH) produced results as consistent and as precise as those with two variables (DBH and height) (Higuchi, 1998[4]).

Silva (2007)[5] also demonstrated that the total fresh weight (above and below-ground biomass) of primary forest can be estimated using simple entry (DBH) and double entry (DBH and height) models and stressed that the height added little to the accuracy of the estimate. The simple entry model presented percent coefficient of determination of 94% and standard error of 3.9%. For the double entry models, these values were 95% and 3.7%, respectively. It is recognized that the application of the allometric equation developed for a specific area of the Amazon biome may increase the uncertainties of the estimates when applied to other areas.

In this sense, the work by Nogueira et al. (2008)[6] is relevant to be cited here. Nogueira et al. (2008) tested three allometric equations previously published and developed for dense forest in Central Amazon (CA): Higuchi et al. (1998), Chambers et al. (2001)[7] and Silva (2007). All three equations developed for CA tend to overestimate the biomass of the smaller trees in South Amazon and underestimate the biomass of the larger trees. Despite this, **the total biomass of the sampled trees estimated using the equations developed for CA was like those obtained in the field (-0,8%, -2,2% e 1,6% for the equations from Higuchi et al., 1998; Chambers et al., 2001 and Silva, 2007, respectively, due to the compensation of under and over-estimates for the small and larger trees.** However, when the biomass per unit area is estimated using the equations developed for the CA, the estimates were 6.0% larger for the equations from Higuchi et al. (1998); 8.3% larger for Chambers et al. (2001); and 18.7% for Silva (2007).

The AT noted that the "carbon map" used in the FREL, based on the RADAMBRASIL database, combined with an allometric equation (to relate above-ground fresh biomass to carbon densities), represented a significant effort aimed at recognizing the heterogeneity in carbon densities within the Amazon biome, and commended Brazil for this. In response to questions raised by the experts regarding apparent inconsistencies in the carbon map, Brazil explained that these were partly associated with the specific circumstances of the region (e.g. soil types, climatic conditions and flood regimes), and noted that the widely used RADAMBRASIL database is the best information available now.

Area for future improvement: The AT considers better understanding of the relationship between degradation and deforestation as an area for future technical improvement of the FREL. The AT noted that, when emissions from degradation are included in the FREL, Brazil will need to demonstrate how double counting of emissions included under degradation and deforestation is avoided (e.g. for forests that were subject to selective logging and subsequently clear cut).

The LULUCF experts encouraged Brazil to continue its efforts to improve its carbon map for the Amazon biome. The AT acknowledged the significant efforts made thus far by Brazil to assess the spatial distribution in carbon densities in the Amazon biome and commended Brazil for continuing to work on updating and

[3] SANTOS, J. 1996. Análise de modelos de regressão para estimar a fitomassa da floresta tropical úmida de terra firme da Amazonia brasileira. Tese de Doutorado, Universidade Federal de Viçosa, 121 p.
[4] HIGUCHI, N. DOS SANTOS, J., RIBEIRO, R.J., MINETTE, L., BIOT, Y. 1998. Aboveground biomass of the Brazilian Amazon rainforest. Acta Amazonica 28 (2), 153- 166.
[5] SILVA, R. P. 2007. Alometria, estoque e dinâmica da biomassa de florestas primárias e secundárias na região de Manaus (AM). Tese de Doutorado. Universidade Federal do Amazonas (UFAM), Instituto Nacional de Pesquisas da Amazônia (INPA), Manaus. 152 p. CDD 19. ed. 634.95.
[6] NOGUEIRA. E.M., FEARNSIDE, P.M., NELSON, B.W., BARBOSA, R.I., KEIZER, E.W.H., 2008. Estimates of forest biomass in the Brazilian Amazon: New allometric equations and adjustments to biomass from wood-volume inventories. Forest Ecology and Management 256, 1853-1867.
[7] CHAMBERS, J.Q., SANTOS, J., RIBEIRO, R.J., HIGUCHI, N., 2001. Tree damage, allometric relationship, and above-ground net primary production in central Amazon forest. Forest Ecology and Management 152, 73-84.

improving the carbon map based on new and improved ground data from its first National Forest Inventory (NFI).

Brazil's response: Brazil explained that the time series available is too short to allow an adequate understanding of the degradation process. Since 2015, Brazil has been working on building an understanding of forest degradation trends to allow for the construction of a credible time series for the Amazon and the Cerrado biomes and ensure that there is no double counting of emissions when considering deforestation and forest degradation. This included a Technical-Scientific Seminar on Degradation and Forest Regrowth (Secondary Vegetation) in the Amazon and the Cerrado biomes held in October 2017. Experts from well-known research centers, non-government organizations, the academia and other countries in the Amazon basin were invited by Brazil to participate in this seminar. In three days of work, the individual presentations from researchers as well as results from group discussions provided valuable inputs to create or improve Brazilian policies on climate change and forests. The objective was to better understand the forest dynamics to provide inputs for future REDD-plus submissions to the UNFCCC.

Experts agreed that, unlike the case of deforestation, better understanding of forest degradation and forest regrowth may require the production of new data by research institutions, as well as the assessment of the latest remote sensing products. **The major challenge of monitoring and addressing forest degradation adequately (in relation to the anthropogenic contribution to the associated emissions) lies in the ability to accurately assess the changes of carbon stock in the areas affected by degradation, particularly aboveground biomass.** Degradation may have different intensities, from very low (where few trees are removed) to very high (where, most likely, the land will be deforested at some point in time).

With regards to improvements in the carbon map, Brazil indicated that this will be possible with the conclusion of the country's first NFI, which is currently collecting the necessary data for the whole national territory. In the absence of new and reliable data, partial improvements in the carbon map have already been done through statistical adjustments for the TNC (finalized in 2016 after the submission of Brazil's FREL and 1st BUR).

(ii.b) If a country is considered HFLD: *Please provide the basis/justification for this classification.*

Not applicable. Brazil's is not a HFLD country.

(ii.c) FREL/FRL adjustments for a HFLD country: *If adjustments made, please provide information that the adjustment does not exceed 0.1% of the carbon stock over the eligibility period in the relevant area and/or exceed 10% of the FREL/FRL to reflect quantified, documented changes in circumstances during the reference period that likely underestimate future rates of deforestation or forest degradation during the eligibility period*

Not applicable. Brazil's is not a HFLD country.

(iii) FREL/FRL in accordance with 12/CP.17: *Please provide any additional information that supplements the information contained in the Technical Assessment Report in relation to the quantified estimate of the FREL/FRL. Include whether the FREL/FRL was constructed in accordance with the guidelines in Decision 12/CP.17; specifically on the modalities for FREL/FRL and whether the raised issues were material or not material to the quantified estimate of the FEEL/FRL.*

Brazil followed the modalities for forest reference emission levels from section II of Decision 12/ CP.17 for the submission of information on reference levels as contained in the Annex to the same decision. Brazil structured its FREL following the guidelines for submission of information on reference levels as presented in the Annex of Decision 12/ CP. 17 to include: (a) information that was used in constructing a FREL; (b) complete, transparent, consistent, and accurate information, including methodological information used at the time of construction of FRELs; (c) pools and gases, and activities which have been included in FREL; and (d) the definition of forest used in the construction of FREL.

The AT noted that the data and information used by Brazil in constructing its FREL are transparent and complete and are in overall accordance with the guidelines contained in the annex to decision

12/CP.17. All the elements in the annex of decision 12/ CP.17 were considered in the constructions of Brazil's FREL.

Brazil recalled in its FREL that paragraphs 10 and 11 of Decision 12/CP.17 (FCCC/CP/2011/9/Add.2) "agrees that a step-wise approach to a national FREL may be useful, enabling Parties to improve the FREL by incorporating better data, improved methodologies and, where appropriate, additional pools" and "acknowledges that subnational FRELs may be elaborated as an interim measure, while transitioning to a national FREL".

Brazil is a country of continental dimensions and with a large diversity of forest types, which makes the development of data at the national level a huge challenge. Brazil submission a subnational FREL for the Amazon biome comprised approximately 4,197,000 km^2 and corresponds to 49.29% of the national territory (a total of 8.516 million km^2, the fifth-largest country in the world, 2 times the size of the total area of the European Union).

In 2014, Brazil's FREL submission to the UNFCCC, included an Annex detailing the approach that the country plans to undertake to construct its national FREL for reducing emissions from deforestation. Six individual FRELs, one for each of the six biomes (see Figure 2) in the Brazilian territory will be constructed and their subsequent sum will be the national FREL.

Figure 2. The Brazilian biomes

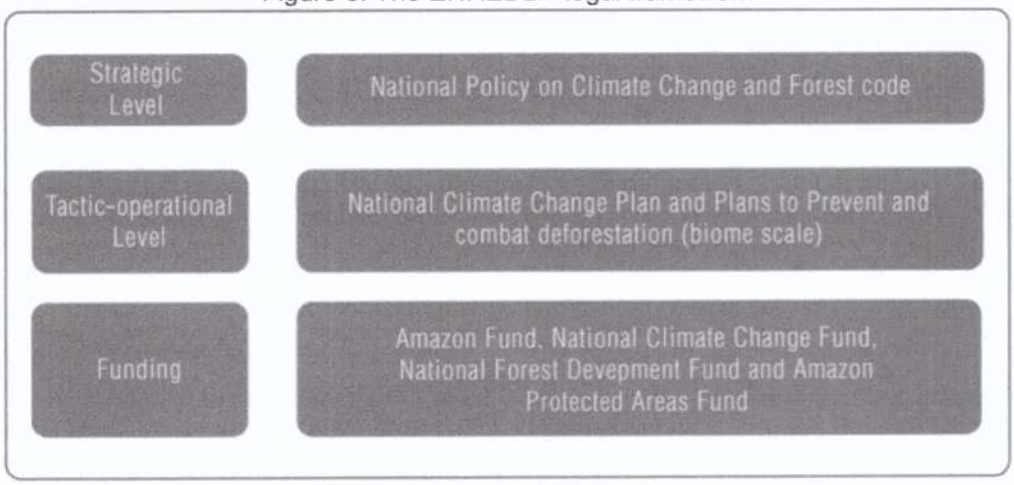
Source: FREL submission, 2014, Brazil.

In 2015, Brazil launched its National Strategy for REDD+ (ENREDD+) with the objective to scale up the implementation of policies to reduce deforestation and forest degradation from the Amazon and Cerrado biomes to the national level. To do that, the National REDD+ Committee (CONAREDD+) was established and representatives from all biomes were invited to participate in this governance structure. A series of policies, laws, regulations, actions and initiatives from various stakeholders contribute to REDD-plus implementation in Brazil, both at the national and local levels. Figure 3 presents a pictorial summary of the main policies, laws, regulations and funds that contribute to REDD-plus implementation in Brazil.

At the **strategic level**, the National Policy on Climate Change outlines the objectives and guidelines for addressing climate change in Brazil, providing the force of law to the national voluntary commitment of reducing GHG emissions by 36.1% to 38.9% in relation to the projected emissions until 2020. Regarding

specific REDD-plus actions, Brazil has the commitment to achieve, by 2020, a reduction of 80% in the rate of deforestation in the Amazon biome, to be measured against the historical average between 1996 and 2005 (19,625 km²), and 40% in the Cerrado biome, to be measured against the average between 1999 and 2008 (15,700 km²). For the other biomes, it seeks to stabilize emissions at 2005 levels.

Figure 3. The ENREDD+ legal framework



Source: Brazil's ENREDD+, 2015

Brazil's sovereign commitment to the protection of native vegetation and the integrity of the climate system for the well-being of present and future generations was reiterated by Law No. 12.651/2012 (Forest Code)[8]. The national law established restrictions to the use of certain areas of private properties, which should be covered by native vegetation. The Permanent Preservation Areas (APP) and Legal Reserve (RL), as defined by the law, must be maintained by the landholders. The proportion of RL depends on the region in which the rural properties are located. In the Amazon biome, the share of RL corresponds to 80% of the property located in forest covered regions, 35% of the ones situated in savanna-like regions and 20% of those in native grass covered regions. In all regions outside of the Amazon biome, the share of RL is 20%.

Promoting the environmental regularization of private rural areas is crucial for improving land use practices in the country and a key component of Brazil's strategy to keep deforestation under control. To this end, the Forest Code established mandatory registration on the Rural Environmental Registry (CAR) for all rural landholdings (Article. 29, Law No. 12.651/2012). The rural properties that have environmental liabilities relating to the insufficiency of APP and RL shall present a Degraded or Altered Area Recovery Project, which is an instrument of the Environmental Regularization Program, in accordance with Federal Decrees n. 7.830/2012 and n, 8.235/2014.

Faced with the challenge of implementing the Forest Code the Federal Government has instituted the National Policy for the Recovery of Native Vegetation, known as Proveg, through Federal Decree n. 8.972/2017. Proveg aims to articulate, integrate and promote policies, programs and actions that encourage the recovery of forests and other forms of native vegetation and to promote the environmental regularization of Brazilian rural properties, under the terms of the Forest Code, in a total area of at least 12 million hectares, by December 31, 2030. The main instrument of implementation of Proveg is the National Plan for the Recovery of Native Vegetation (Planaveg), launched through Inter-ministerial Ordinance No. 230, dated

[8] Beyond the revision of the Forest Code, in 2012, a series of advances in environmental policies and law occurred in the last twenty years, namely: the Law of Environmental Crimes (Federal Law n. 9.605/1998); the National System of Conservation Units (Federal Law n. 9.985/2000); the Law on Data and Information of the National Environment System (Federal Law n. 10.650/2003); the Priority Areas for Conservation, Sustainable Use and Biodiversity Benefits Sharing (Federal Decree n. 5.902/2004 and MMA's Ordinance n. 09/2007); Law on Public Forests Management (Federal Law n. 11.284/2006); the National Policy for Environmental and Territorial Management of Indigenous Lands (Federal Decree n. 7.747/2012); the Amazon Region Protected Areas Programme - ARPA (Federal Decree n. 8.505/2015),among others.

November 14, 2017. This funding proposal will support the continuation of the implementation of the Forest Code, by creating a program to incentivize forest conservation and restoration, providing positive incentives to smallholders, indigenous peoples and traditional communities, having as a basis the information from the National Rural Environmental Registry System (SICAR).

At the **tactical-operational level**, Brazil has developed biome-wide action plans for the prevention and control of deforestation, which are, at present, **the main instruments to promote integration and coordination of REDD+ initiatives**. The Amazon and the Cerrado are the biomes that have action plans under implementation. In addition to that, the nine states in the Legal Amazon region have similarly structured state plans.

The national and state plans feature analyses on land tenure issues, forest governance, the dynamics of deforestation and its main drivers, as well as about indigenous peoples and traditional communities. The plans also present a logical framework that guides the design and prioritization of actions to address the drivers identified; a detailed operational plan, assigning which body is responsible for each action, and the necessary resources for its implementation. The plans are reviewed and updated periodically.

Due to their relevance, the Action Plan for the Prevention and Control of Deforestation in the Legal Amazon (PPCDAm) and the Action Plan for the Prevention and Control of Deforestation and Forest Fires in the Cerrado (PPCerrado) were incorporated as instruments of the PNMC. They interface with the following Sectoral Plans: Climate Change Mitigation and Adaptation to Establish a Low-Carbon Economy in Agriculture (ABC Plan) and Steel Sector Emission Reductions (Charcoal Plan). Together, these plans form the pillars of the PNMC for mitigation in the LULUCF sector, contributing directly to REDD-plus.

The Action Plans will continue to be developed, as appropriate, at the biome level, to ensure that the particularities and the diversity of the different regions are considered in the definition of the policies and measures aimed at addressing the drivers at the local level. In other biomes, for example, the REDD-plus activities that will be prioritized may be different. Creating incentives for scaled up forest regrowth is key in the Atlantic Forest for example. At the same time, the national REDD+ scheme is in place to ensure that the same standards, principles and safeguards are followed by all biomes, and that the experience from the Amazon and the Cerrado biome could positively influence the other regions.

In 2015, to improve environmental monitoring at the national level, the Brazilian Biomes Environmental Monitoring Program was established, by the Ministry of the Environment of Brazil (MMA) Ordinance No. 365/2015. The strategy is to implement this program through partnerships between the MMA, MCTI through INPE, MAPA through Embrapa, and IBAMA, and other institutions, when appropriate. The funding will come from the Federal Budget, as well as from international cooperation and established funds, such as the Amazon Fund and the National Climate Change Fund. The Brazilian Biomes Environmental Monitoring Program is aligned with the objectives of the ENREDD+ and will deliver the enhancement and improvement of systems and monitoring protocols – particularly for the extra-Amazonian biomes – necessary for achieving the desired national scale. These initiatives will also provide important information to improve, at the national level, policies to combat deforestation and forest degradation and to foster forest recovery.

In 2017, as a sign of its commitment to the scaling up of REDD+ to the national level and using the data produced as part of the program detailed above, Brazil submitted to the UNFCCC a FREL for reducing emissions from deforestation in the Cerrado biome (FREL Cerrado). FREL Cerrado was technically assessed by two LULUCF experts selected from the UNFCCC roster. The results reducing emissions from deforestation in the Cerrado biome are expected to be submitted to the UNFCCC as part of the country's 3rd BUR in 2019.

Together, the **Amazon and the Cerrado biomes account for approximately 73% of the total national territory, an area of almost 6 million km^2**.

In 2018, following paragraph 12, of Decision 12/ CP.17, Brazil presented an updated version of its Amazon biome FREL (FREL C) for results achieved between 2016 and 2020. The FREL C is currently going through the UNFCCC technical assessment.

In FREL C Brazil indicated that its approach to scale up REDD-plus to the national level does not imply that the same pools and/or gases will be included in each individual FREL, due to the very different characteristics and dynamics of REDD+ activities in each biome. **Two important elements, in the view of Brazil, must be ensured: (i) the same reference period maintained for all the biome FRELs, and (ii) emission reduction results presented at biome level in the future are consistent with the corresponding biome FREL.**

Regarding the inclusion of other REDD-plus activities, Brazil will include reducing emissions from forest degradation in the biomes where this activity is considered by the Working Group of Technical Experts on REDD+ as a significant source of emissions. The same applies for pools and non-CO_2 gases. Until 2020, Brazil will focus its efforts to have a better understanding of and methods for accounting for the processes related to deforestation and forest degradation, including regrowth of secondary forests, which would result in a transition from gross to net emissions.

The AT commended Brazil for showing a strong commitment to continuous improvement of its FREL estimates, in line with the step-wise approach.

(iv) FREL/FRL transparency: *Please provide any additional information that supplements the information contained in the Technical Assessment Report in relation to the transparency of the FREL/FRL and whether significant issues were raised and resolved. If applicable, provide a plan on how to address and overcome issues that were not material to the transparency of the FREL/FRL raised in TA Report that couldn't be resolved due to time and data restrictions.*

The AT noted that the data and information used by Brazil in constructing its FREL are transparent. Digital PRODES allowed INPE/ MCTIC to make available through the web the deforestation maps in vector format, as well as all the satellite images used, thus ensuring full transparency to the public in general. For Brazil, the most important elements, before accuracy, are ensuring consistency and transparency of the data submitted.

The AT also considered that the additional information provided by Brazil in the modified submission after the inputs from the LULUCF experts considerably increased the transparency of its FREL and clarified the difference between FREL and PRODES data, without the need to alter the approach used to construct the proposed FREL.

The information provided in the FREL, including through the data made available on websites and the examples on how CO_2 emissions from deforestation were estimated, **increased the reproducibility of FREL calculations**.

Below are details about where and how all the information used by Brazil in the construction of its FREL can be easily accessed from websites that are freely and openly available to the public:

- **Satellite Imagery.** Remotely sensed data is the major source of information used to map deforestation polygons every year. The availability of all satellite images used since 1988 allows for the verification and reproducibility of annual deforestation polygons over primary forest in the Amazon biome as well as the cloud covered areas. Since 2003, INPE adopted an innovative policy to make satellite data publicly available online. The first step in this regard was to make available all the satellite images from the China-Brazil Earth Resources Satellite (CBERS 2 and CBERS 2B) through INPE's website (http://www.dgi.inpe.br/CDSR/). Subsequently, data from the North American Landsat satellite and the Indian satellite ResourceSat 1 were also made available. With this policy INPE became the major distributor of remotely sensed data in the world.

- **Deforestation polygons.** All deforestation polygons mapped for the Amazon biome (i.e., aggregated until 2007; aggregated for years 1998, 1999 and 2000; and annual from 2001 until 2010) are available at http://www.mma.gov.br/redd/index.php/en/forest-reference-emission-levelsfrel/spatial-information. This information is a subset of that made available since 2003 by INPE for PRODES at http://www.obt.inpe.br/OBT/assuntos/programas/amazonia/prodes. At this website, for each satellite image, a vector map in shapefile format is generated and made available, along with all the previous deforestation polygons, the areas not deforested, the hydrology network

and the area of non-forest. For PRODES, this information is provided for each State of the Federation and for the Legal Amazon.

- **Deforestation polygons by forest type and RADAMBRASIL volume.** To ensure transparency in the calculation of the annual adjusted deforestation increment and associated emission, a file that associates each deforestation polygon with its forest type and corresponding RADAMBRASIL volume has been generated for each year since 2000. Since these files are large in size, the file for 2003, containing 402,176 deforestation polygons, was made available through the following link: http://www.mma.gov.br/redd/index.php/en/forest-reference-emission-levels-frel/spatialinformation, as ***tab "2003" in file "calculo_def_increment_emission_2003.xls".***

- **Information for the calculation of the adjusted deforestation increment.** The information used to calculate the annual adjusted deforestation increment is provided in the website http://www.mma.gov.br/redd/index.php/en/forest-reference-emission-levelsfrel/spatial-information for years 2001, 2002, 2003, 2004 and 2005 **(shapefiles *"SPAgregado2012_CO2AmazoniaCompleto_pol_split1", "SPAgregado2012_CO2AmazoniaCompleto_pol_split2" and "SPAgregado2012_CO2AmazoniaCompleto_pol").***

- **Carbon map.** The map with the biomass density of living biomass (including palms and vines) and litter mass used to estimate the CO_2 emissions from deforestation is the same as that used in the Second National GHG Inventory to estimate CO_2 emissions from conversion of forest land to other land-use categories. The data collected by RADAMBRASIL were documented in 38 volumes. RADAMBRASIL data is provided for the relevant volumes at: http://www.mma.gov.br/redd/index.php/en/forestreference-emission-levels-frel/spatial-information

- **RADAMBRASIL data.** RADAMBRASIL collected a significant amount of data for each one of the 2,292 sample units. The relevant RADAMBRASIL data is provided for the sample units in the 31 relevant RADAMBRASIL volumes at site http://www.mma.gov.br/redd/index.php/en/forest-reference-emission-levels-frel/spatialinformation, i.e., the volumes most affected by deforestation (volumes 4, 5, 16, 20, 22 and 26) and the information relevant for the FREL, particularly CBH.

(v) FREL/FRL completeness: *Please provide any additional information that supplements the information contained in the Technical Assessment Report in relation to the understanding of the FREL/FRL and whether significant issues were raised and resolved. If applicable, provide a plan on how to address and overcome issues that were not material to the completeness of the FEL/FRL raised in TA Report that couldn't be resolved due to time and data restrictions. Include information that allows for the reconstruction of the FREL/FRL.*

Brazil's data is presented in a transparent and verifiable manner, allowing the reconstruction of all its technical REDD-plus submissions. **All the information was made available online and the sequence of steps to construct the FREL was presented in detail in section b.1 (p.26) of the modified submission developed during the TA, to allow for the full reconstruction of the results.** The following data and information were used in the construction of the FREL and are available for download at http://www.mma.gov.br/redd/index.php/en/forest-referenceemission-levels-frel/spatial-information:

(1) All the satellite images used to map deforestation polygons in the Amazon biome between 1996 and 2010;
(2) Accumulated deforestation polygons until 1997, inclusive;
(3) Accumulated deforestation polygons for years 1998, 1999 and 2000;
(4) Annual deforestation polygons for the period from 2001 to 2010, inclusive;
(5) Deforestation polygons by forest type attributes and RADAMBRASIL volume;
(6) Information that allow for the calculation of the adjusted deforestation increments for years 2001, 2002, 2003, 2004 and 2005 with a detailed example of the calculation done for year 2003 (see *"calculo_def_increment_emission_2003"* through the FTP link available on the website above);
(7) Map with the carbon densities of different forest types in Amazon biome (carbon map) consistent with the Second National GHG Inventory;
(8) Samples of relevant RADAMBRASIL data used as input for the allometric equation.

The AT noted that the emission factors used varied along the time series. To understand the reason behind this variation, the AT asked Brazil to provide information on annual deforestation area by forest type. In response to this request, Brazil provided a very detailed example for the year 2003 (in annex II of the modified FREL submission) showing how emissions from deforestation were calculated (item 6 listed above). This example included data on deforestation areas by forest type, RADAMBRASIL volume and the associated carbon densities.

The AT commended Brazil for this huge effort. The AT also noted that providing basic information on deforestation area (e.g. by forest type only) for all years would further improve the transparency and reproducibility of future FREL submissions. This recommendation was followed by Brazil and the basic information to allow for the re-calculation of the adjusted deforestation increments for years 2001 to 2005 (point 6 above) was included in the modified FREL and the REDD+ Brasil website.

The information provided in Brazil's FREL allows for the reconstruction of Brazil´s FREL. One should bear in mind that the exact value may not be necessarily reproduced due to rounding errors and the extensive amount of data in Annex II.1 of the revised FREL, as presented in the example of the independent reconstruction for year 2003.

The AT noted that the completeness of information improved significantly in the modified FREL submission and commends Brazil for the efforts made. **The AT considered that the information provided in the modified FREL submission on "verification activities" performed (e.g. comparison of the carbon map with data from the scientific literature) is useful, because it helps to build confidence in the estimated emissions.**

(vi) FREL/FRL consistency: *Please provide any additional information that supplements the information contained in the Technical Assessment Report in relation to the consistency of the methodology used over the time series used for the construction of the FREL/FRL, and whether significant issues were raised in the report and resolved. If applicable, provide a plan to address and overcome issues that were not material to the consistency of the FREL/FRL raised in TA Report that couldn't be resolved due to time and data restrictions.*

In assessing the extent to which the FREL is consistent with the information and descriptions provided by Brazil, the AT compared the time series of deforestation in the FREL (for the Amazon biome) with PRODES/ INPE/ MCTIC deforestation rate data (for the Legal Amazon).

The consistency of the PRODES time series is ensured by using the same deforestation definition, same minimum mapping area, similar satellite spatial resolution, same Forest/Non-Forest vegetation boundaries, and same methodological approach to analyze the remotely sensed data at every new assessment.

Forest areas affected by forest degradation that do not have a clear-cut pattern in the satellite imagery are not included in PRODES. A separate project, named DEGRAD, is carried out by INPE/ MCTIC to address forest degradation. This ensures the consistency of the PRODES deforestation time series over time.

At the start of PRODES, deforestation polygons were identified by visual interpretation on false color composites of Landsat imagery at the scale of 1: 250,000 and mapped on overlays that contained the aggregated deforestation up to the previous year. Subsequently these deforestation polygons were manually digitized in a Geographic Information System (GIS) developed by INPE. This analogical approach to assess deforestation (Analog PRODES) was employed from 1988 until 2002.

Due to the increased computing capability built by INPE, it was possible to transition to digital annual assessments of deforestation (Digital PRODES) after 2000, which was preceded by a 1997 digital base map.

Digital PRODES maintains full consistency with the Analog PRODES data. This includes consistency with the forest boundaries in Analog PRODES and the aggregated deforestation polygons. Despite the evolution to a digital assessment, the identification of the deforestation polygons continued to be carried out

through visual interpretation in the screen and not through digital classification methods. This ensured even greater consistency between the Analog and Digital PRODES.

Due to the large volume of analog data when Digital PRODES started, INPE decided to map the deforestation polygons from years 1998 to 2000 on an aggregated deforestation map until 1997 (digital base map). Hence, the deforestation polygons for these years were lumped into a single digital database, with no discrimination of the specific year when deforestation occurred.

From year 2000 onwards, the deforestation polygons have been annually assessed and included in the Digital PRODES database. The Digital PRODES allows for the visualization of the deforestation polygons every year, in a single file. Thus, the geographical expansion of deforestation, as well as its spatial pattern, can be assessed and monitored.

In summary, the digital database does not have individual deforestation information for years prior to 1997, inclusive; it has information for years 1998 to 2000 in an aggregated format; and information (deforestation polygons) for all years since 2000 on an annual basis.

Digital PRODES allowed INPE to make available through the web the deforestation maps in vector format, as well as all the satellite images used, thus ensuring full transparency to the public in general. **Since 2003, INPE began to publish the annual deforestation rate on the web, together with all the satellite imagery used to generate the information, and the maps with the identification of deforestation polygons.** Annually INPE provides for the download of approximately 215 Landsat satellite images of Landsat5/7/8 (or similar data as CBERS/CCD, ResourceSat/LISS3 and DMC). Each image is accompanied by the associated map containing all past deforestation. INPE continuously improves its tools to better manage large-scale projects. A few non-governmental organizations, state level entities and research centers have reconstructed and independently verified parts of the database of PRODES. For more information on the efforts of INPE to make deforestation data more accessible please see: https://blog.globalforestwatch.org/data/official-deforestation-data-for-the-brazilian-amazon-now-available-on-global-forest-watch

Deforestation rates were not the basis for the FREL calculations. The FREL was constructed based on adjusted deforestation increments (see detailed differences in Box 3 in section B.1.1. (iia), above) and these are two different approaches.

PRODES maps up to 2001 were analogic and constrained the integration with the carbon map adopted in this FREL. As an exercise, the annual CO_2 emissions per year were calculated taking as a basis the deforestation rates from PRODES and applying the average carbon stock per unit area (tC ha-1). This was done to assess the average difference in CO_2 emissions using the annual rates of gross deforestation from PRODES and the emission estimates presented in this submission for years 1996 – 2010 based on the adjusted increments. The formula[9] used was:

Deforestation rate (ha)/year * 151.6 tC/ha * 44/12

Table 8. Comparing emission estimates: PRODES deforestation rates versus the adjusted deforestation increment used as a basis for the FREL

[9] 151.6 tC/ha was the average carbon content for the whole Amazon biome considering different forest types. The FREL used spatialized information for the yearly estimates, not the average.

Year	Deforestation Rates PRODES (ha)	Deforestation Increments FREL (ha)	Emission PRODES (tCO2e) using average 151.6tC/ha	Emission FREL (tCO2e)
1996	1,816,100.00	1,874,013.00	1,009,509,453.33	979,523,618.00
1997	1,322,700.00	1,874,013.00	735,244,840.00	979,523,618.00
1998	1,738,300.00	1,874,013.00	966,263,026.67	979,523,618.00
1999	1,725,900.00	1,874,013.00	959,370,280.00	979,523,618.00
2000	1,822,600.00	1,874,014.00	1,013,122,586.67	979,523,849.00
2001	1,816,500.00	1,949,332.00	1,009,731,800.00	908,964,575.00
2002	2,165,100.00	2,466,605.00	1,203,506,920.00	1,334,458,299.00
2003	2,539,600.00	2,558,848.00	1,411,678,986.67	1,375,224,078.00
2004	2,777,200.00	2,479,432.00	1,543,752,906.67	1,380,142,199.00
2005	1,901,400.00	2,176,233.00	1,056,924,880.00	1,163,879,135.00
2006	1,428,600.00	1,033,687.00	794,111,120.00	576,136,731.00
2007	1,165,100.00	1,088,546.00	647,640,253.33	609,101,478.00
2008	1,291,100.00	1,237,179.00	717,679,453.33	669,215,058.00
2009	746,400.00	608,155.00	414,898,880.00	373,066,457.00
2010	700,000.00	610,642.00	389,106,666.67	362,507,087.00
Average	1,663,773.33	1,705,248.33	924,836,136.89	910,020,894.53
Difference (%)		-2.492827549		1.601931603

Source: Section I, Annex I of Brazil's FREL submission, 2018, p.82.

The average emissions from deforestation between 1996 and 2010, using PRODES rates was 924,836,136.89 tCO_2. The average emissions from deforestation between 1996 and 2010 presented in the FREL was 910,020,894.53 tCO_2. Since the FREL uses the average emissions, these differences balance out, resulting in only **a 1.6 per cent difference**.

Area for future improvement: The AT noted that information provided for the years 1996 and 1997 is less accurate (as the data were not based on measured data) and less consistent over the time series compared to the time series constructed from 1998 onwards. Overall, the AT considers that a better estimation of deforestation estimates for the years 1996–1997 (i.e. through the digitalization of the deforestation maps) is an area for future technical improvement.

Brazil's response: In response to this observation, Brazil indicated to the AT that it was seeking finance to complete the annual digital time series with data from 1996 to 2000, and that this would improve the accuracy of the estimates provided in the submission for the years 1996 and 1997, as well as for the individual years 1998, 1999 and 2000.

Since then, Brazil received inputs from various international stakeholders, with the general understanding that historical information before year 2000 should not be used in a future national FREL submission from Brazil to the UNFCCC in 2020.

Brazil's efforts now are focused on building deforestation data for all Brazilian biomes to scale up REDD-plus to the national level, rather than improving the historical data before year 2000 for the Amazon biome.

(vii) FREL/FRL accuracy: *Please provide any additional information that supplements the information contained in the Technical Assessment Report in relation to the accuracy of the FREL/FRL and whether significant issues were raised and resolved. This should include information on whether the data and methodologies used neither over- nor under-estimate emissions and/or removals during the reference period. If applicable, provide a plan to address and overcome issues raised in TA Report that were not material to the accuracy of the FREL/FRL and that couldn't be resolved due to time and data restrictions.*

The FREL accuracy can be estimated by assessing the accuracy of the activity data (adjusted deforestation increments) and of the emission factors (based on the RADAMBRASIL map and the allometric equation).

The REDD-plus decisions under the UNFCCC value the continuous update and improvement of relevant data and information over time. **Brazil is committed to continuously improve the accuracy of the estimates for all carbon pools included in the FREL. Work is underway as part of the process of development of Brazil's first NFI, to assess and reduce uncertainties and this process. This will contribute to improve the data for the construction of Brazil's national FREL.**

Accuracy of the activity data

Brazil uses the information from PRODES as a basis for its activity data. **The use of adjusted deforestation increments as activity data to estimate emissions from gross deforestation provides a more accurate, verifiable figure for the deforested area through time than the deforestation rate. As the analysis is carried out retrospectively, deforestation increments can be redistributed over time. See Box 3 for more details.**

Due to the characteristics of the time series data (e.g., annual wall-to-wall assessments, adjustment for different dates between annual assessments), the use of annual adjusted deforestation increments (instead of the data from the National GHG Inventories that do not present annual estimates but consider annual average estimates for periods of time) is **considered to be the most accurate for the purposes of the FREL construction for the Amazon biome**.

Brazil assumes that the biomass immediately after the forest conversion is zero and does not consider any subsequent CO_2 removals after deforestation (immediately after the conversion or thereafter). This assumption is made since Brazil has a consistent, credible, accurate, transparent, and verifiable time-series for gross deforestation for the Legal Amazon, PRODES (and hence, for the Amazon biome). A study conducted by Adami et al. (2017)[10] analyzed the accuracy of PRODES data, taking the data for the year of 2014 for the state of Mato Grosso as an example. Independent random samples from the 2014 satellite images were classified by independent evaluators as forest or deforestation in 2014.

Results show a global accuracy of 94.5% ± 2.05, consistent with the high-level accuracy estimated by expert judgment in the FREL. Adami et al. (2017), did not use the adjusted increments of deforestation, since the focus of their study was on the accuracy of the deforestation increment mapping using satellite imagery. Since the same class of satellite data was used for the FREL construction, as well as the same deforestation definition and minimum mapping area, it is expected that the accuracy of the deforestation increment mapping is very close to that which resulted from Adami et al. (2017) study (94.5 ±2.05%).

INPE is currently working on a plan to assess the accuracy of PRODES data for the whole Legal Amazon region. PRODES maps will be compared against remotely sensed satellite data with finer spatial resolution. Recently, satellite data with resolution of up to 3 meters and frequency and coverage that are suitable for this type of accuracy assessment has become available. A sampling design is being constructed to define the number of high resolution maps and information that will be required for this assessment. High resolution data are not freely available, so a cost estimate is currently underway to define the scope of the assessment. This accuracy assessment methods are being tested for robustness and functionality to grant full capacity to operationalize accuracy on a yearly basis starting with the 2019 PRODES map. The resources received through this proposal will be in part used to support this plan in the process of the development of the national FREL by 2020.

Accuracy of emission factors

[10] ADAMI, M.; GOMES, A. R.; BELLUZZO, A. P.; COELHO, A. S.; VALERIANO, D. M.; RAMOS, F. S.; NARVAES, I. S.; BROWN, I. F.; OLIVEIRA, I. D.; SANTOS, L. B.; EDUARDO, L. A confiabilidade do PRODES: estimativa da acurácia do mapeamento do desmatamento no estado Mato Grosso. In: SIMPÓSIO BRASILEIRO DE SENSORIAMENTO REMOTO, 18. (SBSR), 2017, Santos. Anais... São José dos Campos: INPE, 2017. p. 4189-4196. Internet. ISBN 978-85-17-00088-1. IBI: .

Estimating the emission factors accuracy in the Amazon region is a complex task. The emission factors were developed based on RADAMBRASIL, with data collected in the 1970's. Brazil's is currently working on its First National Forest Inventory. The data collected in this process will allow Brazil to construct a new carbon map for the Amazon region, which will include an accuracy assessment. This information should be available at the time of submission of the national FREL by 2020.

The methodology used in the Second National GHG Inventory, based on the RADAM data resulted in large differences in biomass with respect to the other maps, and large changes in biomass between adjacent surveyed areas and regions (corresponding to different RADAM data sheets) within the map. Nevertheless "the large apparent disparities in biomass calculated for the carbon map were not propagated into CO_2 emissions as the deforestation front in the analysis had not advanced to these areas." Indeed, the analysis of the deforestation polygons (per volume and forest type) for years 2002 to 2005 have consistently shown that deforestation concentrates mainly in the so called "Arc of Deforestation", corresponding to RADAM volumes 4, 5, 16, 20, 22 and 26. In addition, even within these volumes, the forest types affected by deforestation have been very consistent.

More details related to the uncertainty assessment of emission factors and the carbon map can be found in Section B.1.2 (xv) of this proposal.

(viii) Sources of emissions: *Please provide any additional information that supplements the information contained in the Technical Assessment Report in relation to whether all activities listed in paragraph 70 of UNFCCC decision 1/CP.16 ('REDD-plus activities') that are a significant source of emissions were included. If they were not, justify whether activities that are significant sources of emissions were not included due to lack of data and/or whether the omission overestimates emissions or underestimate removals. Provide also a plan to include all data on all REDD-plus activities that are significant sources of emissions in future FREL/FRL submissions.*

The TAR stated that Brazil included the most significant activity (reducing emissions from deforestation) of the five activities identified in paragraph 70 of decision 1/CP.16, in accordance with national capabilities and circumstances.

The AT noted that the current exclusion of degradation appears to be conservative in the context of constructing the FREL.

Brazil explained that other systems are in place to track forest degradation and logging in forest management plans in the Amazon biome. Brazil has, through INPE, implemented since 2008 a system to assess the areas affected by degradation in the Amazon biome, using satellite imagery of the same spatial resolution as that used to assess deforestation increments (Landsat, up to 30 meters). This system, referred to as DEGRAD, provides detailed maps of areas under a degradation process. **The time series is still too short to allow a better understanding of the degradation process (more details were presented in Section B.1.1 of this proposal).** Brazil explained at the time of the assessment that it intended to improve this understanding with time, as new data becomes available, allowing for the future inclusion of degradation in the national FREL.

The AT noted that, based on the data currently available, degradation trends are not uniform; but overall, for the Amazon biome, there has been a decreasing trend in forest degradation in recent years. Based on the available information, the AT noted that, so far, there is no evidence of displacement of emissions (i.e. decreased deforestation in the Amazonia biome resulting in increasing degradation).

The AT acknowledged the intention expressed by Brazil to: (i) continue monitoring forest degradation to assess whether the reduction of deforestation is leading to an increase in forest degradation activities (displacement of emissions) and (ii) include emissions from degradation in future FREL submissions when new, adequate data and better information become available.

(ix) Significant pools: *Please provide any additional information that supplements the information contained in the Technical Assessment Report in relation to the inclusion of the most significant pools. If applicable, justify whether significant pools were not included due to lack of data and/or the omission does not*

overestimate emissions or underestimate removals. In addition, provide a plan to include all significant pools in future FREL/FRL submissions.

Brazil's FREL for the Amazon biome included the pools "above-ground biomass", "below-ground biomass" and "litter", while "dead wood" and "soil organic carbon" are not included. These were the pools included in the carbon map from the Second National GHG Inventory, using information from RADAMBRASIL.

In assessing the pools and the gases included in the FREL, pursuant to paragraph 2(f) of the annex to decision 13/CP.19, **the AT acknowledged that Brazil included in the FREL the most significant pools in terms of emissions from forests.** The AT noted that the current omissions of pools and gases is likely to be conservative in the context of the FREL.

Soil organic carbon

Brazil explained in its FREL C (2018) that it has limited information on subsequent land-use after deforestation and its dynamics for the period considered in the FREL. However, Brazil mentioned two sources of information that were used as proxies to estimate the fate of soil carbon of the conversion from forest to other uses. First, there is the Second National GHG Inventory (2010) – the latest one at the time of the submission of the FREL, which includes data from a spatially explicit database for conversion to other lands from 1994 to 2002 per biome, including the Amazon. This source shows clearly that the main conversion in this period was from forest land to grassland (88.5 per cent). The second source of information is TerraClass, which estimated forest transitions for 2008 and 2010, according to which, the dominant conversion for 2008 and 2010 is again from forest land to grassland (approximately 80 per cent).

Given this information, Brazil carried out a literature review to assess the impact of forest conversions to pasture on soil organic carbon stocks. **This literature review indicated that, while generally there is a loss of carbon after the first years of conversion, the subsequent trend is strongly influenced by pasture management, with carbon levels under pasture being lower, similar to or even higher than those under native forests.** The soil depth and the timespan considered also influence this analysis. The conclusion by Brazil is that the **available literature has limitations and may not be representative of many situations that might occur in the Amazon biome**.

Area for future improvement: The AT identified the improvement in the understanding of soil carbon dynamics after the conversion of forest to non-forest as an area for future improvement of Brazil's REDD+ submissions to the UNFCCC. **The AT considered that the exclusion of soil organic carbon was adequately justified by Brazil and commended the efforts to obtain better information on this pool in the future, with the aim of including it as part of the step-wise approach.**

Brazil's response: In its FREL C (2018), Brazil stated that it plans to intensify efforts to better understand the dynamics of carbon in soils after conversion, including expanding the literature review and stimulating new research, bearing in mind that changes may not occur rapidly after the conversion and that they are dependent on pasture management.

Dead wood

Regarding emissions from dead wood, the AT requested clarification on the reasons for the omission of this pool. Brazil explained that the rationale behind the non-inclusion was the consideration that emissions from dead wood are not avoided when deforestation is reduced, as they are part of the natural process of decomposition (i.e. "the issue is related only to the time when the emissions are released").

The AT considered that when deforestation occurs, there are emissions from dead wood to the atmosphere that would need to be estimated. Furthermore, the AT noted that the IPCC good practice guidance for LULUCF provides a method for estimating carbon stock changes in dead wood (refer to chapter 3.4.1.2.1 for forest land converted to grassland: dead wood "should be assumed oxidized following land conversion") and the corresponding default emission factor (refer to table 3.2.2: 18.2 t C/ha for dead wood stock in tropical forests).

Area for future improvement: The AT noted that the current omissions of pools and gases is likely to be conservative in the context of the FREL. Nevertheless, the AT identified the treatment of emissions from dead wood (i.e. the inclusion of this pool or the provision of more information on the justification of its omission) as an area for future technical improvement.

Brazil's response: Following this recommendation, Brazil explained in more details the justification for the omission of dead wood pool in its FREL C (2018) submission. The Third National GHG Inventory (2016) included dead wood pool. The emission factors used in the Third National GHG Inventory for the Amazon biome were applied to the deforestation data from 2002 and 2015.

The effect of the carbon map in the Second and Third National GHG Inventory is presented in Table 9. Since the carbon map in the Third National GHG Inventory includes living biomass, litter and dead wood, the effect was assessed as follows:

(i) maintain the same carbon pools, i.e., excluding the dead wood pool from the carbon map in the Third National GHG Inventory; and
(ii) maintain the carbon map from the Third National GHG Inventory, with the four carbon pools.

In the Third National GHG Inventory, the percent contribution of the dead wood pool to the total biomass per hectare was discriminated for dense and non-dense forests. The mean ratios of the carbon in the dead wood pool to the carbon in dry biomass were estimated as 7.1% and 8.6% for dense and non-dense forests, respectively. Since the dead wood pool was included in the carbon map, together with living biomass and litter, a preliminary evaluation was made of the effect of the use of the carbon map in the Second and the Third National GHG Inventories with consideration of the same pools (living biomass and litter), as well as with the addition of the dead wood pool. The emission estimates have been generated from the deforestation increments and not from the adjusted deforestation increments. The results can be found on directory "Other relevant information and data" http://redd.mma.gov.br/en/infohub, file "WORKSHEET_FREL_C", rows 36 - 55, columns B – L.

Table 9. Differences in estimates from the Second and the Third National GHG Inventory

	t CO_2 II Inventory (living biomass and litter)	t CO_2 III Inventory (living biomass and litter)	% difference (II – III)[38]	t CO_2 III Inventory (living biomass, litter and dead wood)	% difference (II – III) with dead wood included
2001	914,948,218	937,847,755	2.50	1,030,601,928	12.64
2002	1,206,821,066	1,219,576,620	1.06	1,340,194,088	11.05
2003	1,509,152,483	1,516,114,474	0,46	1,666,059,861	10.40
2004	1,339,437,300	1,330,016,121	-0.70	1,461,556,177	9.12
2005	1,145,213,623	1,140,289,111	-0.43	1,253,064,957	9.42
2006	563,497,470	571,609,609	1.44	628,142,427	11.47

2007	588,196,437	597,720,394	1.62	656,835,597	11.67
2008	657,188,945	665,213,444	1.22	731,003,785	11.23
2009	354,487,621	347,810,179	-1.88	382,208,988	7.82
2010	341,843,471	340,429,142	-0.41	374,097,959	9.44
2011	310,756,848	303,414,099	-2.36	333,422,087	7.29
2012	226,677,963	224,889,100	-0.79	247,130,880	9.02
2013	282,107,626	278,471,430	-1.29	306,012,561	8.47
2014	268,450,749	266,352,017	-0.78	292,694,524	9.03
2015	328,223,858	319,749,663	-2.58	351,373,256	7.05
Mean	**669,133,578**	**670,633,544**	**-0.22**	**736,959,938**	**-9.68**

Source: FREL C submission, 2018

With the mean difference of less than 10%, Brazil considers that the dead wood pool is not a significant source of emissions and hence, does not include it in the FREL. Furthermore, by not including this pool, Brazil is being conservative with its estimates for the FREL.

(x) Emissions from gases: *Please provide any additional information that supplements the information contained in the Technical Assessment Report in relation to the inclusion of all gases that are significant sources of emissions. If not all of the gases were included, justify whether gases that are significant sources of emissions were not included due to lack of data and/or whether the omission overestimates emissions or underestimates removals. Provide also a plan to include all significant pools in future FREL/FRL submissions.*

Brazil's FREL for the Amazon biome includes CO_2 emissions. Non-CO_2 emissions in the Amazon biome are normally associated with the recurrent burning of tree residues left on the ground after deforestation activities. **The exclusion of non-CO_2 gases is conservative because a decrease of deforestation is associated with a decrease of non-CO_2 gases**.

Area for technical improvement: The AT considers the treatment of non-CO_2 gases as an area for future technical improvement to maintain consistency with the GHG inventory included in the national communication.

Brazil's response: Following this recommendation, Brazil presented in FREL C (2018) an analysis of the impact of non-CO_2 emissions of carbon monoxide (CO), methane (CH4), nitrous oxide (N_2O) and NOx for year 2010, included in the Third National GHG Inventory indicates the following emissions: 8,400 Gg; 549 Gg; 16 Gg; and 129 Gg, respectively. **Non-CO_2 emissions from deforestation in the Amazon biome are not available for other years and hence, the recalculation of the emission estimates to include non-CO_2 emissions would not be possible at this point.**

Estimation of emissions from fire resulting from deforestation is expected to be improved in the next National GHG Inventory, and if possible, non-CO_2 emissions from fire will be included in the national FREL, for the biomes where this is a significant source of emissions if consistency of the time-series can be assured and if deemed relevant.

(xi) IPCC guidance for FREL/FRL: *Please indicate if the whether the construction of the FREL/FRL (data, methodologies and estimates) was guided by 2003 GPGs or 2006 GLs.*

For the construction of the FREL of the Amazon biome, Brazil followed the methodological guidance contained in the IPCC Good Practice Guidance for Land Use, Land-use Change and Forestry (IPCC, 2003) as a basis for estimating changes in carbon stocks in forest land converted to other land-use categories, the same methodology used in the Second National GHG Inventory.

For any land-use conversion occurring in a given year, GPG LULUCF considers both the carbon stocks in the biomass immediately before and immediately after the conversion.

Brazil adopted approach 3 for land representation, meaning that all the land conversions and lands remaining in a same land-use category between inventories are spatially explicit.

(xii) Issues related to applying IPCC guidance: *Please mention any significant issues related to the application of IPCC GLs/GPGs as raised in the TA report. Include any significant issues that are material to the alignment with the methodologies of the IPCC GLs/GPGs that were raised in the TA report and whether significant issues were raised and resolved. If applicable, provide a plan to address and overcome issues raised in TA Report that were not material to the application of IPCC guidance and that couldn't be resolved due to time and data restrictions.*

As detailed in section B.1.1, (ix) of this proposal, the AT noted that the IPCC good practice guidance for LULUCF provides a method for estimating carbon stock changes in dead wood (refer to chapter 3.4.1.2.1 for forest land converted to grassland: dead wood "should be assumed oxidized following land conversion") and the corresponding default emission factor (refer to table 3.2.2 18.2 t C/ha for dead wood stock in tropical forests).

Area for technical improvement: The TA report considered the treatment of emissions from dead wood (i.e. the inclusion of this pool or the provision of more information justifying its omission) as an area for future technical improvement of the FREL.

Brazil's response: Considering that the mean difference with the inclusion of deadwood is less than 10%, Brazil considers that this pool is not a significant source of emissions. Furthermore, by not including this pool, Brazil is being conservative on its estimates for the FREL.

B.1.2. Additional criteria related to FREL/FRL

(xiii) Reference period for the FREL/FRL: *Please indicate the reference period (number of years) applied for the construction of the FREL/FRL.*

The reference period used by Brazil in the construction of the FREL for the Amazon biome was 1996 to 2010, a total of 15 years.

(xiv) If previous reference level submitted: *Please indicate whether a previous reference level applying to the same area was submitted. If so, describe the difference between the emissions and removals used for the previous one and the current one. Describe any adjustments made to the current FREL/FRL compared to the previous one, if applicable.*

The FREL for the Amazon biome (FREL A and B) was the first reference level submitted to the UNFCCC in the context of results-based payments. This submission, in June of 2014, came right after the rules and procedures for the implementation of the Warsaw Framework for REDD-plus had been agreed upon by Parties in December of 2013 at COP 19. No previous reference levels had been submitted to the UNFCCC by any Party before that.

Even though REDD+ UNFCCC decisions do not require developing countries to be conservative in their approach to construct their FREL/FRL, Brazil's FREL for the Amazon biome included an adjustment downwards every five years. FREL B (object of this proposal) is lower than FREL A. This downwards adjustment was included in Brazil's FREL methodology to reflect the progress made in the implementation of policies and measures to reduce deforestation in the Amazon region since 2005.

In 2018, Brazil submitted to the UNFCCC an updated FREL (FREL C) for the Amazon biome so that results from 2016 to 2020 could be measured. FREL C includes new data for years up to 2015 and more detailed information about ongoing processes to continuously improve the REDD-plus technical submissions towards building a national FREL by 2020.

(xv) Uncertainties: *Please indicate whether the country has provided information on aggregated uncertainties of the emissions or removals estimate, considering national capabilities and circumstances, and if so, indicate the percentage of aggregate uncertainties and provide information on assumptions and sources. If applicable, indicate the process implemented to minimize systematic and random errors.*

The AT commended Brazil for the information provided in the revised FREL submission on ongoing efforts to estimate carbon densities, including detailed information on uncertainties.

There is a low level of uncertainty associated with the activity data used for the construction of the FREL for the Amazon biome. The definition of deforestation adopted for PRODES and maintained in the FREL (i.e., clear cut), in conjunction with the annual wall-to-wall assessment of deforestation based on satellite imagery of high spatial resolution (up to 30 meters) allows deforestation polygons to be identified and mapped with very high accuracy. No ground-truth is required for the Amazon biome since there is an unequivocal identification, based on visual interpretation, of the clear-cut patches in the Landsat imagery from one year to another. Only new polygons of deforestation are mapped each year on the aggregated deforestation map containing deforestation up to the previous year.
Brazil is working to develop a protocol for accuracy assessment of PRODES data, which will significantly reduce the uncertainties associated with the activity data estimates. These efforts are described in section B.1.1 (vii) of this proposal.

The literature on uncertainties indicates that the largest uncertainties for REDD+ activities relate to the spatial distribution of biomass and to the spatial pattern of forest cover change, rather than to total globally or nationally summed carbon density[11].

Uncertainties associated with the carbon map may arise from the allometric equation. It is recognized that the application of the allometric equation developed for a specific area of the Amazon biome may increase the uncertainties of the estimates when applied to other areas. In this sense, the work by Nogueira et al. (2008)[12] tested three allometric equations previously published and developed for dense forest in Central Amazon (CA): Higuchi et al. (1998), Chambers et al. (2001)[13] and Silva (2007). All three equations developed for CA tend to overestimate the biomass of the smaller trees in South Amazon and underestimate the biomass of the larger trees. Despite this, **the total biomass of the sampled trees estimated using the equations developed for CA was like those obtained in the field (-0,8%, -2,2% e 1,6% for the equations from Higuchi et al., 1998; Chambers et al., 2001 and Silva, 2007, respectively, due to the compensation of under and over-estimates for the small and larger trees.** However, when the biomass per unit area is estimated using the equations developed for the CA, the estimates were 6.0% larger for the equations from Higuchi et al. (1998); 8.3% larger for Chambers et al. (2001); and 18.7% for Silva (2007). More details on the choice of allometric equation were presented in Box 4 above.

Other sources of uncertainty in the REDD+ estimates include: (1) data collection, sampling design; (2) aggregated forest type; (3) rules used to estimate the carbon density of the forest types per RADAMBRASIL volume. **It is difficult to associate uncertainties to most of these elements.** RADAMBRASIL data, for instance, was collected under strenuous circumstances in the 1970s, by different teams. Also, by that time the technologies that exist today were not available or accessible (GPS, for example). The aggregation of the diverse forest types in the Amazon forest classes may also generate uncertainties, but these are difficult

[11] Edward TA Mitchard, Sassan S Saatchi, Alessandro Baccini, Gregory P Asner, Scott J Goetz, Nancy L Harris and Sandra Brown. Uncertainty in the spatial distribution of tropical forest biomass: a comparison of pan-tropical maps (2013).
[12] NOGUEIRA. E.M., FEARNSIDE, P.M., NELSON, B.W., BARBOSA, R.I., KEIZER, E.W.H., 2008. Estimates of forest biomass in the Brazilian Amazon: New allometric equations and adjustments to biomass from wood-volume inventories. Forest Ecology and Management 256, 1853-1867.
[13] CHAMBERS, J.Q., SANTOS, J., RIBEIRO, R.J., HIGUCHI, N., 2001. Tree damage, allometric relationship, and above-ground net primary production in central Amazon forest. Forest Ecology and Management 152, 73-84.

to access without a NFI. **This is one area where improvements may be expected in the medium term, with the completion of Brazil's first NFI. The new data will be used a basis for Brazil's national FREL submission by 2020.**

Estimating the uncertainty associated with the carbon map is extremely complex. There are several carbon maps for the Amazon biome published in the literature. Most of them constructed using satellite data, including the airborne LIDAR data and plot information. Some incorporate only aboveground biomass, whereas others include living biomass and other pools. The accuracy of the map can be assessed in case adequate and representative ground datasets for calibration are available. This may exist in some areas in Amazon but do not exist for the entire Amazon biome.

A paper (Ometto et al., 2014) [14] examines the influence of the use of different biomass maps for the Amazon biome on uncertainty in carbon emission calculations due to land cover change in recent years and in future scenarios. Five maps are compared (Saatchi et al. (2007; 2011); Nogueira et al. (2008); MCT (2010); and Baccini et al. (2012). Some results indicate that the map used in the FREL (MCT (2010) and that from Nogueira et al. (2008) have similar spatial distribution of the biomass density classes. The paper indicates that the methodology used in the Second National GHG Inventory, based on the RADAM data resulted in large differences in biomass with respect to the other maps, and large changes in biomass between adjacent surveyed areas and regions (corresponding to different RADAM data sheets) within the map.

It concludes that the methodology used to construct the carbon map, based on the RADAM data (1: 1,000,000) "resulted in large differences in biomass with respect to the other maps, and large changes in biomass between adjacent surveyed areas and regions (corresponding to different RADAM volumes) with the carbon map." And continues to say that "the large apparent disparities in biomass calculated for the carbon map were not propagated into CO_2 emissions as the deforestation front in the analysis had not advanced to these areas." Indeed, the analysis of the deforestation polygons (per volume and forest type) for years 2002 to 2005 have consistently shown that deforestation concentrates mainly in the so called "Arc of Deforestation", corresponding to RADAM volumes 4, 5, 16, 20, 22 and 26. In addition, even within these volumes, the forest types affected by deforestation have been very consistent.

The REDD-plus decisions under the UNFCCC value the continuous update and improvement of relevant data and information over time. **Work is underway as part of the process of development of Brazil's first NFI, to assess and reduce uncertainties. Brazil will contribute to improve the data for the construction of national FREL.**

[14] Ometto, J.P.; Aguiar, A.P.; Assis, T.; Soler, L.; Valle, P.; Tejada, G.; Lapola, D.M.; Meir, P. Amazon forest biomass density maps: tackling the uncertainty in carbon emission estimates. Climatic Change (2014) 124:545-560. DOI 10.1007/s10584-014-1058-7.

(xvi) Please indicate whether different FREL/FRLs have been used for different funding sources or other purposes, and if so, list and describe them.

The Amazon Fund Baseline (2008)

The Amazon Fund is a REDD-plus mechanism created by Brazil in 2008 (Federal Decree n 6527/ 2008) to raise donations for non-reimbursable investments in efforts to prevent, monitor and combat deforestation, as well as to promote the preservation and sustainable use in the Brazilian Amazon. The Amazon Fund is managed by BNDES, the Brazilian Development Bank, which is responsible for raising and investing funds, monitoring the projects supported, rendering accounts and communicating results obtained. The main donors of the Amazon Fund are the governments of Norway and Germany, and the Brazilian company Petrobras.

The Amazon Fund has a Guidance Committee – COFA, responsible for establishing guidelines and monitoring the results obtained; and a Technical Committee – CTFA, in charge of certifying the calculations made by the MMA concerning the reductions of carbon emissions from deforestation. Every year the MMA estimates these emissions using a **baseline and method** (see Table 10 for more information) that were bilaterally agreed upon and included in the Amazon Fund Project Document **before the UNFCCC rules for the MRV for REDD-plus were agreed upon in 2013 with the adoption of the Warsaw Framework for REDD+ in COP 19.**

The Amazon Fund baseline utilizes a conservative carbon content and does not correct for cloud coverage. It is based on an average carbon content rather than the emission factor being derived from the carbon map. The Amazon Fund baseline differs in terms of pools and carbon content to Brazil's Second National GHG Inventory and Brazil's REDD+ FREL to the UNFCCC. The Amazon Fund method to estimate results from reducing emissions from deforestation does not fulfill all the guidance and modalities established by the Warsaw Framework for REDD+ in 2013. This conservative approach adopted for the Amazon Fund through a bilateral agreement was justified by the need to more easily communicate and inform the public about the climate change mitigation impact of reducing deforestation.

The idea was to have a proof of concept of the potential impact that REDD-plus could have as a finance mechanism to incentivize forest conservation in developing countries. The Amazon Fund has been successful showing the world how effective REDD-plus can be. The general concept of this bilateral agreement was the basis for the logic that created the Warsaw Framework for REDD-plus.

Table 10 provides a detailed comparison of the elements used in the Amazon Fund baseline and Brazil's REDD+ reference level for the Amazon biome.

Table 10. Amazon Fund baseline vs Brazil's FREL to the UNFCCC

Elements	Amazon Fund Baseline	Brazil's FREL for REDD-plus under the UNFCCC
Area	Legal Amazon region 5,217,423 km^2	Amazon biome 4,197,000 km^2
REDD+ activity	Reducing emissions from deforestation	Reducing emissions from deforestation
Activity data	PRODES Annual deforestation rate[15]	PRODES Adjusted deforestation increments[16]

[15] See detailed explanation in Box 3 of this funding submission. The PRODES methodology to annualize observed deforestation and to consider unobserved areas due to cloud cover is not directly verifiable unless all the estimates are adjusted backwards.

[16] See detailed explanation in Box 3 of this funding proposal. The use of the adjusted deforestation increments to estimate the gross deforestation area and associated gross emissions is appropriate for the purposes of REDD-plus, since the areas covered by clouds in the Amazon biome were significant and non-consideration of deforestation under clouds could result in an underestimation of the annual emissions.

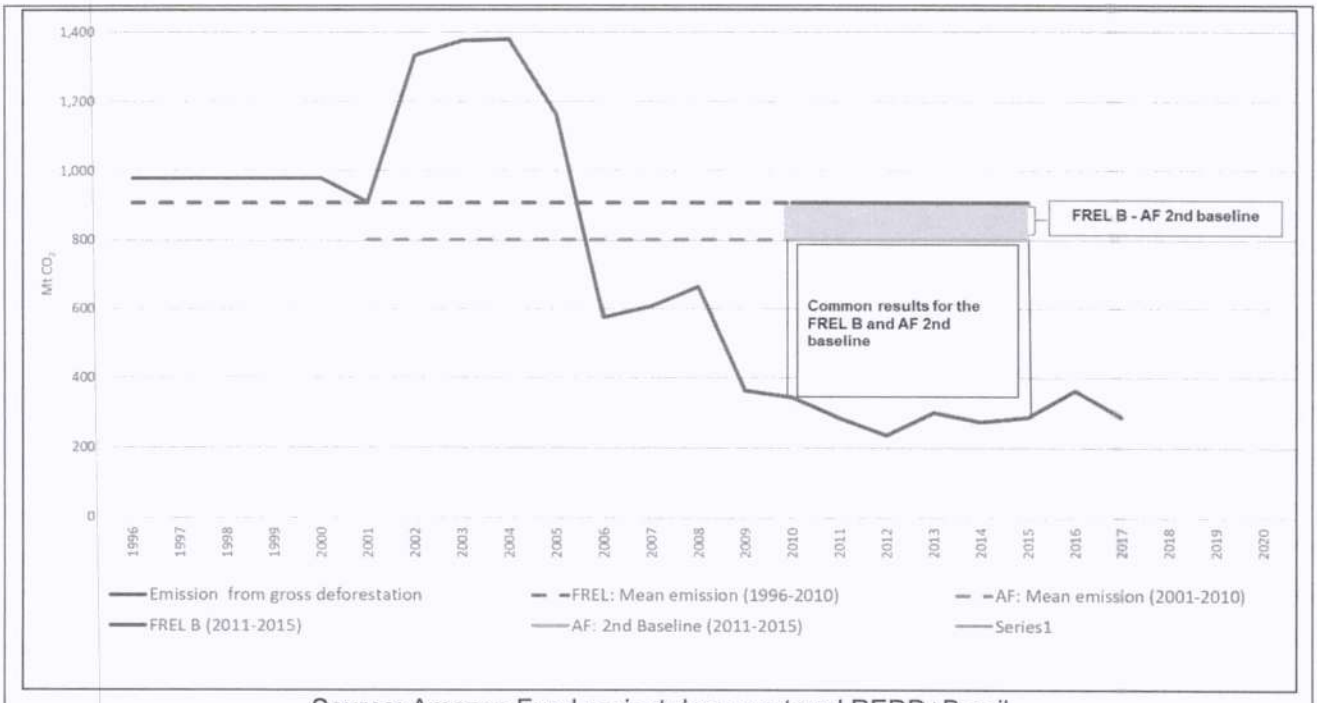
Emission factor	The carbon content was defined as an average for the whole Legal Amazon region. From 2006 to 2010: 100tC/ha[17] From 2011 to 2014: 132,3tC/ha[18] OBS: These are extremely conservative values considering the average carbon content presented in the literature for the Amazon region, which corresponds to 320 tC/ha.	Brazil adopted Approach 3 for land representation (spatially explicit) to increase the accuracy of its REDD-plus estimates. The carbon stocks of the different forest types in the Amazon biome was combined with sample-plot information from Brazil's carbon map (RADAMBRASIL), allometric equations and data from the Second National GHG Inventory. OBS: As a reference for comparing values, the FREL mean average carbon content for the Amazon biome is 151.6 tC/ ha. This average was not used for the FREL estimates.
Years included	Average of previous 10 years of deforestation rates (in ha), updated every five years, as follows: 1) 1996-2005, for results achieved between 2006 and 2010; 2) 2001-2010, for results achieved between 2011 and 2015. This is a moving 10-year average, with the base year changing every five years.	Dynamic mean of historical carbon dioxide emissions (in tCO_2) from gross deforestation in the Amazon biome since 1996, updated every five years, using data from the INPE/MCTIC, as follows: 1) 1996-2005, for results achieved between 2006 and 2010 (10 years); 2) 1996-2010, for results achieved between 2011 and 2015 (15 years).
Results estimate for 2014-2015	For year 2014 = 558,786,690.00 tCO_2e For year 2015 = 500,817,240.00 tCO_2e **Total = 1,059,603,930.00 tCO_2e**	For year 2014 = 634,367,865.74 tCO_2e For year 2015 = 620,295,262.00 tCO_2e **Total = 1,254,663,127.74 tCO_2e**
Difference (%)	For year 2014 = 11.9% For year 2015 = 19.2% Total (2014 – 2015) = 15.5%	
% offered to the GCF	**The total of 25,093,262.55 tCO_2e that will be offered by Brazil to the GCF in this proposal corresponds to 2.36% of the total results estimated using the baseline of the Amazon Fund and 2% of the total results estimated using the UNFCCC FREL for years 2014 and 2015.**	

Source: Amazon Fund project document and REDD+Brasil

The Figure 4 is a pictorial representation of the difference between the Amazon Fund baseline and the reference level for the results period included in this proposal.

The 2% of total REDD-plus results achieved by Brazil and offered to the GCF in this proposal (2014-2015) is very conservative, it falls well below both the Amazon Fund baseline and the reference level. **It corresponds to 2.36% of the total results attested by the Amazon Fund Technical Committee (CTFA) in years 2014 and 2015.** Figure 4. Pictorial representation of the differences between the Amazon Fund baseline and Brazil's FREL to the UNFCCC for years 2014 and 2015.

[17] As stated in the Amazon Fund project document this was extremely conservative value considering the average carbon content presented in the literature for the Amazon region, which corresponds to 320 tC/ha. This was defined bilaterally for the Amazon Fund to ease the computation method and understanding of the public.
[18] This change was recommended by the Technical Committee to the Amazon Fund (CTFA) to ensure some level of consistency between the Amazon Fund the Brazil's National Climate Change Policy.



Source: Amazon Fund project document and REDD+Brasil

After launching its ENREDD+ and establishing the CONAREDD+, responsible for coordinating and monitoring the implementation of ENREDD+, the Brazilian government started working with donors to fully integrate the Amazon Fund into Brazil's national REDD-plus scheme.

The eligibility of the BNDES/ Amazon Fund to access REDD-plus results-based payments achieved by the country and recognized by the United Nations Framework Convention on Climate Change was recognized in the Federal Decree n.8576/2015 that created the CONAREDD+.

All the results paid for through the Amazon Fund have already been recognized by the CONAREDD+ and inserted both into the Info Hub Brasil and the Lima REDD-plus Information Hub, independently of the methodological differences mentioned above, **but providing the information that were different methods**[19].

The CONAREDD+ is also working through its Thematic Advisory Body on Safeguards to include all information on safeguards from the Amazon Fund into Brazil's Safeguards Information System for REDD-plus (SISREDD+) and integrate the BNDES processes with the national process to address and respect all the Cancun safeguards.

Lastly, **the MMA, with the assistance from the Working Group of Technical Experts on REDD+, is also working to provide the conditions for the alignment of the Amazon Fund with Brazil's national MRV scheme for REDD-plus.**

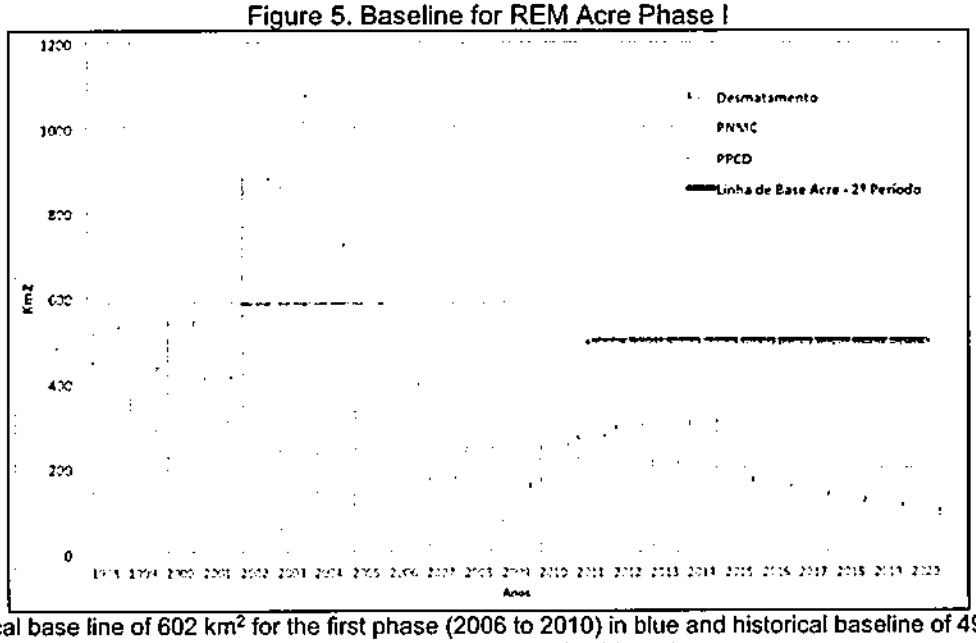
REDD+ for early movers (REM) and Acre (2012)

In 2012, the State of Acre developed its own methodology to account for reducing emissions from deforestation (see Figure 5). The Acre Carbon Standard - ACS was the tool used to guide the Phase I of the REM Acre Program. The ACS is considered conservative and has a historical baseline. Emission reductions

[19] See the explanatory note provided in Lima REDD+ Info Hub (https://redd.unfccc.int/files/explanatory_note_norways_payments_to_brazil-20180301.pdf).

were estimated using an average carbon biomass (123 tCO_2e / ha) and verified by the SISA Scientific Committee.

Figure 5. Baseline for REM Acre Phase I



Note: Historical base line of 602 km² for the first phase (2006 to 2010) in blue and historical baseline of 496 km² for the second phase (2011 to 2020) in red.
Source: Markit, 2018.

In 2014, Brazil submitted to the UNFCCC its FREL for the Amazon biome. After establishing the CONAREDD+, responsible for coordinating and monitoring the implementation of the ENREDD+, the federal government started working with Acre and donors to fully integrate the REM into Brazil's national REDD-plus scheme.

The eligibility of the State of Acre to access results-based payments has been approved by the CONAREDD+ through Resolution n.10 of December 7th, 2017. The CONAREDD+ allocated 2% of the total REDD-plus results achieved between 2011 and 2015 to the State of Acre for fundraising. The payments made through REM have been discounted from Acre's total limit. The GCF payments will be discounted from the federal government total limit (40% of the total results). Hence, there is no risk of double payment.

The FREL is the basis for accounting for the REM Acre Phase II Program. Similarly, the REM Acre Phase II Program will also be supported by the next REDD + safeguards summaries sent to the UNFCCC, in accordance with the Warsaw Framework for REDD-plus and other decisions under the UNFCCC, which will successively integrate the sub-national information generated by SISA with the support of the Program REM Acre Phase II.

B.2. REDD-plus Results reporting

Please provide link to the BUR technical annex containing REDD+ results:
https://unfccc.int/sites/default/files/resource/BUR2-ING-02032017_final.pdf

Please provide link to the UNFCCC Technical Analysis Report:
https://unfccc.int/resource/docs/2017/tatr/bra.pdf

B.2.1. UNFCCC Technical Analysis

(i) Consistency of results with FREL/FRL: *Please provide any additional information that supplements the information contained in the Technical Analysis Report in relation to the consistency of the reported results in the technical annex to the BUR with the FREL/FRL (including the inclusion of same pools, activities and gases).*

The LULUCF experts noted that Brazil has ensured overall consistency between the FREL and the estimation of results from the implementation of the activity reducing emissions from deforestation in the Amazon biome during the period 2011–2015. This includes:

(a) Using consistent methodologies and data to generate activity data on gross deforestation of primary forests, in particular the same forest monitoring system (the PRODES), which detects deforestation as areas with a clear-cut pattern; using the same approach (adjusted deforestation increments) to assess the deforestation area for each year; using the same minimum mapping unit (6.25 ha); and using a spatially explicit identification system for identifying deforestation;

(b) Using consistent methodologies and data to generate emission factors, the same carbon map and the same stratification of primary forest of the Brazilian Amazon biome into 22 different forest types with different carbon stocks depending on forest type and location;

(c) Including the same three carbon pools: above-ground biomass, below-ground biomass and litter;

(d) Including the same gases: CO_2 only;

(e) Covering the same area of primary forests: the Brazilian Amazon biome of approximately 4,197,000 km^2;

(f) Using the assumption that all carbon from the three carbon pools is lost in the year of the deforestation event and not including any subsequent removals of CO_2 in the area;

(g) Using a forest definition that is fully consistent with the forest definition used for the construction of the FREL.

In view of the above, the LULUCF experts concluded that the presentation of the results from the implementation of the activity reducing emissions from deforestation is consistent with the assessed FREL for the Amazon biome.

The LULUCF experts commended Brazil for ensuring full consistency of the data and methodologies described in the FREL for the years 1996–2010 and in the technical annex with the results from the implementation of the activity reducing emissions from deforestation for the years 2011– 2015.

(ii) Transparency of the data: *Please provide any additional information that supplements the information contained in the Technical Analysis Report in relation to the transparency of the data and information provided in the technical annex (i.e. whether information has been provided to provide an understanding of how UNFCCC guidance on results reporting has been addressed). Include information on significant issues raised in the Technical Analysis Report and whether these were raised and resolved. If applicable, provide a plan on how to address and overcome issues raised in the Technical Analysis Report, that were not material to the transparency of the data on results and that could not be resolved due to time and data restrictions.*

The TAR states that the data and information provided in Brazil's REDD+ Technical Annex to the 2nd BUR, containing results achieved reducing emissions from deforestation in the Amazon biome between 2011 and 2015, are transparent, consistent, complete and accurate to the extent possible.

The LULUCF experts commended Brazil for its efforts to increase the transparency of the data and information provided.

Brazil created a guide on its website (www.redd.mma.gov.br) to facilitate stakeholders' free access to the information and data used by REDD-plus technical submissions to the UNFCCC for the Amazon biome. The steps included in this guide for accessing information and data used for all REDD+ technical submission for the Amazon biome are detailed below.

Step 1. Submissions for download

Brazil's 1st submission of a forest reference emission level for deforestation in the Amazonia biome (FREL A and B)
1st Technical Annex pursuant to decision 14/CP.19 (1st Biennial Update Report of Brazil - submitted in December 2015)
2nd Technical Annex pursuant to decision 14/CP.19 (2nd Biennial Update Report of Brazil - submitted in February 2017)
Brazil's submission of a forest reference emission level for deforestation in the Amazonia biome for results achieved between 2016 and 2020 (FREL C – submitted in January 2018)

Step 2. Access to the data and information repository
The link http://geoweb.funcate.org.br/frelamazonia presents the data used in the calculation of emissions from gross deforestation year by year, components of the forest reference emission level. Use the following log in detail to access:

Username: frelamazonia
Password: fr3lr34d0nly

Step 3. Folders included
Click here for more details on data and information

Deforestation polygons
This folder presents items 1 to 7 of those listed under Section 6 of the REDD+ Technical Annex to the 2nd BUR "Necessary information that allows for the reconstruction of the results".

Deforestation under cloud cover
This folder presents information and data regarding deforestation under cloud cover and the calculation of the adjusted deforestation increment (WORKSHEET-PLANILHA-CALCULO.xlsx). The information presented also allows the calculation of the adjusted deforestation increment for years 2011, 2012, 2013, 2014 and 2015. The content of this folder covers the items 7 and 9 of Section 6 of the REDD+ Technical Annex "Necessary information that allows for the reconstruction of the results".

Other relevant information and data
This folder contains other relevant information, related to the process of developing the FRELs for the Amazon biome and the 1st and 2nd Technical Annexes, as well as **a simple guide to the calculation of the adjusted deforestation increment.**

Step 4. Complementary information on deforestation monitoring and the processing of images
TerraAmazon
A GIS tool developed by the National Institute for Space Research (INPE) to handle vectoral data using multi-temporal satellite images. It is the software used in the processing of images required for the calculation of the FREL.

Access TerraAmazon

Deforestation Monitoring System
Access the annual deforestation rates according to PRODES
Caveat: Only data referring exclusively to the Brazilian Amazon biome have been used to calculate the reference level submitted by Brazil. The limits of the biome and of the Legal Amazon region differ substantially. The Legal Amazon region covers three different biomes: the whole of the Brazilian Amazon biome, 37% of the Cerrado biome and 40% of the Pantanal.

CBERS images
The deforestation data for the Amazon, produced by PRODES, is based on information obtained from images by China-Brazil Earth Resources Satellite (CBERS) satellites.
Access the CBERS image bank

Beyond the transparency of information and data used in the construction of the FREL and of the REDD+ technical Annex to the BUR, the LULUCF experts also noted that Brazil provided a description of the forest monitoring system and a summary of the institutional roles in and responsibility for the measurement, reporting and verification of the results in the technical annex, together with weblinks for accessing further information. **The LULUCF experts found that the roles and responsibilities of the agencies and institutions involved were transparently reported.**

The LULUCF experts noted that the estimation of results from the implementation of the activity reducing emissions from deforestation of primary forests in the Amazon biome has been undertaken using well-established sources of data and a transparent and consistent methodological approach, as with the assessed FREL for 1996–2010.

Brazil has a consistent, reliable, credible, accurate, transparent and verifiable historical time series for annual gross deforestation in the Legal Amazon (and, consequently, for the Amazon biome). PRODES is part of a larger program (Amazon Program) developed at the INPE/ MCTIC to monitor gross deforestation in areas of primary (natural) forest in the Legal Amazon through use of satellite imagery. Since 2003, INPE began to publish the annual rate of deforestation online, together with all the satellite imagery used and the maps with the observed deforestation polygons, ensuring complete transparency of the deforestation estimates and access by the general public.

Approximately 215 Landsat 5/7/8 scenes (or similar data, as for instance, from CBERS/CCD, ResourceSat/LISS3 and DMC) are annually available and each scene is accompanied by the respective mapping of the observed deforestation in that year and previous one.

INPE continuously improves its tools to better manage large-scale projects such as PRODES. Its latest development, the TerraAmazon, is a system that manages the entire workflow of PRODES, annually storing approximately 600 images (e.g., Landsat, CBERS, DMC, ResourceSat). It performs geo-referencing, pre-processing and enhancement of images for subsequent analysis in a multi-task, multi-processing environment. The database stores and manages approximately 4 million polygons.

PRODES, which for decades has generated reliable deforestation data for the Amazon, is key in the context of expanding land cover monitoring to the other Brazilian biomes. The Project, open coded and evaluated by national and international experts, ensures the quality of the data used by Brazil on its REDD-plus submissions.

The LULUCF experts commended Brazil for its significant long-term efforts to build up a robust NFMS that can provide data for transparent estimation of emissions from deforestation.

(iii) Completeness of the data: *Please provide any additional information that supplements the information contained in the Technical Analysis Report in relation to the completeness of the data and information provided in the technical annex (i.e. whether information has been provided that allows for the reconstruction of the results). Include information on significant issues raised in the Technical Analysis Report and whether these were raised and resolved. If applicable, provide a plan on how to address and overcome issues raised in the Technical Analysis Report, that were not material to the completeness of the data on results and that could not be resolved due to time and data restrictions.*

For REDD-plus purposes, complete information means the provision of data that allows for the reconstruction of the FREL and the REDD-plus results.

The links to the database and the information that allows for the reconstruction of the results are listed in Section b.1 of the FREL for the Amazon biome and have been detailed in previous sections of this proposal.

A list with the 9 elements that allow for the reconstruction of Brazil's REDD+ results for years 2014 and 2015 is presented in the REDD+ Technical Annex (see below) and made available at Info Hub Brasil:

1. Satellite imagery used in the identification of deforestation polygons in the Amazon biome, from 1996 to 2015. The images (approximately 220 per year) are made publicly available by INPE.

2. Accumulated deforestation polygons until 1997 (inclusive) presented in a map hereinafter referred to as the digital base map (for more details, see Part I of Annex I of the FREL).

3. Accumulated deforestation polygons for years 1998, 1999 and 2000 are presented in the digital base map.

4. Annual deforestation polygons (annual maps) for the period from 2000 to 2005.

5. Annual deforestation polygons (annual maps) for the period 2006-2010.

6. Annual deforestation polygons for the period 2011 a 2015.

7. Information regarding deforestation under cloud cover and calculation of the adjusted deforestation increment.

8. Map with the carbon stocks for the different types of forest in the Amazon biome (Carbon Map), consistent with that used in the Second National GHG Inventory, the most recent at the time of the FREL was constructed.

   IMPORTANT NOTE 1: All the maps listed under (2), (3) and (4) above are available in shapefile format (.shp), ready to be incorporated in a Geographical Information System for analysis. All the satellite images cited in (1) above are available in full resolution in format GeoTIFF at INPE's site. Any specific deforestation polygon can be verified using the corresponding satellite image.

   IMPORTANT NOTE 2: The maps cited in (2), (3) and (4) above are a subset of the maps produced by INPE for PRODES (for more information access http://www.obt.inpe.br/prodes/index.php, Portuguese only) and refer only to the Amazon biome, object of this submission. The information in (2) and (3) above is available as a single file.

9. Information that allows the calculation of the adjusted deforestation increment for years 2011, 2012, 2013, 2014 and 2015.

The LULUCF experts noted that, as part of the TA process, Brazil provided additional information, on:

(1) adjusted increments of deforestation related to cloud-covered areas;
(2) territorial forest area covered;
(3) plans for continued improvements and potential future FREL submissions;
(4) how to reconstruct the results for 2011–2015;
(5) possible displacement of emissions; and
(6) uncertainty assessment.

The LULUCF experts commend Brazil for its efforts to increase the transparency of the data and information provided and **ensure the completeness of the data and information provided, allowing for the reconstruction of the results.**

The LULUCF experts consider that the data and information provided in the technical annex are transparent, consistent, complete and accurate to the extent possible.

(iv) Consistency of the data: *Please provide any additional information that supplements the information contained in the Technical Analysis Report in relation to the consistency of the data and information provided in the technical annex (i.e. data and methodologies were applied consistently over the results time series). Include information on significant issues raised in the Technical Analysis Report and whether these were raised and resolved. If applicable, provide a plan on how to address and overcome issues raised in the Technical Analysis Report, that were not material to the consistency of the data on results and that could not be resolved due to time and data restrictions.*

The LULUCF experts found that the data and information provided in the technical annex are consistent with the guidelines referred to in paragraph 11 of decision 14/CP.19.

Brazil provided data and information on all the elements according to the guidelines contained in the annex to decision 14/CP.19, namely: summary information from the final report containing the assessed FREL; results in tCO_2 per year, consistent with the assessed FREL; a demonstration that the methodologies used to produce the results are consistent with those used to establish the assessed FREL; a description of forest monitoring systems and the institutional roles in and responsibilities for measuring, reporting and verifying the results; necessary information that allows for the reconstruction of the results; and a description of how the elements contained in decision 4/CP.15, paragraph 1(c) and (d), have been taken into account.

In the TAR for the REDD-plus Technical Annex, the **LULUCF experts noted that the estimated results from the implementation of the activity reducing emissions from deforestation for the period 2011–2015 were consistent in terms of sources for the activity data and emission factors with the GHG inventory included in Brazil's SNC to the UNFCCC.** Additionally, the LULUCF experts noted that Brazil provided additional data for the years 1996–2010 on adjusted increments of deforestation to avoid overestimating or underestimating emissions due to the non-observation of potential deforestation polygons in areas covered by cloud.

In the technical annex, Brazil provided information on how the annual increments of deforestation in the period 2011– 2015 were adjusted, **consistent with the method adopted in the construction of the FREL**. Table 11 provides details about these small differences after the adjustment was applied.

Table 11. Difference between the emissions calculated from the observed increments of deforestation (emission) and from the adjusted increments of deforestation (adjusted emission) for the periods 1996-2010 and 1996-2015

	FREL (B) - MEAN 1996 - 2010			FREL (C) - MEAN 1996 - 2015	
	EMISSION (tCO_2)	ADJUSTED EMISSION (tCO_2)		EMISSION (tCO_2)	AJUSTED EMISSION (tCO_2)
1996	979,523,413.88	979,523,618.48	1996	979,523,413.88	979,523,618.48
1997	979,523,413.88	979,523,618.48	1997	979,523,413.88	979,523,618.48
1998	979,523,413.88	979,523,618.48	1998	979,523,413.88	979,523,618.48
1999	979,523,413.88	979,523,618.48	1999	979,523,413.88	979,523,618.48
2000	979,523,413.88	979,523,849.37	2000	979,523,413.88	979,523,849.37
2001	908,964,139.89	908,964,575.38	2001	908,964,139.89	908,964,575.38
2002	1,334,457,456.93	1,334,458,298.72	2002	1,334,457,456.93	1,334,458,298.72
2003	1,375,223,214.70	1,375,224,078.19	2003	1,375,223,214.70	1,375,224,078.19
2004	1,380,140,945.68	1,380,142,199.34	2004	1,380,140,945.68	1,380,142,199.34
2005	1,163,873,339.68	1,163,879,134.73	2005	1,163,873,339.68	1,163,879,134.73
2006	576,097,126.38	576,136,731.11	2006	576,097,126.38	576,136,731.11
2007	608,266,397.26	609,101,478.18	2007	608,266,397.26	609,101,478.18
2008	666,005,315.39	669,215,058.08	2008	666,005,315.39	669,215,058.08
2009	364,340,477.19	373,066,456.69	2009	364,340,477.19	373,066,456.69
2010	344,406,512.43	362,507,086.87	2010	344,406,512.43	362,507,086.87
TOTAL 1996 - 2010	13,619,391,994.9	13,650,313,420.55	2011	285,353,855.18	285,353,855.18
MEAN	907,959,466.33	910,020,894.70	2012	236,684,154.44	236,684,154.44
	DIFFERENCE	2,061,428.37	2013	301,847,850.91	301,847,850.91
	% DIFFERENCE	0.227039692	2014	273,591,600.59	273,591,600.59
			2015	287,664,204.33	287,664,204.33
			TOTAL 1996-2015	15,004,533,660.3	15,035,455,086.00
			MEAN	750,226,683.02	751,772,754.30
			DIFFERENCE		1,546,071.28
			% DIFFERENCE		0.206080551

Source: REDD+ Technical Annex to Brazil's 2nd BUR, 2014

(v) Accuracy of the data: *Please provide any additional information that supplements the information contained in the Technical Analysis Report in relation to the accuracy of the data and information provided in the technical annex (i.e. whether it neither over- nor under-estimates emissions and/or removals). Include information on significant issues raised in the Technical Analysis Report and whether these were raised and resolved. If applicable, provide a plan on how to address and overcome issues raised in the Technical Analysis Report, that were not material to the accuracy of the data on results and that could not be resolved due to time and data restrictions.*

The TATR of Brazil's REDD+ Technical Annex for results achieved in 2014 and 2015 concluded that these results are accurate to the extent possible, based on the activity data, emission factors, methodologies and assumptions used, which are consistent with the assessed FREL for the Amazon biome.

The LULUCF experts noted that Brazil uses a wall-to-wall approach for accurately tracking gross deforestation of primary forests over time. This ensures that only gross deforestation of primary forests is included in the estimates.

The increments of deforestation were adjusted to avoid the overestimation or underestimation of emissions from deforestation due to the non-observation of potential deforestation polygons in areas covered by cloud, enhancing the accuracy of the data.

Brazil explained that it is possible that the results for 2011–2015 will need some adjustment due to cloud-covered areas being detected in images after 2016. **The risk of such adjustments is nevertheless minimal because it now uses new technology with more images and with a longer observation window.** The LULUCF experts commended Brazil for the clarification provided and encourage Brazil to

provide such clarification on adjustment of estimates for cloud-covered areas in future FREL and results submissions.

The LULUCF experts noted that **Brazil has continued to develop its NFMS and made remarkable progress in the areas identified in the FREL assessment for future improvement**, including the development of new carbon maps, data on deadwood and non-CO2 gases and ongoing work on forest degradation.

The LULUCF experts commended Brazil on the progress reported in these areas identified for technical improvement. They encourage Brazil to use these improvements for its future FREL and results submissions to enhance transparency and improve the accuracy of the estimates.

More information on accuracy of data and information used on the REDD+ estimates for the Amazon biome can be found in Section B.1.1 (vii) of this funding proposal.

Area for future improvement: The LULUCF experts note that Brazil could consider the continuation of the ongoing efforts in developing the NFMS to improve estimates of forest degradation to improve the accuracy of the results as an area for future technical improvement.

Brazil's response: Brazil continues its efforts to progress discussions on the best tools to generate estimates of forest degradation that are as accurate as possible. The major challenge of monitoring and addressing forest degradation adequately (in relation to the anthropogenic contribution to the associated emissions) lies in the ability to accurately assess the changes of carbon stock in the areas affected by degradation, particularly aboveground biomass. Degradation may have different intensities, from very low (where few trees are removed) to very high (where, most likely, the land will be deforested at some point in time). As mentioned in the previous sections of this proposal, forest degradation is an area in which the Working Group of Technical Experts on REDD+ has worked intensively over the past few years and which will be included in Brazil's national FREL submission to the UNFCCC in the future.

The LULUCF experts concluded that the data and information provided in the technical annex are accurate to the extent possible.

(vi) Indicate the number of years that took place between the last year of the FREL/FRL period, and the year corresponding to the results being proposed for payments:

The last year of the FREL for the Amazon biome is 2010, and the years corresponding to REDD-plus results submitted to the GCF for payments are 2014 and 2015, respectively, 4 and 5 years from the last year of the FREL.

B.2.2. Additional criteria related to the achieved results

(vii) Uncertainties: *Explain whether the country has provided information on aggregate uncertainties of the results, taking into account national capabilities and circumstances. Include the percentage of aggregate uncertainties and provide information on assumptions and sources. If applicable, indicate the process implemented to minimize systematic and random errors.*

As part of the TA process, Brazil provided additional information related to uncertainty estimation considering decision 4/CP.15, paragraph 1(d).

Brazil clarified that the uncertainty analysis for its REDD-plus submissions related to the Amazon biome is undertaken during the mapping phase and for the biomass values. The deforestation data on the Amazon biome were subject to strict quality control by researchers from the INPE/ MCTIC to reduce uncertainties.

Uncertainties associated with the biomass values are usually related to the absence of studies for some phyto-physiognomies (entailing the use of values from other biomes and phyto-physiognomies with similar structure and composition) and to limitations in the spatial representativeness of the secondary data obtained from the scientific literature.

The LULUCF experts concluded that the REDD-plus results presented by Brazil on its 2nd BUR (including years 2014 and 2015) are accurate to the extent possible.

Area for future improvement: The LULUCF experts commended Brazil for sharing this information on ongoing work relating to uncertainty assessment and encouraged Brazil to continue its efforts to provide uncertainty estimates as encouraged in decision 17/CP.8, annex, paragraph 24.

Brazil's response: Work is underway to assess and reduce uncertainties and this process will contribute to the improvement of the data in future submissions. New and important information from secondary literature was added in Brazil's most recent FREL submission to the UNFCCC in "section b.4. Accurate information". A summary of this information and the plan to address and overcome issues raised regarding activity data were presented in the above sections of this proposal. Another important ongoing work that will contribute to reduce uncertainties associated with REDD-plus estimates is Brazil's first NFI. The forest inventory will provide important information on biomass values for all Brazilian biomes and will also result in reduce the uncertainties associated with the use of secondary data for REDD-plus technical submissions to the UNFCCC.

(viii) Preventing double payments:

- *Provide information on payments that have been, or are expected to be received from other sources of funding for results recognized by the country for the same area for the same period, for which the country is applying for payments from the GCF.*
- *Include relevant information regarding the payments paid or expected to be paid, including the year(s), results volume in tCO2e, quantities for which payments were received/are expected to be received, and entity/entities paying for the results as well as any type of agreement involved.*
- *Provide sufficient assurances that the results that have been paid, or are expected to be paid for by other sources (or are under any type of analogous agreement) been excluded from the volume offered to the GCF.*
- *Provide a description of measures to ensure that the results paid by the GCF will not be transferred, offered for future payment or otherwise used (for example for offsets) and information on how the results proposed for payment by the GCF will be treated or used.*
- *Provide information on how different financing contributed to the achieved results.*

Avoidance of double payments for the same REDD-plus results

Tables 12 and 13 provide detailed **information on payments** received by Brazil for results achieved reducing emissions from deforestation in the Amazon biome in 2014 and 2015. This information is available on Info Hub Brasil, an online tool developed for the *REDD+ Brasil* website to ensure full transparency of the information and prevent double counting of results and double payments for the same results. This tool is currently going through a revision to improve its security and accessibility.

Table 12 shows that only 4% and 4.5% of the total REDD-plus results achieved reducing emissions from deforestation in the Amazon biome in years 2014 and 2015 respectively have been paid for. About 95% of the total results achieved in these two years are still available for payments, a total of 1.2 billion tCO_2e.

The total amount of REDD-plus results that Brazil will offer to the GCF corresponds to only 2% of the total results achieved reducing emissions from deforestation in the Amazon biome in years 2014 and 2015.

These payments will be discounted from the 40% of total results allocated to the Federal Government by the CONAREDD+ Resolution n.6, of July 6th, 2017 (more details below) for fundraising.

The large amount of total REDD+ results achieved by Brazil assures that **there is no risk of double payments. Even after receiving payments from the GCF, Brazil would still have more than 90% of its total REDD+ results from 2014 and 2015 available for other payments.**

Table 12. REDD-plus results and results-based payments received for years 2014 and 2015[20]

Year of results	REDD+ results (tCO_2e)	Total REDD+ results paid for (tCO2e)	% of total REDD+ results that have already received payments	REDD+ results not paid for (tCO2e)	REDD+ results offered to the GCF (tCO2e) = 2% of total REDD+ results
2014	634,367,865.74	25,464,000.00	4.01	608,903,865.74	12,687,357.31
2015	620,295,262.00	28,194,763.27	4.55	592,100,498.73	12,405,905.24
Total (2014-2015)	1,254,663,127.74	53,658,763.27		1,201,004,364.47	25,093,262.55

Source: Info Hub Brasil, last accessed on July 18th, 2017.

The payments received by Brazil, were part of bilateral agreements (Amazon Fund and REM) signed with donors using methods to estimate the REDD+ results that are different from Brazil's FREL for REDD+ under the UNFCCC. This was done before the Warsaw Framework for REDD-plus was agreed upon under the UNFCCC. The details about these methods are presented in section B.1.2 (xvi) of this proposal. **To simplify the recognition of these payments, independently from the method used, all tonnes of CO_2e that have been paid for, have been included in the Info Hub Brasil, as 1 per 1, and discounted from the total amount available for new payments.**

The payments made to the Amazon Fund were discounted from the 40% limit assigned to the Federal Government for fundraising by CONAREDD+ Resolution n. 6/2017. The payments made to Acre as part of the REM program were discounted from the 2% limit assigned to this state by the same CONAREDD+ Resolution. Moving forward, technical adjustments are being made, in coordination with donors, to fully integrate these important bilateral REDD+ initiatives into Brazil's national REDD+ framework.

The new phase for REDD-plus results-based payments through the Amazon Fund (2016 to 2020) does not include new payments for years 2014 and 2015. Donors to the Amazon Fund only pay for the results achieved in the year before the payment, before the completion of the REDD+ MRV process under the UNFCCC.

In the case of the REM Program with the State of Acre, one more payment is scheduled for the results achieved in 2015 and the retirement of emission reductions from 2014 and 2015. This will be discounted from the 2% that were allocated to Acre by the CONAREDD+ Resolution n.6/ 2017, which is not part of this proposal.

For more details on REDD+ results-based payments and the bilateral agreements signed so far, see Table 13.

Table 13. Detailed information about REDD-plus results-based payments received by Brazil by 2018

[20] This funding proposal encompasses REDD+ results achieved in years 2014 and 2015 by Brazil in the Amazon biome which have already been fully MRVed under the UNFCCC. The information on payments presented here is limited to the years included in this funding proposal. For more information on different years, see Info Hub Brazil.

Year	REDD+ results (tCO_2e)	Total REDD+ results paid for (tCO_2e)	Entities that paid for REDD+ results achieved by Brazil	REDD+ results paid per entity (tCO_2e)	Donations (USD)/ Diplomas[21]	Entities that received REDD+ results-based payments/ Details of the agreements
2014	634,367,865.74	25,464,000.00	Government of Norway	24,000,000.00[22]	120,000,000.00 http://www.fundoamazonia.gov.br/export/sites/default/pt/.galleries/documentos/diplomas/Noruega_11Doacao_Diploma_2015.pdf	Amazon Fund http://www.fundoamazonia.gov.br/en/amazon-fund/ http://www.fundoamazonia.gov.br/en/donations/
			Federal Republic of Germany/ KfW/REDD Early Movers Program – Phase One	1,464,000.00[23]	3,663,000.00	Acre Environment State Secretary https://www.kfw-entwicklungsbank.de/PDF/Entwicklungsfinanzierung/Themen-NEU/REDD-Early-Movers-Acre-Fact-Sheet.pdf
2015	620,295,262.00	28,194,763.27	Government of Norway	19,590,670.23	97,953,351.16 http://www.fundoamazonia.gov.br/export/sites/default/pt/.galleries/documentos/diplomas/Noruega_12Doacao_Diploma_2016.pdf	Amazon Fund http://www.fundoamazonia.gov.br/en/amazon-fund/ http://www.fundoamazonia.gov.br/en/donations/
			Federal Republic of Germany/ KfW	7,964,093.04	39,820,465.20 http://www.fundoamazonia.gov.br/export/sites/default/pt/.galleries/documentos/diplomas/Alemanha_05Doacao_Diploma_2017.pdf	Amazon Fund http://www.fundoamazonia.gov.br/en/amazon-fund/ http://www.fundoamazonia.gov.br/en/donations/

[21] BNDES issues diplomas recognizing the contribution of the donors to the Fund. All diplomas and details about the agreements with donors can be found in the Amazon Fund website and REDD+ Brasil website through the Info Hub Brasil.

[22] The payments received by the Amazon Fund was based on the Amazon Fund methodology. For more details see the explanatory note.

[23] As per REM agreement with the State of Acre, half of this total results have been effectively paid for and half have been retired as a management risk, so, for accounting purposes, the total amount of emission reductions is considered paid for and no longer available for new payments. For more information, see Detailed information on payments, risk management, etc.

			Federal Republic of Germany/ KfW/REDD Early Movers Program – Phase One	640,000.00[24]	1,590,000.00	Acre Environment State Secretary https://www.kfw-entwicklungsbank.de/PDF/Entwicklungsfinanzierung/Themen-NEU/REDD-Early-Movers-Acre-Fact-Sheet.pdf
Total (2014-2015)	1,254,663,127.74	53,658,763.27		53,658,763.27	143,026,816.36	

Source: Info Hub Brasil, 2018

Measures to ensure that the results paid by the GCF will not be transferred, offered for future payment or otherwise used (for example for offsets) and information on how the results proposed for payment by the GCF will be treated or used

The CONAREDD+ is responsible for authorizing eligible entities to access REDD-plus results-based payments achieved by Brazil and recognized by the UNFCCC. So far, only the States of Acre and Mato Grosso and the MMA have received approval from the CONAREDD+ to access resources from results-based payments for REDD-plus (Resolution n.10 of December 7th, 2017). The Brazilian development Bank (BNDES)/ Amazon Fund, by its turn, had its eligibility assured by Article 5 of the Federal Decree that created the CONAREDD+ (Federal Decree, n. 8576/2015). The Amazon Fund was already authorized to receive results-based payments donations by Federal Decree n. 6527/2008.

This means that according to national legislation on REDD+, only four entities may receive REDD-plus results-based payments in Brazil: the State of Acre, the State of Mato Grosso, the MMA and the Amazon Fund. The results paid for are registered in Brazil's national repository for REDD+, Info Hub Brasil and no longer available for payments. The Secretariat of the UNFCCC is also informed of these payments which are also registered into the Lima REDD-plus Information Hub.

Since there is no transfer of results/ emission reductions to the entities that paid for it, there is no need to track these results through serial numbers. The results that have been paid for, are simply discounted from the total amount of results achieved in a given year. The deduction will be done from the limit allocated to the entity that received such payment. This information per entity and per donor is presented in the Info Hub Brasil, together with the details of each agreement, and summarized here in this proposal.

The Amazon Fund compiles in a transparent and complete manner all the information about the donations received since 2009. BNDES issues diplomas recognizing the contribution of the donors to the Fund. The diplomas issued are nominal, nontransferable, nonnegotiable, and they shall grant no ownership rights or any kind of credit. All diplomas and details about the agreements with donors can be found in the Info Hub Brasil and in the Amazon Fund website.

In the near future, all diplomas recognizing payments received for REDD-plus results achieved by Brazil will be issued by the Executive Secretariat of the CONAREDD+. Article 4 of Federal Decree 85776/ 2015 establishes that the MMA, as the Executive Secretariat of the CONAREDD+, will (V) issue diplomas recognizing REDD+ results-based payments achieved by Brazil. Article 6 of this Federal Decree establishes that **REDD+ results-based payments and their respective diplomas may not be used, directly or indirectly, to fulfil mitigation commitments of other countries to the UNFCCC.** Article 7 also states that

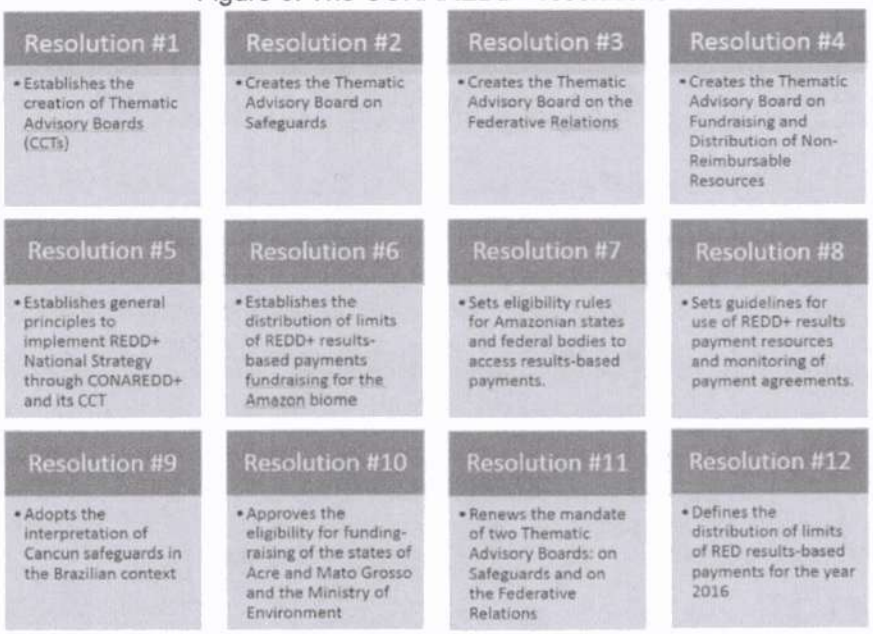
[24] As per REM agreement with the State of Acre, half of this total results have been effectively paid for and half have been retired as a management risk, so, for accounting purposes, the total amount of emission reductions is considered paid for and no longer available for new payments. For more information, see Detailed information on payments, risk management, etc.

the diploma referred to in item V of the caput of art. 4º **will be nominal and non-transferable, will not generate rights or credits of any nature**, will contain the amount equivalent to the payment by result and can be consulted on the MMA website.

Furthermore, Brazil emphasized in its Nationally Determined Contribution (NDC) to the UNFCCC and its Paris Agreement that "*any transfer of units resulting from mitigation outcomes achieved in the Brazilian territory will be subject to prior and formal consent by the Federal Government.* ***Brazil will not recognize the use by other Parties of any units resulting from mitigation outcomes achieved in the Brazilian territory*** *that have been acquired through any mechanism, instrument or arrangement established outside the Convention, its Kyoto Protocol or its Paris agreement.*"

The CONAREDD+ has approved a few Resolutions that reinforce this understanding (Figure 6).

Figure 6. The CONAREDD+ resolutions



Source: Brazil's 2nd Sol, 2018

Below are key elements from each of these CONAREDD+ Resolutions.

Resolution n. 5, of December 16th, 2017: General principles for the implementation of the National REDD+ Strategy through the CONAREDD+ and its Thematic Advisory Boards

Article 1, V. The results paid for will be discounted from the fundraising limit allocated to the different eligible entities by the CONAREDD+.

Article 1, VI. Results-based payments do not constitute an international transfer for the fulfillment of mitigation commitments of other countries.

Article 1, VII. The mitigation benefits achieved through REDD+ activities implemented in Brazil will be reflected in the national accounting of emissions by sources and removals by sinks for demonstrating the fulfillment of Brazil's Nationally Determined Contribution to the Paris Agreement.

Resolution n.6, of July 6th, 2017: Defines the distribution of fundraising limits for REDD+ results achieved in the Amazon biome

Article 2. The fundraising limits for results achieved reducing emissions from deforestation in the Amazon biome will be distributed between the Federal Government and the States of Acre, Amapá, Amazonas, Maranhão, Mato Grosso, Pará, Rondônia, Roraima e Tocantins.

Article 3. The distribution of fundraising limits for results achieved reducing emissions from deforestation in the Amazon biome do not generate ownership or guarantee of income.

Article 5, paragraph 2. The Parties mentioned in Article 2 that have interest to raise resources using voluntary or regulated carbon offset schemes shall declare, when filling out the application Annex to this Resolution to apply for eligibility, that they are aware that this fundraising is limited to a modality of finance.
Article 5, paragraph 3.The payments for REDD+ results made based on the limits established in this Resolution do not generate, to the Parties mentioned in Article 2, the right to internationally transfer these results, for the fulfillment of international mitigation commitments, and will not affect the national accounting for demonstrating the fulfillment of Brazil's Nationally Determined Contribution to the Paris Agreement.
Article 5, paragraph 4. The Parties mentioned in Article 2 shall inform all the Parties involved in REDD+ results-based payments agreements of the term of this Resolution, and other norms established by the CONAREDD+.
Article 5, paragraph 5. In case of no compliance with the obligation established in the previous paragraph, the interested Party will be considered ineligible by the CONAREDD+ to access REDD+ results-based payments.

Resolution n. 7, of July 6th, 2017: Defines the eligibility rules for access to direct fundraising for results-based payments
Article 4. The Amazon States or federal entities eligible assume full legal responsibility for managing and investing the resources raised through results-based payments, respecting the REDD+ safeguards and providing accounting information.
Sole Paragraph. The Amazon States or federal entities eligible shall inform in a transparent manner the roles and attributions of all entities directly involved in fundraising and executing the results-based payments agreements signed by them.
According to the Annex of this Resolution, entities applying to receive the approval of the CONAREDD+ and be eligible to access results-based payments need to sign the following: "I declare to be aware that the fundraising for REDD+ results-based payments achieved by Brazil represent exclusively a modality of finance and that I will inform all the Parties involved in the REDD+ results-based agreements about the terms of the Resolution n.6 and other norms established by the CONAREDD+."

Resolution n.8 of December 7th, 2017: Defines the guidelines for use of resources and monitoring of REDD+ results-based payments.
Article 6. Results-based payments agreements shall be submitted to the CONAREDD+ after their formalization.

Finance that directly and indirectly may have contributed to the achievement of REDD+ results in years 2014 and 2015

It is impossible to attribute specific REDD+ results achieved in different years to specific sources of finance. A variety of finance sources, both national (federal, state and municipal level public budget, NGOs, private sector) and international (donor countries, multilateral organizations, non-governmental organizations, private sector) have contributed directly and indirectly to the Brazilian government efforts to reduce deforestation in the Amazon biome.

These resources are difficult to track since the sources do not always report this information to the Federal Government. Brazil has been working on accounting methodologies to estimate the total amount of climate finance received for its forestry sector, including REDD+ in the Amazon biome, as part of its national efforts to compile climate finance information for its BURs. Table 14 presents the relevant information extracted from Brazil's 2nd BUR.

Table 14. Climate finance received by Brazil for the forestry sector in 2014 and 2015

[illegible]	[illegible]	[illegible]	[illegible]	[illegible]	[illegible]	[illegible]	[illegible]	[illegible]
Germany (KfW)	Mitigation	Forestry	Contribution to the Amazon Fund	11,120,151.53	100%	$11,120,151.53	Grant	Received in January/2014
Germany (KfW)	Mitigation	Forestry	Contribution to the Amazon Fund	[illegible]	[illegible]	[illegible]	Grant	Received in July/2014
Japan (JBIC)	Cross-cutting	Energy	JBIC Green II	[illegible]	100%	[illegible]	Loan	Signed in March/2014
Norway	Mitigation	Forestry	Contribution to the Amazon Fund	[illegible]	[illegible]	[illegible]	Grant	Received in December/2014
Norway	Mitigation	Forestry	Contribution to the Amazon Fund	[illegible]	[illegible]	[illegible]	Grant	Received in December/2014
[illegible]	[illegible]	[illegible]	[illegible]	[illegible]	[illegible]	[illegible]	[illegible]	[illegible]
CAF	Adaptation	Forestry	Reunión de áreas protegidas de la OTCA	100.00%	$20,000.00	Grant	Approved in 2015
[illegible]	[illegible]	[illegible]	[illegible]	[illegible]	[illegible]	[illegible]	[illegible]
Germany (KfW)	Cross-cutting	Forestry	ARPA - Fundo de transição ARPA para a vida	50%	[illegible]	Grant	Signed in August/2015
Germany (KfW)	Cross-cutting	Forestry / agriculture	Projeto CAR	50%	$12,756,516.92	Grant	Signed in August/2015
Norway	Mitigation	Forestry	Contribution to the Amazon Fund	100%	[illegible]	Grant	Received in March/2015
Norway	Mitigation	Forestry	Contribution to the Amazon Fund	100%	$120,000,000.00	Grant	Received in December/2015

Source: Brazil's 2nd BUR, 2017, Section 4.2.

Since 2006, Brazil has invested large amounts of its own national budget to reduce deforestation in the Amazon biome. The PPCDAm is the key policy of the Federal Government for the implementation of REDD+ in the Amazon biome. Table 15 shows the detailed comparison of the various investments made in the prevention and control of deforestation in the Amazon biome between 2009 and 2017 from different sources.

Table 15. Investments in the prevention and control of deforestation in the Amazon biome (in R$)

Prevention and Control of Deforestation in the Amazon
Financial resources received from RBP trought the Amazon Fund (not the year of results paid, but the year when these R$ was received) vs National budget allocated per year in R$

Sources (R$/ year)	2009	2010	2011	2012	2013	2014	2015**	2016**	2017**	Total
NOR (RBP to AF)	36,448,350	49,600,536	0	118,253,646	1,449,642,401	288,991,279	501,984,780	330,161,565	139,272,703	2,914,355,262
GER (RBP to AF)	0	6,644,100	0	0	15,954,600	38,098,800	0	0	131,992,896	192,690,396
BRA (institutional)**	919,833,396	975,216,618	993,113,908	871,746,443	864,084,762	886,208,555	880,679,920	883,657,746	883,515,407	8,178,056,756
BRA (PPCDAm actions)*1	905,029,671	972,489,465	770,500,125	888,179,818	1,025,753,028	1,145,442,843	1,064,574,578	998,464,497	768,817,663	8,539,251,689
F.A. (disbursed)	23,666,667	23,666,667	23,666,667	71,000,000	81,000,000	168,000,000	128,000,000	134,000,000	224,000,000	877,000,000
F.A. (disbursed to Fed Gov projects)										180,000,000

** 18 PPCDAM related action funded by the national budget

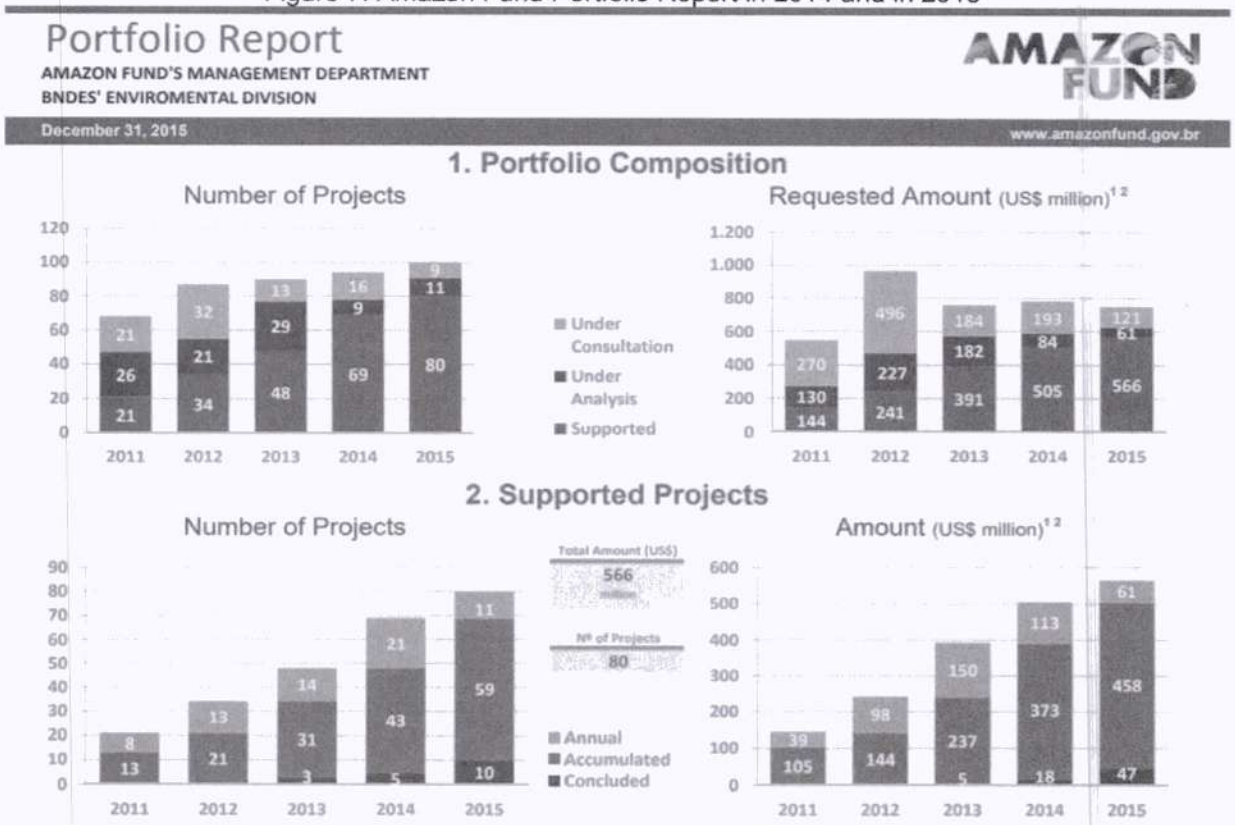
*2 total sum of administrative costs, with personnel and capacity building, for the main agencies involved in the implementation of PPCDAM, including soma de recursos administrativos, pessoal e capacitação de MMA, INCRA, ICMBio, IBAMA e Funai.

** the data from "BRA" 2015, 2016 e 2017 are projected values based on the budget cuts in MMA finalistic actions. The data was not verified in each institution but follow the tendency of reducing in a context of economic crisis and budget cuts in Brazil.

Source: MMA, 2018, based on the Ministry of Planning and Budget Multi-year Budget Plan/ PPA, 2017 and the Amazon Fund, 2017

The Amazon Fund also made significant investments that have directly and indirectly contributed to the achievement of REDD-plus results in Brazil in years 2014 and 2015. Figure 7 of the Amazon Fund Portfolio Report shows that in 2014, a total investment of USD 113 million and in 2015 a total investment of USD 61 million were made, aligned with PPCDAM.

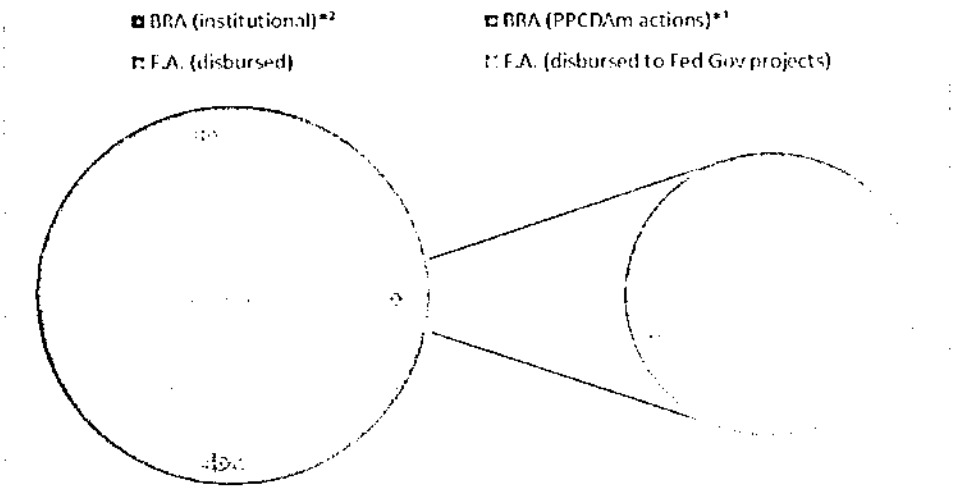
Figure 7. Amazon Fund Portfolio Report in 2014 and in 2015



Source: Amazon Fund, 2018

Figure 8 shows that 94% of the total investments made in the implementation of PPCDAM between 2009 and 2017 were financed through Brazil's national budget. This includes actions on the ground (PPCDAm actions) and institutional costs from the entities involved in the implementation of PPCDAm.

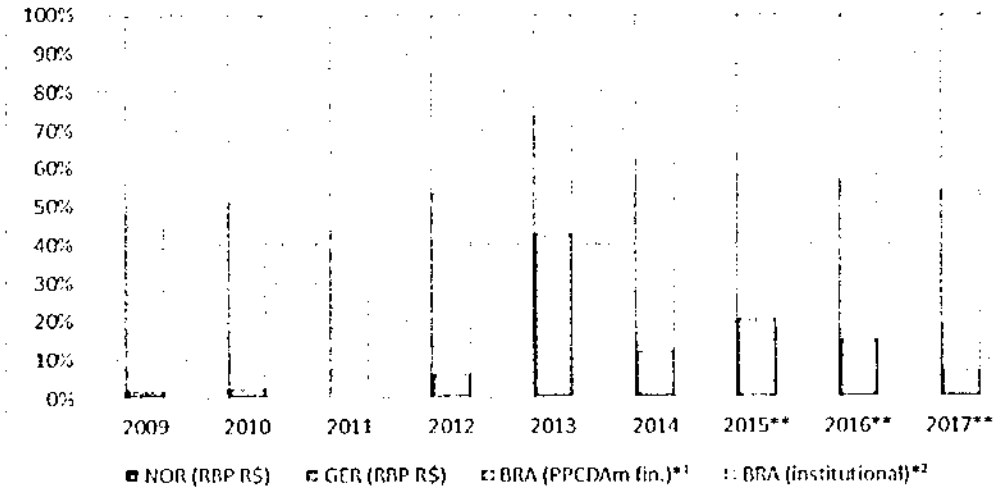
Figure 8. PPCDAm investments made with resources from the national budget vs international donations between 2009 and 2017



Source: MMA, 2018, based on the Ministry of Planning and Budget Multi-year Budget Plan/ PPA, 2017 and the Amazon Fund, 2017

As indicated in Figure 9, in the last five years, the relative contribution of international finance to combating deforestation in the Amazon biome has increased. This was due to an economic crisis that started in 2014 and that Brazil is still currently going through. This resulted in cuts in the budgets of entities directly involved in actions related to the prevention and control of deforestation in the Amazon biome, followed by an increase in deforestation rates (more details in the sections below).

Figure 9. Proportion of sources of investments allocated to combat deforestation in the Amazon biome



Source: MMA, 2018, based on the Ministry of Planning and Budget Multi-year Budget Plan/ PPA, 2017 and the Amazon Fund, 2017

To maintain the low rates of deforestation in Brazil, high and continuous investments are needed, to support command and control operations on the ground (including the teams, helicopters, vehicles, technology, etc.), the production of new and better data (INPE, Embrapa, etc.), and the implementation of positive incentives mechanisms created.

In this context of economic crisis and budget cuts in all areas of the federal budget spending, climate finance becomes even more essential. This nevertheless does not mean that Brazil has reduced its

commitment to invest its own resources in combating deforestation. In years 2014 and 2015 more than 80% of the total resources allocated for the prevention and control of deforestation in the Amazon biome (to support PPCDAm actions and cover institutional costs) came from the national budget (BRA).

(ix) Tracking emissions reductions: *Indicate whether the achieved results are included in a registry or similar system that tracks emissions reductions and corresponding payments, and ensures that there is no past or future double payment or use of such results, including information to identify the area where the results were achieved, the entity eligible to receive payment, year(s) generated, source(s) of payments received, and identifying code, where possible. Provide the link or information where to find the registry or similar system*

As mentioned in the previous sections of this funding proposal, Brazil tracks the emission reductions achieved reducing emission from deforestation in the Amazon biome through the Info Hub Brasil, a repository created in the REDD+Brasil website.

Below is a print screen that shows the relevant information for results achieved in 2014 and 2015 available in Info Hub Brasil at the time of the development of this funding proposal.

Figure 10. Print screen of Info Hub Brazil from REDD+ Brasil website

REDD+ Brasil
MINISTÉRIO DO MEIO AMBIENTE

Buscar no portal

Versão em Português Contact

PÁGINA INICIAL > INFO HUB BRASIL

Info Hub Brasil

PERIOD (YEAR)	BIOME	RESULTS (TCO2)	ASSESSED FOREST REFERENCE LEVEL	LINKS TO ADDITIONAL DOCUMENTATION	QUANTITIES FOR WHICH PAYMENTS WERE RECEIVED	AVAILABLE RESULTS (TCO2)
2011-2015	Amazon	3,154,501,727.00 (access the technical assessment report) (access the file)	907,959,466.00 (access the technical assessment report) (access the file) (access the data)	Modified submission on proposed reference level (access the file) Summary of information on safeguards (access the file) Link to Bazil's National REDD+Strategy (acess the website)	154,521,734.00 For detais of payments for results received, see tables below	2,999,979,993.00

BIOME	ENTITY	PERIOD (YEARS)	FUNDRAISING LIMIT OF RED RESULTS (TCO2)	QUANTITIES FOR WHICH PAYMENTS WERE RECIVED (TCO2/YEAR)	AVAILABLE FUNDRAISING LIMIT (TCO2)	ELECTIBLE ENTITIES

Federal Government	2011	248,980,669.00	33,363,022.00	215,617,647.00	Amazon Fund
	2012	268,510,125.00	32,733,224.00	235,776,901.00	
	2013	242,444,646.00	24,746,724.31	217,697,922.00	
	2014	253,747,146.00	24,000,000.00	229,747,146.00	
	2015	248,980,669.00	27,554,763.27	220,563,341.53.	
	2016	144,752,092.08	8,358,200.96	136,393,891.12	
State of Acre	2011	12,449,033.44	0.00	12,449,033.44	
	2012	13,425,506.24	1,000,000.00	12,425,506.24	
	2013	12,122,232.31	9,020,000.00	3,102,232.31	
	2014	12,687,357.32	1,464,000.00	11,223,357.32	
	2015	12,405,905.24	640,000.00	11,765,905.24	

RECEIVING ENTITIES	YEAR OF THE RESULTS	DONOR ENTITIES	DONATION (USD)	RECEIVED RESULTS (TCO2)	INFORMATION ON THE RECEIVING
	2014	Government of Norway	120,000,000.00	24,000,000.00	
	2015	Government of Norway	97,953,351.16	19,590,670.23	Amazon Fund
	2015	Federal Republic of Germany - kfW	39,820,465.20	7,964,093.04	
Acre Environment State Secretary		Federal Republic of Germany/kfW/REDD Erly Movers Program	Associated with results-based payment for 2013 results*		ISA Carbono Program
			2,470,000.00		REM Program Fase I
			25,071,000.00		*Detailed information on payments, risk management, etc
	2014		3,663,000.00	1,464,000.00*	
	2015		1,590,000.00	640,000.00*	

Source: http://redd.mma.gov.br/en/infohub, last accessed on August 8th, 2018

Info Hub Brasil is currently going through technical improvements, but its temporary display already showcases all the information needed to track emission reductions (including year, biome, data and technical information, additional documentation), corresponding payments, results available for payments, fundraising limit per entity eligible to receive payments, information on results-based agreements already signed, and links to the diplomas issued by the Amazon Fund.

All results achieved by Brazil and respective payments are also displayed in the Lima Information Hub in the REDD+ Web Platform of the UNFCCC. Figure 11 is a print screen of this information.

Figure 11. Print screen of Lima Information Hub, UNFCCC

REDD+ WEB PLATFORM

HOME | FACT SHEETS | SUBMISSIONS | INFO HUB | FORUM | MEETINGS | CONTACT

Country	Date (Year)	Results (t CO_2 eq/year)	Assessed forest reference level (t CO_2 eq/year)	Quantities for which payments were received (t CO_2 eq/year)	Entity paying for results	Links to documentation
Brazil	2006	529,930,490.25	1,106,027,616.63	23,911,039.60 1,388,636.02	Government of Norway (see explanatory note) Petróleo Brasileiro S.A	FCCC/SBI/ICA/2015/TATR.1/BRA Biennial update report with submission of REDD+ results FCCC/TAR/2014/BRA Submission on proposed reference level Modified submission on proposed reference level 1st Safeguards information summary 2nd Safeguards information summary National REDD+ Strategy
	2007	497,761,219.37	1,106,027,616.63	-	-	
	2008	440,022,301.24	1,106,027,616.63	-	-	
	2009	741,687,139.44	1,106,027,616.63	28,347,560.00 3,188,874.00	Government of Norway (see explanatory note) Government of Germany - KfW	
	2010	761,621,104.20	1,106,027,616.63	33,363,022.00	Government of Norway (see explanatory note)	

Source: https://redd.unfccc.int/info-hub.html, last accessed on July 30th, 2018.

C. Non-carbon elements

Please provide link to the summary on information on safeguards:
https://redd.unfccc.int/files/2sumariosalv_br_final.pdf

C.1. Cancun safeguards

C.1.1. Compliance with Cancun safeguards. *Please provide any additional information that supplements the information included in the "summary of information on safeguards" that allows understanding how each of the safeguards below was addressed and respected in the full period during which results were generated in a way that ensures transparency, consistency, comprehensiveness and effectiveness:*

(i) That actions complement or are consistent with the objectives of national forest programs and relevant international conventions and agreements.

Comments:

From a strategic level, the National Policy on Climate Change and Brazil's Forest Code provide the overarching guidelines for Brazil's REDD+ actions. At the tactical-operational level the main instrument to coordinate REDD+ initiatives on the biome scale is the Action Plan for Prevention and Control of Deforestation in the Legal Amazon (PPCDAm is the acronym in Portuguese). The PPCDAm is an overarching suite of programs, policy measures and regulatory instruments that ensures consistency and complementarity of all REDD+ actions in the Amazon region with national and sub-national forest programs, international conventions and agreements. The actions which make up PPCDAm integrate the efforts of thirteen Brazilian ministries and work along 3 main axis, including land tenure regularization and land use planning, monitoring and control, as well as the promotion of sustainable productive activities. Each of the 9 states in the Legal Amazon also has their own state-level action plans, which are similar to the federal level plan to ensure further consistency. The PPCDAm at the federal level, as well as these state level plans, approach deforestation vectors through a range of thematic areas, which are coordinated with other relevant public polices, including the Low-Carbon Agriculture Plan (ABC), the Community and Family Forest Management Program (PMFC), the National Policy for Territorial and Environmental Management of Indigenous Lands (PNGATI), the Legal Land Program, the Environmental Conservation Support Program (Bolsa Verde or Green Grant), the Policy

to Guarantee Minimum Prices for Socio-biodiversity Products (PGPMBio) and the Amazon Protected Areas Program (ARPA), among others. The description of the full range of programs and activities, of which there are over 200, can be found at: http://combateaodesmatamento.mma.gov.br/.

Brazil's National REDD+ strategy (ENREDD+) is also structured along three main action lines, the first of which is "Coordinating Climate Change, Biodiversity and forest related Public Policies, including Safeguards" further cementing Brazil's commitment to a coherent and comprehensive deforestation policy, which supports broader international agreements, such as the United National Framework Convention on Climate Change (UNFCCC), the United Nations Convention on Biological Diversity (UNCBD) as well as the United Nations Declaration on the Rights of Indigenous Peoples (UNDRIP). Furthermore, the National REDD+ Committee (CONAREDD+), established through the Presidential Decree 8.576 in 2015, was created with the purpose of coordinating, tracking and monitoring ENREDD+ implementation. In doing so, one of its principle roles is to promote, the integration and synergy among public policies on forests, biodiversity and climate change across administrative levels, which is further supported through the work of Thematic Consultative Chambers (CCT) or advisory boards. Accordingly, the stated objective of the Thematic Advisory Board on Safeguards (CCT-Safeguards) is to provide inputs for the accompaniment of how the Cancun safeguards are being addressed and respected by Brazil.

Through its work, the CCT-Safeguards advisory board has selected relevant policies, programs and international agreements to be assessed and provided examples of how processes were implemented to ensure consistency, coordination and complementarity at the various levels. The substantive challenges related to the implementation of this safeguard were also identified by CCT-Safeguards in Section 5 of the 2nd SOI, including the harmonization and compatibility of national and subnational policies related to REDD+. This is an ongoing process, currently under further revision and discussion in the Thematic Advisory Board on Federative Relations (CCT-Pact), which serves as an additional forum for debate, participation and transparency between the federal, state and local entities to align their policies.
For further information on the definition, objectives and details related to the interpretation of safeguard (a) by Brazil please refer to Section 4.1 of the 2nd Summary of Information on Safeguards (SOI). Section 5 of the 2nd SOI presents an in-depth overview of how safeguard (a) has been addressed and respected by the policies and initiatives aimed at reducing deforestation in the Amazon biome. Additional information on the complementarity and consistency with PLRs can be found in the Environmental and Social Assessment (ESA) of PPCDAm found in the Annex to this FP.

(ii) Transparent and effective national forest governance structures, taking into account national legislation and sovereignty.

Comments:

The CCT-Safeguards advisory board considers the general objective of this safeguard as follows: Ensuring broad participation in the national REDD+ governance structure by society, compliance with the applicable laws, and the guarantee of rights and sustainability, according to the fundamentals and objectives of the Federal Constitution. Ensuring this broad participation, fundamental to the transparency and efficacy of forest governance structures, CONAREDD+ (the National REDD+ Committee) relies on coordination, discussion and information sharing between the Ministry of Environment (who chairs the committee) with the Ministry of Foreign Affairs, Ministry of Agriculture, Livestock and Food Supply, Ministry of Finance, Ministry of Science, Technology Innovation and Communications, Ministry of Agrarian Development (current the Special Secretariat for Family Farming and Agrarian Development/Chief of Staff), Government Secretariat and the Office of the Chief of Staff of the Presidency. In addition to ensuring the transparency and efficacy of REDD+ actions at the federal level, CONAREDD+ also involves participation of state and local governments, and Brazilian civil society. In addition, the composition of the CONAREDD+ is currently being revised to enlarge participation to guest members to further enhance transparency and participation. Brazil's interpretation of this safeguard also explicitly recognizes the importance of indigenous people, traditional peoples and communities, and traditional and family farmers in the processes of planning, implementing, monitoring and assessing polices. This is accomplished by ensuring the CCT-Safeguards advisory board not only includes experts on biodiversity, environmental monitoring, transparency and forest governance, and public policy

among other key topics, but also representatives from indigenous peoples, traditional peoples and communities and family farmers. One of the main tasks of ENREDD+ is the development of a public policies impact matrix, to continuously monitor and report on the effectiveness of the implementation of policies and measures for REDD+. A tool for assessing impact of state level policies has also been developed by civil society and the integration with the national level tools has being discussed.
The consolidation of Brazil's overarching National REDD+ strategy (ENREDD+) has also greatly enhanced the transparent and effective implementation of forest policies, by producing and organizing additional information and data and making these data sets and analysis more widely available to the public. The REDD+ Brazil website consolidates and presents information on the latest REDD+ related news, CONAREDD+ resolutions, as well as producing a monthly newsletter. Additionally, all minutes of meeting are available for the various thematic advisory boards. To further promote transparency, ENREDD+ information is distributed via the following entities: REDD+ Brazil Portal (http://redd.mma.gov.br/en), which includes SISREDD+ (http://redd.mma.gov.br/pt/salvaguardas) and its ombudsman, Info Hub Brazil (http://redd.mma.gov.br/en/infohub) and in the future also via the Matrix of Public Policies Impact.
As stated above, PPCDAm is the guiding plan for controlling deforestation in the Amazon biome, and the results achieved in 2014 and 2015 were part of the 3rd Phase of PPCDAm (2012-2015). Previous phases of the implementation of PPCDAm are subject to both the annual monitoring of actions, as well as general evaluations, including an independent assessment of the second phase of implementation, which is publicly available and directly informed the design of the third phase. A key recommendation in regards to governance was to facilitate the exchange of information, and resolution of conflict that may arise between federal and state agencies, which has become a focus of the fourth phase of PPCDAm implementation. PPCDAm Phase 4 will focus on transparency and coordination, including more regular meetings, and as well as state representatives from existing technical boards such as law enforcement and sustainable forest management, among other actions.

It should also be noted that the Amazon Fund is also subject to regular assessment and audit, with annual accounting and compliance audits publicly available, and an Amazon Fund Activity Report produced annually (as noted in the Second SOI). Compliance audits conducted by independent consultants assess whether BNDES has met the requirements listed in Decree # 6,527 / 2008 regarding the supporting actions, guidelines and criteria established by the Amazon Fund Steering Committee (COFA). This transparency is extended to the project level, by which evaluations reports of individual projects carried out under the Amazon Fund are also publicly available, in additional to an overarching evaluation of the effectiveness of completed projects, which is available at: http://www.fundoamazonia.gov.br/en/monitoramento-e-avaliacao/independent-evaluations/.

Finally, in addition to the transparency and information sharing promoted through the platforms of ENREDD+, the thematic boards, Info Hub Brazil, SISREDD+ and the evaluations of PPCDAm and the Amazon Fund, in 2011 Brazil has enacted a Federal Law to promote Access to Information Law (Law n. 12,527/2011). This law regulates access to information, as established in Item XXXIII of Art. 5, Item II in Paragraph 3 of Art. 37, and Paragraph 2 of Art. 216 of the Federal Constitution. Request for access to information can be made on the Access to Information Law website: http://www.acessoainformacao.gov.br/ . According to this law, requests for public information must be responded by the GOB within 20 days. The federal government of Brazil has also created a website (Transparency Portal) in which all information on public spending, public policies, public servants and others can be found: http://www.portaltransparencia.gov.br/

For further information on the definition, objectives and details related to the interpretation of safeguard (b) by Brazil please refer to Section 4.1 of the 2nd SOI. Section 5 of the 2nd SOI presents details about how safeguard (b) has been addressed and respected by the policies and initiatives aimed at reducing deforestation in the Amazon biome. Figure 9 of Brazil's 2nd SOI shows the detailed information about social participation and revision cycles of PPCDAm, highlighting transparency in participation as well continuous improvement of governance structures. Section 5 of the 2nd SOI also discusses the main challenges related to the implementation of this safeguard as identified by the CCT-Safeguards advisory board. Additional information on transparency and national forest governance structures can also be found in the ESA of PPCDAm found in the Annex.

(iii)	Respect for the knowledge and rights of indigenous peoples and members of local communities, by taking into account relevant international obligations, national

circumstances and laws, and noting that the United Nations General Assembly has adopted the United Nations Declaration on the Rights of Indigenous Peoples.

Comments:

Approximately 450,000 Indigenous Peoples live in the Brazilian Amazon, making up 60% of Brazil's indigenous population and covering over 400 indigenous lands over an expanse of 115 million hectares (over 98% of the indigenous lands nationally and representing over a fifth of the Amazon Region)[25]. In addition, Brazil has its own definition of local communities, established in Federal Decree 6040/2007, which includes traditional peoples and communities as well as traditional and family farmers. Given the staggering diversity, scale and central importance of these groups in accomplishing Brazil's National Deforestation Plan (PPCDAm) and ENREDD+, ensuring that the plurality of traditional knowledge and rights of these groups is respected in the context of implementing REDD+ actions in Brazil, is of central importance. Accordingly Brazil not only recognizes the critical importance of traditional knowledge, including the management of genetic heritage and territories, as well as the local knowledge associated with the sustainable use of biodiversity, it also takes an expansive definition of the rights of these groups. That is, Brazil's interpretation of this safeguard includes prohibition of restrictions on the use of management of territories, emphasis on the right to self-determination, recognizing rights to collective tenure and benefit-sharing, as well procedural rights such as the right to Free, Prior and Informed Consent (FPIC). Furthermore, Incorporating this knowledge into national level safeguards system (SISREDD+) is a focus of the CCT-Safeguards advisory board and is further supported by an array of national laws and international agreements. The knowledge and rights of indigenous peoples, traditional peoples and communities, and traditional and family farmers, are acknowledged by the following international and national instruments: Articles 231 and 48 of ADCT of the Federal Constitution; Legislative Decree # 2/1994; Decrees # 5,051/2004, 6,040/2007, 6,476/2008, 7,747/2012; Laws # 11,326/06, 13,123/15; and the United Nations Declaration on the Rights of Indigenous Peoples.

The National Policy for Territorial and Environmental Management of Indigenous Lands (PNGATI) and The National Council of Traditional Peoples and Communities – CNPCT, are particularly relevant for addressing and respecting this safeguard, and contributed to the implementation of the 3rd Phase of PPCDAm (2012-2015). PNGATI aims to guarantee and promote protection, recovery, conservation and sustainable use of the natural resources found in indigenous lands and territories, ensure integrity indigenous heritage, improvement of quality of life and respect of sociocultural autonomy. Another important initiative is Terra Legal, which aims to legalize the use of 55 million hectares of state-owned land by granting land titles to some 160,000-smallholder families. It should be noted however that these ongoing processes of land demarcation, including the ongoing Indigenous Land Titling process, and other efforts to improve land tenure (such as the registration of populations living in Sustainable Conservation Units) is an enormously complex and challenging undertaking, not least because of the spatial scale of the Legal Amazon, and the isolation of many communities. More information regarding the governance structures for the implementation of PNGATI and CNPCT can be found on the table of Section 5 of the 2nd SOI. The main challenges related to the implementation of this safeguard identified by the CCT-Safeguards group are the increasing land conflicts in the Amazon region. Brazil therefore recognizes the need to governance systems in this regard and to create an ombudsman to report the violation of safeguards in REDD+ initiatives.

Finally, it is worth noting that knowledge and rights of IPs and traditional communities is also integrated in a crosscutting manner in other relevant national laws and policies. Particularly relevant is the National Biodiversity Policy, Decree # 4,339/2002, which aims to promote, in an integrated manner, the conservation of biodiversity and the sustainable use of its components, with the fair and equitable sharing of benefits derived from the use of genetic resources, components of genetic heritage and traditional knowledge associated with these resources. Also relevant is the Access and Distribution of Biodiversity Benefits Act, Law # 13,123/2015, which establishes rules to access genetic heritage, access the corresponding traditional knowledge, and share benefits. It sets the national definition of associated traditional knowledge, incorporating indigenous peoples, traditional communities and traditional farmers and sets the terms for access, with the definition of parameters for prior and informed consent, and the fair and equitable sharing of benefits.

[25] Amazon Sustainable Landscapes Project Document, 2017

For further information, please refer to the definition, objectives and details related to the interpretation of safeguard (c) by Brazil as presented in section 4.1 of the 2nd SOI as well as Section 5 of the 2nd SOI, which presents details about how safeguard (c) has been addressed and respected by the policies and initiatives aimed at reducing deforestation in the Amazon biome. Additional information on the respect for the rights of indigenous peoples and local communities in the implementation of the activities eligible for results-based payments can also be found in the ESA of PPCDAm found in the Annex, which includes a project-level review of the "Catalyzing the Contribution of Indigenous Lands to the Conservation of Brazil's Forest Ecosystems" drawing the traditional knowledge of IPs.

(iv) The full and effective participation of relevant stakeholders, in particular indigenous peoples and local communities, in the actions referred to in paragraphs 70 and 72 of 1/CP.16.

Comments:

Ensuring the full and effective participation, voice and leading role of stakeholders, including the public and private sectors and the third sector, especially indigenous peoples, traditional peoples and communities, and traditional and family farmers, to promote shared management and social control in the implementation of REDD+ actions and their safeguards, is the principle objective of this safeguards as defined by Brazil in the 2nd SOI. The governance of the CONAREDD+ and the creation of Thematic Advisory Boards (including the CCT-Safeguards advisory board) by the CONAREDD+ are primary indications of progress in this direction. The ENREDD+ interactions with both the Climate Change Technical Chamber of the Management Committee of PNGATI and with the Indigenous Committee on Climate Change is particularly strong, as noted in the 2nd SOI. Furthermore CONAREDD+ more broadly, as well as CCT-Safeguards advisory board itself, include representatives from state and local governments, indigenous peoples and traditional peoples and communities. Civil society representatives have also been elected by the Brazilian Forum of Climate Change (FBMC; https://www.fbmc.com.br/), which also appointed the representatives from indigenous peoples and traditional peoples and communities to be part of CONAREDD+.

In regards to Free, Prior and Informed Consent, Brazil legislation has provisions that support these instruments, including the Federal Constitution, Art. 231; Decree n. 5051/2004 promulgating ILO Convention 169, Decree n. 6040/2007, Act n. 13.123/15 and Decree n. 8772/16, the last two specific for access to traditional knowledge associated with biodiversity. Of particular interest in this regard is Chart 6 of Brazil's 2nd SOI, which presents consultation protocols developed since 2014 by indigenous peoples and traditional peoples and communities in Brazil.

A groundbreaking initiative in Brazil, that also supports full and effective participation of stakeholders, in particular indigenous peoples, is the practice of creating Indigenous Environmental and Territorial Management Plans (PGTAs). The National Policy on Territorial and Environmental Management of Indigenous Lands (PNGATI), mentioned above, was developed by a collation including 150 indigenous groups and other institutions to endorse indigenous-led conservation, natural resource management and environmental restoration, while officially recognizing the PGTAs. The PGTAs reflect the specific visions Indigenous Peoples' for their lands, covering three main priorities: 1) Territorial control and protection, including indigenous-led surveillance and monitoring practices 2) Sustainable management of natural resources for the promotion of food security and income generation, as well as conservation, restoration and sustainable land use and 3) Capacity building and institutional strengthening for local organizations. To implement the policy and plans, the Ministry of Environment (MMA) and the Brazilian Foundation for Indigenous Affairs (FUNAI), along with the Global Environment Facility (GEF), the Nature Conservancy and UNDP implemented PGTAs in 32 indigenous lands, serving as a pilot phase for policy implementation to be shared throughout the almost 700 indigenous lands in Brazil[26]

[26] Indigenous Lands Developing Environmental and Territorial Management Plans, The Nature Conservancy: https://www.nature.org/.../land.../indigenous-environmental-and-territorial-plans.pdf

For further information, please refer to the definition objectives and details related to the interpretation of safeguard (d) by Brazil are presented in section 4.1 of the 2nd SOI. The CCT-Safeguards advisory board has also defined in more detail in section 4.1 of the 2nd SOI actions to ensure the full and effective participation of all relevant stakeholders including determining specific criteria for representativeness (e.g. regional distribution, gender and different forms of knowledge). Section 5 of the 2nd SOI presents details about how safeguard (d) has been addressed and respected by the policies and initiatives aimed at reducing deforestation in the Amazon biome. The main challenges related to the implementation of this safeguard identified by the CCT-Safeguards advisory board are also presented in the table in Section 5 of the 2nd SOI. Finally, additional information on this safeguard is also provided in the ESA found in the Annex.

(v) That actions are consistent with the conservation of natural forests and biological diversity, ensuring that the actions referred to in paragraph 70 of this decision are not used for the conversion of natural forests, but are instead used to incentivize the protection and conservation of natural forests and their ecosystem services, and to enhance other social and environmental benefits.

Comments:

Ensuring that REDD+ actions are not implemented to convert natural ecosystems into systems with low levels of biodiversity (although they may represent a high potential for GHG mitigation), nor into activities that could compromise the provision of ecosystem services or the guarantee of rights, is recognized as the principle objective of this safeguard, as defined by the CCT-Safeguards advisory board. It is also important to note that Brazil expands its definition not only to what may be considered standing forest, but also considers other natural vegetation, which provides key ecosystem services. That is, Brazil's definition explicitly values the standing forest, its multiple functions and benefits, and the livelihoods associated with it and interprets the term "natural forests" as "encompassing natural ecosystems, their structures, functions and dynamics that contribute to environmental and social benefits."

Significantly, subnational REDD+ innitiatives, notably in the state of Acre that has established a State System of Incentives for Environmental Services of Acre (SISA/AC), and the development of the pilot Environmental Services Incentive Program for Conservation and Recovery of Native Vegetation (Floresta+), as presented in this FP, are also pivotal to furthering a approach which incentivizes the conservation of natural forests and their ecosystem services. The SISA/AC, which was established by State Law # 2,308/2010, comprises seven different programs of incentives to environmental services, which work together to reduce deforestation rates and forest fires in Acre, forest conservation and sustainable management, paving the way for environmental and social for those who live in the forest. In addition to 1) Carbon benefits, the incentives program also recognizes social and environmental benefits such as the 2) Conservation of Natural Scenic Beauty, 2) Conservation of Sociobiodiversity, 3) Conservation of Water and Water Services, 4) Climate Regulation, 5) Traditional Ecosystem Knowledge and Cultural Valuation and 6) Soil Conservation and Enhancement. Another wide-ranging policy that fostered conservation and sustainable use during the results period, was the Green Grant (Bolsa Verde) program that supported the conservation of more than 33 million hectares in Sustainable Use Conservation Units and Rural Settlements Projects, over 90% of which were in the Legal Amazon.

Brazil has a host of other policies and programs, which incentivize the protection, and conservation of natural forests as described in the 2nd SOI, including the creation of Protected Areas in the Amazon, encompassing 1) Integral Protection Conservation Units, 2) Sustainable Use Conservation Units: 3 Conservation Units, 3) Private Reserve of Natural Heritage and 4) Indigenous Lands.

In regards to the conservation of biological diversity, in addition to the recommendations made by CBD Decision XI/19, the coherence of REDD+ and biodiversity actions is further ensured through the integration of actions of the National Biodiversity Policy, the National Biodiversity Strategy and Action Plan (NBSAP) and the guidelines from the National Commission for Biodiversity (with information provided by the Brazilian Biodiversity Information System – SiBBr,), programs and policies that have as objectives the identification, monitoring and conservation of endemic, rare or endangered and high biodiversity value species or ecosystems.

Policies and programs that guarantee livelihoods associated with natural ecosystems are also included in the 2nd SOI. For example, the Amazon Fund supports, among other action: (1) creating and consolidating the management of protected areas; (2) recovering deforestation areas; and (3) conserving and sustainably using biodiversity. The ARPA (Amazon Protected Areas Program), also support actions in conservation units that encourage the balance between forest conservation and sustainable use of part of the natural resources.

For further information of the definition, objectives and details related to the interpretation of safeguard (e) by Brazil please refer to Section 4.1 of the 2nd SOI. This section also includes more details about this approach and determines that analyses of synergies and potential conflicts between REDD+ actions and programs and impacts on biodiversity and socio-environmental rights which will be part of the SISREDD+. Section 5 of the 2nd SOI presents information about how safeguard (e) has been addressed and respected by the policies and initiatives aimed at reducing deforestation in the Amazon biome. Data on the creation of protected areas, implementation of conservation units and development of policies to support biodiversity conservation are some of the indicators presented in this analysis. The information mentioned in the tables of Section 5 of the SOI demonstrates Brazil's efforts to increase the conserved and reforested areas. Section 5 of the 2nd SOI also presents the main challenges related to the implementation of this safeguard, which include unifying the systematization of data regarding the creation and homologation of territories of traditional peoples and communities amongst the various institutions responsible for managing these areas. Other challenges include the legal suits initiated by certain sectors operating in the Legal Amazon who goals are contrary to conservation, and whose actions aim to reverse the demarcation of protected areas in the Amazon region. Further information on this matter is also described in the ESA of the PPCDAm found in the Annex, which includes a project-level review of the "Going Green" project designed to strengthen institutional capacity to promote environmental adjustment of rural properties through adhesion to the Rural Environmental Registry (CAR).

(vi) Actions to address the risks of reversals.

Comments:

Promoting the long-term reduction of GHG emissions within the scope of REDD+ actions, and ensuring consistent and continuous results is considered the principle objective of this safeguard, as defined by the CCT-Safeguards advisory board. Several federal laws and instruments promote and support activities to ensure that the results of REDD+ actions endure, including the Atlantic Forest Law (Lei da Mata Atlântica), which has provisions to protect recovered and restored forests, and the Forest Code (which applies to the Amazon Biome) stipulating that rural landholdings must conserve 80% of their area with native vegetation cover, as a legal reserve, applying to landholdings located in originally forested areas. Furthermore, the PPCDAm includes a host of actions to monitor, analyze and improve the coordinated actions for maintaining reduced deforestation rates. Each phase of PPCDAm serves as an opportunity to analyze both the main causes of deforestation and the risks of reversals, which leads to iterative improvement of the action plan, and targeting of activities in new phases.

It should be noted that Brazil has one of the most advanced systems for satellite forest monitoring in the world, the Amazon Deforestation Monitoring Program (PRODES), which is described above as used in the construction of the FREL. PRODES historically used Landsat 5 images, but now also incorporates imagery from Landsat 7 and 8, CBERS-2, CBERS-2B, Resourcesat-1, and UK2-DMC, with all PRODES data is publicly available online. Furthermore, Brazil has a Real Time System for Detection of Deforestation (DETER), a satellite-based system that enables frequent and quick identification of deforestation hot spots, greatly enhanced monitoring and targeting capacity, making it easier for law enforcers to act upon areas with illegal deforestation activity. The Environmental Control and Monitoring pillar of PPCDAm was principally responsible for the marked deforestation reduction observed in the first phases of the plan. Recently, Assunção et al (2017) evaluated the effects of the monitoring and law enforcement between 2007 and 2011, showing that monitoring and enforcement efforts avoided an average of 22,000 km^2 of deforestation per year between 2007 and 2011.

The deforestation data (presented in Figure 12 of the 2nd SOI) is the main indicator to assess potential risks of reversal, confirming that the four lowest deforestation rates in Brazilian history were observed in the 3rd PPCDAm phase (2012, 2013, 2014 and 2015). The recent increase in the deforestation rate observed in 2016 marks a deviation from this trend, however it should also be noted that an increase in deforestation in

one single year does not necessarily present a trend of reversal, given the complexity of economic and political drivers influencing deforestation rates, which may be related to temporally limited and atypical circumstances, such as budget, the approval of specific rules or even commodities prices. After a slight increase in 2015 (still the fourth lowest deforestation rate since 1988), deforestation rates were higher again in 2016, but reduced in 2017. This reduction was in part a result of changes implemented after the 4th Phase of PPCDAm as explained in Section 5 of the 2nd SOI. Regardless, possible causes of identified in the 2nd SOI include the possibility that deforesters are adjusting their practices to monitoring strategies. Assunção et al (2017) performed an experiment that reinforces this hypothesis, with study results indicating an increase in the relative participation of areas smaller than 25 ha (limit of DETER detection) in small, medium and large properties in Mato Grosso and Para States between 2005 and 2012. As a result, Brazil is taking action to further improve monitoring systems and strategies. Finally, operationalizing REDD+ results-based payments through the Floresta+ program will be a central strategy to address the risk of reversal.

For further information of the definition, objectives and details related to the interpretation of safeguard (f) by Brazil are presented in section 4.1 of the 2nd SOI, which also provides details about the approach defined by the CCT-Safeguards advisory board to address and respect this safeguard, including the effective, comprehensive, frequent and accurate monitoring of all relevant areas and promoting complementary and synergistic action of the SISREDD+, Matrix of Public Policies Impact, and Info Hub Brazil, as established in the ENREDD+. Section 5 of the 2nd SOI presents information about how safeguard (f) has been addressed and respected by the policies and initiatives aimed at reducing deforestation in the Amazon biome. The main challenges related to the implementation of this safeguard identified by the CCT-Safeguards advisory board and presented in the table in Section 5 of the 2nd SOI are maintaining the high level of investments in law enforcement activities and other initiatives to reduce deforestation, including through the support received from results-based payments.

(vii) Actions to reduce displacement of emissions.

Comments:

The CCT-Safeguards advisory recognizes that the principle objective of this safeguard is promoting legislation and actions, which prevent the implementation of REDD+ activities in one area, having the opposite effect in another, more vulnerable, area. Given that almost 60% of the Brazilian territory is covered by natural and planted forests, accounting for the second largest forested area in the world, and that Brazilian forests are distributed throughout six biomes, with distinct characteristics, land use dynamics and deforestation trends, presenting unique technical challenges, Brazil is currently implementing REDD+ per biome as an interim measure. Biome boundaries are therefore the territorial unit used to assess emission displacement. In order to address and reduce the displacement of emission to other biomes, Brazil is committed to expanding the implementation of REDD+ activities to all biomes in the future, with the scaling-up of the REDD+ implementation to the national level following a step-wise approach, noting the importance of adequate and predictable support. The implementation of the Action Plan for the Control of Deforestation in the Cerrado biome (PPCerrado), the engagement of stakeholders beyond the Amazon in the ENREDD+, the establishment of the Rural Environmental Registry (CAR) and the creation of a national forest monitoring system (NFMS) are some of the elements detailed in Section 5 of the 2nd SOI that demonstrate how Brazil is expanding its policies and initiatives beyond the Amazon biome.

To address both the risk of displacement between biomes, as well as potential trans boundary displacement to adjacent national territories not yet as advanced in the operationalization of REDD+, Brazil has also invested in south-south cooperation initiatives for forests and climate change, through results-based payments received by the Amazon Fund. Just over 20% of the total resources received through results-based payments by the Amazon Fund can now be used to support the development of deforestation monitoring and control systems in other Brazilian biomes and other countries. In this regards, Brazil has invested USD 12 million in the development of the capacity to monitor deforestation, changes in the use of land and forests of other countries in the Amazon basin[27].

[27] For more information see: http://www.amazonfund.gov.br/en/projeto/Monitoring-Forest-Coverage-in-the-Regional-Amazon/ and http://www.otca-oficial.info/assets/documents/20170508/70c7925ed598a0813cc675a434b5746b.pdf, last accessed on July 25th, 2018.

Section 4.1 of the 2nd SOI presents more details about the approach defined by the CCT-Safeguards advisory board to address and respect this safeguard, including the scaling up of the implementation of REDD+ from the biome to the national level, in a stepwise manner. Section 5 of the 2nd SOI presents information about how safeguard (g) has been addressed and respected by the policies and initiatives aimed at reducing deforestation in the Amazon biome. The main challenges related to the implementation of this safeguard identified by the CCT-Safeguards advisory board are also presented in the table in Section 5 of the 2nd SOI. Key challenges are related to the availability of resources to support the national implementation of REDD+ and reconciling production and environmental protection in the Cerrado biome.

C.1.2. Stakeholder involvement.

Please describe and provide evidence that the Cancun safeguards information was made transparently available to stakeholders.

Stakeholder engagement and discussions regarding REDD+ safeguards in Brazil began in 2009, before safeguards were formally defined under the UNFCCC, in December 2010. This process was initiated by non-governmental organizations, engaging social movements, smallholders, private sector actors, environmental NGOs and research institutions in workshops, meetings and a public consultation, and produced the report "REDD+ Social and Environmental Principles and Criteria".

In 2011, the MMA promoted the workshop "Implementing Social and Environmental Safeguards in the National REDD+ Strategy", with the participation of several civil society organizations. In 2012, the MMA and the National Indigenous Peoples Foundation (FUNAI) held a seminar to discuss the indigenous peoples' issues related to the implementation of REDD+ in Brazil. The workshop resulted in the drafting of the document "Set of principles and premises for the implementation of REDD+ in Indigenous Lands". In 2012, the MMA also coordinated a Technical Panel with experts from civil society organizations. The Panel conducted a survey of information and gaps related to the implementation of safeguards and the development of the SISREDD+. In 2014, Brazil submitted to the UNFCCC its 1st SOI as a compilation of the outcomes from all the discussions held up to then.

After that, in 2016, the CONAREDD+ established the CCT-Safeguards advisory board to coordinate a participatory process for the systematic implementation of REDD+ safeguards in Brazil. This includes the conceptualizing the safeguards in the Brazilian context (Section 4 of the 2nd SOI), developing the SISREDD+ and reviewing the summary of information on the safeguards, among other activities.

The CCT-Safeguards advisory board when summarizing past consultations and discussions, considered the work previously conducted on the topic and updated it. The first step in the consultation process was the participatory definition of the safeguards in the Brazilian context by the CCT. This exercise is the basis for all the systematization of the safeguards implementation in Brazil. Brazil's understanding is that the implementation of the safeguards encompasses a large set of laws, policies and programs established in the national context, and the rationale is that all those laws, policies and programs implemented together ensure addressing and respecting the safeguards. As suggested by the CCT-Safeguards advisory board, the interpretation of Cancun safeguards in the Brazilian context presents a "Definition", "Objectives" and "Further details" for each of the safeguards, aiming at providing a clear scope for the implementation and monitoring of the safeguards by Brazil. It should be mentioned that the three sections (definition, objective and further details) are equally important and complementary.

Brazil's 2nd SOI, submitted to the UNFCCC in 2018, is equally the result of a participative process, guided by the CCT-Safeguards advisory board. In addition to ordinary meetings, a specific workshop about the content of the summary on the safeguards was conducted with the CCT members and other stakeholders. The document was made available on the Internet for contribution for two months, making use of social media and REDD+ Brazil monthly newsletter (which has over 900 subscribers) as means to communicate the collection of face-to-face and virtual contributions. It is also important to mention through this process relevant stakeholders would provide inputs and suggestions to both interpretation of the safeguards (section 4) and their implementation (section 5). The CCT-Safeguards advisory board members were also encouraged to consult with their peers and to take a proactive role as multipliers of information throughout the process.
Brazil's 2nd SOI was developed in a progressive manner, enhancing information and processes used to elaborate the 1st SOI, while acknowledging that further enhancements are yet to come along with awareness

about the topic in the country and with the full implementation of the SISREDD+. The methodology for the development of Brazil's 2nd SOI was created by the CCT-Salv and is described in section 3.2 of the 2nd SOI. This section details how the information from actions and initiatives that contribute to the achievement of the results (PPCDAm, ENREDD+, etc.) and the investments made through payments received for these results (Amazon Fund) were assessed to determine how the Cancun Safeguards had been addressed and respected by Brazil for results achieved from 2011.

With the conclusion of the conceptualization of safeguards in the Brazilian context and the contributions to the 2nd SOI, the CCT-Safeguards advisory board is now entirely dedicated in the SISREDD+ improvement. To assist the CCT and to ensure a broad and participatory process for the definition of indicators for the SISREDD+, a series of workshops has been conducted, bringing together a range of stakeholders from the national to local level, and including representatives of Indigenous People, traditional communities, state governments, NGOs, academia and the private secot. Table 16 presents the number of representatives per sector that participate in these workshops.

Table 16. REDD+ safeguards representatives per sector/ group

Sector/Group	Number of representatives
Indigenous people	21
State government	49
Federal government	8
Traditional people and communities and family farmers	31
University	17
Private sector	8
Grassroots movements	4
NGOs	20
Total	158

Source: MMA, 2018

These 158 representatives mentioned above came from eighteen different states[28] of Brazil, with 80 female and 78 male stakeholders, ensuring regional and gender balance. Further information on stakeholder involvement and information sharing with stakeholders can be found in the ESA found in the Annex.

C.2. Use of proceeds and non-carbon benefits

C.2.1. General description:

Provide a description on how the proceeds will be reinvested in activities consistent with the country's NDC, national REDD-plus strategy and/or low carbon development plans and policies. The description should also include how the proceeds will be used in a manner that contributes to the long-term sustainability of REDD-plus activities, including non-carbon benefits.

The ENREDD+ was approved in the end of 2015 with the overall objective to contribute to climate change mitigation by eliminating illegal deforestation, promoting conservation and restoration of forest ecosystems and fostering a low-carbon and sustainable forest economy, while delivering environmental, social and economic benefits. This will be done through three specific objectives: (i) improving the monitoring and impact assessment of public policies for REDD+; (ii) integrating governance structures for climate change, forests and biodiversity in all levels; (iii) contributing to the mobilization of resources at the scale compatible with Brazil's commitments to mitigate climate change in accordance with Brazil's NAMAs by 2020.

[28] Brazil has 26 states and the Federal District. The Amazon region comprises 9 states.

Also, in 2015, Brazil submitted its NDC to the UNFCCC. Brazil's NDC intends to reduce GHG emissions by 37% below 2005 levels in 2025 and a subsequent reduction of GHG emissions by 43% below 2005 levels in 2030[29].

Brazil's NDC is economy-wide, based on flexible pathways to achieve its objectives. In the annex of its NDC Brazil presented additional information **meant only for clarification purposes – these are not sectorial targets**. With regards to the forest sector, the following measures have been preliminarily identified for the implementation of Brazil's NDC:

- strengthening and enforcing the implementation of Brazil's Forest Code (Law 12.651/2012), at federal, state and municipal levels;
- strengthening policies and measures with a view to achieve, in the Brazilian Amazon, zero illegal deforestation by 2030 and compensating for GHG emissions from legal suppression of vegetation by 2030;
- restoring and reforesting 12 million hectares of forests by 2030, for multiple purposes;
- enhancing sustainable native forest management systems, through georeferencing and tracking systems applicable to native forest management, with a view to curbing illegal and unsustainable practices.

Eliminating illegal deforestation, promoting the enhancement of forest carbon stocks and fostering a sustainable forest economy are common objectives of both Brazil's ENREDD+ and the NDC. Both the ENREDD+ and the NDC also have the implementation of the Forest Code as a strategic element. REDD+ is considered by Brazil as means for the implementation of its NDC. Brazil's NDC states that "the implementation of REDD+ activities and the permanence of results achieved require the provision, on a continuous basis, of adequate and predictable results-based payments in accordance with the relevant COP decisions".

The results-based payments received by Brazil from the GCF will contributed to the implementation of the forest sector actions of Brazil's NDC. This project proposal has two main outputs:

1. Development of a pilot of an Environmental Services Incentive Program for Conservation and Recovery of Native Vegetation (Floresta+); and

2. Strengthen the implementation of Brazil's ENREDD+ through improvements in its governance structure and systems.

These two outputs will contribute to the achievement of the ENREDD+ overall objective and the country's NDC. More details are provided below.

Output 1: Floresta+ Pilot Program

The Floresta+ is a new and innovative pilot program that aims to provide incentives for environmental services (IES) in the Legal Amazon region, in accordance with Brazil's Forest Code, the ENREDD+ and Brazil's NDC. This IES pilot program will have the following specific objectives:

1. provide monetary compensation to incentivize native vegetation conservation and recovery and improvement of ecosystems that generate environmental services (including but not limited to carbon);
2. prevent the occurrence of deforestation, forest degradation and forest fires through financial incentives;
3. incentivize the conservation and recovery of native vegetation of rural properties, conservation areas, indigenous lands, land settlements and traditional people and community lands;
4. promote compliance with the environmental legislation, especially that related to the protection and recovery of native vegetation (Forest Code);

[29] These estimates are based on Brazil's Second National GHG Inventory which was part of the SNC to the UNFCCC.

5. offer a financial mechanism to foster the development and implementation of public policies aimed at conservation and recovery of native vegetation.

The target audience for the Floresta+ Pilot Program is comprised of:

1. small farmers, according to art. 3º, V, of the Forest Code (Law nº 12.651/2012), up to 4 fiscal modules[30]
2. indigenous peoples;
3. traditional peoples and communities according to I, do art. 3º, of decree nº 6.040/2007 (that use their territory collectively); and
4. public institutions or agencies (including States and municipalities), civil associations, cooperatives and private law foundations that act in topics related to conservation and recovery of native vegetation.

The prioritization of areas to be selected as beneficiaries for the Floresta+ pilot program will consider:

a) regions with high pressure from deforestation, forest degradation and forest fires;
b) priority areas for biodiversity conservation and for the recovery of native vegetation, according to norms defined by the MMA;
c) buffer zones around protected areas;
d) regions with higher density of small farmers;
e) regions with higher concentration of traditional peoples and communities;
f) integration with other public policies related to the conservation and recovery of native vegetation.

The Floresta+ Pilot Program will operate through resource distribution modalities such as:

1. **Modality 1 (Floresta+ Conservation):** incentives to landowners and land users of rural properties according to the classification of item V, of article 3º, of the Forest Code (Law nº 12.651/2012), with the objective of conserving native vegetation remnants additional to the legal requirements;
2. **Modality 2 (Floresta+ Recovery):** incentives to landowners and land users of rural properties according to the classification of item V, of article 3º, of the Forest Code (Law nº 12.651/2012), with the objective of recovering Permanent Preservation Areas (e.g. riparian forests, mountain tops and steep inclines);
3. **Modality 3 (Floresta+ Communities):** support to associations and representative entities of indigenous peoples and traditional peoples and communities;
4. **Modality 4 (Floresta+ Innovation):** support innovative actions and arrangements to develop, implement and leverage public policies for conservation and recovery of native vegetation.

Additional criteria and priority areas will be developed and refined in consultation with the relevant stakeholders, including indigenous peoples and traditional peoples and communities, civil associations, state government representatives, federal agencies, non-governmental organizations, among others.

Direct payments will be calculated based on the area of native vegetation remnants and environmental liabilities to be recovered, in hectares, according to the data in the National Rural Environmental Registry System (SICAR). Amount of payment per hectare will be defined in norms to be published by the Project Advisory Committee and should consider:

a) the relationship between the preserved native vegetation area and the area of deforested, degraded or burnt native vegetation within the rural property limits;
b) the opportunity cost of land use in areas with alternative land use;
c) the reference values of other programs of incentives for environmental services, when applicable.

[30] A fiscal module is an agrarian unit used in each municipality in Brazil, defined according to the terms of article 50, section 2, of Law No. 6,746 of December 10, 1979. (Law No. 6.746/1979) This measure is meant to ensure Floresta+ is focused on small and medium households instead of larger land owners. Indeed 90% of farms have up to four fiscal modules according to INCRA.

Modalities 1, 2 and 3 of the Floresta+ Pilot Program should represent about 80% of the program funding allocation.

Floresta+ Pilot Program alignment with the ENREDD+, and Brazil's NDC

As of the time of the submission of this proposal, policies and measures to reduce deforestation in the Amazon region have heavily focused on command and control actions. Studies suggest that enforcement actions are very effective but also have an intrinsic limit on the fight against illegal deforestation. A high degree of continuous investments is needed, to support command and control operations on the ground while also providing positive incentives to the people that contribute to forest conservation and enhancement of forest carbon stocks. Investments in positive incentives are key to maintain and further expand the REDD-plus results achieved in the Amazon region. This will be the core of this GCF proposal.

The Floresta+ Pilot Program will incentivize conservation and the recovery of native vegetation in accordance with Brazil's Forest Code and Proveg. This will contribute to reduce the pressure on native forests therefore consistent with the ongoing efforts to eliminate illegal deforestation and promote the restoration/ recovery of ecosystems, which are part of the general objective of Brazil's ENREDD+ and are listed as potential activities in the forest sector for the achievement of Brazil's NDC and national policies.

Output 2: The implementation of Brazil's ENREDD+

About 43 developing countries have signed and in part already received a total of USD 400 million from readiness funds from the Forest Carbon Partnership Facility (FCPF) from the World Bank[31] and other readiness initiatives to develop all the elements for REDD+ including a national REDD+ strategy (NRS), FREL/FRL, NFMS and SISREDD+.

Brazil was not part of any international REDD+ readiness fund or initiative. All REDD+ elements were developed by the country itself, using its own limited national budget (details presented in section B.2.2 (viii) of this proposal) and human resources. With a small part of the resources to be received from the GCF through REDD+ results-based payments, Brazil intends to improve its REDD+ elements to strengthen the implementation of the ENREDD+ and contribute to a more effective and transparent implementation of its NDC.

The resources received by Brazil from the GCF through REDD+ payments will be in part directed to support the:

1) Expansion of the forest monitoring system and MRV to include additional REDD+ activities, pools and gases, considering the mapping products produced under the Brazilian Biomes Environmental Monitoring Program, for all biomes, as appropriate, following the guidance from the Working Group of Technical Experts on REDD+. The aim is to submit a national FREL to the UNFCCC by 2020.
2) Development of a tool to monitor and measure the impacts of REDD-plus policies and investments and inform decision-making regarding the forest component of Brazil´s NDC.
3) Improvement Brazil's Safeguards Information System for REDD+ (SISREDD+) and its ombudsman, making it more complete, transparent and accessible.
4) Enhancement of the capacities and access of the various stakeholders for participating in the CONAREDD+ and its Consultative Chambers, including the revision of the National REDD+ Strategy in 2020.
5) South-south Cooperation Program in Forests and Climate Change designed by the MMA and the Brazilian Agency of Cooperation of the Ministry of Foreign Affairs (ABC/MRE)

A stronger governance structure and more transparent data and information systems will contribute to the long-term sustainability of these investments. **It will also contribute for the effective implementation of the measures needed in the forest sector for the achievement of the national target indicated in Brazil's NDC.**

The REDD-plus results-based payments from the GCF will also fund a South-south Cooperation Program in Forests and Climate Change designed by the MMA and the Brazilian Agency of Cooperation of the Ministry

[31] For more information see: https://www.forestcarbonpartnership.org/about-fcpf-0, last accessed on August 1st, 2018.

of Foreign Affairs (ABC/MRE). This Program has as its overall objective contributing to the reduction of global GHG emissions and the achievement of Parties commitments under the UNFCCC and its Paris Agreement, through their NDCs, by strengthening the technical and institutional capacities of developing countries to achieve REDD-plus results. The Program is aligned with Brazil's NDC and ENREDD+. Brazil's NDC recognizes the complementary role of South-South cooperation, based on solidarity and common sustainable development priorities, for the achievement of the ultimate objective of the Convention.

The GCF resources will allow the MMA and the ABC to develop knowledge materials in English, Spanish and French to share with other developing countries the Brazilian experience developing and implementing effective public policies to protect its forests and curb deforestation and in forest monitoring and MRV systems for REDD+. Regional workshops and exchanges, including site visits, will also be promoted.

The implementation of Brazil's ENREDD+ should represent less than 10% of the total funding allocation.

C.2.2. Expected outputs and outcomes:

Please provide the following information:

Component(s)	Outputs	Outcomes
Forest sector actions to contribute to the implementation of Brazil's Nationally Determined Contribution	Output 1 Implementation of the Floresta+ Pilot Program Output 2 Implementation of the National REDD+ Strategy (ENREDD+) Output 3 Program management*	M5.0 Strengthened institutional and regulatory systems • Projects supporting local and indigenous organizations in the implementation of the National Policy on Environmental and Territorial Management of Indigenous Land. • Projects supporting local and indigenous organizations in the strengthening of socioenvironmental management, housing and green infrastructure, cultural manifestations and economic sustainability to local and traditional communities. • Projects supporting the improvement and the adoption of innovative instruments for public policies related to forest conservation and restoration (e.g. PPCDAm, Planaveg, Forest Concessions, National Forest Inventory, SICAR, Sinaflor, etc.). • REDD+ systems and tools improved (SISREDD+, Public Policy Matrix) • ENREDD+ revised. • Representatives actively engaged in the CONAREDD+ and CCTs meetings and activities. • Information and lesson learnt materials produced in different languages. M9.0 Improved management of land and forest • Increased area of forests supported with Incentives for Ecosystem Services for conservation. • Increased area of land supported with Incentives for Ecosystem Services for restoration. • Mapping products produced.

		• Estimates of GHG from REDD+ activities carried out.

** Project Management is described in section G below.*

C.2.3. Timeframe of implementation (for monitoring and reporting purposes):

Please provide the following information:

Outputs	Expected year to be achieved
Output 1 Implementation of the Floresta+ Pilot Program	Year 6
Output 2 Implementation of the National REDD+ Strategy (ENREDD+)	Year 6
Output 3 Program Management	Year 6

If needed, provide any additional comments/explanations:

Output 1:
The first 12 months of implementation of Floresta+ will be used to conduct extensive stakeholder consultations and social and environmental impact assessments in line with the ESMF, in order to establish detailed and operational safeguards management plans and to inform the broader design of Floresta+, including the selection of the beneficiaries in the Modalities 1, 2, 3 and 4. It includes the establishment and operation of a governance structure; the definition of values and priority areas for direct payments; upgrades in SICAR for registering and monitoring processes; the development of a simplified online platform to register the proposals for direct payments; the selection process of the beneficiaries and projects; the establishment of the contracts.

The direct payments for each household in Modalities 1 and 2 will be made up to four years during the project, considering the period between the admission and the end of the project. From that, annual payments will be based in the monitoring results of forest conservation and restoration. The projects' duration in Modalities 3 and 4 will be determined in the specific criteria and guidelines for each public.

Output 2:
The activities in this output will follow the calendar established in the ENREDD+ and CONAREDD+. The activities are currently underway, and the project will support to enhance the products and processes. The focus of the first year is to support the preparation of the national FREL and to improve the implementation of SISREDD+, including exploring synergies with the Grievance Redress Mechanism and safeguards requirements for GCF. After that, the Public Policy Matrix and the revision of the National REDD+ Strategy will be conducted taking into consideration the Brazil's NDC. The enhancement of the capacities and access of the various stakeholders for participating in the CONAREDD+ and its Consultative Chambers and the South-South Cooperation initiatives are cross-cutting issues and will be implemented during all the project.

C.2.4. Budget estimate (for monitoring and reporting purposes):

Following the procedures of the Terms of Reference for the REDD+ pilot programme for Results-Based payments, the iTAP recommended that the Board consider the following:

(a) Total score achieved **36/48**
(b) GCF volume of ERs: **18,819,946.91 tCO_2 eq;** and
(c) Additional 2.5 per cent for use of proceeds and non-carbon elements
(d) Proposed REDD-plus results-based payments (USD 5/tCO_2eq): **USD96,452,228**

Based on this, the budget for the proposal was finalized as described below.

Output	Indicative cost (USD)	GCF proceeds Amount	Co-financing (if any) Amount	Source
Output 1 Floresta+ Incentives	79.7 million	79.7 million	0	0
Output 2 Implementation of the National REDD+ Strategy (ENREDD+)	7 million	7 million	0	0
Output 3 Program Management	9.7 million	9.7 million	0	0
Indicative total cost and currency (USD or EUR)	96.4 million	96.4 million	0	

As agreed by the Recipient of the REDD+ RBP Proceeds, an additional line item is included in the project management output of the Funding Proposal budget (as detailed in table 17) for an amount equivalent to 3.5% of the proceeds, to be utilized by UNDP for the provision of supervision services to the project.

Table 17 below provides a detailed budget for the project at the activity level.

Table 17. Detailed Budget at the activit level

Output	Activity		GCF amount (USD)
Output 1 Floresta+ Incentives	1.1	Refinement of Floresta+ Pilot Programme and selection of implementing partners	2,320,000
	1.2	Operation of Floresta + Modality 1	48,400,000
	1.3	Operations of Floresta + Modality 2	12,375,000
	1.4	Operation of Floresta + Modality 3	7,500,000
	1.5	Operation of Floresta + Modality 4	5,000,000
	1.6	Technical Monitoring of Floresta+	3,620,000
	1.7	Implementation of an outreach strategy for Floresta+	510,000
	Total Output 1		79,725,000
Output 2 Implementation of the National REDD+ Strategy (ENREDD+)	2.1	Expansion of the forest monitoring system and improvement of the Measurement, Reporting and Verifying process for REDD+	3,443,964
	2.2	Development of Public Policies Impact Matrix	190,000
	2.3	Improvement of REDD+ Safeguards Information System (SISREDD+)	1,400,200
	2.4	Strengthening ENREDD participatory mechanisms	1,329,600
	2.5	Promoting knowleadge management and exchanges in CC and Forests for South-South cooperation	620,069
	Total Output 2		6,983,833
Output 3 Programme Management	3.1	Project Management	3,474,000
	3.2	Direct Project Costs	2,893,566
	3.3	Provision of supervision services to the project	3,375,827
	Total Output 3		9,743,395
Total Budget			96,452,228

As per the Terms of reference for the pilot programme for REDD+ results-based payments (section 4.5), the GCF will transfer funds through the accredited entity to the recipient defined in the funding proposal in a single disbursement after approval by the Board. Given this, the interest income from the proceeds will be reinvested in the activities of Outputs 1 and 2. Table 18 below present the planned disbursements that UNDP will make towards the implementation of programme activities.

Table 18. Disbursement Schedule for the Implementation of Programme Activities

Description	GCF Project Funds
For Year 1 Activities	3,599,827
For Year 2 Activities	23,051,829
For Year 3 Activities	22,286,078
For Year 4 Activities	22,400,709
For Year 5 Activities	22,101,448
For Year 6 Activities	3,012,336
Total	96,452,228

C.2.5. Implementation arrangements:

List and describe the institutions involved in the activities that will be funded with proceeds from this pilot program, and explain their anticipated roles and interactions with one another, including the flow of funds.

The Government of Brazil (GOB), through MMA, has requested UNDP's assistance for the design and implementation of this Project after a selection process, which showed UNDP's comparative advantage, including vast experience in supporting the Government in project implementation in Brazil, its in-country presence, its large portfolio of biodiversity, climate change and REDD-plus, both nationally and globally, and its role as GCF Accredited Entity (AE). The selection process conducted by MMA is described in the section E.1.3.

At the request of the GoB UNDP will therefore serve as both Accredited Entity (AE) and Executing Entity (EE) for this project. In line with UNDP Internal Control Framework (ICF) there will be a clear division between UNDP oversight function as GCF AE and its role as EE. A firewall will be created between execution and oversight functions to avoid any conflict of interest.

As an Accredited Entity to GCF, UNDP's overall role is to provide oversight and quality assurance through its Headquarter, Panama Regional Hub and Brazil Country Office. This role includes: (i) project preparation oversight; (ii) project implementation oversight and supervision, including financial management; and (iii) project completion and evaluation oversight. It also includes oversight roles in relation to reporting and knowledge-management. The '**project assurance**' function of UNDP is to support the Project Board by carrying out objective and independent project oversight and monitoring functions. This role ensures appropriate project management milestones are managed and completed. Project assurance is independent of the Project Manager and Project Management Unit; therefore, the Project Board cannot delegate any of its assurance responsibilities to the Project Manager or other members of the PMU. A UNDP Programme Officer, or M&E Officer, at the Country Office with support from the UNDP's Global Environmental Finance Unit, will hold the Project Assurance role on behalf of UNDP.

The project will be implemented under UNDP's Direct Implementation modality (DIM). UNDP will be the Executing Entity/ Implementing Partner. The Implementing Partner is responsible and accountable for managing this project, including the monitoring and evaluation of project interventions, achieving project outcomes, and for the effective use of the project resources.

As Executing Entity, UNDP offices will carry out operational and administrative support activities which include the provision of the following services:

- Payments, disbursements and other financial transactions.
- Recruitment of staff, project personnel, and consultants.
- Procurement of services and equipment, including disposal.
- Organization of training activities, conferences, and workshops, including fellowships.
- Travel authorization, visa requests, ticketing, and travel arrangements.
- Shipment, custom clearance, vehicle registration, and accreditation, among others.

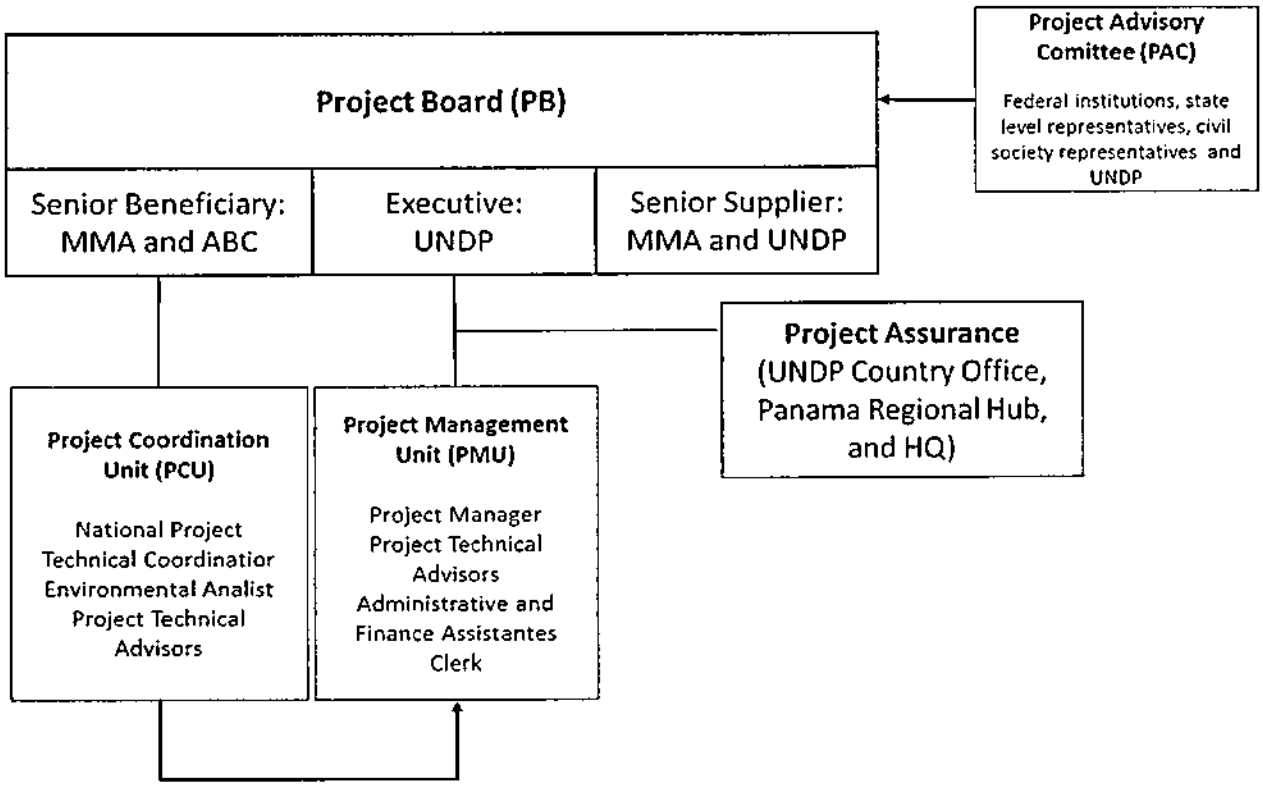
In addition to the provision of the above services, UNDP will be responsible for establishing a Project Management Unit which will execute the project and coordinate the management, reporting, and promote inter-institutional linkages of this project with other initiatives, disseminating its results. Inputs related to Project Execution have been costed and budgeted in the Project Management Costs.

UNDP will act in close consultation with MMA as the technical entity responsible for forest public policies. MMA will also support technical oversight and management through its role on the Project Board; in chairing the Project Advisory Committee; and in designating a wide range of staff for delivery of different project activities and coordination of technical outputs.

In addition, UNDP may enter into agreements with other organizations or entities, known as "Responsible Parties", which may carry out project activities and produce project outputs on behalf of the Implementing Partner. Responsible Parties are accountable directly to the Implementing Partner. Given the nature of this project, appropriate responsible parties will be selected and indicated by MMA and UNDP, as per UNDP rules and regulations.

The management arrangements, described below and summarized in Figure 12, constitute the Project Board; Project Coordination Unit, Project Management Unit, and a Project Advisory Committee.

Figure 12. Project management arrangements



Project Board (PB)

Project Board is responsible for making by consensus or majority, management decisions when guidance is required by the Project Manager, including recommendations for UNDP/Implementing Partner approval of project plans and revisions, and addressing any project level grievances. To ensure UNDP's ultimate accountability, Project Board decisions should be made in accordance with standards that shall ensure management for development results, best value money, fairness, integrity, transparency and effective international competition. In case a consensus cannot be reached within the Board, final decision shall rest with the UNDP Programme Manager.Specific responsibilities of the Project Board include:

- Provide overall guidance and direction to the project, ensuring it remains within any specified constraints;
- Address project issues as raised by the project manager;
- Provide guidance on new project risks, and agree on possible countermeasures and management actions to address specific risks;
- Agree on project manager's tolerances as required;
- Analyze and discuss the development of the Project activities and recommend changes as required based on project monitoring and evaluation processes and products and in line with UNDP policies;
- Discuss and approve the Annual Work Plans ensuring that required resources are committed;
- Appraise the annual project implementation report, including the quality assessment rating report; make recommendations for the workplan;
- Provide ad hoc direction and advice for exceptional situations when the project manager's tolerances are exceeded; and
- Discuss and approve the Progress Reports and Final Report of the Project;
- Analyze Project achievements and assure these are used for performance improvement, accountability and learning; and
- Settle controversies arbitrating on any conflicts within the project or negotiating a solution to any problems with external bodies.

The PB will be composed of UNDP, the Brazilian Agency for Cooperation (ABC) and the MMA and their respective alternate members. The Board can be expanded, upon agreement between the Parties. UNDP will represent the main Executing Agency for the project, chairing the PB and organizing its meetings at least once a year or upon request of either of the Parties. The ABC is the institution responsible, within the government, for following up on the activities for this Project; and the MMA is responsible for the provision of technical expertise and guidance for the project. For this, the MMA will appoint a National Project Technical Director (NPTD) who will be a senior staff member and will be responsible at the highest level for providing guidance on the technical feasibility of the project and ensuring its implementation leads to the achievement of project's results. He/she will represent the MMA on the PB; will chair the Project Advisory Committee (PAC); will keep the MMA updated on Project advances and challenges as needed and will represent the Project at high-level national and international meetings. This is a part-time contribution continuing for the duration of the Project. The Project Board's role in project management will be complemented by inputs and recommendations from a Project Advisory Committee (PAC) (see below). In addition, the PB will approve the appointment and responsibilities of a Project Manager who will be responsible for the daily project execution.

The composition of the Project Board will include the following roles:

Executive: The Executive is an individual who represents the main Executing Agency of the project who will chair the Project Board. The Executive for this project is UNDP. The Executive is ultimately responsible for the project, supported by the Senior Beneficiary and Senior Supplier. The Executive's role is to ensure that the project is focused throughout its life cycle on achieving its objectives and delivering outputs that will contribute to higher level outcomes. The executive must ensure that the project gives value for money, ensuring cost-conscious approach to the project, balancing the demands of beneficiary and supplier.

Specific Responsibilities (as part of the above responsibilities for the Project Board):

- Ensure that there is a coherent project organization structure and logical set of plans;
- Set tolerances in the AWP and other plans as required for the Project Manager;

- Monitor and control the progress of the project at a strategic level;
- Ensure that risks are being tracked and mitigated as effectively as possible;
- Brief relevant stakeholders about project progress;
- Organize and chair Project Board meetings.

Senior Supplier: The Senior Supplier is an individual or group representing the interests of the parties concerned which provide funding and/or technical expertise to the project (designing, developing, facilitating, procuring, implementing). The Senior Supplier's primary function within the Board is to provide guidance regarding the technical feasibility of the project. The Senior Supplier role must have the authority to commit or acquire supplier resources required. If necessary, more than one person may be required for this role. Typically, the implementing partner, UNDP and/or donor(s) would be represented under this role. However, considering it to be a project of REDD-plus results-based payments, MMA will also perform this role.

Specific Responsibilities (as part of the above responsibilities for the Project Board):

- Make sure that progress towards the outputs remains consistent from the supplier perspective;
- Promote and maintain focus on the expected project output(s) from the point of view of supplier management;
- Ensure that the supplier resources required for the project are made available;
- Contribute supplier opinions on Project Board decisions on whether to implement recommendations on proposed changes;
- Arbitrate on, and ensure resolution of, any supplier priority or resource conflicts.

Senior Beneficiary: The Senior Beneficiary is an individual or group of individuals representing the interests of those who will ultimately benefit from the project. The Senior Beneficiary's primary function within the Board is to ensure the realization of project results from the perspective of project beneficiaries. The Senior Beneficiary role is held by a representative of the government or civil society.

The Senior Beneficiary is responsible for validating the needs and for monitoring that the solution will meet those needs within the constraints of the project. The Senior Beneficiary role monitors progress against targets and quality criteria. This role may require more than one person to cover all the beneficiary interests. The Senior Beneficiary for this project are the MMA and the ABC. Specific Responsibilities (as part of the above responsibilities for the Project Board):

- Prioritize and contribute beneficiaries' opinions on Project Board decisions on whether to implement recommendations on proposed changes;
- Specification of the Beneficiary's needs is accurate, complete and unambiguous;
- Implementation of activities at all stages is monitored to ensure that they will meet the beneficiary's needs and are progressing towards that target;
- Impact of potential changes is evaluated from the beneficiary point of view;
- Risks to the beneficiaries are frequently monitored.

Project Assurance

UNDP provides a three – tiered supervision, oversight and quality assurance role involving UNDP staff in Country Offices and at regional and headquarters levels. Project Assurance must be totally independent of the Project Management function. The quality assurance role supports the Project Board and Project Management Unit by carrying out objective and independent project oversight and monitoring functions. This role ensures appropriate project management milestones are managed and completed.

Project Advisory Committee (PAC)

The MMA through its NPTD in the PB; and the Project Technical Advisors (PTAs), in collaboration with the Project Manager (PM), in the PMU will take the lead regarding technical responsibilities during the execution of the project and ensure alignment with relevant national policies and programs. In this role, the MMA, as chair of the PAC, will closely coordinate the Committee composed by: Brazilian Forest Service, FUNAI, ICMBio, state level representatives, civil society representatives and UNDP. The Committee can be

expanded, upon agreement between the Parties. The vehicle for this coordination will be a Project Advisory Committee (PAC) to be constituted at Project inception as the highest level for supporting technical coordination of the project. The PAC will play a critical role in facilitating inter-institutional coordination and ensuring complementarity of actions among different stakeholders and co-financiers. The main responsibility of the PAC is to see that the project's activities lead to the required outcomes as defined in the Project Document. The Technical Committee will also advise the PM on ensuring coordination between the project and other related initiatives and current and emerging projects.

The PAC will meet, at least, twice a year to review progress and obstacles and to advise on strategic and critical Project issues. Matters of institutional concern (i.e., going beyond the Project's scope and contents) will be addressed at the appropriate levels of dialogue between UNDP and the GOB. The PAC will provide recommendations to the PB on progress and on any changes that may be required for improving efficiency and effectiveness. The NPTD will instruct the PTAs to provide detailed project information to the PAC as needed, to convene meetings and to prepare PAC minutes. He/ she will be assisted by the PM in these. Extraordinary PAC meetings can be held if deemed necessary by one of the PAC members. If appropriate, the PAC can invite external consultants to assist in the monitoring process.

Project Coordination Unit (PCU)

A Project Coordination Unit (PCU), created within the administrative structure of the MMA, will be responsible for the strategic orientation and overall technical coordination of the project, ensuring that progress, implementation and results are agreed in a timely and consistent manner and contribute to compliance strategic objectives of the project.

The MMA will be a Technical Coordinator of the Project and will have responsibility for, among others: (i) general strategic guiding and technical coordinating of the project; (ii) preparing the Annual Operational Plans (AOP) and work plans, in agreement with the UNDP; (iii) approving a terms of reference for consultants hiring and acquisitions; (iv) analyzing and approving the products and services contracted by UNDP; and (v) reviewing the final version of the progress reports.

The PCU will be led by the National Project Technical Coordinator (NPTC) and composed of an environmental analyst and two project technical advisors. The coordinator and the environmental analyst will be MMA staff, while the two project technical advisors will collaborate with the MMA in project technical coordination.

The PCU will be responsible for the overall management and implementation of the project's activities and requesting disbursement of the Project´s resources for their execution. The PCU will collaborate with the PMU in project implementation, offering technical inputs and guidance into the planning and execution of project activities

Project Management Unit (PMU)

A Project Management Unit (PMU) will be responsible for overseeing the day-to-day execution of Project activities. The PMU will have responsibility for, among others: (i) operational planning, managing and executing the project including the direct supervision of project activities subcontracted to specialists and other institutions, as well as those that are to be implemented through the MMA, if applicable; (ii) coordinating the management of financial resources and procurement; (iii) reporting on the application of resources and results achieved; (iv) preparing management reports for the PCU, PAC, PB, GCF, Brazil's DNA to the GCF and UNDP including annual reports and any proposals for the adaptive management of the Project, if required and based on inputs from the Project M&E plan; (v) promoting inter-institutional linkages; and (vi) disseminating project results.

The PMU will consist of one Project Manager, Project Technical Advisors (PTAs), Administrative Financial Assistants, clerks, and technical consultants responsible for specific deliverables and hired with GCF resources. The PTA will collaborate with the PMU in project implementation, channeling PCU's technical inputs and guidance into the planning and execution of project activities. The PTA will hold internal meetings in the MMA as needed to integrate the MMA specialists´ guidance into project implementation and ensure consistency between the various project elements and activities provided or funded by other donors.

Upon request of the MMA implementation will be through the DIM modality with UNDP providing direct project services, such as procurement and hiring of consultants following best value for money, transparency and effective competition. These will follow current UNDP policies and procedures including those for cost recovery. Upon request of the MMA, UNDP will also provide technical backstopping during the implementation of the project. The costs corresponding to this technical support towards project execution will be recovered following UNDP's policy.

The PMU will be led by the Project Manager (PM) and will be responsible for the overall management and implementation of the project's activities and requesting disbursement of the Project´s resources for their execution, according with the PCU's technical inputs and guidance into the planning and execution of project activities.

Under the PM's lead and guidance the PMU team will support the PCU in the preparation of the Annual Operational Plans (AOP) for the effective and efficient implementation of the project activities to achieve stated objectives; will be responsible for all substantive reports from the Project, to be submitted to approval of the PCU; will prepare and/or oversee the development of Terms of Reference for consultants, subcontractors and partnerships hired for specific technical assignments and their close monitoring, in accordance with the PCU guidance, ensure consistency between the various project elements and activities provided or funded by other donors; and develop reports on project progress on the project for the PB and technical meetings, and other appropriate fora. This is a full-time position continuing for the duration of the Project, reporting directly to UNDP.

The Project Manager has the authority to run the project on a day-to-day basis on behalf of the Project Board within the constraints laid down by the Board and in accordance the guidelines of the PCU. The Project Manager is responsible for day-to-day management and decision-making for the project. The Project Manager's prime responsibility is to ensure that the project produces the results specified in the project document, to the required standard of quality and within the specified constraints of time and cost.

Property of Equipment and Goods: Goods and equipment purchased as part of this project will be purchased by the UNDP Country Office and transferred to national beneficiaries during the implementation phase in accordance with UNDP procedures and policies. This will be subject to prior agreement with the PCU (which includes MMA). Only national organizations will be considered as beneficiaries.

Audit: Financial reporting and auditing standards for the programme will follow international financial reporting and auditing standards. According to UNDP's general corporate audit regulations, internal and external audits will be carried out and these costs will be covered by the project. The audit will be performed in accordance with UNDP financial regulations and rules and applicable to audit policies on UNDP and GCF projects. UNDP will be responsible for making audit arrangements for the project in communication with the PCU. UNDP and the PCU will provide audit management responses and the National Project Manager and project support team will address audit recommendations, as applicable.

Learning and knowledge-sharing: Results from the project will be disseminated within and beyond the project intervention zone through existing information-sharing networks and forums. The project will identify and participate, as relevant and appropriate, in scientific, policy-based and/or any other networks, which may be of benefit to project implementation though lessons learned. The project will identify, analyze and share lessons-learned that might be beneficial in the design and implementation of similar future projects. There will also be a two-way flow of information between this project and other projects/programs of a similar focus.

Communications and Visibility Requirements: The project will comply with UNDP's (see http://intra.undp.org/coa/ branding.shtml), the MMA and GCF Branding Guidelines: Specific guidelines on UNDP logo use can be accessed at: http://intra.undp.org/branding/useOfLogo.html. Amongst other requirements, these guidelines describe when and how the UNDP and the logos of donors to UNDP projects are used. Specific guidelines on the MMA logo use can be accessed at http://www.secom.gov.br/atuacao/publicidade/orientacoes-para-uso-da-marca-do-governo-federal. Full compliance will also be observed with the GCF's Communication and Visibility Guidelines. To accord proper acknowledgement to the GCF for providing funding, a GCF logo will appear on all relevant project

publications, including, among others, project hardware and equipment purchased with GCF funds. Any citation on publications stemming from the project will also accord proper acknowledgment to the GCF.

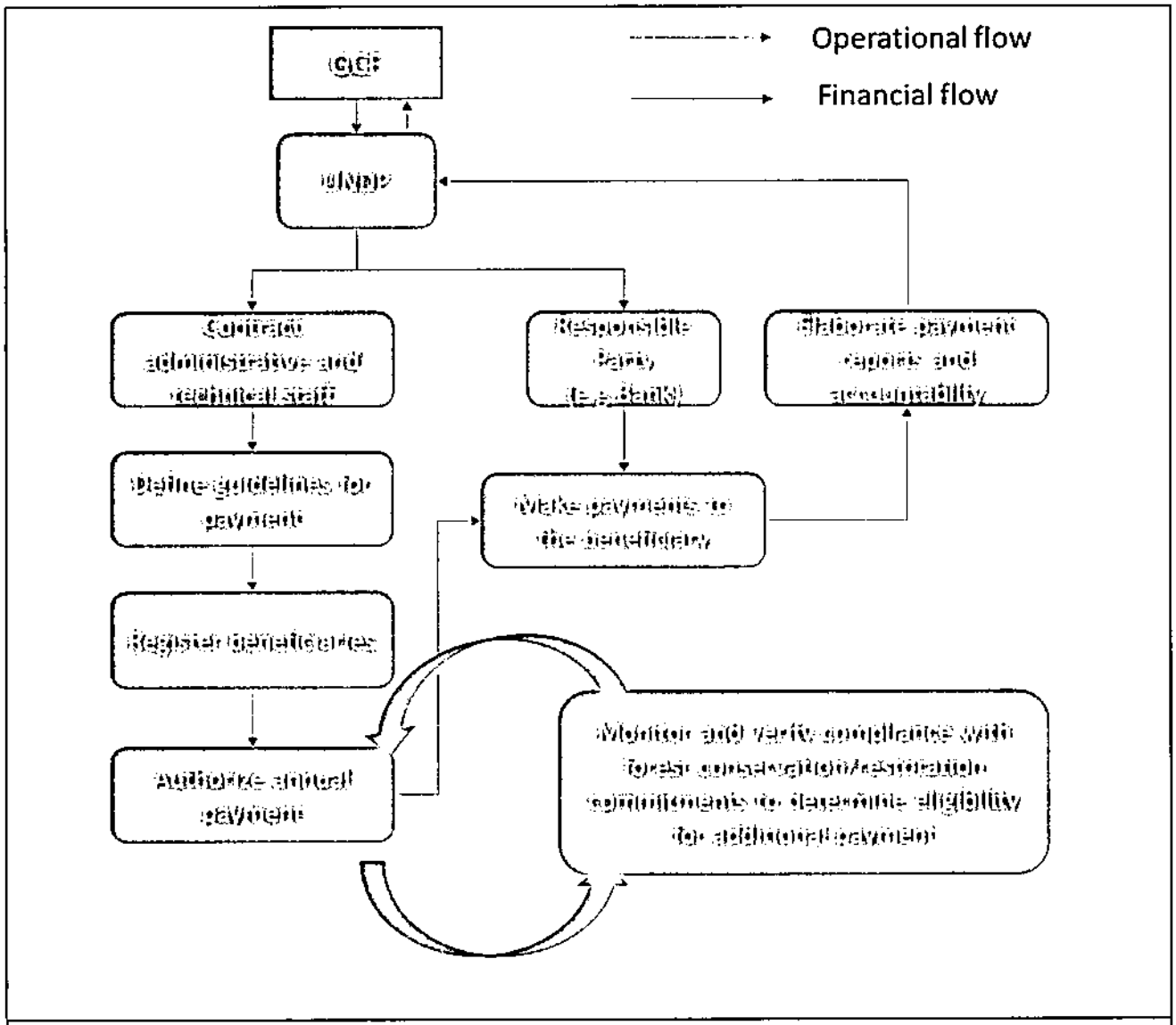
For an entity to be engaged as an implementing partner or responsible party on a UNDP project, a capacity assessment must be performed. Parties concerned with project formulation and design, particularly the UNDP office, the government and the institution that will manage the project, must review needed capacities. They first determine which tasks apply to the project. For each applicable task, the parties define any additional measures to ensure that tasks can be performed. The measures must be documented for follow-up action. This may be done, for example, through an action plan, an annex to the project document or through minutes of a design meeting or workshop. Additionally, UNDP assures that its partners are screened against UN Sanctions and Eligibility through a UN Security Council online system that contains a wide database of possible violators. In addition, UNDP has access to the United Nations Global Marketplace to verify if any supplier has been involved in terrorism and corruption. Moreover, UNDP has a policy on Due Diligence and Partnerships with Private Sectors in which a Risk Assessment Tool is applied before any agreement is made. This tool includes the following exclusionary criteria:

- Controversial weapons or their components;
- Armaments and/or weapons or their components, including military supplies;
- Replica weapons;
- Tobacco or tobacco products;
- Violations of UN sanctions, UN ineligibility lists or UNDP vendor sanctions list;
- Pornography;
- Substances subject to international bans or phase-outs, and wildlife or products regulated under the CITES;
- Gambling (excluding lotteries with charitable objectives);
- Violation of human rights or complicity in human rights violations;
- Forced or compulsory labor;
- Child labor.

Disbursement arrangements and funding flows

For Implementation of the National REDD+ Strategy (output 2), UNDP will directly procure goods,services and equipment for beneficiaries. For the Floresta+ Incentives programme (output 1), UNDP will contract administrative and technical staff that will manage the operational aspects of the programme and transfer resources to a responsible parties in order for it to make payments to the local beneficiaries. Figure 13 below provides a summary visual overview of disbursement arrangements and funding flows for the Floresta + Incentives Programme.

Figure 13. Disbursement Arrangement and Funding flows for the Floresta+ Incentives Programme



C.2.6. Non-carbon benefits:

Provide information on the non-carbon benefits associated with the implementation of REDD+ activities, explaining their nature, scale and importance for the long-term sustainability of REDD-plus activities and providing evidence to this regard.

The main objective of Brazil's ENREDD+ is to contribute to climate change mitigation by eliminating illegal deforestation, promoting conservation and restoration of forest ecosystems and fostering a low-carbon and sustainable forest economy, delivering environmental, social and economic benefits. The REDD-plus policies and measures implemented by Brazil to reduce deforestation in the Amazon biome since 2004 have produced important results in the three pillars of sustainability: economic, environmental and social. These benefits are further detailed below. Most of the information on economic and social indicators were extracted from the 2016 SUDAM summary report.

Environmental benefits

Implementation of REDD-plus activities in Brazil have contributed to the Aichi biodiversity targets including:

- National objective 5: Brazil has reduced deforestation in the Amazon well over the aim to achieve 50% reduction compared to the 2009 rate.
- National objective 11: Conservation of 30% of lands in the Amazon through protected areas.

For additional information on environmental benefits of REDD+ implementation please refer to Annex XIIIh.

Beyond biodiversity conservation, PPCDAm has also contributed to the enhancement of forest carbon stocks in previously deforested areas. The TerraClass data indicates that on average 22% of the total deforested area before 2004, has been replaced by secondary vegetation in the subsequent years (see Table 18). This enhancement of forest carbon stocks, due to reduced pressure on forests since the establishment of PPCDAm, represents an important contribution beyond climate change mitigation, to enhance resilience and produce multiple environmental benefits to local, regional and the global community.

Economic benefits

The regional economic growth of the last decade was based on the production and export of raw materials. In 2014, more than 28% of the raw materials exported by Brazil came from the Amazon region, especially soybeans, iron ore and wood. In this context, PPCDAm initiatives and other related ones, such as the sustainable roundtable for soy, had a key role to ensure that production and protection were reconciled in the Amazon region during that period.

The reduction in deforestation was combined with an increase in agricultural production in the northern region of Brazil. Decoupling the production of agricultural commodities from deforestation is a major challenge faced by most developing countries with tropical forests. The forests are often seen as opportunity cost rather than a resource. The value of the forests standing is lower than the cleared land. By increasing the costs associated with conducting illegal activities in the Amazon region (through command and control actions, restrictions to access credits in public banks, etc.) the GOB has significantly increased the transaction costs associated with opening new forest areas for agriculture.

Social benefits

The large reduction in deforestation in the Amazon region through the implementation of REDD-plus policies and measures have not negatively affect the social development in the region. **Since 2000, the HDI for the Amazon region has improved faster than the rest of Brazil.** Three states had a variation of more than 30% between 2000 and 2010, and Roraima was the only state in which the increase was the same as the national level. For all other states this variation was much higher than the national average.

Education levels have improved in the whole Amazon region since 2000 but remained lower than the national average in 2010. The variation/ improvement was higher in the Amazon region than in the national average (in four states above 70%, while the national average was about 40%). Since 2000, longevity has also increased on average in the Amazon region more than the national average. The income indicator has also seen important progress during that decade. The increase in income in the municipalities of the Amazon region between 2000 and 2010 was higher than the national average, except for two states, which had similar results to the national average.

Governance benefits

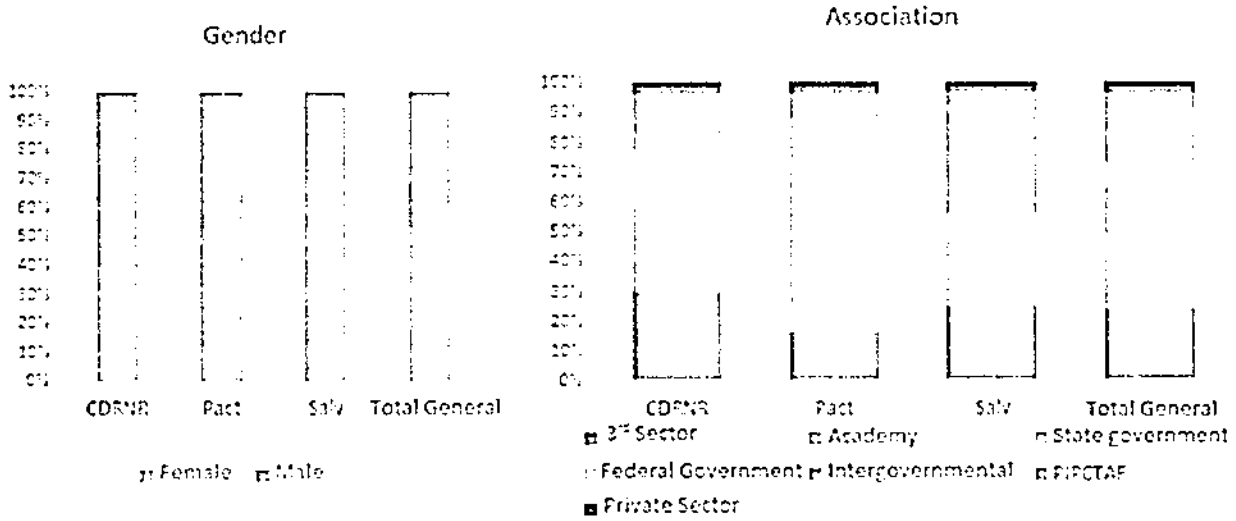
REDD-plus has contributed to better integrate the governance structures of climate change, forest and biodiversity related policies, seeking to promote consistency and synergies among them at the federal, state and municipal levels. These efforts are ongoing and will be reinforced through the implementation of this proposal, with the aim to contribute to the implementation of Brazil's NDC in the forest sector.

PPCDAm 3rd phase (2012-2015) revised this policy governance structure to promote greater integration and coordination among the agencies and entities participating in the actions. The PPCDAm 3rd phase governance model was divided into three spheres: Executive, Consultative and Transparency. This sought to facilitate the exchange of information, adjustments of paths, decision-making by the MMA as a coordinating body and the solution of problems and conflicts that may arise between federal agencies and even between federal and state agencies.

The governance for the implementation of REDD-plus, by its turn, is one of the most participative structures created by the Brazilian government for implementing policies in the forest sector. Figure 14 presents the profile of participants in the CCTs created by the CONAREDD+ in 2016.

Strengthen existing governance instances of indigenous peoples and traditional peoples and communities, CNPCT, CNPI and CG PNGATI, has been a key element of REDD+ implementation in indigenous territories. The increased participation of indigenous representatives in the governance for REDD+ implementation indicates progress in that direction.

Figure 14. Profile of the CCT participants



Source: Brazil's 2nd SoI, 2018

D. Investment Framework

[illegible]

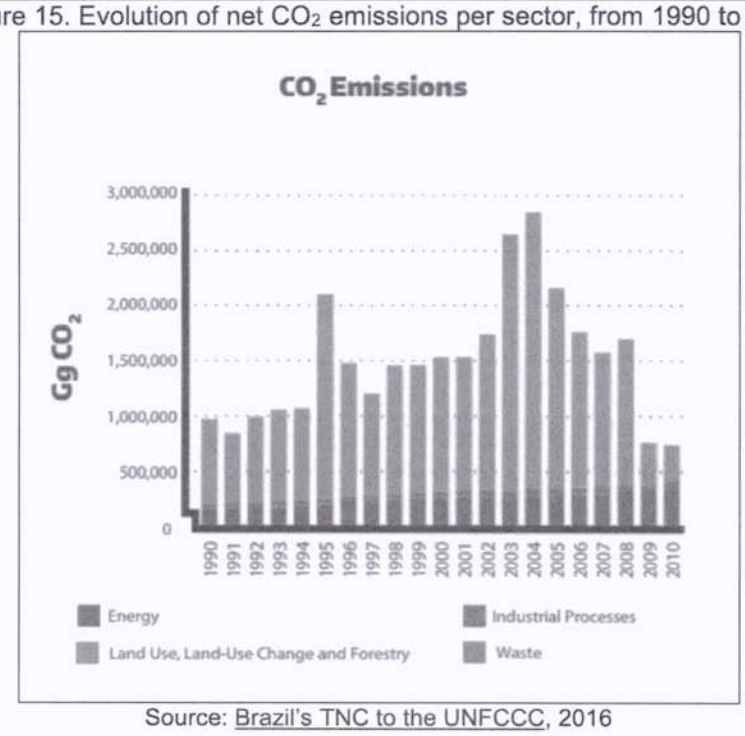
D.1. Impact potential

Describe the potential of the program to contribute to the achievement of the Fund's objectives and results areas.

Since 2006, Brazil has achieved significant results through reducing emissions from deforestation in the Amazon biome. **Between 2006 and 2015, Brazil reduced a total of 6,125,501,727.00 tCO_2e of emissions from deforestation in the Amazon biome.** This total result, achieved by Brazil in 10 years, corresponds to half of the total CO_2 emissions from all Annex I countries in 2012 (UNFCCC, 2018).

According to data from the Third National GHG Inventory, the LULUCF sector represented 83% of Brazil's total CO_2 emissions in 2005 and 42% in 2010. The implementation of REDD+ policies and measures in the Amazon biome had an important impact in Brazil's national GHG emission profile, as shown in Figure 15. Because of the policies and measures implemented by Brazil to reduce deforestation in the Amazon biome, the forest sector is no longer the highest emitting sector in Brazil.

Figure 15. Evolution of net CO_2 emissions per sector, from 1990 to 2010



Source: Brazil's TNC to the UNFCCC, 2016

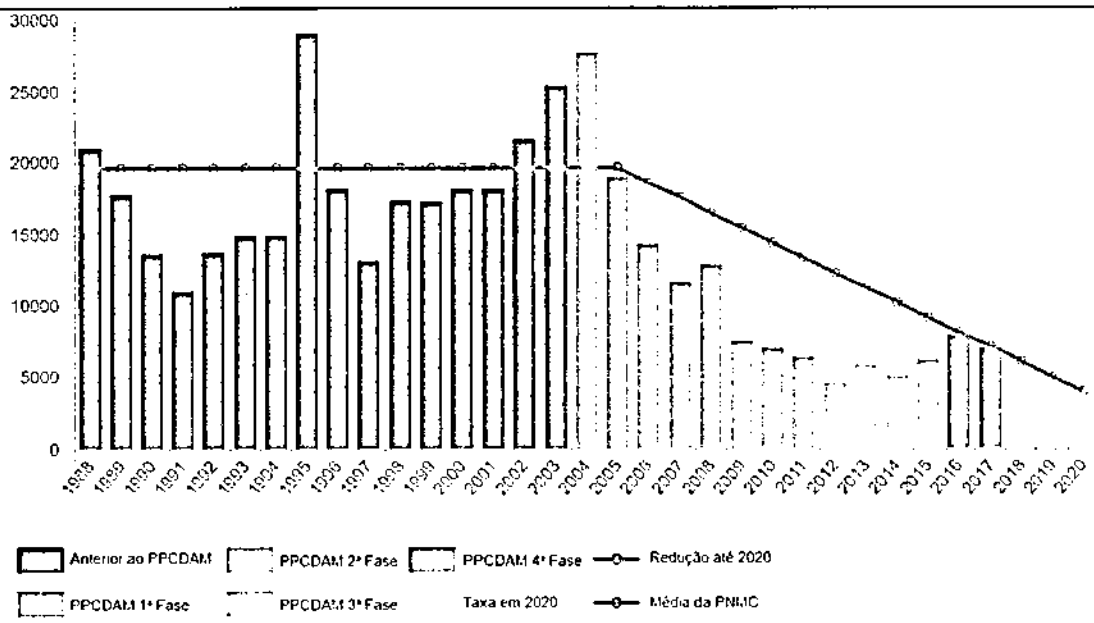
The PPCDAm, launched in March 2004, has the objective of reducing the rates of deforestation in the Amazon, by implementing actions related to land use and territorial planning, fostering sustainable production activities and environmental monitoring, control and enforcement. The PPCDAm is reviewed periodically to reflect the changes in the dynamics of the drivers of deforestation in the Amazon, the lessons learned from the actions being implemented and the progress made.

Although PPCDAm 3rd phase made important progress (2012-2015), the maintenance of low rates of deforestation will continue to depend on the improvement of integrated actions related to the identification and repression of illegal activities and organized crime, the promotion of a forest-based economy and land-use planning of the territory that allows for better land-use planning and management.

For its 4th phase (2016-2020), a new Action Axis was included in PPCDAm aimed to create regulation and economic acts to combat deforestation. In addition to the reduction of gross deforestation, one of the major challenges for this 4th phase of PPCDAm is to distinguish between illegal and legal deforestation, so that the illegal deforestation can be effectively eliminated, and policies promoted to reduce legal suppression of native vegetation, without undermining regional development. Figure 16, presents the PRODES deforestation rates for the Amazon region considering the different phases of the implementation of PPCDAm.

It is important to note that REDD+ results cannot be directly attributed to a single policy or measure for multiple reasons. From a conceptual standpoint, there is not always a direct and linear relationship between a specific project component and emission reductions. Rather emission reductions result from a series of interrelationships of different enabling policies (e.g. inter-institutional coordination) and direct investments made in the field (e.g. subsidies to farmer).

Figure 16. Deforestation rate in the Amazon region



Source: MMA, 2018

REDD-plus results-based payments received by Brazil from the GCF will be used to create a pilot Environmental Services Incentive Program for Conservation and Recovery of Native Vegetation that will be key in the implementation of Forest Code and PPCDAm 4th phase, therefore contributing to achieve the objective of the ENREDD+ and Brazil's NDC. This will also contribute to the sustainability of the results already achieved by Brazil in the long-run.

D.2. Paradigm shift potential

Describe the degree to which the REDD-plus activity catalysed impact beyond a one-off program investment.

The Brazilian Amazon is home to about 27 million people (PNAD, 2013)[32]. Several regional developing programs and the global demand for agricultural commodities have increased the pressure on natural forests over the years, leading to the expansion of cattle ranching, agriculture and urbanization into forest areas. Table 18 presents data from TerraClass, a program created by INPE/ MCTIC and Embrapa/ MAPA to track the subsequent use of deforested areas to improve the understanding of the dynamic of drivers of deforestation in the Amazon region.

Through TerraClass it is possible to understand the dynamics of land use and coverage in the Brazilian Amazon. Five years of land use and coverage have already been mapped (2004, 2008, 2010, 2012 and 2014). With these results it is possible to make an evaluation of the dynamics of the land use and occupation of the deforested areas in the 10 years of the implementation of the PPCDAm.

Table 18. Evolution of areas mapped by TerraClass between 2004 and 2014

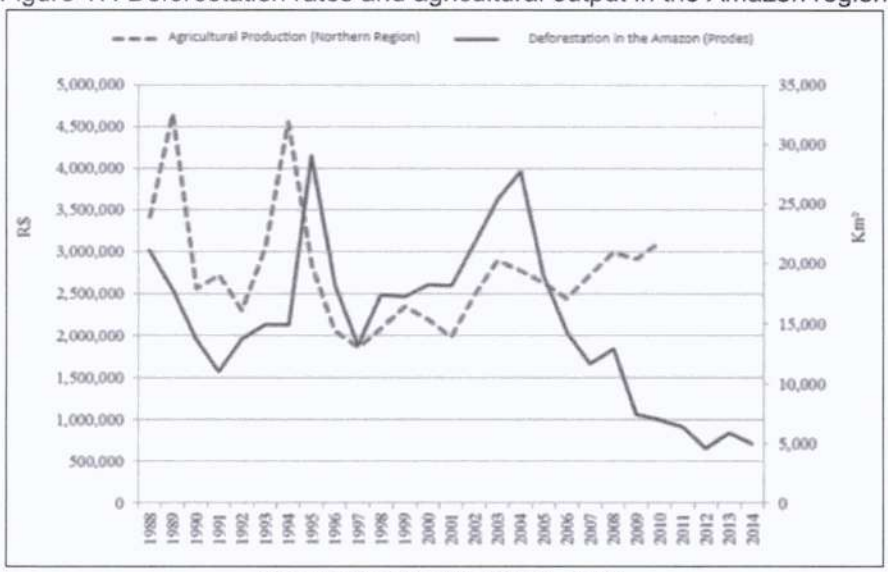
[32] For more information see: http://www.sudam.gov.br/conteudo/destaques/arquivos/boletim-amazonia-n02-2016.pdf

Classes	Area (km2)					Proportions (%)				
	2004	2008	2010	2012	2014	2004	2008	2010	2012	2014
Perenial crops	18,354	34,927	39,978	42,346	45,050	3.0	4.9	5.4	5.6	5.9
Non-observed area	48,566	45,406	45,849	69,132	30,056	7.9	6.4	6.2	9.2	4.0
Setlements	2,579	3,818	4,474	5,341	6,010	0.4	0.5	0.6	0.7	0.8
Mining	799	731	967	1,049	1,272	0.1	0.1	0.1	0.1	0.2
Mosaic	16,284	24,417	17,963	9,590	16,256	2.7	3.4	2.4	1.3	2.1
Other	4,637	478	2,731	6,113	7,752	0.8	0.1	0.4	0.8	1.0
Pasture	422,036	447,160	459,467	442,403	479,760	69	63	62	59	63
Pastures with bare soil	106	594	373	43	63	0.0	0.1	0.1	0.0	0.0
Pastures clean	306,039	335,715	339,852	345,420	377,470	49.8	47.4	45.9	46.0	49.6
Pastures dirty	55,250	62,824	56,077	50,472	60,199	9.0	8.9	7.6	6.7	7.9
Pastures with regeneration	60,641	48,027	63,165	46,468	42,028	9.9	6.8	8.5	6.2	5.5
Reforestation	0	0	3,015	3,176	2,922	0.0	0.0	0.4	0.4	0.4
Secondary vegetation	100,674	150,815	165,229	172,190	173,387	16.4	21.3	22.3	22.9	22.8
Total	613,928	707,752	739,673	751,340	762,464	100.0	100.0	100.0	100.0	100.0

Source: INPE, 2018, available at: http://www.inpe.br/cra/projetos_pesquisas/arquivos/TerraClass_2014_v3.pdf

The greatest challenge faced by the Amazon region is to maintain the ecosystem services provided by the natural forest while also supporting the needs and priorities of the growing human population and the economy of the region. The REDD-plus policies and measures, specially PPCDAm for the Amazon region, had an important paradigm shift impact, making the case for reconciling protection of natural forests with production, maintaining the upward trend in agricultural output in States in the northern region of Brazil in years of lower deforestation rates. This shift is presented in Figure 17, where clearly in 2004, there is a change in pattern, agricultural output trends are no longer following deforestation trends.

Figure 17. Deforestation rates and agricultural output in the Amazon region

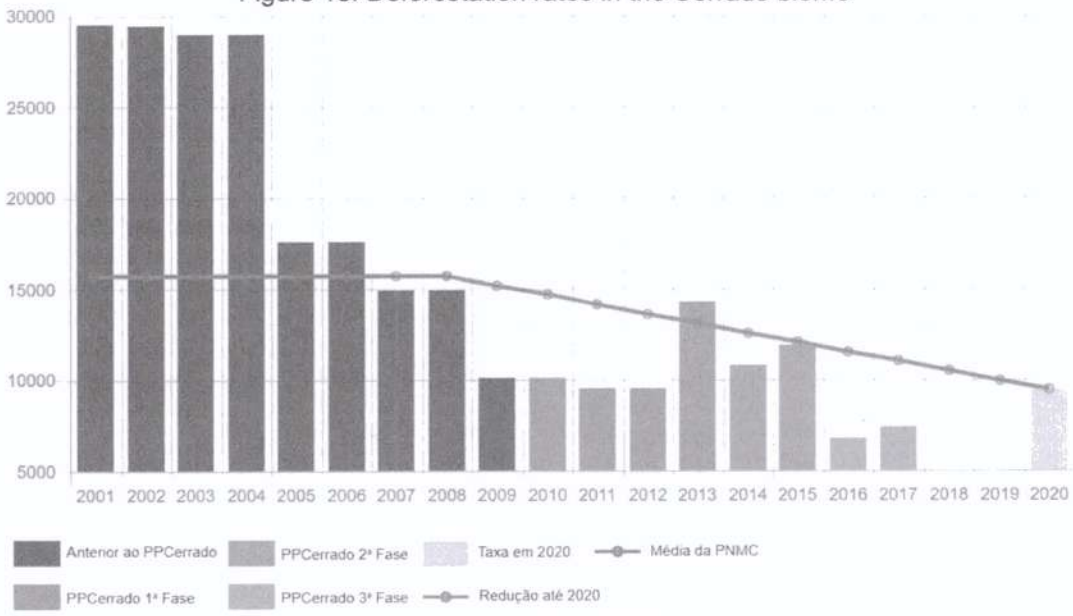


Source: Brazil's ENREDD+, 2015

The success story of the Amazon biome led to emission reductions in the Cerrado biome even before the PPCerrado was created in 2010. Figure 18 shows the deforestation rates in the Cerrado biome from 2001 to 2017. The values are biennial averages of deforestation measured by INPE.

In 2004, deforestation rates started to decrease in the Cerrado biome, in the absence of a specific policy to combat deforestation. According to experts, it can be inferred that PPCDAm had a positive impact or positive leakage to the Cerrado biome, the paradigm shift went beyond the Brazilian Amazon.

Figure 18. Deforestation rates in the Cerrado biome



Source: MMA, 2018

The paradigm shift triggered by Brazil's experience with the implementation of the REDD+ policies and measures in the Amazon biome goes beyond the national boundaries. INPE/ MCTIC has worked with countries in Africa, Latin America and Asia since the 1990's to assist them in the development of their own forest monitoring data using TerraAmazon. This information served as a basis for many countries REDD+ policies and their technical REDD+ submissions to the UNFCCC.

Brazil has also invested in south-south cooperation initiatives for forests and climate change through results-based payments received by the Amazon Fund. 20% of the total resources received through results-based payments by the Amazon Fund can be used to support the development of deforestation monitoring and control systems in other Brazilian biomes and other countries. Brazil has invested USD 12 million in the development of the capacity to monitor deforestation, changes in the use of land and forests of other countries in the Amazon basin[33]. One of the main outcomes of this project was the production of a regional deforestation map for the Amazon basin, which allows for the understanding of potential regional displacement trends.

Beyond that, the MMA and the Brazilian Agency of Cooperation of the Ministry of Foreign Affairs of Brazil have worked on the development of a South-south Cooperation Program in Forests and Climate Change. The Program has as its overall objective to contribute to the reduction of global GHG emissions and the achievement of Parties commitments under the UNFCCC and its Paris Agreement, through their NDCs, by strengthening the technical and institutional capacities of developing countries to achieve REDD+ results. This proposal includes support to finance this south-south cooperation program and ensure that this impact beyond the national boundaries is maintained in the long-run.

D.3. Sustainable development potential

Describe the wider benefits and priorities, including environmental, social and economic.

[33] For more information see: http://www.amazonfund.gov.br/en/projeto/Monitoring-Forest-Coverage-in-the-Regional-Amazon/ and http://www.otca-oficial.info/assets/documents/20170508/70c7925ed598a0813cc675a434b5746b.pdf, last accessed on July 25th, 2018.

Sustainable development impact of the implementation of REDD-plus policies that lead to emission reductions were discussed in section C.2.6. Those results are summarized further here. For more information please refer to the Annex XIIIh.

The main objective of Brazil's ENREDD+ is to contribute to climate change mitigation by eliminating illegal deforestation, promoting conservation and restoration of forest ecosystems and fostering a low-carbon and sustainable forest economy, delivering environmental, social and economic benefits. The REDD-plus policies and measures implemented by Brazil to reduce deforestation in the Amazon biome since 2006 have produced important results in the three pillars of sustainability: economic, environmental and social. These benefits are further detailed below. The information on economic and social indicators was extracted from the 2016 SUDAM summary report.

Economic benefits

The Gross Domestic Product (GDP) of the states in the Amazon region grew 100% between 2005 and 2012 (Table 18). The relative share of the Amazon states in the national´s GDP had an increase from 7,8% to 8,4%. This process needs to be further fostered so that the Amazon can increase its economic potential in a sustainable way. This economic growth should not be sought at any cost. Reconciling the needs of the local Amazonian population for a better quality of life while respecting the environment and protecting the Amazon forest is the key challenge that the REDD-plus policies and measures aim to address. Furthermore, the economic potential of the Amazon region includes activities that are not yet adequately accounted if observing only the GDP, such as extractivism, payment for ecosystem services, and part of the family´s agricultural production.

Table 18. Gross Domestic Product (GDP) of the states in the Amazon region from 2005 to 2012

Unidade da Federação	2005	2006	2007	2008	2009	2010	2011	2012
Acre	4.482.920	4.834.620	5.760.501	6.730.108	7.386.436	8.476.515	8.794.362	9.629.239
Amapá	4.361.255	5.260.017	6.022.132	6.764.834	7.404.389	8.265.965	8.968.032	10.419.539
Amazonas	33.352.137	39.156.902	42.023.218	46.822.569	49.614.251	59.779.292	64.555.404	64.119.836
Maranhão	25.334.591	28.620.246	31.606.026	38.486.010	39.854.677	45.255.942	52.187.204	58.819.683
Mato Grosso	37.465.937	35.257.614	42.687.119	53.386.488	57.294.192	59.599.990	71.417.805	80.830.108
Pará	39.121.138	44.369.675	49.507.144	58.518.557	58.401.830	77.847.597	88.370.610	91.009.014
Rondônia	12.884.047	13.107.441	15.002.734	17.887.799	20.236.194	23.560.644	27.839.144	29.361.936
Roraima	3.179.287	3.660.083	4.168.599	4.889.301	5.593.491	6.340.601	6.951.190	7.313.836
Tocantins	9.060.926	9.604.690	11.094.063	13.090.266	14.571.366	17.240.135	18.059.159	19.529.689
Amazônia (1)	**169.242.238**	**183.871.288**	**207.871.536**	**246.575.932**	**260.356.826**	**306.366.681**	**347.142.910**	**371.032.880**
Brasil (2)	**2.147.239.292**	**2.369.483.546**	**2.661.344.525**	**3.032.203.490**	**3.239.404.053**	**3.770.084.872**	**4.143.013.337**	**4.392.093.997**
(1)/(2) - %	**7,88%**	**7,76%**	**7,81%**	**8,13%**	**8,04%**	**8,13%**	**8,38%**	**8,45%**

Fonte: IBGE (2012)

Source: SUDAM, 2016

In addition, about 200 jobs are created for every 1,000 hectares recovered, most of them for low-income people (Planaveg, 2017). Besides that, 92% of landslides occur in areas with ecosystem change, so forest recovery would bring greater security to the population by avoiding natural disaster.

Environmental benefits

In 2015, the country presented its 5th National Report to the CBD. The information in section C.2.6 above highlighted the relationship between the progress made by Brazil for the achievement of Aichi Targets and the reduction of deforestation in the Amazon biome promoted by policies such as PPCDAm. Maintaining these REDD-plus results through new and additional investments in positive incentives for forest conservation is the core of this GCF proposal.

Social benefits

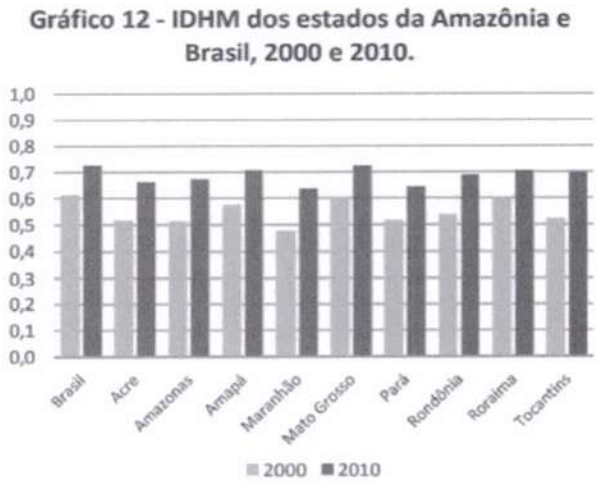
The large reduction in deforestation in the Amazon region through the implementation of REDD-plus policies and measures have not negatively affect the social development in the region. The information in section C.2.6 above highlighted that **since 2000, the HDI for the Amazon region has improved faster than the rest of Brazil.** Education levels have also improved in the whole Amazon region since 2000 but remained lower than the national average in 2010. The variation/ improvement was higher in the Amazon region than in the national average (in four states above 70%, while the national average was about 40%). Since 2000, longevity has also increased on average in the Amazon region more than the national average. The income indicator has also seen important progress during that decade. The increase in income in the municipalities of the Amazon region between 2000 and 2010 was higher than the national average. The Figure 19 presents this information in more details.

Since 2004, a series of programs, plans and funds, including the PPCDAm and the Sustainable Amazon Plan (PAS), were created observing the social context in the Amazon region, helping the improvements in the social area also attributed to social programs developed by the federal government that lead to the increase of the national minimum wage.

Figure 19. Human Development Index (HDI) in the states of the Amazon region vs the national average from 2000 to 2010, and its income component.

Unidades da Federação	IDHM		
	2000	2010	Variação (%)
Acre	0,517	0,663	28,24%
Amazonas	0,515	0,674	30,87%
Amapá	0,577	0,708	22,70%
Maranhão	0,476	0,639	34,24%
Mato Grosso	0,601	0,725	20,63%
Pará	0,518	0,646	24,71%
Rondônia	0,537	0,690	28,49%
Roraima	0,598	0,707	18,23%
Tocantins	0,525	0,699	33,14%
Brasil	**0,612**	**0,727**	**18,79%**

Fonte: Atlas do Desenvolvimento Humano no Brasil 2015.



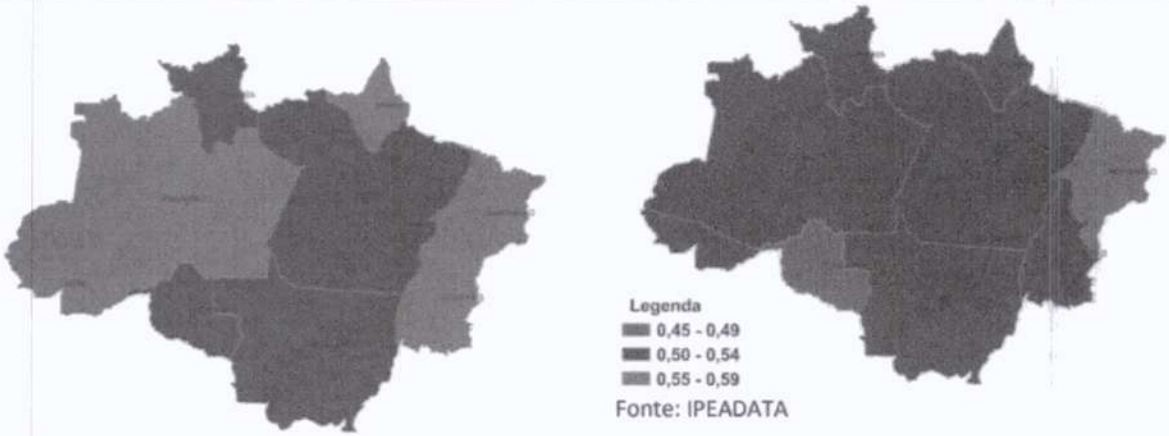
Fonte: Atlas do Desenvolvimento Humano no Brasil.

Source: SUDAM, 2016

Beyond average income, it is also important to access inequality, using the Gini coefficient (Figure 19). Even though some improvements were made both at the national level and in the Amazon region since 2003, this remains an important challenge for Brazil. Comparing the 2003 and the 2013 data, less states in the Amazon region now have levels above 0.55. But the Gini for the state of Maranhão remained high.

PPCDAm has contributed to bring more attention to the people from the Amazon region, through the implementation of social policies and projects aimed to provide alternative livelihoods to poor communities who still rely on illegal activities in forested areas. This is an ongoing process that will be further strengthened through the implementation of this project with the support from the results-based payments to be received by Brazil from the GCF.

Figure 20. Gini coefficient in states of the Amazon region, 2003 vs 2013



Source: SUDAM, 2016

D.4. Needs of the recipient

Describe the vulnerability and financing needs of the beneficiary country and population.

Maintaining and further expanding the results achieved reducing emissions from deforestation in the Amazon biome requires large scale investments as presented in section B.2.2 of this proposal. A study shows that the net present value of the net marginal cost of the command and control actions to reduce deforestation in the Amazon biome between 2014 and 2017 was R$ 4.3 billion (USD 2.9 billion).

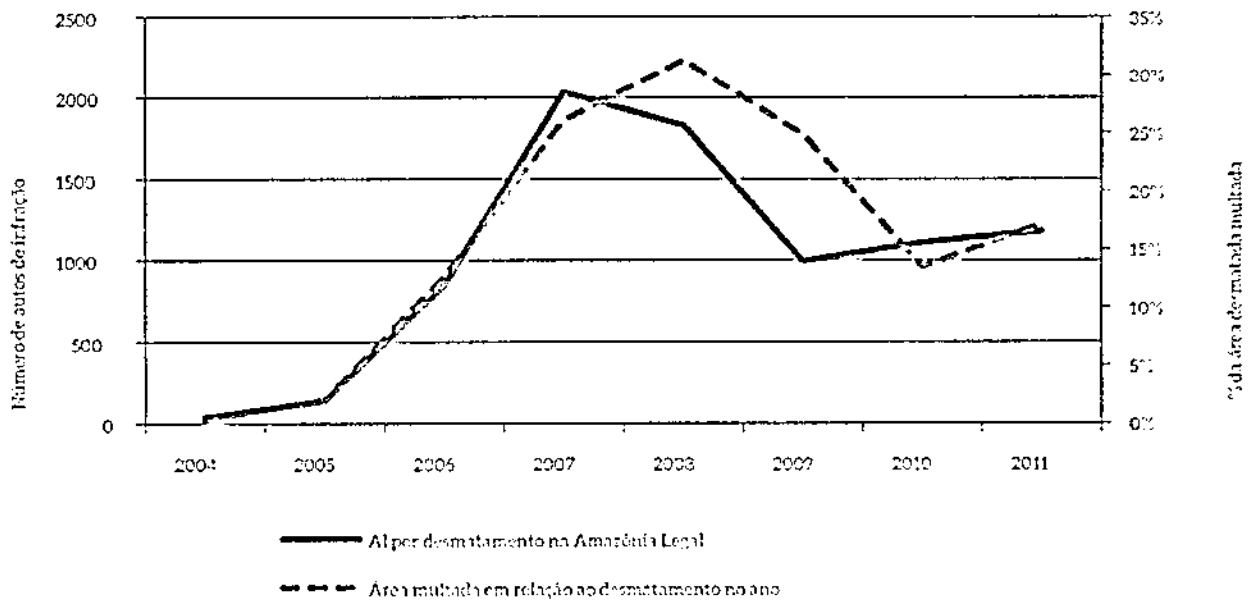
As in all countries around the globe, the budget assigned by the Brazilian Government to the MMA has always been small if compared with the total expenditure. Most of the national budget is spent on social security, health and education (BRASIL, 2018). The total budget executed by the MMA from 2014 to 2017 was on average R$ 2.5 billion (USD 750 million) per year, which corresponds on average to 0.11% of the total yearly public expenditures. A large proportion of this budget is spent on activities related to forest protection, especially in the Amazon biome.

Brazil is currently going through an economic crisis that resulted in significant reductions in government spending. Government cuts have been imposed on most ministries to reduce a growing deficit. Some Ministries lost up to 30 per cent of their budgets in 2017, including the MMA.

Studies point to the role of command and control actions carried out by the environmental enforcement agency, the Brazilian Institute of Environment and Renewable Natural Resources (IBAMA/ MMA) in reducing deforestation in the Amazon region between 2008 and 2015. Figure 21 shows the relationship between the command and control actions and the reduction in deforestation in the Amazon region. The IBAMA/ MMA relies on teams of inspectors on the ground to monitor and tackle illegal activities in the vast Amazon region.

Although these studies suggest a linear relationship between fines and reduction in deforestation, there is also evidence that enforcement actions have an intrinsic limit on the fight against illegal deforestation. Investments in positive incentives are key to maintain and further expand low deforestation rates. High and continuous investments are needed, to support command and control operations on the ground (including the teams, helicopters, vehicles, technology, etc.) but also the production of new and better data (INPE, Embrapa, etc.) and the provision of positive incentives to forest conservation.

Figure 21. Illegal Deforestation Offenses in the Legal Amazon (solid line) and Percentage of the Area Gross by IBAMA in relation to Deforestation Measured by PRODES (dotted line)



Source: Rajão, et. al. 2015

The national budget cuts from 2014 onwards were followed by an increase in deforestation rates in 2016. This nevertheless does not mean that Brazil has reduced its commitment to invest its own resources in combating deforestation. In years 2014 and 2015 more than 80% of the total resources allocated to the federal government for the prevention and control of deforestation in the Amazon biome (to support PPCDAm actions and cover institutional costs) came from the national budget (BRA in Figure 9). Still, in this context of economic crisis and budget cuts in all areas of the federal budget spending, climate finance becomes even more essential.

The Amazon Fund resources were extremely important in this scenario of contingency. Considering the budget difficulties and the urgency of the matter, in April 2016 COFA exceptionally reassessed the rule of additionality of the resources from the Amazon Fund to allow for the support of public agencies in projects that aim to continue or improve environmental and deforestation control[34]. This allowed for investments to be made in IBAMA and other command and control/ law enforcement activities at the federal and state levels. Thanks in part to this support from the donors and the fast reaction from the government to maintain the level of investments, deforestation rates went down again in 2017.

Brazil's fiscal scenario for 2018/ 2019/ 2020 is very challenging and the government will have to cut expenses again in all areas to meet the spending limit set by law. At the same time, meeting the ambitious targets set by Brazil's NDC will require large scale investments, including in the forest sector. In this scenario, the USD 150 million that Brazil can receive from the GCF through REDD-plus results-based payments for reducing emissions from deforestation in the Amazon biome is essential for the effective implementation of Brazil's ENREDD+ and NDC.

D.5. Country ownership

[34] COFA approved a new focus of the Amazon Fund in the 2016/2017 biennium in the following terms: "projects aimed at continuing or improving environmental monitoring and control of deforestation, presented by federal or state public bodies or institutions with a legal mandate to carry out under the National Environmental System - SISNAMA, may exceptionally be exempted from the minimum condition of additionality of resources, mentioned in item B8. For this purpose, a technical justification formally presented by the Ministry of Environment will be required, as well as a statement from the said proponent body / institution that there is no source of funds available for the financial support requested. The technical justification and statement are mandatory and joint documents to the proposal formally filed with BNDES. " For more information see: http://www.fundoamazonia.gov.br/export/sites/default/pt/.galleries/documentos/cofa/RET_20a._Reuniao_COFA.pdf, last accessed on July 25th, 2018.

Describe the beneficiary country ownership of, and capacity to implement a funded project or program (policies, climate strategies and institutions).

REDD-plus was created to encourage **developing country Parties** to contribute to mitigation actions in the forest sector (Decision 1/ CP.16 para 70). **REDD-plus implementation should be country-driven and implemented at the national level.** The subnational scale is accepted as an interim measure. Developing countries should aim to scale-up their activities in accordance with their national circumstances and the support received, on a stepwise manner. REDD+ is implemented by developing countries, through policies and programs, not projects. For developing country Parties undertaking the REDD+ activities with the aim to obtain and receive results-based finance, these actions should be fully measured, reported and verified and countries should have in place all REDD+ elements (Decision 2/ CP.17).

The PPCDAm, Brazil's core REDD+ policy for the Amazon region, was first launched in 2004 by the Brazilian government. This initiative, was led by the Chief of Staff of the Presidency and it involved the various ministries and entities that had direct or indirect competencies that affected forest conservation in the Amazon region. Hence, it has full country ownership. Overtime, the governance of PPCDAm has been revised and streamlined to make it more efficient. The MMA has been responsible for coordinating the implementation of PPCDAm and PPCerrado since 2014. PPCDAm is now on its 4th phase.

The PPCDAm is in full consistency with the ENREDD+ and Brazil's NDC to the UNFCCC and its Paris Agreement. REDD-plus is a means for the implementation of Brazil's NDC in the forest sector. The resources from REDD-plus results-based payments already received by Brazil through the Amazon Fund are reinvested in initiatives and projects that are in alignment with PPCDAM and the ENREDD+. The same will be done for the Floresta+ Pilot Program, to be funded with the GCF payments that Brazil will receive for its REDD-plus results.

This project proposal is fully aligned with the ENREDD+, Brazil's NDC, the resolutions approved so far by the CONAREDD+ and will be implemented by the MMA with the support from UNDP. The MMA received approval from the CONAREDD+ to access resources from results-based payments for REDD+ (Resolution n.10 of December 7th, 2017). The MMA has been fully involved in the preparation of this funding proposal, leading the discussions on use of proceeds as well as providing all input necessary to inform sections on policies and actions implemented which lead to emission reductions.

It is worth mentioning that this proposal is in full alignment with the strategic areas of investment of the Brazil's Country Program to the GCF, developed by the National Designated Authority in consultation with the Brazilian society, and the proposal is also included in the Project Pipeline of the referred Country Program.

D.6. Efficiency and effectiveness

Describe the economic and, if appropriate, financial soundness of the program.

REDD-plus is implemented by developing countries, through policies and programs, not projects. Assurance that mitigation results have indeed been achieved is a fundamental element for a results-based payment scheme and is done before the resources are disbursed.

Result-based payments are a new modality of climate finance through which resources are received ex-post for mitigation results achieved in the past, like payments for environmental services. Developing countries willing to receive payments for REDD-plus results must submit their FRL/ FREL to undergo an assessment by two LULUCF experts appointed by the UNFCCC. This evaluation process is conducted annually, following the procedures set out by decision 13/CP.19. The mitigation results will be measured against this reference level and reported on a Technical Annex to the BUR. This Technical Annex also includes the REDD+ activities selected by the developing country, the calculation of results, information on the national forest monitoring system, institutional roles, among other information.

The processes for assessing the FRL/FREL (decision 13/CP.19) and for Measuring, Reporting and Verifying (MRV) of REDD+ results (decision 14/CP.19) are essential to reduce uncertainties and to provide an adequate level of confidence in the system, with a view to attract scaled-up investments. This approach

assures the highest level of efficiency and effectiveness to forest initiatives. Countries will aim to achieve the highest possible level of results, so that they can receive more payments/ financial resources, therefore efficient. Because payments will only be made for fully MRVed results, the mitigation impact is guaranteed before the resources are disbursed, and, therefore, effective.

E. Compliance with GCF policies

Describe how the REDD-plus results-based program that generated the results submitted in this proposal or will be supported with the proceeds earned by them aligns with GCF policies for the activities that led to the achieved results and for the use of proceeds.

E.1. Environmental and social safeguards

E.1.1. For the period of the achieved results

Summarize the main findings of the environmental and social assessment (ESA) report describing the extent to which the measures undertaken to identify, assess, and manage environmental and social risks and impacts, in the context of the REDD-plus proposal, were consistent with the requirements of the applicable GCF ESS standards. This supplements information about the country's own assessment as to how the Cancun safeguards were addressed and respected in the REDD-plus activities.

The environmental and social assessment (ESA) report, which is included as an Annex to this FP, describes the extent to which the measures undertaken to identify, assess, and manage environmental and social risks and impacts, in the context of the REDD-plus proposal, were consistent with the requirements of the applicable GCF ESS standards. To be accredited to the GCF, accredited entities (AEs) must demonstrate that their entity-level environmental and social safeguards are consistent with the GCF's safeguard framework.[35] UNDP, as an AE to the GCF, therefore applies its own environmental and social safeguards to GCF-supported activities. Accordingly, the annexed ESA reviews retroactive compliance, with a focus on policy alignment, with the UNDP SES. In order to ensure a robust approach, which reflects the importance of the Cancun safeguards in the achievement of results, the ESA provides a PLR analysis matrix, which maps to Cancun safeguards, with indicators developed to encompass the UNDP Social and Environmental Standards. Further evidence of the alignment with UNDP SES is shown by considering a sample of representative projects, carried out under the Amazon Fund as one of the main financial instruments of national REDD+ implementation, by assessing project activities and achievements against UNDP's principles and project-level standards. The ESA found general consistency with the UNDP SES, and hence with the GCF ESS standards. Potential areas of improvement are highlighted in the ESA, and used to guide the measures recommended in the development of a comprehensive Environmental and Social Management Framework (ESMF).

E.1.2. For the use of proceeds

Provide adequate and sufficient information describing how environmental and social risks and impacts will be identified, screened, assessed and managed in a manner consistent with the GCF's ESS standards, including the determination of the relevant environmental and social risk category of the proposed activities and the appropriate environmental and social assessment tools and management plans.

As an accredited entity of the GCF, UNDP's Social and Environmental Standards (SES) were reviewed by the GCF accreditation panel and deemed sufficient to accredit UNDP to submit 'low' and 'moderate' risks projects. The overall social and environmental risk category for this project has been deemed to be Moderate. A preliminary ESMF has been prepared for this FP, which includes an indicative assessment of potential social and environmental risks, as well as their associated mitigation measures based on UNDP's Social and Environmental Screening Procedure (SESP). It also provides guidelines for additional consultations, and assessments that will be necessary to complete in the first phase of implementation.

[35] GCF's Environmental and Social Policy is available at https://www.greenclimate.fund/safeguards/environment-social and the GCF's interim environmental and social safeguards are available at https://www.greenclimate.fund/documents/20182/818273/1.7_-_Environmental_and_Social_Safeguards.pdf/e4419923-4c2d-450c-a714-0d4ad3cc77e6. GCF's Indigenous Peoples Policy is available at https://www.greenclimate.fund/safeguards/indigenous-peoples.

Guidance from key national stakeholders and UNDP's SES provided the basis for the draft Environmental and Social Management Framework (ESMF). As a Moderate Risk Project, further impact assessment and management measures are required to assess and manage risks effectively at an early stage of project implementation, as well as throughout the project cycle. The first steps during project inception will be to conduct a comprehensive environmental and social impact assessment (ESIA). The ESIA will be carried out by qualified experts and will involve desk-based and field-based data collection and extensive stakeholder consultations and engagement, with a range of stakeholder including direct beneficiaries of the project. The ESIA will cover the activities planned by the project as described in the FP, including all relevant aspects of the Floresta+ pilot program as listed above, and assess the social and environmental risks and benefits around the intended activities. Benefits and risks will be assessed pertaining to, among other things: biodiversity conservation and natural resource use, forest restoration and avoided deforestation efforts, overall land use planning, management of land rights over resources and potential land conflicts, benefit sharing and governance matters affecting all stakeholders including state and municipal governments, as well as indigenous peoples, traditional communities, family farmers and private actors such as small business enterprises, as well as impacts on cultural heritage. The ESIA will also screen for gender sensitivity at the various stages of the project's activities, and aim to implement gender responsive actions based on a completed and updated gender assessment. An indicative outline of the intended content of the ESMF report, including outlines of management plans, can be found in the Annex. It will be modified accordingly before being attached to the experts' Terms of Reference.

The draft ESMF also includes an indicative approach to stakeholder engagement, including the stakeholder consultations that much occur at an early stage to validate key elements of the Floresta+ pilot program, ongoing consultation with stakeholders the consultations required for the Gender Assessment and Action Plan, which is in accordance with the GCF's Gender Policy. A project Grievance Redress Mechanism, as described within the ESMF, will also be established and will complement the traditional grievance redress mechanisms already in place and being developed under the SISREDD+.

The ESMF implementation will be overseen by UNDP. The project team will include a senior environmental and social safeguards expert, as well as local level safeguards officers, responsible for monitoring and implementation of the ESMF as well as ensure that a working mechanism for receiving and handling complaints is in place and for coordination with the SISREDD+, and a gender expert responsible for the implementation of the Gender Action Plan. This team, as well as other experts as required, will be dedicated to the formulation and follow-up of these frameworks and to the bi-yearly evaluation these actions with oversight from the Project Board. Roles will be designated across stakeholder groups such as indigenous communities' organization, traditional community organizations as well as Federal, State and Municipal level governments. Furthermore, the implementation of the Environmental and Social Management Framework for the use of proceeds will contribute directly to the SISREDD+, with information generation from the implementation of the ESMF. The project will also be called upon to produce reports for summaries of information on safeguards that will be included in Brazil's future communications to the UNFCCC.

The preliminary findings and conclusions of the annexed ESMF will be reviewed again based on the findings of the ESIA and as appropriate, modifications will be made to the ESMF and its associated management plans. At present, the preliminary findings of the ESMF concludes that the following management plans will be needed: A Stakeholder Engagement Plan, a Biodiversity Action Plan, a Gender Action Plan, a Cultural Heritage Management Plan, and an Indigenous Peoples Plan. A preliminary Gender Assessment and Action Plan has also been prepared as part of the proposal submission, that will be updated through gender-specific consultations.. Consistent with UNDP SESP requirements, no activities that may cause adverse social and environmental impacts will proceed until the ESIA has been completed and per the revised ESMF, adoption of appropriate mitigation and management measures are completed. Additionally, as evidenced by the ESMF, budget disbursements are scheduled to incentivize and ensure timely completion of all social and environmental risk measures –including the prompt completion of the ESIA, the review and modification (as needed) of the ESMF and associated management plans, and the adoption and readiness of all recommended mitigation measures. Close coordination will be required with the national participative process, held through the CCT-Safeguards advisory board, in deciding SISREDD+ indicators, so that there is not a duplication in efforts and that monitoring and mitigation measures are coherent and complementary to existing national, state and local level systems. To ensure inclusive stakeholder participation in the design and implementation of the project going forward, roles will be designated across stakeholder groups, with particular emphasis on the inclusion of primary beneficiaries,

including indigenous peoples, traditional communities (and their representative organizations) and family farmers. Representatives of non-UNDP and MMA stakeholders (especially the primary beneficiaries and partners) will be incorporated into the Project Board and Technical Advisory Committee and other "working groups" in order to strengthen project governance.

E.1.3. Consultations with stakeholders

Provide adequate and sufficient information on the consultations undertaken with all the relevant stakeholders, describing who are the identified stakeholders, what the issues and concerns raised and how these are responded to and considered in the proposed activities. Information on the stakeholder engagement plan or framework will also need to be provided, describing how the activities will continue to engage the stakeholders, further consultations, communication and outreach, and process for grievance redress.

National REDD+ Strategy development in Brazil, as well as pioneering jurisdictional REDD+ programs, have had a long history of broad stakeholder engagement since their inception, as shown in Appendix A of the 2nd SoI. The Federal Decree 8576/ 2015 created the National REDD+ committee (CONAREDD+) for coordinating and monitoring the implementation of the ENREDD+ in Brazil. The governance for the implementation of REDD+, including regular meetings of CONAREDD+ and the thematic advisory boards, is one of the most participative structures created by the Brazilian government for the implementation of policies in the forest sector. As explained above, the CONAREDD+ and the CCTs participants are numerous, diverse and strive to be representative of Brazilian society. Furthermore, the strengthening of existing governance structures of indigenous peoples, traditional communities and local populations has been a key element of REDD+ implementation. Consultative processes have also increasingly prioritized the participation of indigenous representatives and traditional community representatives in the governance for REDD+ implementation, particularly in regards to the activities in indigenous territories and sustainable conservation units throughout the Legal Amazon.

Through CONAREDD+ and its CCTs, a participatory process was conducted to create the rules for decentralizing the fundraising of payments for REDD-plus results. This process lasted a few months and actively involved more than 30 stakeholders from various sectors, through a Consultative Chamber on Fundraising and Distribution of Non-Reimbursable Resources (CCT-CDRNR). The principles and rules for access to direct fundraising (i.e. having the appropriate policies in place, presenting results, etc.), as well as rules regarding fundraising (that is, after having been authorized by CONAREDD+, and without the transfer of results, etc.) and how investments should be made with these resources (reinvested in initiatives that lead to more results, contribute to the implementation of ENREDD+ and NDC, in compliance with safeguards, etc.) were defined through CONAREDD+ Resolutions 6 to 8. The driving force behind these consultations was to create a coherent but decentralized process, with a set of common rules and principles, in order to enhance effectiveness, with the participation of all the States in the Amazon region, for raising new and additional large-scale resources to support Brazil's efforts in the forest sector.

This funding proposal is fully aligned with CONAREDD+ principles and guidelines and it directly contributes to the implementation of the ENREDD+ and Brazil's NDC. The MMA began consultations regarding the access of resources for this pilot program through CONAREDD+, in parallel to obtaining eligibility approval through CONAREDD+ Resolution n.10 of December 7th, 2017. The discussions continued in the following CONAREDD+ meeting, which was held April 2018. The final concept of the proposal will once again presented to the CONAREDD+ on its VI ordinary meeting on September 27th, 2018. In parallel, the meetings of the CCT advisory boards have been ongoing, including the CCT-Safeguards advisory board, which has been developing indicators for the SISREDD+ system in a participatory manner, in order to incorporate local knowledge, identify gaps and strengthen existing systems.

Prior to submission of this FP, and according to discussions held through the CONAREDD+ meetings, CONAREDD+ has approved the development and submission of a single funding proposal by the MMA to the GCF for REDD+ results-based payments. As the submission of a proposal to the GCF must be performed by an Accredited Entity, the, MMA invited 13 Accredited Entities to the GCF to participate in the selection process. The invited entities were already accredited to the Fund, or at an advanced stage of accreditation. The simplified selection process was based on technical parameters and divided into two stages as follows:

1.Completion of an on-line form and 2. An Interview. As result of on-line form stage, MMA received 7 filled out forms. After the analysis of the forms, the MMA invited the top 4 Accredited Entities that best met the evaluation criteria. As result of the process, the United Nations Development Programme (UNDP) was identified as the entity to submit the funding proposal from Brazil for the pilot programme for REDD-plus results-based payments of GCF. In addition to the consultation with CONAREDD+, the plans to submit a proposal to the GCF were discussed with the environmental state secretaries in the Legal Amazon states. Likewise, the proposal was presented and discussed with the relevant technical divisions of MMA and with representatives of the National Indigenous People Foundation (FUNAI) and some representatives of civil society. The Management Committee of the National Policy for Territorial and Environmental Management of Indigenous Land also had the opportunity to discuss the process and the proposal in the meeting held on August 16th. All stakeholders consulted were in agreement with the principles of the proposal and indicated their interest in continued participation in the design and implementation of the project after GCF approval. These established national processes and forums will act as the foundation for stakeholder participation going forward.

A critical factor in the success of the Floresta+ pilot program and other activities as described in the FP will be the full and effective participation of stakeholders in the design and implementation of the program. This will involve additional consultations with state governments, NGOs and CSOs, academia and other relevant stakeholders. A focus of the stakeholder consultations for the design of the Floresta+ pilot program, as well as the establishment of the ESMF, will be the consultations of direct beneficiaries of the Floresta+ pilot, including representative consultations which each of the beneficiary groups identified in the initial design of the program, which includes Indigenous Peoples, Traditional Communities, Family Farmers and local institutions (NGOs, CSOs and private sector actors that may also be eligible for results –based payments), throughout the Legal Amazon. An indicative plan for the Stakeholder Engagement is provided as part of the preliminary ESMF, submitted as an Annex to this proposal. The Stakeholder Engagement Plan will be initiated immediately upon project approval. Consultations with primary beneficiaries are planned in the first year of project implementation, in order to receive inputs for Floresta+ design, as well as to ensure engagement and the establishment of necessary mitigation measures for the operationalization of management plans.

E.2. Risk assessment

E.2.1. For the period of the achieved results

Provide adequate and sufficient information that allows for an assessment of the historical performance of the activities undertaken and their track record against the risk tolerance levels specified in the Risk Appetite Statement and the criteria outlined in the Risk Guidelines for Funding Proposals.
Please note that you should consider only the applicable and relevant parts of the two above documents to the feedback you provide.

Brazil has a comprehensive Anti-Money Laundering (AML) regulatory regime in place. In 1998, the GOB enacted Federal Law n. 9.613 criminalizing money laundering related to drug trafficking, terrorism, arms trafficking, extortion, and organized crime. Federal Law n. 9.613/ 1998 also created a Financial Intelligence Unit (FIU), the Financial Activities Control Board (COAF), which is housed within the Ministry of Finance.

The COAF consists of representatives from regulatory and law enforcement agencies, including the Central Bank and Federal Police. The COAF regulates those financial sectors that are not under the jurisdiction of another supervising entity. This law was updated in 2002. Then, Federal Law 12.683 was amended in July of 2012, providing a more wide-ranging definition of the types of illicit activity that fall under the category of "harmful acts."

Federal Law n. 10,701/ 2003 criminalizes terrorist financing as a predicate offense for money laundering. This law also establishes crimes against foreign governments as predicate offenses, requires the Central Bank to create and maintain a registry of information on all bank account holders, and enables the Brazilian FIU to request from all government entities financial information on any subject suspected of involvement in criminal activity. On October 16, 2015, Federal Law 13.170 which provides procedures for freezing assets relating to UNSCRs and for information provided bilaterally, was signed, closing a longstanding gap in Brazil's ability to confront terrorist financing.

Besides the Criminal Code, the Brazilian Legal System also have several instruments against corruption, such as Law n. 8,429/1992 (Administrative Improbability Act), the laws that define so-called crimes of responsibility (Law n. 1,079/1950 and Decree - Lei nº 201/1967), LC nº 135/2010 ("Clean Sheet Law"), which amended LC No. 64/1990 to establish new hypotheses of ineligibility, among other legal instruments.

Achievement of target impact

Through the application of several policies, notably the PPCDAm, Brazil dramatically reduced deforestation in the Legal Amazon region. The total volume of REDD+ results achieved by Brazil in the Amazon biome that are eligible to the GCF pilot program (from 2014 to 2015) is 1,254,663,127.74 tCO_2e, or 1.25 billion tCO_2e, which represents a substantial contribution to the GCF's mitigation objectives at a global scale.

Policy and regulatory support

The PPCDAm is fully anchored in Brazil's policy and regulatory framework, the Brazilian federal government created a Permanent Inter-Ministerial Working Group, established by a Presidential Decree as of July 3rd, 2003. The measures proposed by that Working Group were gathered in the PPCDAm. Throughout three execution phases (2004 to 2008; 2009 to 2011; and 2012 to 2015), the PPCDAm has played a significant role in dramatically reducing deforestation in the Amazon. Besides the PPCDAm, in 2010 the PPCerrado was launched. These two plans are considered the main instruments, on an operational level, to coordinate existing REDD+ initiatives and stop deforestation on the ground in the Amazon and Cerrado biomes.

The PPCDAm and the PPCerrado provided for the participation of more than 15 ministries (unnumbered Decrees of 3 July 2003 and 15 September 2010, respectively). Initially under the coordination of the Office of the Chief of Staff of the Presidency, the Decree No. 7.957/2013 assigned the MMA as the coordinator for the plans, serving as Chair of the respective Executive Committees. The Committees functioned as the governing body of the plans, monitoring progress and seeking to promote coordination and synergies among the different activities being implemented. The PPCDAm was monitored through a monitoring framework that monitored

Institutional capabilities to implement the program were reflected by the number of Brazilian institutions involved (each with specialized technical teams and established institutional capacities), and ultimately reflected in the achieved results.

Execution and country specific risks

Execution and country-specific risks were identified for the period of the achieved results through the analytical work conducted by the inter-ministerial working group that designed the PPCDAm and oversaw its execution.

E.2.2. For the use of proceeds

Provide adequate and sufficient information that details how the plan for the use of proceeds does not violate the risk tolerance levels specified in the Risk Appetite Statement and allows for performance monitoring and evaluation against the criteria outlined in the Risk Guidelines for Funding Proposals. Please note that you should consider only the applicable and relevant parts of the two above documents to the feedback you provide.

The results-based payments received by Brazil through this proposal will be used to fund a pilot of the Floresta+ program (Environmental Services Incentive Program for Conservation and Recovery of Native Vegetation) and to strength both implementation and governance of the ENREDD+.

Floresta+ is a pilot program managed by the MMA, while the funds will be managed by a national bank for Modalities 1 and 2 and by institutions which best suits the needs of Modalities 3 and 4, that will be better known after the consultations to implement this proposal.

Regulation of engagement in prohibited practices is described in section E4.

UNDP as accredited entity, will support the implementation of this project following its program and operations policies and procedures, which include provisions for procurement, monitoring, evaluation and auditing.

Below is a summary of the main project's identified risks and proposed mitigation measures

1	Risk category	Execution risks: Operations
	Description	Slow start of project given decentralized mechanisms that need to be in place for execution
	Probability/Impact/Priority	Somewhat Unlikely/Somewhat Disruptive/Medium
	Mitigation	Preparation of detailed plans and agreements with responsible parties as soon as the project is approved by GCF
2	Risk category	Country specific execution risks: Political
	Description	With upcoming elections, political scenario will bring some turnover at institutions that might affect project implementation in the first months, mostly at the local level.
	Probability/Impact/Priority	Somewhat likely/ Somewhat Disruptive/High
	Mitigation	Project strategy is based on pre-tested mechanisms for implementation. In the first months of implementation, the project shall have an inception phase for wider consultation that will enable the dissemination of project's strategy and strengthen the participation of local community-based organizations in the project. As for federal level involvement, MMA team is mostly composed by technical civil servants, who are usually not affected by changes at political level.

E.3. Gender considerations

E.3.1. For the period of the achieved results

Provide adequate and sufficient information in the assessment describing the extent to which the measures undertaken complied with the GCF gender policy.

Brazil is signatory to various international conventions focused on gender equality and women's empowerment, including the CEDAW, a convention by the United Nations that aims to eliminate all forms of discrimination against women. In addition, there are various national laws and legislation governing its work in promoting gender equality and women's empowerment. These include of Brazil's 1988 Constitution by which women enjoy the same legal rights and duties as men, which is clearly expressed in Article 5. In 2003, the Federal Government created the National Secretary for Women's Policies (SPM), which is now hosted at the Ministry of Human Rights. An overview of relevant Gender legislation and institutions is provided in the preliminary Gender Assessment provided as an Annex to this FP.

Gender equality is has also been recognized as relevant to environmental governance and forest governance. Since 2012, the Ministry of Environment has a Gender Committee, which oversees discussing and proposing actions to ensure gender equality in programs and policies, specifically those as they relate to Sustainable Development Goal 5 (SDG 5). Promoting gender equality in rural and forest areas is a priority action for Brazil, considering more than 14 million Brazilian women live in rural or forest areas. In recent decades, several fundamental programs focused on mainstreaming gender were executed, among them the social welfare program known as Bolsa Família, which targeted women as preferred beneficiaries. Bolsa Familia has contributed to keeping millions of Brazilian women (who account for almost 90% of all the beneficiaries) and their families out of poverty. The Program has 2.9 million beneficiary families in Amazonian States, of which 630,000 are in rural or forest areas. Lessons learned from this extensive program will thus be incorporated into the design of the Floresta+ pilot program and other components of the project. Another important programme from the Federal Government in forested areas is the Bolsa Verde, which provides conditional cash transfers in return for the maintenance of forest cover. Bolsa Verde shares targeting and cash transfer channels with Bolsa Família. Launched in 2011, the programme aims to promote conservation of the ecosystems while also improving the livelihoods of people living in extreme poverty – the condition of nearly

17% of the population in the Amazon region. As part of this program, traditional communities such as "babaçu" coconut breakers (which are largely constituted by women), are important groups that have benefited from this important initiative. Lessons from Bolsa Verde in regards to gender responsiveness will also be incorporated into the design of Floresta+. Another important national initiative is the federal land distribution program of (Programa de Reforma Agrária in Portuguese) which has also highly improved the women's access to land titles by means of prioritizing the access for women who are householders.

The level of organization of among women groups, who live in rural and forest areas, has also increased since 2006. As an important example, in 2010, the Brazilian indigenous movement founded the Union of the Indigenous Women from the Legal Amazon (UMIAB). Another important group has been the Women's Secretariat of Extractivist Communities (CNS), which has built on strengths of forest-reliant women by strategically mobilizing support across sectors and scales, helping to shift the paradigm in development, environment and health in Brazil.

It is the above international and national legal frameworks, as well as national efforts and movements related to gender, that have informed the integration of gender considerations into the PPCDAm. In the establishment of the governance for REDD+ in Brazil gender balance was a key consideration. Most representatives from the Ministries, states and civil society in CONAREDD+ are female and in the CCTs, as indicated in Figure 14, more than 50% of the representatives are female. Some CCTs, including the one dealing with safeguards, also have equal representation of female participants.

E.3.2. For the use of proceeds

Provide adequate and sufficient information on how the AE will undertake activity-level gender assessments and action plans once the details of the activities become known.

UNDP is committed to avoiding climate change-exacerbated gender inequality, promoting gender equality and the empowerment of women, reducing gender disparities and inequalities in climate funding and overall access to and control over resources and development benefits, encouraging and facilitating gender-responsiveness in its design and implementation, and more generally, mainstreaming the gender focus into the REDD+ activities described in this funding proposal. Thus, it will ensure the FP proposed activities will not discriminate against women or girls or reinforce gender-based discrimination and/or inequalities as well as take affirmative steps, consistent with applicable law and the Gender Action Plan, to ensure both women and men are able to participate meaningfully and equitably, have equitable access to training, capacity building, technical assistance and resources, and receive comparable social and economic benefits and opportunities.

Regardless of the positive experiences in regards to gender balance in REDD+ processes described above, as well as the significant experience gained with gender-responsive programs such as Bolsa Familia, it is recognized that significant gender inequalities remain in regards to political participation, access to land and resources, the collection of gender disaggregated data to better inform decision making and interventions, and additional issues in regards to livelihoods, health, and gender-based violence. There is also growing recognition that more affirmative and special measures could be taken to mainstream the gender focus in ENREDD+ programming. In order to capture the gender context in which ENREDD+ implementation occurs as well as in the rollout of the Floresta+ pilot program, UNDP will identify and assess the different needs, constraints, contributions and priorities of women, men, girls and boys within the activity sites, as part of the completion of a comprehensive Gender Analysis and Action Plan (GAAP). It will then incorporate corresponding measures within the action plans to ensure 1) any possible adverse gender impacts are avoided; 2) and that women, men and youth can equitably participate in, inform and benefit from the activities being proposed. Gender budget and indicators will be also assigned within the action plans to ensure the gender activities identified have accountability mechanisms in place to ensure their implementation. This analysis and planning will be undertaken and then validated equitably with affected women, men and youth stakeholders before implementation of the activities.

As a first step in completing this GAAP, a forward-looking desk-based Gender Assessment was completed in anticipation of this FP (see Annex). The Assessment examined the proposed activities in the context of

the GCF's policy on Gender, Principle 2 of UNDP's SES (Gender Equality and Women's Empowerment) and Brazil's national gender strategy. The Assessment also considered the findings and recommendations of several studies commissioned by the REDD+ programme earlier (including three studies in 2015, and a gender report in 2017 financed by GIZ titled "Mainstreaming the gender approach in measures and actions in the face of Climate Change with emphasis on REDD + - Situational analysis and Recommendations"). Based on the Gender Assessment findings, a preliminary Gender Action Plan was developed, which is included as an Annex to the FP. Upon completion of the participatory ESIA referred to above, further consultation with affected stakeholders will take place and the Gender Action Plan will be modified and supplemented as necessary.

E.4. Interim policy on prohibited practices

E.4.1. For the period of the achieved results

Provide appropriate and sufficient information to demonstrate that no Prohibited Practices occurred during the implementation of the activities that lead to the REDD-plus results, such as: undisclosed Prohibited Practices, including money laundering and the financing of terrorism, which occurred during the implementation of results-based actions; and double payment or financing for the same results achieved.

Brazil has a comprehensive Anti-Money Laundering (AML) regulatory regime in place. In 1998, the GOB enacted Federal Law n. 9.613 criminalizing money laundering related to drug trafficking, terrorism, arms trafficking, extortion, and organized crime. Federal Law n. 9.613/ 1998 also created a Financial Intelligence Unit (FIU), the Conselho de Controle de Atividades Financeiras (COAF), which is housed within the Ministry of Finance.

The COAF consists of representatives from regulatory and law enforcement agencies, including the Central Bank and Federal Police. The COAF regulates those financial sectors that are not under the jurisdiction of another supervising entity. This law was updated in 2002. Then, Federal Law 12.683 was amended in July of 2012, providing a more wide-ranging definition of the types of illicit activity that fall under the category of "harmful acts."

Federal Law n. 10,701/ 2003 criminalizes terrorist financing as a predicate offense for money laundering. This law also establishes crimes against foreign governments as predicate offenses, requires the Central Bank to create and maintain a registry of information on all bank account holders, and enables the Brazilian FIU to request from all government entities financial information on any subject suspected of involvement in criminal activity. On October 16, 2015, Federal Law 13.170 which provides procedures for freezing assets relating to UNSCRs and for information provided bilaterally, was signed, closing a longstanding gap in Brazil's ability to confront terrorist financing.

The Brazilian Central Bank's (BACEN) AML unit (DECIF) supervises compliance for AML regulations.
AML Training in Brazil

Brazil's Law 9.613 provides information for crimes related to money laundering or the concealment of assets, rights, and valuables. This and other laws require financial institutions to train their employees on how to recognize suspicious activity that may be tied to money laundering or terrorist financing activities.
In 2012, following the publication of the Financial Action Task Force's (FATF's) executive summary of the mutual evaluation report summarizing AML/CFT measures in place in Brazil, the Central Bank amended the rules applicable to procedures that must be adopted by financial institutions to prevent and combat money laundering and terrorist financing.

All the information about REDD+ results-based payments received are available at http://redd.mma.gov.br/en/infohub as described in previous sessions of this proposal and they assure that Brazil has not received any payment for the results stated in this proposal.

The federal government of Brazil has also created a website (Transparency Portal) in which all information on public expenditure from can be found: http://www.portaltransparencia.gov.br/

E.4.2. For the use of proceeds

Provide appropriate and sufficient information including on control measures that assures that the proceeds will be used in a manner compliant with the Interim Policy on Prohibited Practices, such as: undisclosed Prohibited Practices, including money laundering and the financing of terrorism; improper subsequent use of GCF proceeds in the Prohibited Practices; and double payment or financing for the same results achieved, etc.

As per article 9.03 par. (a), of the Accreditation Master Agreement between UNDP and GCF, UNDP will apply its own fiduciary principles and standards relating to any 'know your customer' checks, anti-corruption, AML/CFT, fraud, financial sanctions and embargoes to comply with the Policy on Prohibited Practices.

E.5. Indigenous peoples

Provide adequate and sufficient information on how the activities to be implemented with the use of proceeds, will meet the requirements of the GCF environmental and social safeguards standards and policies relevant to indigenous peoples and guided by the prevailing relevant national laws and/or obligations of the countries directly applicable to the activities under relevant international treaties and agreements.

The application of UNDP's Social and Environmental Standards ensure that the program will protect and foster full respect for human rights of Indigenous Peoples under international and national law. These standards are also fully aligned with the GCF environmental and social safeguards standards and policies relevant to indigenous peoples and the constitutional protections affirmed for these populations. Brazil's national legislation in regards to the rights and protections of Indigenous Peoples will also be respected. Brazil is signatory of the Convention 169 - Indigenous and Tribal People Convention (OIT) and signatory of the Declaration on the Rights of Indigenous Peoples (UNDRIP). Furthermore, the Brazilian Constitution ensures the Indigenous rights to their traditional land, culture and their rights for political organization (Art 231).

In the Amazon biome, more than 108 million hectares are legally protected as indigenous lands, with further lands being delineated in an ongoing land titling process. In 2007, the Brazil published the National Policy for the Sustainable Development of Traditional Peoples and Communities and in 2016, the government also created the National Commission for Traditional Peoples and Communities, where government and communities are equally represented. In 2012, the National Policy for Territorial and Environmental Management of Indigenous Land (PNGATI) was launched, which was constructed in a participatory and consultation process with representatives of 186 Brazilian Indigenous Peoples (more information can be found in the Second SOI). In the Management Committee of the PNGATI indigenous and government are equally represented and the Presidency of the Committee is regularly alternated between government and indigenous representatives. Key objectives of the PNGATI include: 1) governance and participation; 2) territorial protection; 3) prevention and recovering of environmental damage; 4) sustainable use of natural resources. The PNGATI, as well as the policies mentioned above in regards to traditional communities will therefore provide the basis for the support of indigenous peoples and traditional communities in this proposal. The National REDD+ Strategy, in its Annex I also contains further guidance on REDD+ implementation in indigenous lands, which will shape the design of the Floresta+ pilot program.

Consultations with Indigenous Peoples and traditional communities will take place in the context of the proposal, in respect of GCF policy on IPs, UNDP SES standards and relevant national and international guidelines, including those of Free, Prior and Informed Consent. As a preliminary step, MMA has held dialogues with indigenous leaderships through a meeting of the Technical Chamber of Climate Change of the Management Committee of the National Policy of Environmental and Territorial Management in Indigenous Territories (CT-MC/CG-PNGATI). In this forum, the concept of this proposal was considered as an opportunity for indigenous people to effectively access resources through their own organizations, to meeting their climate change adaptation and mitigation needs, as well as for improving the management of their territories, according to the guidelines of PNGATI. Indigenous stakeholders have emphasized and reinforced the need of effective participation in developing and implementing the project. Further discussions in regards to access to REDD+ GCF funds were also held on August 16th, 2018 with the Management Committee of PNGATI. All future consultations and management plans, will also account for ongoing processes of indigenous consultations and autonomous development, including incorporation of the use of Indigenous Environmental

and Territorial Management plans (PGTAs for the acronym in Portuguese), and support of this process. An Indigenous Peoples Plan will be completed in order to ensure that indigenous perspectives, traditional knowledge and autonomy are respected throughout planning and implementation. This Indigenous Peoples Plan and the Cultural Heritage Plan recommended by the ESMF will serve as the cornerstones in guiding the above efforts and ensure that sufficient indicators of progress related to indigenous peoples are incorporated into the monitoring systems and SISREDD+.

E.6. Monitoring and evaluation

Provide information on the monitoring arrangements that will take place for providing annual monitoring reports based on the information provided for the use of proceeds in sections C.2.3 and C.2.4.

Project-level monitoring and evaluation will be undertaken in compliance with the UNDP POPP and the UNDP Evaluation Policy. The M&E Plan will be conducted in accordance with UNDP and GCF procedures by the project team and the UNDP Country Office (UNDP CO). Section C.2 provides outcome indicators for project implementation. The UNDP project document will also include additional information such as corresponding means of verification. The M&E plan includes: an inception report, annual APR reports to GCF, project implementation reviews, a mid-term review and final evaluation. This information will be made available online via Info Hub Brasil (http://redd.mma.gov.br/en/infohub).

The following sections outline the principal components of this plan. The project's M&E plan will be presented and finalized at the project's Inception Meeting following a collective fine-tuning of indicators, means of verification, and the full definition of project staff M&E responsibilities.

Project start

1. A Project Inception Workshop will be held within the first 2 months of project start, involving those with assigned roles in the project organization structure, the UNDP Country Office and, where appropriate/feasible, UNDP regional technical policy and technical advisors as well as other stakeholders. The Inception Workshop is crucial to building ownership of the project results and to plan the first-year annual work plan. The Inception Workshop will address several key issues including:

    - To assist all partners to fully understand and take ownership of the project.
    - To detail the roles, support services and complementary responsibilities of UNDP Country Office (CO) and Regional staff vis à vis the project team.
    - Discussion on the roles, functions and responsibilities within the project's decision-making structures, including reporting and communication lines, and conflict resolution mechanisms.
    - Based on the project results framework, finalization of the first annual work plan. Review and agree on the indicators, targets and their means of verification, and recheck assumptions and risks.
    - Provision of a detailed overview of reporting, monitoring and evaluation (M&E) requirements. The M&E work plan and budget will be agreed and scheduled.
    - Discussion of financial reporting procedures and obligations, and arrangements for annual audit.
    - Planning and scheduling of project Board meetings. Roles and responsibilities of all project organization structures will be clarified, and meetings planned. The first project Board meeting will be held within the first 12 months following the inception workshop.
    - An Inception Workshop Report will be a key reference document and will be prepared and shared with participants to formalize various agreements and plans decided during the meeting.

Annual Project Report

This key report is prepared by the Project Technical Advisors, consolidated by the Project Manager, validated by the Project Coordination Unit (PCU) and final approved by the Project Board to monitor progress made since project start and for the previous reporting period.

The format and content of the annual report will be adjusted based on the simplified reporting regime which will be established for RBP by the GCF.

Near real time Monitoring using a geographically explicit cloud-based M&E system associated with and site visits as needed.

Using traditional post-facto, paper-based, descriptive M&E and reporting methods it is very challenging to consolidate the large quantity of geographically explicit information, verify it, analyze progress towards policy milestones or compliance with land-use commitments and report on it in an accurate, transparent and interactive manner.

New tools and technologies exist that respond to this problem and drastically change the paradigm in land use monitoring, allowing for user-friendly, effective and efficient monitoring and adaptive management, even in a context as challenging as the Amazon. Once operational, the marginal cost of using these tools is close to zero. This allow for a quick uptake by many projects, financial institutions and even governments at very low cost. As such, the use of these tools greatly benefits impact investments and related monitoring and reporting. Lastly, by increasing transparency, these tools have the potential to significantly enhance the effectiveness of implementation of projects, especially if the various actors involved (beneficiaries, government, banks) know that their actions will be monitored this way in real time (as opposed to post-facto, paper-based, descriptive monitoring).

UNDP will use an open source turn key M&E solution to do the following:

- Collect, transfer, consolidate, backup and analyze spatial and non-spatial data to facilitate the tracking of progress `and impacts of projects;
- Transparently track and demonstrate progress against beneficiary performance milestones;
- Enable data sharing between stakeholders (e.g. for data collection and verification)
- Monitor compliance towards land-use commitments made by stakeholders, collectively or individually (private sector, political & administrative authorities, local communities).

In addition, and as needed, the UNDP will conduct visits to project sites based on the agreed schedule in the project's Inception Report/Annual Work Plan to assess first hand project progress. Other members of the Project Board may also join these visits. A Field Visit Report will be prepared by the CO and UNDP Regional Office and will be circulated no less than one month after the visit to the project team and Project Board members. In addition, the MMA will conduct visits to project sites periodically and field visit reports will be prepared.

Mid-term of project cycle
The project will undergo an independent mid-term review at the mid-point of project implementation. The mid-term review will determine progress being made towards the achievement of outcomes and will identify course correction if needed. It will focus on the effectiveness, efficiency and timeliness of project implementation; will highlight issues requiring decisions and actions; and will present initial lessons learned about project design, implementation and management. Findings of this review will be incorporated as recommendations for enhanced implementation during the final half of the project's term. The final MTR report will be available in English and Portuguese.

End of Project
An independent Final Evaluation will take place three months prior to the closure of the project, undertaken in accordance with UNDP and GCF guidance. The final evaluation will focus on the delivery of the project's results as initially planned (and as corrected after the mid-term review, if any such correction took place). The final evaluation will look at impact and sustainability of results, including the contribution to capacity development and the achievement of global environmental benefits.

The Final Evaluation will also provide recommendations for follow-up activities and requires a management response. The final report will be cleared by the UNDP CO, the UNDP Regional Technical Advisor and the Project Coordination Unit (PCU) and will be approved by the Project Board. The UNDP CO will include the planned project terminal evaluation in the UNDP CO evaluation plan and will upload the final terminal evaluation report in English and Portuguese and the management response to the public UNDP Evaluation Resource Centre and the MMA.

During the final three months, the project team will prepare the Project Terminal Report. This comprehensive report will be made available to the public through the Info Hub Brasil (http://redd.mma.gov.br/en/infohub). It will summarize the results achieved (objectives, outcomes, outputs), lessons learned, problems met and

areas where results may not have been achieved. It will also lay out recommendations for any further steps that may need to be taken to ensure sustainability and replicability of the project's results.

The UNDP CO will support the Project Manager as needed, including through annual supervision missions. The UNDP CO is responsible for complying with UNDP project-level M&E requirements as outlined in the UNDP POPP. Additional M&E and implementation quality assurance and troubleshooting support will be provided by the UNDP Regional Technical Advisor as needed. The project target groups and stakeholders, including the National Designed Authority, will be involved as much as possible in project-level M&E. The UNDP CO will retain all M&E records for this project for up to seven years after project financial closure to support ex-post evaluations.

F. Legal arrangements

E.6.1. Legal title to REDD-plus results

- *Provide an analysis with respect to legal title to REDD-plus results in the country. This should include an analysis of entitlement to claim for the results to be paid for by the GCF.*

- *Covenant that no other party has a competing claim to the results proposed to the GCF in accordance with national policy, legal or regulatory frameworks.*

As presented in section B.2.2 (viii) of this proposal, REDD-plus results achieved in the Brazilian territory will be used by the country to fulfill its NDC to the UNFCCC and its Paris Agreement. Below is the relevant regulation regarding REDD+ results.

The Federal Decree 85776/ 2015 created the CONAREDD+ for coordinating and monitoring the implementation of the ENREDD+ in Brazil. Article 4 of this Federal Decree established that the MMA, as the Executive Secretariat of the CONAREDD+, will (V) *issue diplomas recognizing REDD+ results-based payments achieved by Brazil. Article 6 of this Federal Decree establishes that* ***REDD+ results-based payments and their respective diplomas may not be used, directly or indirectly, to fulfil mitigation commitments of other countries to UNFCCC.*** Article 7 also states that the diploma referred to in item V of the caput of art. 4º ***will be nominal and non-transferable, will not generate rights or credits of any nature****, will contain the amount equivalent to the payment by result and can be consulted on the website of the MMA.*

Furthermore, Brazil emphasized in its NDC to the UNFCCC and its Paris Agreement that "*any transfer of units resulting from mitigation outcomes achieved in the Brazilian territory will be subject to prior and formal consent by the Federal Government.* ***Brazil will not recognize the use by other Parties of any units resulting from mitigation outcomes achieved in the Brazilian territory*** *that have been acquired through any mechanism, instrument or arrangement established outside the Convention, its Kyoto Protocol or its Paris agreement.*"

The CONAREDD+ has approved a few Resolutions that reinforce the understanding that there is no formal legal title to REDD+ results in Brazil and that these results cannot be transferred. Below are key elements from each of these decisions.

Resolution n. 5, of December 16th, 2017: General principles for the implementation of the National REDD+ Strategy through the CONAREDD+ and its Thematic Advisory Boards
Article 1, VI. Results-based payments ***do not constitute an international transfer*** *for the fulfillment of mitigation commitments of other countries.*
Article 1, VII. The mitigation benefits achieved through REDD+ activities implemented in Brazil will be reflected in the national accounting of emissions by sources and removals by sinks for demonstrating the fulfillment of Brazil's Nationally Determined Contribution to the Paris Agreement.

Resolution n.6, of July 6th, 2017: Defines the distribution of fundraising limits for REDD+ results achieved in the Amazon biome
Article 3. The distribution of fundraising limits for results achieved reducing emissions from deforestation in the Amazon biome ***do not generate ownership*** *or guarantee of income.*

Article 5, paragraph 2. The Parties mentioned in Article 2 that have interest to raise resources using voluntary or regulated carbon offset schemes shall declare, when filling out the application Annex to this Resolution to apply for eligibility, that they are aware that this ***fundraising is limited to a modality of finance.***
Article 5, paragraph 3.The payments for REDD+ results made based on the limits established in this Resolution ***do not generate, to the Parties mentioned in Article 2, the right to internationally transfer these results, for the fulfillment of international mitigation commitments, and will not affect the national accounting for demonstrating the fulfillment of Brazil's Nationally Determined Contribution to the Paris Agreement.***
Article 5, paragraph 4. The Parties mentioned in Article 2 shall inform all the Parties involved in REDD+ results-based payments agreements of the term of this Resolution, and other norms established by the CONAREDD+.
Article 5, paragraph 5. In case of no compliance with the obligation established in the previous paragraph, the interested Party will be considered ineligible by the CONAREDD+ to access REDD+ results-based payments.

Resolution n. 7, of July 6th, 2017: Defines the eligibility rules for access to direct fundraising for results-based payments
Article 4. The Amazon States or federal entities eligible assume ***full legal responsibility for managing and investing the resources raised through results-based payments, respecting the REDD+ safeguards and providing accounting information.***
According to the Annex of this Resolution, entities applying to receive the approval of the CONAREDD+ and be eligible to access results-based payments need to sign the following: "I declare to be aware that the fundraising for REDD+ results-based payments achieved by Brazil represent ***exclusively a modality of finance and that I will inform all the Parties involved in the REDD+ results-based agreements about the terms of the Resolution n.6 and other norms established by the CONAREDD+."***

G. Accredited entity fee and project management costs

Provide a list of the activities that are expected to be conducted using the AE fees and project management cost with corresponding costs as follows:

Accredited entity fee: table 19 below provides information on the activities to be conducted and the budget.

Table 19. Accredited Entity Fee Request Budget

Accredited Entity Fee Request Budget						
Accredited entity: UNDP **Project: REDD+ Results Based Payments for 2014-2015** **Country: Brazil** **Duration (years): 6 years**	**GCF Total Financing:** GCF RBP :		**96,452,228** **96,452,228**	**Total Proj. Financing (incl. GCF):** Total RBP:		**96,452,228** **96,452,228**
Year:	1	2	3	4	5	6
Currency:	USD					
1. Project/Program Implementation and Supervision						
1.1 Use of Proceeds Reporting and Oversight	**240**	**7,454**	**9,689**	**10,214**	**10,214**	**4,939**
Overseeing the preparation of the required reports for submission to the GCF Secretariat	240	7,454	9,689	10,214	10,214	4,939
1.2 Environmental and social management risk and impact oversight**	**16,011**	**497,106**	**646,162**	**681,193**	**681,193**	**329,384**

Provide review and oversight to project implementation teams to ensure project quality and compliance with UNDP's SES and associated procedures and frameworks (SESP, ESIA, ESMP, management plans, M&E).	4,868	131,789	171,306	180,593	180,593	87,324
Provide review and oversight in addressing critical safeguard-related implementation issues, including e.g. related to grievances and/or non-compliance with UNDP's SES.	5,835	181,168	235,490	248,257	248,257	120,042
Provide review and oversight to maintenance of administrative and environmental records, especially procedures related to stakeholder engagement, FPIC and a log of complaints together with records of any measures taken to mitigate the cause of the complaints.	5,931	184,149	239,366	252,343	252,343	122,018
2. Project/Program Completion and Evaluation						
2.1 Program closure	-	-	-	-	-	42,675
Preparing project closing documents for submission to GCF Secretariat	-	-	-	-	-	33,650
Preparing the financial closure of the project for submission to GCF Secretariat	-	-	-	-	-	9,025
Other (please specify):						
3 Reporting, as required under AMA & FAA						
3.1 Reporting requirements as agreed in the AMA and FAAs	**54,450**	**54,450**	**54,450**	**54,450**	**54,450**	**54,450**
3.2 Oversight of the ownership and legal title to the ERs and actions to avoid double payment ***	**32,000**	**16,000**	**16,000**	**16,000**	**16,000**	**16,000**
Ensure GCF Volume of ERs and the REDD+ RBP paid by the GCF for those ERs are recorded in the Info Hub and host country registry	16,000	-	-	-	-	-
Audit of the Host Country's national registry to asses if (A)GCF Volume of ERs and the REDD+ RBP paid by the GCF for those ERs remain properly recorded (B) the GCF Volume of ERs are no longer eligible for RBPs under the GCF or in any other arrangement, and (C) the Host Country will retire the GCF Volume of ERs and will not transfer or otherwise use them (e.g. offsetting);	16,000	16,000	16,000	16,000	16,000	16,000
Total	**102,702**	**575,010**	**726,301**	**761,857**	**761,857**	**447,448**
GRAND TOTAL						**3,375,828**
Fee Percentage						**3.5%**

The agreed fee will be disbursed to the Accredited Entity in addition to the REDD+ RBP. The Accredited Entity's fee will be disbursed in six (6) equal annual disbursements. The first instalment of the fee will be

disbursed together with the disbursement of the REDD+ RBP. The table 20 below provide the AE fee disbursement schedule.

Table 20. AE fee disbursement schedule

Description	GCF Accredited Entity (AE) Fee
For Year 1 Activities	562,638
For Year 2 Activities	562,638
For Year 3 Activities	562,638
For Year 4 Activities	562,638
For Year 5 Activities	562,638
For Year 6 Activities	562,638
Total	3,375,828

Project management costs for the full implementation period are presented in table 21.

Table 21. Project management costs for the full implementation period

List of Activities	Costs	Explanation
Preparation of the annual project work plans/programmes and budgets, including analysis and reporting	430,200	10% of Project Manager, 25% Project Assistant, 50% Administrative Assistant and 50% Financial Assistant
Preparation of procurement plans	105,000	50% Procurement Associate
Preparation of TOR and preparation of procurement packages	213,000	50% Procurement Associate, 25% Project Manager
Provide Legal Advice for project management	360,000	100% Technical legal adviser
Tracking and monitoring of project costs and deliverables to plan	459,000	50% Project Assistant, 50% Administrative Assistant and 50% Financial Assistant
Preparation of progress reports and financial management reports	136,800	15% of Project Manager, 25% Project Assistant
Support to programmatic visits, workshops, and field missions	210,000	100% Logistics Assistant
Support to the project board and project advisory committee	216,000	50% Project Manager
Project Audits	88,500	Annual audits
Evaluations	60,981	International consultants
Financial Monitoring Missions (Spot checks)	360,000	Travel
Office maintenance	834,519	Office Space , Basic Services for 16 people @ 6 years, Computers, Printers, Furniture, Communication (phone, mail, etc), Transportation, Supplies
Direct project costs	2,893,567	UNDP direct project costs relates to cost recovery for processes and transactions to implement the project. This referential cost has been calculated based on the Universal Price List that provides specific costs for every specific transaction.

UNDP provision of supervision services to the project	3,375,828	
Total	**9,743,395**	

H. Annexes

- Non-objection Letter
- Environmental and social assessment (ESA)
- ....

Annex C: Timetable of project implementation

Output/Activity/Input	Indicative Implementation Timetable																							
	Y1 (2019-2020)				Y2 (2020-2021)				Y3 (2021-2022)				Y4 (2022-2023)				Y5 (2024-2025)				Y6 (2025-2026)			
	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4
OUTPUT 1. Floresta+ Paymentsp																								
Activity 1.1 Refinement of Floresta+ pilot program and selection of implementing partners	x	x	x	x																				
Activity 1.2 Operation of Floresta+ Modality 1					x	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x				
Activity 1.3 Operations of Floresta+ Modality 2					x	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x				
Activity 1.4 Operation of Floresta+ Modality 3					x	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x				
Activity 1.5 Operation of Floresta+ Modality 4					x	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x				
Activity 1.6 Technical Monitoring of Floresta+					x	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x		
Activity 1.7 Implementation of an outreach strategy for Floresta+			x	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x						
OUTPUT 2. Implementation of the National REDD+ Strategy (ENREDD+)																								
Activity 2.1 Expansion of the forest monitoring system and improvement of the Measurement, Reporting and Verifying process for REDD+	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x
Activity 2.2 Development of Public Policies Impact Matrix									x	x	x	x	x	x	x	x	x	x	x	x	x	x		
Activity 2.3 Improvement of REDD+ Safeguards Information System (SISREDD+)	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x
Activity 2.4 Strengthening ENREDD+ participatory mechanisms	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x
Activity 2.5 Promoting knowledge management and exchanges in CC and Forests among countries				x	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x				
Project Management Cost																								
Project Management	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x
Direct project Cost	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x
Provision of supervision to the project	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x

Annex D: Draft Procurement plan

The worksheet presented below is an indicative plan, the proposed expenditures, number of contracts and dates are to be reviewed in the form of annual procurement plans, on a year to year basis, as part of the planning routine for defining the annual work plan.

Budget code	Procurement type	Procurement Category	General description	Estimated nb of contracts	Activity Nb	Entity responsible for this procurement	Procurement/Recruitment method	Estimated Contract Value (USD)	Year of bidding process start					
									Y1	Y2	Y3	Y4	Y5	Y6
72200	Goods & Works	Equipment and Furniture	Furniture	1	3.1	UNDP	RFQ	23.619	X					
72500	Goods & Works	Supplies	Supplies	1	3.1	UNDP	RFQ	32.100	X					
72800	Goods & Works	Information Technology Equipmt	Computers	1	3.1	UNDP	RFQ	48.000	X					
72800	Goods & Works	Information Technology Equipmt	Printers	1	3.1	UNDP	Micro-purchasing	6.000	X					
73100	Goods & Works	Rental & Maintenance-Premises	Office Space	1	3.1	UNDP	ITB	432.000	X					
74200	Goods & Works	Audio Visual & Print Prod Costs	Outreach and communication material	3	2.3	UNDP	RFQ	30.000		X		X		X
74200	Goods & Works	Audio Visual & Print Prod Costs	Outreach and communication material of the revised ENREDD+	1	2.4	UNDP	RFQ	30.000		X				
74200	Goods & Works	Audio Visual & Print Prod Costs	Prodution of materials with lessons learnt in implementing REDD+ by Brazil in Portuguese, Spanish and English	1	2.5	UNDP	RFQ	60.000				X		
75700	Goods & Works	Training, Workshops and Conference	Stakeholders meeetings for complimentary consultation	4	1.1	UNDP	RFQ	45.000	X					
75700	Goods & Works	Training, Workshops and Conference	Stakeholders Meetings for data validation	6	2.1	UNDP	Micro-purchasing	60.000	X	X	X	X	X	X
75700	Goods & Works	Training, Workshops and Conference	Workshops	1	2.1	UNDP	RFQ	120.000					X	
75700	Goods & Works	Training, Workshops and Conference	Workshop for the evaluation of the ombudsman process	1	2.3	UNDP	RFQ	100.000		X				
75700	Goods & Works	Training, Workshops and Conference	Provide support for stakeholder participation (logistics)	6	2.4	UNDP	RFQ	270.000	X	X	X	X	X	X
75700	Goods & Works	Training, Workshops and Conference	Workshops and Technical Debates	6	2.4	UNDP	RFQ	300.000	X	X	X	X	X	X
75700	Goods & Works	Training, Workshops and Conference	Workshops	3	2.5	UNDP	RFQ	101.686		X		X		X
71600	Services	Contractual Services	Hiring public bank for opening and maintaining the accounts and the estimated direct payments of modalities 1 and 2.	1	1.1	UNDP	RFP	63.044.983*	X					
71200	Services	International Consultants	Evaluations	2	3.1	UNDP	RFQ	60.981			X			X
71300	Services	Local Consultants	Technical assistant in environmental economy and land use analysis	1	1.1	UNDP	RFQ	60.000	X					
71300	Services	Local Consultants	National Consultancy for REDD Annex and FREL submission preparation	1	2.1	UNDP	RFQ	89.964	X					
71300	Services	Local Consultants	National consultancy	1	2.2	UNDP	RFQ	20.000			X			
71300	Services	Local Consultants	National consultancy	1	2.2	UNDP	RFQ	20.000		X				
71300	Services	Local Consultants	National consultancy for the development of a ombudsman form	1	2.3	UNDP	RFQ	5.000		X				
71300	Services	Local Consultants	National consultancy to compilate the evaluation of SISREDD+ results and provision the SoI	1	2.3	UNDP	RFQ	40.000				X		
71300	Services	Local Consultants	National consultancy for support ENREDD+ revision	1	2.4	UNDP	RFQ	99.600	X					
72100a	Services	Contractual Services - Companies / Nat-Serv	Design and implementation of an online system and data base	1	1.1	UNDP	RFQ	50.000	X					
72100a	Services	Contractual Services - Companies / Nat-Serv	Selection and Assessment of Implementing Partner Institutions	1	1.1	UNDP	RFQ	100.000	X					
72100a	Services	Contractual Services - Companies / Nat-Serv	Social and environmental impact assessments	1	1.6	UNDP	RFP	200.000	X					
72100a	Services	Contractual Services - Companies / Nat-Serv	Provision of technical assistance for forest restoration (Rural extension)	1	1.6	UNDP	RFP	2.400.000	X					
72100a	Services	Contractual Services - Companies / Nat-Serv	National consultancy for communication strategy	1	1.7	UNDP	RFP	150.000	X					
72100a	Services	Contractual Services - Companies / Nat-Serv	Outreach and Communication Materials	2	1.7	UNDP	RFQ	360.000	X			X		
72100a	Services	Contractual Services - Companies / Nat-Serv	Provision of activity data for REDD+ submissions	1	2.1	UNDP	RFP	1.500.000	X					
72100a	Services	Contractual Services - Companies / Nat-Serv	Provision of activity data for REDD+ submissions	1	2.1	UNDP	RFP	1.200.000	X					
72100a	Services	Contractual Services - Companies / Nat-Serv	Implementation of improvements in Info Hub Brasil	1	2.2	UNDP	RFQ	50.000			X			
72100a	Services	Contractual Services - Companies / Nat-Serv	Design, implementation and maintenance of an app for communication with beneficiaries	1	2.3	UNDP	RFP	200.000			X			
72100a	Services	Contractual Services - Companies / Nat-Serv	Audits	6	3.1	UNDP	RFQ	88.500	X	X	X	X	X	X
72100b	Services	Contractual Services - Companies / Int-Serv	Implementation of improvements in SICAR	1	1.1	UNDP	RFP	300.000	X					
72100b	Services	Contractual Services - Companies / Int-Serv	Design and implementation of an online system	1	2.2	UNDP	RFQ	100.000		X				
72100b	Services	Contractual Services - Companies / Int-Serv	Design, implementation and maintenance of an online system	1	2.3	UNDP	RFP	600.000				X		
Total Geral								9.352.450						

* This Estimated Contract Value refers to the estimated public bank fees (USD 1.040.000) plus the estimated direct payments of modalities 1 and 2 (USD 62.004.983), which will be transferred to the final beneficiaries for up to four years during the project (from year 2 to year 4).

Annex E: Draft Terms of References for Project Team

Project Coordinator

Background

Brazil has received funds from the Green Climate Fund (GCF) for the project "REDD+ results-based payments for results achieved by Brazil in the Amazon biome in 2014 and 2015". The results-based payments received by Brazil from the GCF will contribute to the implementation of the forest sector actions of Brazil's NDC and Brazil's REDD+ National Strategy overall objective. This project has two main outputs:

1. Development of a pilot of an Environmental Services Incentive Program for Conservation and Recovery of Native Vegetation (Floresta+); and
2. Strengthen the implementation of Brazil's ENREDD+, through improvements in its governance structure and systems

The Floresta+ is a new and innovative pilot program that aims to provide incentives for environmental services in the Legal Amazon region, in accordance with Brazil's Forest Code, the ENREDD+ and Brazil's NDC. This pilot program will have the following specific objectives: 1. provide monetary compensation to incentivize native vegetation conservation and restoration/recovery and improvement of ecosystems that generate environmental services (including but not limited to carbon); 2. prevent the occurrence of deforestation, forest degradation and forest fires through financial incentives; 3. incentivize the restoration/recovery of native vegetation of rural properties, conservation areas, indigenous lands, land settlements and local community lands; 4. value the actions of land owners, land users, settlers, Indigenous Peoples and local communities in conservation and restoration/recovery of native vegetation; 5. Promote compliance with the environmental legislation, especially that related to the protection and restoration/recovery of native vegetation (Forest Code); 6. offer a financial mechanism to foster the development and implementation of public policies aimed at conservation and restoration/recovery of native vegetation.

This project also aims to contribute with the ENREDD+ implementation facing the complexity of a forest monitoring system for the whole Brazilian territory, the low capacity and resources of subnational governments and ILPCs to engage in ENREDD+ implementation, the limited amount of public resources to implement the ENREDD+, the safeguard information scattered among different governmental systems and/institutions and the complexity to evaluate the impacts of REDD+ policies.

It is with this background that a qualified, experienced and self-motivated Project Coordinator is being sought for recruitment.

The Project Coordinator is responsible for day-to-day management and decision-making for the project. The Project Coordinator's prime responsibility is to ensure that the project produces the results specified in the project document, to the required standard of quality and within the specified constraints of time and cost. The Project Coordinator reports to UNDP.

The Project Management Unit (PMU) will be headed up by a Project Coordinator (PC). The PC will take charge of all outcomes under Project Document. The PC will also have managerial responsibilities vis-à-vis the approval of processes within UNDP's system.

In view of her/his responsibilities to deliver these outcomes, the PC should have substantial project management experience, ideally of international cooperation projects. Background knowledge on environmental issues would also be preferred. The PC will be a full-time post over the project lifespan. This is a critical position and it is important that person filling this position has a continuous global overview of the project and its objectives.

The execution of the PC's duties in the PMU will be supported by a Project Technical Advisor and a Project Assistant. She/he will be responsible for the day-to-day running of the PMU, under the supervision of UNDP

and in alignment with inputs from the Project Coordination Unit (PCU), in MMA. The PC is ultimately responsible for organizing and overseeing delivery on all aspects and activities of the Project.

Ensures **the direction of project activities and the achievement of project targets and results**, by focusing on the following results:

- Plan and develop project Annual Work Plans (AWPs) and establish Annual Targets in accordance with the Project Document and in close coordination with project stakeholders, the PMU and the PCU staff;
- Ensure that AWP activities suggested are in line with the overall direction set by the Project Document and lead to the timely achievements of project targets and results;
- Oversee and coordinate development and formulation of detailed implementation plans, procurement and human resources, communication and risk management plans for the Project;
- Ensure implementation of activities as per AWP and agreed deadlines as well as according to detailed implementation, procurement and HR plans;
- Identify bottlenecks and develop solutions;
- Assess project impact and oversee the appropriateness and accuracy of methods used to verify progress and results;
- Establish adequate monitoring procedures and systems throughout project activities in consultation and collaboration with Ministry, UNDP and consultants;
- Ensure that adequate systems are in place to gather data and information for project monitoring and that systematic monitoring of project progress against targets is undertaken, including regular field trips for monitoring purposes;
- Develop innovative improvements to enhance performance of the project;
- Manage the accurate and timely high-quality results reporting on the progress of the project and achievement of annual targets to the Project Board and GCF. Ensure that GCF and UNDP reports are prepared according to UNDP's SOPs, quality standards and in line with the contractual obligations to GCF;
- Coordinate, prepare and ensure that all internal and external reports are submitted by deadlines;
- Coordinate and prepare ad hoc thematic and substantive reports/analysis/briefs;
- Ensure that project communications activities are being implemented;
- Organize and participate in project level coordination meetings and/or technical working groups as per project document and AWP;
- Implement project governance arrangements; and
- Ensure organization of Project Board meetings and ensure timely preparation of agenda, background materials to agenda items and minutes.

Ensures **day-to-day management of the project**, by focusing on the following results:

- Ensure compliance of all actions and activities with organizational rules, regulations, policies, strategies and internal control mechanisms;
- Mobilize personnel, goods and services, training and grants schemes to initiate activities, including drafting and reviewing terms of references and work specifications and overseeing all contractors' work;
- Oversee effective provision of services to project stakeholders as required;
- Oversee the appropriate use of project funds as well as the consistent application of UNDP rules and regulations;
- Manage requests for the provision of financial resources by UNDP, through advance of funds, direct payments, or reimbursement using the FACE (Fund Authorization and Certificate of Expenditures);
- Monitor budget implementation and accounting to ensure accuracy and reliability of project expenditure;
- Coordinate preparation of financial reports to UNDP, as required;
- Supervise and manage project personnel and consultants;
- Develop ToRs for consultancies and other short-term jobs;
- Establish performance objectives and standards and ensure timely and appropriate feedback, guidance and support to ensure optimum performance;
- Undertake performance evaluation of project management staff;

- Manage and monitor project risks. In collaboration with the technical project staff, UNDP and MoA identify new risks and update risk frameworks for consideration of the Project Steering Committee for consideration and decision on possible actions if required;
- Update the status of these risks by maintaining the project risks log;
- Ensure appropriate management of project assets, attendance records, filing system.
- Implement audit recommendations for the project;
- Provide inputs to audit management responses; and
- Initiate operational closure of the project.

Ensures and coordinates **provision of high-quality technical advice and building of partnerships,** focusing on achievement of the following results:

- Coordinate the advisory activities of the project technical staff, including assurance that technical outputs are provided according to plans and up to highest technical standards. Review and clear technical outputs for quality;
- Establish, maintain and facilitate strategic dialogue between UNDP Staff, project staff, and Government officials at central and local levels, in project's area of work;
- Provide technical advice, draft papers/briefs/proposals in project's technical focus;
- Facilitates knowledge building and management;
- Ensure that the Project systematically builds capacities of stakeholders through introduction of innovation and best practices, access to knowledge and expertise and promote their application to project implementation;
- Promote teamwork, information sharing and collaboration within the Project Team and between the Project Team and the Government partners and UNDP;
- Promote skills development of project staff through coaching and mentoring;
- Ensure capturing and disseminations of lessons learnt during project implementation; and
- Facilitate the Project's representation and/or participation in international knowledge networks to draw on and share best practice and lessons learned.

Education (Minimum Requirements):
Master's degree in Project Management with a Bachelor's degree in International Relations, Business and Public Administration, Environmental Sciences, Agriculture, Rural Development or related field. Master's degree or equivalent in the fields listed above is also acceptable.

Experience:

- Minimum 10 years relevant experience at the national or international level in design, planning, implementation, monitoring and evaluation of projects and establishing inter-relationships among international organization and national governments is required;
- Experience in international cooperation projects is desirable
- Familiarity with the goals and procedures of government institutions, and with those of UNDP and GCF as it relates to the Project goals and objectives is desirable
- Experience of, at least, 4 years in working on forest, land use, agriculture and/or climate change projects;
- Experience in setting priorities, budgets, work plans, participating in program development and program writing;
- Demonstrated coordination and project leadership skills, and ability to multi-task;
- Experience in the UN System is an asset;
- Availability for extensive domestic travel; and
- Ability to work under high pressure.

Language:
Excellent command of both oral and written Portuguese and English and good communication skills.

Project Technical Advisor

Background

Brazil has received funds from the Green Climate Fund (GCF) for the project "REDD+ results-based payments for results achieved by Brazil in the Amazon biome in 2014 and 2015". The results-based payments received by Brazil from the GCF will contribute to the implementation of the forest sector actions of Brazil's NDC and Brazil's REDD+ National Strategy overall objective. This project has two main outputs:

1. Development of a pilot of an Environmental Services Incentives Program for Conservation and Recovery of Native Vegetation (Floresta+); and
2. Strengthen the implementation of Brazil's ENREDD+, through improvements in its governance structure and systems .

The Floresta+ is a new and innovative pilot program that aims to provide incentives for environmental services in the Legal Amazon region, in accordance with Brazil's Forest Code, the ENREDD+ and Brazil's NDC. This pilot program will have the following specific objectives: 1. provide monetary compensation to incentivize native vegetation conservation and restoration/recovery and improvement of ecosystems that generate environmental services (including but not limited to carbon); 2. Prevent the occurrence of deforestation, forest degradation and forest fires through financial incentives; 3. Incentivize the restoration/recovery of native vegetation of rural properties, conservation areas, indigenous lands, land settlements and local community lands; 4. value the actions of land owners, land users, settlers, Indigenous Peoples and local communities in conservation and restoration/recovery of native vegetation; 5. promote compliance with the environmental legislation, especially that related to the protection and restoration/recovery of native vegetation (Forest Code); 6. offer a financial mechanism to foster the development and implementation of public policies aimed at conservation and restoration/recovery of native vegetation.

This project also aims to contribute with the ENREDD+ implementation facing the complexity of a forest monitoring system for the whole Brazilian territory, the low capacity and resources of subnational governments and ILPCs to engage in ENREDD+ implementation, the limited amount of public resources to implement the ENREDD+, the safeguard information scattered among different governmental systems and/institutions and the complexity to evaluate the impacts of REDD+ policies.

It is with this background that a qualified, experienced and self-motivated Project Technical Advisor is being sought for recruitment.

The Technical Advisor will receive inputs from the Project Coordination Unit (PCU) in the Ministry of Environment and is responsible for providing technical support to the Project Coordinator and overall technical guidance and project coordination, technical review of project reports, products and other documents.

Key Functions and Specific Duties:

- Analyze and revise indicators and targets of the project document;
- Conduct technical visits to LPAs;
- Support planning and monitoring meetings and workshops with stakeholders;
- Propose solutions and demonstrate conflict resolution and mediation skills;
- Provide technical support for the elaboration of Terms of Reference;
- Supervise and monitor the specialized consulting team;
- Technically approve the products of the specialized consultancies, guaranteeing the quality and the fulfillment of the deadlines of the project;
- Propose integrated actions among the participating agencies, including the government institutions, and with the other institutions listed in the project document from the private and public sector;
- Implement tools to evaluate the level of progress for approved indicators and targets

• Accompany and monitor environmental and social safeguards, preparing and reviewing reports to the PCU;
• Support inter-institutional negotiations in the implementation of this project, coordinating and keeping track of co-financing activities, as well as other related activities;
• Ensure compatibility between the various elements and activities provided and/or funded by other partner organizations and project implementation;
• Assist in the preparation of annual progress reports;
• Make presentations on the development of the project and, when requested, present them to the public in question;
• Perform other obligations that contribute to the efficient operation of the project;
• Maintain contact with partner institutions and stakeholders, including participating in meetings, seminars, workshops and other events, as requested by the Project Coordidnator and the Project Board.

Education:
Master's Degree or equivalent in Climate Change, Agriculture, Rural Development, Biodiversity Management, Environmental Science or another associated field.

Experience:
• At least 08 years of professional experience in providing technical support for the implementation of projects in the environmental arena;
• At least 2 years of experience with the National REDD+ Strategy (ENREDD+);
• Technical knowledge of public policies, laws, and regulations related to REDD+ and climate change is desirable;
• Previous experience working with ILCs or rural technical assistance and extension is required;
• Communication skills and capacity to promote, coordinate and systematize dialogues and debates with different stakeholders and government;
• Availability for extensive domestic travel;
• Ability to multi-task

Language:
Excellent command of both oral and written Portuguese and English and good communication skills.

Project Assistant

Background

Brazil has received funds from the Green Climate Fund (GCF) for the project "REDD+ results-based payments for results achieved by Brazil in the Amazon biome in 2014 and 2015". The results-based payments received by Brazil from the GCF will contribute to the implementation of the forest sector actions of Brazil's NDC and Brazil's REDD+ National Strategy overall objective. This project has two main outputs:

1. Development of a pilot of an Environmental Services Program for Conservation and Restoration of Native Vegetation (Floresta+); and
2. Strengthen the implementation of Brazil's ENREDD+, through improvements in its governance structure and systems.

The Floresta+ is a new and innovative pilot program that aims to provide incentives for environmental services in the Legal Amazon region, in accordance with Brazil's Forest Code, the ENREDD+ and Brazil's NDC. This pilot program will have the following specific objectives: 1. provide monetary compensation to incentivize native vegetation conservation and restoration/recovery and improvement of ecosystems that generate environmental services (including but not limited to carbon); 2. prevent the occurrence of deforestation, forest degradation and forest fires through financial incentives; 3. incentivize the restoration/recovery of native vegetation of rural properties, conservation areas, indigenous lands, land settlements, and local community lands; 4. value the actions of land owners, land users, settlers, Indigenous Peoples and local communities in conservation and restoration/recovery of native vegetation; 5. Promote compliance with the environmental legislation, especially that related to the protection and restoration/recovery of native vegetation (Forest Code); 6. offer a financial mechanism to foster the development and implementation of public policies aimed at conservation and restoration/recovery of native vegetation.

This project also aims to contribute with the ENREDD+ implementation facing the complexity of a forest monitoring system for the whole Brazilian territory, the low capacity and resources of subnational governments and ILPCs to engage in ENREDD+ implementation, the limited amount of public resources to implement the ENREDD+, the safeguard information scattered among different governmental systems and/institutions and the complexity to evaluate the impacts of REDD+ policies.

The purpose of these Term of Reference is to hire a Project Assistant for the Project Management Unit - PMU. This project assistant will be a full member of the PMU and will work under the overall leadership of the Project Coordinator.

The Project Assistant will be responsible for ensuring adequate administrative and financial management of the project, in accordance with UNDP and GCF procedures. As a result, it is expected that this post will contribute to the successful implementation of the planned activities, as well as the execution and control of the actions committed in the scope of the project.

Key Functions:

- Support the overall implementation of the GCF Project's activities through consistent/regular communication updates with supervisor and other relevant contacts;
- Provide financial and administrative support to supervisor and other project staff in the implementation of the Project activities;
- Support to monitoring, evaluation and reporting of the overall Project deliverables through successful coordination with project staff and relevant stakeholder;
- Provide assistance in drafting and developing the necessary reports relevant to fulfillment of the required monitoring & evaluation activities;

Specific Duties:

The assistant will be responsible for providing operational assistance to the project, including but not limited to the following activities:

1. Operational tasks, such as: updating electronic and physical files, acquisition of office supplies, monitoring of service contracts; control of entries and exits of correspondence registered and / or registered by the registry or ECT, meeting room reservations, entry records of consultants, company representatives or MMA / other employees in the UNDP building; prepare drafts of correspondence and internal or external memoranda in Portuguese; among other related tasks;
2. Terms of Reference: prepare drafts for bidding processes for conducting trainings, technical meetings, seminars, etc.
3. Procurement: conduct simplified bidding processes as required;
4. Recruitment of Human Resources: follow-up on ongoing SC and IC contracts;
5. Assistance in the preparation of progress reports, annual action plans and final reports;
6. Assistance in holding tripartite meetings and local or external technical meetings;
7. Assistance in organizing and conducting trainings, technical meetings, seminars, among others. This includes making provisions related to travel, urban transportation, and accommodation of national and international guests;
8. Provide necessary actions for new vendors or updates and monitor their proper approval and effectiveness in the system.
9. Create purchase requisitions. In the case of public or individual bidding processes, follow the publication process of the bid announcement issued through an approved purchase requisition and take whatever steps are required by the Purchasing Unit to expedite the process. Once the process is completed, ensure the approval of the Purchase Order, the issuance of the contract and signature of the same by both the winning company or individual as well as the Resident Representative of UNDP;
10. Create vouchers for invoice payments. In the case of contracting services, conduct a simplified bidding process in accordance with UNDP rules.
11. Monitor the effectiveness of the requested payment, including providing supplemental documentation or new submission for payment request; whenever necessary.
12. Reflect in ATLAS: budget revisions of resource relocation, resource reallocation, substantive, mandatory and final.
13. Reflect support documentation according to the issuance of purchase requisitions and vouchers issued in ATLAS for approval of the Program Officer and issue to the Purchasing or Finance Unit;
14. Keep the contact list of projects and partners updated.
15. Follow-up on UNDP's administrative, financial and operational rules: Program and Operations Policy and Procedure (POPPs) and Internal Control Framework (ICF) in order to alert staff to updates or performance of any activity that is not in accordance with these rules.

Education:

- Degree in Business Administration, Finance, Economics, or other relevant area.

Experience:

- 6-year professional experience in administrative and financial assistance in international cooperation projects;
- Experience in monitoring activities resulting from contracts, projects and agreements;
- Experience in the technical and logistical organization of meetings, seminars and trainings;
- Required knowledge of the operational and financial system used by UNDP: ATLAS;
- Knowledge of information technology (Office package) and systematization of data and information.

Language:

Excellent command of both oral and written Portuguese.
Proficiency in English is also required.

Annex F:

UNDP Social and Environmental and Safeguards screening procedure (SESP) and Environmental and Social Management Plan or Framework (ESMF)

Annex [#]. Social and Environmental Screening Template

The completed template, which constitutes the Social and Environmental Screening Report, must be included as an annex to the Project Document. Please refer to the Social and Environmental Screening Procedure and Toolkit for guidance on how to answer the 6 questions.

Project Information

Project Information	
1. Project Title	REDD+ results-based payments for results achieved by Brazil in the Amazon biome in 2014 and 2015
2. Project Number	XXX
3. Location (Global/Region/Country)	Brazil, Amazon Biome

Part A. Integrating Overarching Principles to Strengthen Social and Environmental Sustainability

QUESTION 1: How Does the Project Integrate the Overarching Principles in order to Strengthen Social and Environmental Sustainability?
Briefly describe in the space below how the Project mainstreams the human-rights based approach
In Brazil, there are substantial legal and policy frameworks that strive to protect, promote and respect human rights constitutionally that will underpin the design and implementation of the Floresta+ activities, as well as Brazil's overall national REDD+ strategy (ENREDD+). In addition to the numerous international agreements and instruments that have been ratified, Brazil has made significant efforts in the last decades towards reforming and creating national laws relevant to resource management, conservation, sustainable economic development, and the enjoyment of rights and freedoms, including that of self-determination of Indigenous Peoples and Traditional Communities. These are fundamental to the realization, inclusivity and permeance of REDD+ efforts, particularly with respect to IPs and traditional communities (quilombolas) who are stewards of forest ecosystems, and are key stakeholders in the maintenance of forest cover and the ecosystem services with which this is associated. In addition to conserving and restoring forest cover across the Brazilian Amazon, the project also seeks to improve the well-being of those whose livelihoods and cultures are tightly linked to natural resources, supporting the right to an adequate standard of living, the right to health, the right to water and the right of IPs to the lands, territories and resources which they have traditionally owned, occupied or otherwise used or acquired. At the heart of the Floresta+ program and ENREDD+, are efforts to address land tenue issues first and foremost, so that resource-dependent communities can secure their rights and access. Integrating stakeholders from the private, public, and non-profit sectors into the project as equal partners or as leaders is recognized as pivotal to the success of REDD+ in Brazil. In particular, measures are taken to support the participation of indigenous peoples and traditional communities, as well as marginalized groups such as poor rural farmers and women, in the design, implementation, and monitoring/evaluation of project activities in ways that value their knowledge and respond to their needs. The meaningful, effective, inclusive and *voluntary* participation of these stakeholders (and where required, the free prior and informed consent (FPIC) of indigenous and traditional communities), will strengthen ownership and build local support of REDD+ related activities. The voluntary nature of the RBP Project activities, broadly through adhesion to the Rural Environmental Registry (CAR) and more specifically to the Floresta+ program, the multi-stakeholder participation in the project design, the project's applicable legal and policy framework, and the mitigation measures already in place and those to be added in accordance with SISREDD+/ and the ESMF – all will work together to ensure not only

that risks of human rights impacts are minimal, but also capitalize on those opportunities that exist nationally to advance the enjoyment of these rights.

Briefly describe in the space below how the Project is likely to improve gender equality and women's empowerment

Brazil will take proactive and explicit measures to ensure a gender perspective is fully integrated into the revised ENREDD+ implementation, as well as the design of the Floresta+ pilot program, as supported by a revised and updated Gender Assessment and Action plan. The RBP Project recognizes that ENREDD+ goals are best achieved when the gendered contributions and perspectives of women, men, girls and boys are incorporated in the project design, implementation and evaluation, while the success of the project's objectives hinge upon the vested interest of both men and women through the enjoyment of equitable project benefits. As illustrated in REDD+ planning activities (CONAREDD+ and CCT-Safeguards advisory board), Brazil is committed to gender equitable participation is an important consideration, and activities planned for the use of proceeds seek to empower women in economic and political decision-making, increasing their control over assets, and safeguard their rights. Recognizing that affirmative and special measures should be taken, a Gender Assessment was varied out and a Gender Action Plan was developed which examined the proposed RSP activities in the context of the GCF's policy on Gender, Principle 2 of UNDP's SES (Gender Equality and Women's Empowerment), presenting findings and recommendations of several studies.

The design of Floresta+ will be focused on mainstreaming gender and, following other payment for environmental services programs previously implemented in Brazil, women will be defined as preferred beneficiaries when applicable. Gender-sensitive and gender-responsive approaches will also be applied to enable meaningful and full participation of women stakeholders in the design of project activities, and to ensure the collection of gender-disaggregated data, and the equitable representation of women in the management and evaluation of REDD+ related activities. Following the full ESIA and updated Gender Assessment and Action Plan to understand real and perceived gender differences and anticipate risks, mitigation measures will be taken to address gendered risks and barriers to participation, including discrimination and lack of experience, confidence and skills and power relations that may limit women's voice in the implementation of ENREDD+ and the Floresta+ pilot program. The RBP Project will implement the action plan's recommendations aimed at increasing women's participation in, equitable access to, and monitoring of training, capacity building, technical assistance and resources, and social and economic benefits and opportunities comparable to men.

Briefly describe in the space below how the Project mainstreams environmental sustainability

Environmental sustainability is mainstreamed into the project, through both the main outputs, including 1) The development of a pilot of an Environmental Services Incentive Program for Conservation and Recovery of Native Vegetation (Floresta+) and 2) The strengthening of the implementation of Brazil's ENREDD+ through improvements in its governance structure and systems. ENREDD+ has as its overall objective to contribute to climate change mitigation by eliminating illegal deforestation, promoting conservation and restoration of forest ecosystems and fostering a low-carbon and sustainable forest economy, while delivering environmental, social and economic benefits. Through its specific objectives of: i) improving the monitoring and impact assessment of public policies for REDD+, ii) integrating governance structures for climate change, forests and biodiversity at all levels and iii) contributing to the mobilization of resources at the scale compatible with Brazil's commitments to mitigate climate change in accordance with Brazil's NAMAs by 2020, the project will advance goals of environmental sustainability not only nationally, but globally.

Furthermore, The Floresta+ pilot program, that aims to provide incentives for environmental services (IES) in the Amazon Biome region, has the following specific objectives: i) Provide monetary compensation to incentivize native vegetation conservation and recovery and improvement of ecosystems that generate environmental services (including but not limited to carbon), ii) Prevent the occurrence of deforestation, forest degradation and forest fires through financial incentives iii) Incentivize the conservation and recovery of native vegetation of rural properties, conservation areas, indigenous lands, land settlements and traditional people and community lands, iii) Promote compliance with the environmental legislation, especially that related to the protection and recovery of native vegetation (Forest Code) iv) Offer a financial mechanism to foster the development and implementation of public policies aimed at conservation and recovery of native vegetation. These aforementioned goals and commitments, that not only address the conservation and recovery of forest cover and carbon stocks, but also prioritize measures that address ecosystem services more broadly, put environmental sustainability at the very core of the program.

The project will generate a number of co-benefits for the environment and people/communities who depend upon it, taking specific measures to protect biodiversity and critical habitats through targeted, modality-specific management plans, and when applicable, modality-specific plans that will support the preservation and restoration of water and soil resources, while avoiding any adverse impacts related to changing livelihood practices, the use of non-native/invasive species in reforestation efforts, and chemical inputs for production and pest-management. These objectives will be achieved will the support of real-time, transparent and participatory monitoring of diverse and relevant social and environmental indicators, which are outlined in the ESMF and will be updated/revised following the full ESIA. To mitigate risk of reversals and displacement of emissions, while

benefitting both the environment and livelihoods and well-being of people in the Amazon, initiatives that are central to the program, and the strengthening and operationalization of SISREDD+, include strengthening land tenure security, the enhancement of monitoring and regulatory processes, enhancing the capacities of the stakeholders involved to pursue low-deforestation livelihoods, and encouraging participatory governance, integrating traditional knowledge, for the sustainable management of resources and promotion of sustainable production practices.

Part B. Identifying and Managing Social and Environmental Risks

QUESTION 2: What are the Potential Social and Environmental Risks? *Note: Describe briefly potential social and environmental risks identified in Attachment 1 – Risk Screening Checklist (based on any "Yes" responses). If no risks have been identified in Attachment 1 then note "No Risks Identified" and skip to Question 4 and Select "Low Risk". Questions 5 and 6 not required for Low Risk Projects.*	**QUESTION 3: What is the level of significance of the potential social and environmental risks?** *Note: Respond to Questions 4 and 5 below before proceeding to Question 6*			**QUESTION 6: What social and environmental assessment and management measures have been conducted and/or are required to address potential risks (for Risks with Moderate and High Significance)?**
Risk Description	***Impact and Probability (1-5)***	***Significance (Low, Moderate, High)***	***Comments***	***Description of assessment and management measures as reflected in the Project design. If ESIA or SESA is required note that the assessment should consider all potential impacts and risks.***
Risk 1: Adverse impacts on the enjoyment of **human rights** of affected populations through unfair or discriminatory impacts and exclusion, particularly of marginalized groups or people living in poverty because duty-bearers might not have the capacity to meet their obligations or because rights-holders might not have the capacity to claim their rights.	I = 3 P = 3	Moderate	There is a risk that indigenous and traditional communities may not have full understanding of their rights, may not be given sufficient notice and information, or may not have the capacity to claim their rights. While significant progress has been made in Brazil in terms of respect and promotion of human rights, particularly those in regards to indigenous lands and self-determination, the government may not have the capacity to effectively comply with these obligations, given the extremely high cultural, linguistic, and livelihood diversity of	There are substantial legal and policy frameworks in place to protect human rights, as well as the rights of IPs to their territories of traditional use (See PLR analysis, conducted as part of the ESA). To identify marginal, potentially at-risk populations, and in particular, potential human rights impacts, a full ESIA is planned as part of the launch of the project and design of Floresta+. Moreover, the project will be implemented using a phased approach to ensure that technical assistance and capacity building is provided to duty-bearers, both in terms of supporting ongoing land titling processes, responding to land conflicts in a fair and equitable manner. In particular, attention will be given to leveling out differences among states in terms of ability to carry out their human rights obligations, and support the land regularization of IPs and traditional

There are potential risks of excluding marginalized groups associated to the proposed beneficiary selection mechanism, which uses the Rural Environmental Registry (CAR) as the main program entry point. There is a risk of unfair benefit-distribution when payments and compensation amounts are tailored to and target deforestation "hotspots" over large expanses of intact forest.			traditional and indigenous communities, as well as the extensive geographic reach of the project, which will be implemented throughout the Amazon. In particular, this risk will vary considerably from state to state, given their different capacities to consult with stakeholders and their history with Indigenous People, which may generate distrust, conflict and delays that may undermine project objectives. To be eligible for payments, beneficiaries must have land registered through the CAR, which could create a biased beneficiary selection process and unfairly benefit those who are already registered, as well as those for whom registration is accessible (not spatially isolated, able to hire someone to demarcate land, access to computer/internet). Currently, wealthy, individual owners of large land areas are disproportionately represented in the land registry. There is a risk of excluding those who have not yet registered their land or those who are facing institutional or practical challenges in registering. For small producers, and in particular those with farms in *assentamentos*, land regularization is overseen by INCRA, an institution with limited capacity and resources to effectively carry out legal land titling in these areas. Additionally, Indigenous Peoples and Traditional Communities whose collective land rights are not secure, are more likely to have legal disputes about land demarcation or about overlapping and contradictory land claims (through 'grilagem verde', for example). Although the granting of Indigenous Land titles is an ongoing process, and in some areas local development plans	communities. Considering the different modalities of Floresta + and diverse groups of beneficiaries, modality-specific plans will be developed so that management and mitigation measures account for the needs and interests of marginalized groups, with particular attention to: (1) the status of their land and the resource rights of different beneficiaries in the project areas; (2) the benefit sharing structure for different beneficiary groups and payment mechanisms of different project modalities; (3) the engagement of women and other minority groups in decision-making and participation processes around activities, including the project design, implementation and management. The ESMP will be updated to detail which sites will require specific plans and overall avoidance and management measures to be put in place across the project. In particular, comprehensive stakeholder engagement plans, indigenous (and traditional) peoples plans, and gender action plans will outline key management measures to prevent potential human rights impacts for vulnerable and marginalized groups. They will define procedures for establishing a relationship of trust and dialogue through principles of accountability and rule of law, and ensuring participation and inclusion, and non-discrimination. Marginalized and vulnerable groups will be engaged throughout project implementation, as well as all impact assessment and management planning activities, including defining how they want to be engaged. Monitoring and evaluation of engagement processes will be conducted by a third party or external body, involving a variety of stakeholders, including NGOs, CSOs, and/or community representatives. With specific reference to indigenous people and traditional communities, project activities occurring on their lands will be implemented on a voluntary basis, after adequate information is provided on the implications of adhesion to the program. The elaboration of the local development plans in indigenous territories (PGTA) and of management plans for sustainable use reserves (RESEX, FLONA) will serve as an entry point to the program. In cases where these plans do not yet exist, measures will be taken to design and implement these plans in a participatory manner, with self-selected representatives of indigenous and traditional communities

			for these territories (e.g., PGTAs) exist and can be used as the entry point for voluntary program participation, huge tracts of land targeted by the program have yet to titled, and the resources for the process of creating PGTAs is very limited. For the first years of the role out of the pilot program, there remains a risk exclusion, given that the majority of these groups still do not have their territories regularized, or do not have development plans in place – although this varies from state to state. There is also a risk of unfair benefit-distribution when payments and compensation amounts are tailored to and target deforestation "hotspots" over large expanses of intact forest. In general, wealthy landowners reside in priority areas, many of which have already contributed to deforestation in the past, and have been granted amnesty under the revision of Brazil's Forest Code in 2012. A majority of Indigenous people and Traditional communities reside in remote regions that may not currently be threatened by deforestation, so there is a risk of disproportionately benefiting one group over the other.	leading the process. An Indigenous and Traditional Peoples working group will be created that will help inform the design of Floresta+ modalities targeting IPs and traditional communities, as well as to inform the design of the stakeholder consultation process. FPIC procedures, focused on providing information and training on the Floresta+ will guide stakeholder engagement when there are potential impacts on their livelihoods and cultural heritage. Likewise, broadened participation of representatives of indigenous groups and traditional populations in the local, regional and national REDD-related platforms will continue to be promoted in the design, implementation and monitoring of project activities and indicators for the SISREDD+. Lessons learned from engagement with stakeholders in previous REDD-related platforms, at the national and state-level, will be taken into account to continue to strengthen the capacities of the government at all levels to comply with its obligations (e.g., SISA in Acre). The National Policy for Territorial and Environmental Management of Indigenous Lands (PNGATI) and The National Council of Traditional Peoples and Communities – CNPCT, are the main guiding policies for addressing and respecting the knowledge and rights of indigenous and traditional peoples and communities' territories. Finally, appropriate grievance redress mechanisms (GRM) that provide channels for concerned stakeholders will be set at the program level to ensure accessibility for marginalized populations. There is currently a national system in place to register and resolve land disputes related to the CAR, as well as ombudsman offices (*ouvidoria*) for different government bodies at the federal and state level, including the ministries of environment. Additionally, the work of Brazil's Pastoral Land Commission (CPT) covers the entire national territory and is performed independently, offering support to small farmers and the landless, addressing problems of unjust land distribution and violence. These processes/administrative bodies will be supported throughout the rollout of the Floresta+ pilot program. For project-level complaints, cconflict management and mitigation measures are addressed through the GRM, which will be adapted to specific sites, considering (1) language and literacy of stakeholders; (2) logistical feasibility of reporting structure; (3) power relations between stakeholders and grievance officers along gender and

				ethno-cultural lines. This alignment with the sub-national and national level mechanisms already in place and/or with a new system for REDD-related grievances. Appropriate capacity building and technical training will be provided to coordinate and tailor these mechanisms at all levels, with particular attention to the state-level where the preparedness for REDD+ varies considerably (e.g., Acre and Mato Grosso are considerably advanced, and hence a phased approach will be adopted). Advisory committees that include stakeholders and representatives of IP and TC, following Acre's SISA example, will monitor complaints and response mechanisms. Finally, the UNDP Stakeholder Response Mechanism (SRM), provides an additional, formal avenue for stakeholders to engage with UNDP when they believe that a UNDP project may have adverse social or environmental impacts on them; they have raised their concerns with Implementing Partners (including applicable project, national or other GRMs) and/or with UNDP through standard channels for stakeholder consultation and engagement; and they have not been satisfied with the response.
Risk 2: Adverse impacts on gender equality and/or the situation of women and girls. The Project could potentially reproduce discrimination against women based on gender, especially regarding participation in the design and implementation or access to opportunities and benefits. The Project could potentially limit women's ability to use, develop and protect natural resources, taking into account different roles and positions of women and men in accessing benefits.	I = 3 P = 3	Moderate	Payments and other benefits (e.g., extension services, credit, productive input etc.) may favor head of households (men), especially if they are more highly represented among landowners officially registered to CAR. Similarly, in community-based payment schemes where a leader or representative of the group receives payment on behalf of others, there is a risk of inequitable benefit sharing among community members, including women.	A gender-responsive ESIA will further examine these risks, supported by a comprehensive gender analysis to assess relevant gender dynamics and inequalities with attention to the differences across the highly diverse groups of beneficiaries. It will also focus on the collection of additional baseline data on gender (e.g. on land tenure, women's involvement in decision-making at local/community levels, etc.). Additionally, the stakeholder consultation and engagement plans will ensure that efforts are designed and undertaken using a gender approach and equitably include representatives from more marginalized groups, including women, youth, single-family households. The gender action plan (Annex 6) will be reviewed and updated according to the ESIA recommendations (and gender-specific consultations) to mitigate risks of reproducing or exacerbating gender inequalities. This includes ensuring that project entry points for beneficiaries and corresponding incentives for environmental services (e.g., compensation schemes to individual, community representative, or other) are adequately assessed and designed.

				The plan will include relevant baselines and indicators to be monitored, disaggregated by gender and by group of beneficiaries. Finally, prioritizing payments to women, particularly female-headed households drawing on the lessons of 'Bolsa Familia', by enhancing their access to credit and productive resources, capacity building and training, or other such measures to mitigate this risk will be included in the project design and operations manual. The design will be validated by stakeholders, including women, and a gender specialist will support mainstreaming within the project. Community-based payment schemes will build on traditional and customary governance structures, while integrating measures to ensure that benefits are shared among community members, especially women, youth and elders. Consultations and participatory design of project activities will identify appropriate benefit sharing mechanisms that will mitigate risks of inequalities. Finally, appropriate grievance procedures/mechanisms to provide channels for concerned stakeholders will be set to ensure accessibility for marginalized populations, including women (See Risk 1 for further details). Should any complaints or disputes arise regarding project operations and benefit sharing that unfairly impact women, this mechanism will ensure timely responses and appropriate resolution.
Risk 3: Loss of access to natural resources, especially land and non-timber forest products. Project activities could create tensions or exacerbate conflicts among communities and individuals regarding land use and property rights claims. In some cases, the program could engender land speculation and drive land grabbing. The Project could potentially restrict availability, quality of and	I = 4 P = 3	Moderate	Project activities that restrict access to productive resources (especially land and forests) could have potentially negative impacts on individuals and communities that are highly dependent on natural resources for their livelihoods. This applies to all beneficiaries but in particular, Indigenous Peoples and Traditional Communities, who rely on forests for food, medicine, construction materials, cultural services, etc. (See also Risk 6, economic displacement). This risk could also potentially affect men and women differently, given their differentiated responsibilities and relationships to forests and land use (See	The project will carry out upgrades to the SICAR for registering and monitoring processes that will strengthen land tenure security in the Amazon, measures will be taken to ensure that environmental registration is accessible to marginalized groups, including women, poor family farmers, indigenous people and traditional communities. Potential risks associated to land rights issues and beneficiary selection through the CAR will be further assessed in the full ESIA in line with UNDP's SES. The assessment will take into account land issues associate to the different Floresta+ modalities, as well as the varied land tenure security concerns of different beneficiary groups, with special attention to the diversity *within* groups (e.g., gender, ethnicity, etc)

access to resources, in particular to marginalized groups, regarding farming, grazing, hunting or collecting of forest products.			also Risk 2). There is also a risk that activities related to environmental regularization through the CAR program could bring about conflicts between land users and disputed claims to land. This could adversely impact marginalized populations who may face social and cultural barriers in claiming their rights through CAR, or who are vulnerable to land grabbing (such as is occurring through 'grilagem verde') (See Risk 1 for further details).	To address the potential for exacerbated conflicts, a dispute resolution mechanism is integrated as part of the CAR and the project-level and federal-level GRM will be tailored to address land rights issues (See Risk 1 for further details) Regarding restricted access to resources, the Brazilian approach to Cancun safeguards clear states against any kind of restriction to the sustainable use of their own territory. A full ESIA will be carried out to determine if and where access restriction is a risk and, when it is unavoidable, the project will ensure affected stakeholders fully participate in the design, implementation, M&E of management plans. If livelihoods are natural resource based and access restrictions apply, the project will allow continued access or provide access to alternative resources with equivalent livelihood-earning potential and accessibility. Where common property is affected, benefits and compensation may be collective, as determined through the FPIC process. Floresta+ activities will be designed and implemented in coordination with existing policies and instruments (e.g., management plans), while supporting the operationalization of SISREDD+ to avoid any potentially negative impacts on livelihoods, especially of forest dependent individuals and communities. Attention will be given to clearly defining restricted activities related to natural resources and ecosystem services, to be decided in a participatory manner with beneficiaries. Where sustainable production and extraction practices are included in the design, both biodiversity and culturally significant livelihoods will be considered following UNDP SES. These activities will be tailored to the needs of different beneficiary groups, and their rights will be fully and effectively communicated, while also providing adequate training and support for alternative livelihood activities that are compatible with forest conservation and the maintenance of ecosystem services. See also mitigation measures outlined for Risk 6 on economic displacement.
Risk 4: Project activities could have indirect negative impact on natural habitats or Protected Areas. Risk	I = 3 P = 2	Moderate	Project activities involving the restoration of forest cover on degraded land or sustainable production practices could affect	The ESIA will further assess this risk in each of the four Floresta+ modalities and to determine how UNDP's social and environmental standards apply to all these activities. Any risks identified will be

of introducing invasive species, or posing a risk to endangered species. The project activities will take place within or adjacent to critical habitats and/or environmentally sensitive areas, including legally protected areas and indigenous people's lands. While there is a risk that beneficiaries displace illegal activities to protected areas or unclaimed/non-regularized land.			biodiversity, water and soil quality, and other ecosystem services if invasive/non-native species are introduced, or monocropping tree plantations are implemented. Likewise, displacement of livelihood activities through restricted land use could lead the intensification of harvesting NTFP and hunting activities, or illegal logging and agriculture and in adjacent protected areas, adversely impacting biodiversity or endangered species (See also Risk 6 on economic displacement and Risk 8 on emissions displacement).	specified in the updated version of the ESMP and mitigation measures identified. Biodiversity aspects will be emphasized in risk assessments and translated into the corresponding biodiversity action plans. Floresta+ is designed to provide incentives for the protection and restoration of environmental services in a holistic manner, while management measures will be taken to avoid adverse impacts these services, including biodiversity, carbon sequestration, as well as those of relevance to affected communities. If avoidance is not possible, the project will aim to maintain value and functionality of priority ecosystem services. Planning and implementation will prioritize the protection of ecologically sensitive areas using practices that mitigate risks to biodiversity, especially endangered and culturally important species. Each site will have documented baseline conditions that need to be understood and monitored. These plans will be aligned with UNDP SES requirements on Biodiversity and following recommendations from the UNDP Guidance Note on SES 1: Biodiversity Conservation and Natural Resource Management. They will also support the strengthen the processes for monitoring of biodiversity indicators, as decided through the participatory process of SISREDD+ indicators, as guided by the meetings of the CCT-Safeguards advisory board. Furthermore, rigorous and well-validated national monitoring systems are in place to track illegal activities in protected areas to be included as part of Brazil's SISREDD+. Bottom-up, participatory monitoring of biodiversity will also be implemented as a key mitigation measure, particularly in the case on indigenous and traditional peoples, which will encourage ownership and valuation of traditional knowledge. See also mitigation measures for Risk 8 on displacement. To avoid the displacement of activities (hunting, NTFP extraction) in adjacent protected areas, the design of Floresta+ projects and modality-specific management plans will be coordinated with existing territorial land use and development plans and with the full participation of stakeholders. This will ensure that beneficiaries have adequate and appropriate livelihood opportunities to compensate for any displacement due to forest conservation.

				Beneficiaries will also be fully informed of restricted activities, which will be clearly defined before project implementation in consultation with stakeholders. See also mitigation measures outlined for Risk 6 and 7 that will stimulate sustainable local livelihoods, while enhancing and protecting ecosystem services, including biodiversity and cultural services. In the design of project activities, measures will be taken to avoid the introduction or utilization of invasive and non-native species, whether accidental or intentional, unless carried out per existing regulatory framework and subject to risk assessment. The choice of species for any plantation establishment, with avoidance/prohibition of any monoculture plantations, will be carefully considered. Areas that have begun to significantly regenerate will need to be assessed against high carbon and high conservation value thresholds before these areas are earmarked for plantations establishment. The Safeguards officer and project eligibility criteria will ensure that areas targeted for tree plantations were not degraded or deforested in anticipation of payments and other benefits, by tying eligibility to prerequisite requirements, such as time since forest clearing. The ESIA will assess this national [guidelines/PLR] against UNDP SES to ensure consistency and gap-filling measures are included in its application as needed.
Risk 5: Project activities could trigger Natural habitat conversion or ecosystem degradation. Project activities could directly or indirectly lead to the (increased) use of pesticides and chemical fertilizers, with potentially adverse effects on biodiversity, soil and water quality and other non-carbon related ecosystem services.	I=3 P= 2	Low	The project may drive or introduce the use of pesticides and fertilizers, especially if forest conservation leads to intensification of agricultural practices on already cleared land or if tree plantations require inputs that could potentially adversely impact the ecosystem and the services it provides.	The ESIA will further assess this risk in each of the four Floresta+ modalities to determine how UNDP's social and environmental standards apply to all proposed activities, and possible shifts in agricultural or livelihood practices. Any risks identified will be specified in updated versions of the ESMP and mitigation measures identified. Management measures will be included in updated and revised versions of the ESMP, in which baseline conditions will be established and procedures for monitoring will be outlined. Modality-specific plans and, when applicable, modality-specific plans will be developed following UNDP guidelines to mitigate degradation of critical natural habitats and ensure no net loss of biodiversity or ecosystem services.
Risk 6: Risk of economic	I=4	Moderate	There is a risk of economic displacement	A full ESIA will be carried out to determine if and where access

displacement and inadequate compensation	P=2		when project activities restrict access to and the use of productive resources such as land and forests (See also Risk 3). Impacts may be especially acute for individuals and communities that are highly dependent on natural resources for their livelihoods. This applies to all beneficiaries but in particular, men and women may be affected differently, given their differentiated responsibilities and relationships to forests and land use (See Risk 2). Likewise, indigenous and traditional communities relate to and depend on the forest in ways that are practically and culturally distinct from family farmers and other land users in the Amazon. As such, restricted access to these resources could potentially have adverse effects on their livelihoods and cultural heritage (See Risk 7). For activities that involve the promotion of sustainable rural livelihoods to address issues of economic displacement, there is a risk that beneficiaries will not receive adequate training or other resources that enable transitions and support alternative income generation that are needed to help beneficiaries maintain forest cover. Additionally, there is a risk of incentivizing rural out-migration or land abandonment if payments are tied to a bank-based distribution system that are inaccessible to remote communities or individuals without bank accounts. Drawing on experiences with Bolsa Familia implementation in Brazil, rural households may move to urban areas to secure payments. Finally, there is a risk of dependence of REDD payments rather than traditional livelihood practices and food systems, depending on the compensation amount, that could	restriction is a risk and, when it is unavoidable, the project will ensure affected stakeholders fully participate in the design, implementation, M&E of management plans. If livelihoods are natural resource based and access restrictions apply, the project will allow continued access or provide access to alternative resources with equivalent livelihood-earning potential and accessibility. Where common property is affected, benefits and compensation may be collective. To mitigate any negative impacts associated to economic displacement, the project will include mechansims that support rural, sustainable production practices and alternative livelihood opportunties for family farmers, IPs, and TCs. During the design phase, consultations will take with different groups of beneficiaries in order to inform the appropriate level of incentives/ payments to mitigate this risk. Modality-specific management plans and livelihood action plans, that are tailored to the different Floresta+ modalities and different groups of beneficiaries will be developed, when applicable. These will be aligned with existing territorial plans that have been elaborated through stakeholder consultations or self-determined, community-led initiatives (e.g., PGTAs). The ESMP and specific plans will pay particular attention to the heterogeneity within these groups, including the different linguistic, cultural and land use practices of indigenous and traditional peoples and family farmers that vary considerably across the Amazon. Measures to support sustainable livelihood options will be integrated into these plans, outlining targets for capacity building, credit, and other productive resources for beneficiaries as additional financial incentives. The amount of payment per hectare will be defined in norms to be published by the Floresta+ Program Management Committee. Direct payments will be calculated based on the area of native vegetation remnants and environmental liabilities to be recovered, in hectares, according to the data in the National Rural Environmental Registry System (CAR). The project will uphold the definition of sustainable extraction levels of a living natural resource, ensuring sustainable management that enables people and communities, including

			incentivize out-migration to urban areas or loss of cultural heritage (See also Risk 7).	indigenous peoples, to provide for their social, economic, and cultural well-being while also sustaining the potential for those resources to meet the needs of future generations. Special measures to address inequalities for women and other minorities will be included in the gender action and the indigenous people's plans (See Mitigation Measures in Risks 2 and 7). Financial mechanisms will be set up through the project to support the required for adapting land uses and short and medium term mechanisms to compensate opportunity costs during the transition. These mechanisms will be adapted different groups of stakeholders inclusive of small-scale farmers and indigenous/traditional communities. The project will determine any actions to avoid adverse economic displacement, and a set of parameters will be defined to monitor and report. Furthermore, procedures will be put in place to ensure that there is participatory design and implementation of land use planning with communities, to avoid restricting or economically displacing livelihood activities of IPs, TCs and family farmers. The stakeholder engagement plan will include specific actions to engage with marginalized groups, so that issues of food insecurity and access to clean water that disproportionately impact women or indigenous peoples are considered. Regarding restricted access to resources, Floresta+ activities will be designed and implemented in coordination with existing management plans to avoid any potentially negative impacts on livelihoods. For IPs and TCs, these plans will be developed or be revised/updated with the full participation of communities. For family farmers, Floresta+ activites will be coordinated with existing regional land use and development plans (e.g. ZEE) that address strategies for alternative and sustainable rural employment and income. The ESIA will further assess risks associated to compensation mechainsms for different benficiary groups, and will be evaluated in consultation with targeted beneficiaries to identify barriers and risks specific to their geographic location and cultural and social needs, priorities, and concerns. The compensation mehcanism and distribution systems will be modified accordingly to ensure accessibility to remote and marginalized groups, while procedures

				will be implemented to monitor the impacts of payments on livelihoods, as a community-led or participatory procedure when applicable.
Risk 7: The project could potentially adversely affect the cultural heritage of traditional and indigenous peoples, in its intangible form, including the knowledge, practices, technologies, innovations, and institutions related to traditional ways of life.	I=3 P=3	Moderate	There is a risk that payments made directly to indigenous and tradtional communities will trigger a shift from a subsistence economy to a cash-based, market-integrated economy, which could lead to the loss of traditional livelihood practices (especially those related to the sustainable extraction of forest products, fishing, hunting, etc) and degradation of traditional social structures and knowledge systems that support the health and well-being of these communities.	Currently, some consideration of traditional knowledge and practices in the monitoring and management of various safeguards is incorporated in the participatory process for creating socio-environmental indicators for the SISREDD+. Cultural heritage is also explicitly considered in the creation of PGTAs, the voluntary process of creating development plans based on IP priorities, epistemology and worldviews. The ESIA will further identify these potential risks on traditional forms of knowledge and practices, firther taking into consideration the diversity of Indigenous and traditional cultures in the Amazon that give rise to unique knowledge, practices and social structures among Brazil's varied IPs. Culturally-sensitive consultations will be carried out for the participatory design and management planning of project activities, to ensure that the needs, concerns, and priorities of these diverse groups are accounted for and integrated to avoid any adverse impacts on their cultural heritage. In modality-specific indigenous peoples plans, procedures to monitor and report the impacts of compensation and benefits (monetary and non-monetary) on traditional knowledge, practices, and social structures will be defined and carried out with the full participation of affected communities. This will include community-led, local reporting and monitoring of illegal activities (poaching, logging), where applicable and appropriate, as decided through community consultations. These IP plans will link to the PGTAs, where these plans exist, and further support the elaboration of such plans where they have yet to be completed. Finally, a GRM will be developed, ensuring that this is accessible and transparent (See further details in mitigation measures for Risk 1).
Risk 8: Displacement of emissions to other sectors, biomes or countries.	I=4 P=3	Moderate	There is a risk that actions to reduce emissions for deforestation and forest degradation provoke displacement of	Brazil has demonstrated a strong commitment to continuous improvement of its FREL estimates and monitoring programs. While the scope of the FREL and monitoring has focused on critical areas

			activities to other critical biomes in Brazil, such as the *Cerrado* or *Caatinga*. Likewise, transnational leakage is a risk, particularly in areas that border countries with significantly lower capacities to monitor and enforce deforestation, such as Peru or Bolivia. Finally, payments for restricting activities in designated forested areas could be re-invested to promote land-intensive commodity sectors (See risk 5) or support non-forestry sector activities (e.g., artisanal mining, industrial production) within and outside of the Brazilian Amazon that generate GHG emissions and could offset progress made by REDD+ activities	in the Amazon, scaling up of the implementation of REDD+ from the biome to the national level, in a stepwise manner is underway, to help track and manage any potential for displaced emissions within Brazil's borders. This includes consistent, reliable, credible, accurate, transparent and verifiable monitoring of deforestation and degradation, such as PRODES, which is integrated into the SISREDD+. In 2015, to improve environmental monitoring at the national level, the Brazilian Biomes Environmental Monitoring Program was established and is aligned with the objectives of the ENREDD+ to deliver the enhancement and improvement of systems and monitoring protocols – particularly for the extra-Amazonian biomes – necessary for achieving the desired national scale. Additional actions include the implementation of the PPCerrado and the engagement of stakeholders beyond the Amazon in the ENREDD+, the establishment of the Rural Environmental Registry (CAR) and the creation of a national forest monitoring system (NFMS). These initiatives will also provide important information to improve, at the national level, policies to combat deforestation and forest degradation and to foster forest recovery. Regarding the inclusion of other REDD-plus activities, Brazil will include reducing emissions from forest degradation in the biomes where this activity is considered by the Working Group of Technical Experts on REDD+ as a significant source of emissions. The same applies for pools and non-CO_2 gases. To mitigate displacement of emissions to other sectors, the innovations modality of Floresta+ will support private sector actors in created green innovative technologies and production practices. These measures will also be buttressed by PLRs related to climate change and resource management that provide legal and regulatory frameworks that will mitigate cross-sectoral displacement of emissions.
Risk 9: Reversals (non-permeance of carbon stocks). Risk of reversals is assumed in all REDD+ projects including conservation, sustainable management of forests, and enhancement of C stocks. These risks are related to factors that could result in participant's		Moderate	There is risk of incentive structures, compensation, and other program benefits not adequatly covering opportuntiy costs and participants needs over long time horizons, given that drivers and dynamics of deforestation and degredation can rapidly change or shift to new locations overtime. This risk is equally relevant to cases where	Brazil has several actions to monitor, analyze and improve the coordinated actions for maintaining reduced deforestation rates. As described in the FP, each phase of PPCDAm is an opportunity to analyze both the main causes of deforestation and the risks of reversals, which leads to improvements in the action plan. To ensure permanence, the underlying factors of deforestation and forest degradation will be reassessed and re-evaluated to reflect an understanding of the likely effect of climate on forests, including

withdrawal from the voluntary program.			beneficaries may feel locked-in to lands use obligations over time with out the capacity and resources to adapt their livelihoods and land use practices (See Risk 6 on economic displacement) Similarly, there is a risk that delayed or inadequate payments after program rollout could also lead to dissatisfaction and conflict, resulting in withdrawal from the program and subsequent deforestation/ degradation of areas targeted for protection or restoration. This risk is associated to myriad factors, including the consultation process, potential financial and operations risks (such as corruption in the government or fund distribution parties) or significant shifts in political agendas following elections. Finally, non-human factors can also contribute to the risk of reversals, notably those linked to climate change pressures (such as natural disasters, extreme flooding, fires, etc.), which could off-set REDD+ efforts.	both anthropogenic and natural drivers. It should be highlighted that the implementation if the Floresta+ program which incentivizes familiar farmers, IPs, TCs and other relevant stakeholders to maintain forests and associated environmental services are pivotal to these efforts. Further mitigation measures to address the risk of reversals will be taken at the project-level, and involve the further support of monitoring processes, as well as the updating and revision of management plans and stakeholder engagement plans – in accordance with new phases of PPCDAm – so that the procedures outlined for engagements with natural resource users over time will continue to benefit livelihoods and well-beings while incentivizing commitments to conservation, restoration, and reduced deforestation (See mitigation measures for Risks 6, economic displacement, Risk 7, cultural heritage, and Risk 1, human rights). Careful coordination of PLRs with other relevant sectors and Ministries (including, but not limited to those involved in the implementation of PPCDAm) will also be prioritized in order to achieve optimal results.
	QUESTION 4: What is the overall Project risk categorization?			
	Select one (see SESP for guidance)			**Comments**
	Low Risk	☐		
	Moderate Risk	**X**		The proposed program includes activities with potential adverse social and environmental risks and impacts, that are limited in scale, can be identified with a reasonable degree of certainty, and can be addressed through application of standard best practice, mitigation measures and stakeholder engagement during Project implementation.
	High Risk	☐		
	QUESTION 5: Based on the identified risks and risk categorization, what requirements of the SES are relevant?			

	Check all that apply		Comments
	Principle 1: Human Rights	**X**	
	Principle 2: Gender Equality and Women's Empowerment	**X**	
	1. Biodiversity Conservation and Natural Resource Management	**X**	
	2. Climate Change Mitigation and Adaptation	**X**	
	3. Community Health, Safety and Working Conditions	**X**	
	4. Cultural Heritage	**X**	
	5. Displacement and Resettlement	**X**	
	6. Indigenous Peoples	**X**	
	7. Pollution Prevention and Resource Efficiency	**X**	

Final Sign Off

Signature	***Date***	***Description***
QA Assessor	30/03/2020	UNDP staff member responsible for the Project, typically a UNDP Programme Officer. Final signature confirms they have "checked" to ensure that the SESP is adequately conducted.
QA Approver	30/03/2020	UNDP senior manager, typically the UNDP Deputy Country Director (DCD), Country Director (CD), Deputy Resident Representative (DRR), or Resident Representative (RR). The QA Approver cannot also be the QA Assessor. Final signature confirms they have "cleared" the SESP prior to submittal to the PAC.
PAC Chair	30/03/2020	UNDP chair of the PAC. In some cases PAC Chair may also be the QA Approver. Final signature confirms that the SESP was considered as part of the project appraisal and considered in recommendations of the PAC.

SESP Attachment 1. Social and Environmental Risk Screening Checklist

Checklist Potential Social and Environmental Risks		
Principles 1: Human Rights		**Answer (Yes/No)**
1.	Could the Project lead to adverse impacts on enjoyment of the human rights (civil, political, economic, social or cultural) of the affected population and particularly of marginalized groups?	Yes
2.	Is there a likelihood that the Project would have inequitable or discriminatory adverse impacts on affected populations, particularly people living in poverty or marginalized or excluded individuals or groups? [1]	Yes
3.	Could the Project potentially restrict availability, quality of and access to resources or basic services, in particular to marginalized individuals or groups?	Yes
4.	Is there a likelihood that the Project would exclude any potentially affected stakeholders, in particular marginalized groups, from fully participating in decisions that may affect them?	Yes
5.	Is there a risk that duty-bearers do not have the capacity to meet their obligations in the Project?	Yes
6.	Is there a risk that rights-holders do not have the capacity to claim their rights?	Yes
7.	Have local communities or individuals, given the opportunity, raised human rights concerns regarding the Project during the stakeholder engagement process?	
8.	Is there a risk that the Project would exacerbate conflicts among and/or the risk of violence to project-affected communities and individuals?	Yes
Principle 2: Gender Equality and Women's Empowerment		
1.	Is there a likelihood that the proposed Project would have adverse impacts on gender equality and/or the situation of women and girls?	Yes
2.	Would the Project potentially reproduce discriminations against women based on gender, especially regarding participation in design and implementation or access to opportunities and benefits?	Yes
3.	Have women's groups/leaders raised gender equality concerns regarding the Project during the stakeholder engagement process and has this been included in the overall Project proposal and in the risk assessment?	No

[1] Prohibited grounds of discrimination include race, ethnicity, gender, age, language, disability, sexual orientation, religion, political or other opinion, national or social or geographical origin, property, birth or other status including as an indigenous person or as a member of a minority. References to "women and men" or similar is understood to include women and men, boys and girls, and other groups discriminated against based on their gender identities, such as transgender people and transsexuals.

4.	Would the Project potentially limit women's ability to use, develop and protect natural resources, taking into account different roles and positions of women and men in accessing environmental goods and services? *For example, activities that could lead to natural resources degradation or depletion in communities who depend on these resources for their livelihoods and well being*	Yes
Principle 3: Environmental Sustainability: Screening questions regarding environmental risks are encompassed by the specific Standard-related questions below		
Standard 1: Biodiversity Conservation and Sustainable Natural Resource Management		
1.1	Would the Project potentially cause adverse impacts to habitats (e.g. modified, natural, and critical habitats) and/or ecosystems and ecosystem services? *For example, through habitat loss, conversion or degradation, fragmentation, hydrological changes*	Yes
1.2	Are any Project activities proposed within or adjacent to critical habitats and/or environmentally sensitive areas, including legally protected areas (e.g. nature reserve, national park), areas proposed for protection, or recognized as such by authoritative sources and/or indigenous peoples or local communities?	Yes
1.3	Does the Project involve changes to the use of lands and resources that may have adverse impacts on habitats, ecosystems, and/or livelihoods? (Note: if restrictions and/or limitations of access to lands would apply, refer to Standard 5)	Yes
1.4	Would Project activities pose risks to endangered species?	No
1.5	Would the Project pose a risk of introducing invasive alien species?	Yes
1.6	Does the Project involve harvesting of natural forests, plantation development, or reforestation?	Yes
1.7	Does the Project involve the production and/or harvesting of fish populations or other aquatic species?	No
1.8	Does the Project involve significant extraction, diversion or containment of surface or ground water? *For example, construction of dams, reservoirs, river basin developments, groundwater extraction*	No
1.9	Does the Project involve utilization of genetic resources? (e.g. collection and/or harvesting, commercial development)	Yes
1.10	Would the Project generate potential adverse transboundary or global environmental concerns?	Yes
1.11	Would the Project result in secondary or consequential development activities which could lead to adverse social and environmental effects, or would it generate cumulative impacts with other known existing or planned activities in the area? *For example, a new road through forested lands will generate direct environmental and social impacts (e.g.*	Yes

	felling of trees, earthworks, potential relocation of inhabitants). The new road may also facilitate encroachment on lands by illegal settlers or generate unplanned commercial development along the route, potentially in sensitive areas. These are indirect, secondary, or induced impacts that need to be considered. Also, if similar developments in the same forested area are planned, then cumulative impacts of multiple activities (even if not part of the same Project) need to be considered.	
Standard 2: Climate Change Mitigation and Adaptation		
2.1	Will the proposed Project result in significant[2] greenhouse gas emissions or may exacerbate climate change?	No
2.2	Would the potential outcomes of the Project be sensitive or vulnerable to potential impacts of climate change?	Yes
2.3	Is the proposed Project likely to directly or indirectly increase social and environmental vulnerability to climate change now or in the future (also known as maladaptive practices)? *For example, changes to land use planning may encourage further development of floodplains, potentially increasing the population's vulnerability to climate change, specifically flooding*	No
Standard 3: Community Health, Safety and Working Conditions		
3.1	Would elements of Project construction, operation, or decommissioning pose potential safety risks to local communities?	No
3.2	Would the Project pose potential risks to community health and safety due to the transport, storage, and use and/or disposal of hazardous or dangerous materials (e.g. explosives, fuel and other chemicals during construction and operation)?	No
3.3	Does the Project involve large-scale infrastructure development (e.g. dams, roads, buildings)?	No
3.4	Would failure of structural elements of the Project pose risks to communities? (e.g. collapse of buildings or infrastructure)	No
3.5	Would the proposed Project be susceptible to or lead to increased vulnerability to earthquakes, subsidence, landslides, erosion, flooding or extreme climatic conditions?	No
3.6	Would the Project result in potential increased health risks (e.g. from water-borne or other vector-borne diseases or communicable infections such as HIV/AIDS)?	No
3.7	Does the Project pose potential risks and vulnerabilities related to occupational health and safety due to physical, chemical, biological, and radiological hazards during Project construction, operation, or	No

[2] In regards to CO_2, 'significant emissions' corresponds generally to more than 25,000 tons per year (from both direct and indirect sources). [The Guidance Note on Climate Change Mitigation and Adaptation provides additional information on GHG emissions.]

	decommissioning?	
3.8	Does the Project involve support for employment or livelihoods that may fail to comply with national and international labor standards (i.e. principles and standards of ILO fundamental conventions)?	Yes
3.9	Does the Project engage security personnel that may pose a potential risk to health and safety of communities and/or individuals (e.g. due to a lack of adequate training or accountability)?	No
Standard 4: Cultural Heritage		
4.1	Will the proposed Project result in interventions that would potentially adversely impact sites, structures, or objects with historical, cultural, artistic, traditional or religious values or intangible forms of culture (e.g. knowledge, innovations, practices)? (Note: Projects intended to protect and conserve Cultural Heritage may also have inadvertent adverse impacts)	Yes
4.2	Does the Project propose utilizing tangible and/or intangible forms of cultural heritage for commercial or other purposes?	No
Standard 5: Displacement and Resettlement		
5.1	Would the Project potentially involve temporary or permanent and full or partial physical displacement?	Yes
5.2	Would the Project possibly result in economic displacement (e.g. loss of assets or access to resources due to land acquisition or access restrictions – even in the absence of physical relocation)?	Yes
5.3	Is there a risk that the Project would lead to forced evictions?[3]	No
5.4	Would the proposed Project possibly affect land tenure arrangements and/or community based property rights/customary rights to land, territories and/or resources?	Yes
Standard 6: Indigenous Peoples		
6.1	Are indigenous peoples present in the Project area (including Project area of influence)?	Yes
6.2	Is it likely that the Project or portions of the Project will be located on lands and territories claimed by indigenous peoples?	Yes
6.3	Would the proposed Project potentially affect the human rights, lands, natural resources, territories, and traditional livelihoods of indigenous peoples (regardless of whether indigenous peoples possess the legal titles to such areas, whether the Project is located within or outside of the lands and territories inhabited by the affected peoples, or whether the indigenous peoples are recognized as indigenous peoples by the	Yes

[3] Forced evictions include acts and/or omissions involving the coerced or involuntary displacement of individuals, groups, or communities from homes and/or lands and common property resources that were occupied or depended upon, thus eliminating the ability of an individual, group, or community to reside or work in a particular dwelling, residence, or location without the provision of, and access to, appropriate forms of legal or other protections.

	country in question)? *If the answer to the screening question 6.3 is "yes" the potential risk impacts are considered potentially severe and/or critical and the Project would be categorized as either Moderate or High Risk.*	
6.4	Has there been an absence of culturally appropriate consultations carried out with the objective of achieving FPIC on matters that may affect the rights and interests, lands, resources, territories and traditional livelihoods of the indigenous peoples concerned?	Yes
6.5	Does the proposed Project involve the utilization and/or commercial development of natural resources on lands and territories claimed by indigenous peoples?	No
6.6	Is there a potential for forced eviction or the whole or partial physical or economic displacement of indigenous peoples, including through access restrictions to lands, territories, and resources?	Yes
6.7	Would the Project adversely affect the development priorities of indigenous peoples as defined by them?	Yes
6.8	Would the Project potentially affect the physical and cultural survival of indigenous peoples?	No
6.9	Would the Project potentially affect the Cultural Heritage of indigenous peoples, including through the commercialization or use of their traditional knowledge and practices?	Yes
Standard 7: Pollution Prevention and Resource Efficiency		
7.1	Would the Project potentially result in the release of pollutants to the environment due to routine or non-routine circumstances with the potential for adverse local, regional, and/or transboundary impacts?	Yes
7.2	Would the proposed Project potentially result in the generation of waste (both hazardous and non-hazardous)?	Yes
7.3	Will the proposed Project potentially involve the manufacture, trade, release, and/or use of hazardous chemicals and/or materials? Does the Project propose use of chemicals or materials subject to international bans or phase-outs? *For example, DDT, PCBs and other chemicals listed in international conventions such as the Stockholm Conventions on Persistent Organic Pollutants or the Montreal Protocol*	No
7.4	Will the proposed Project involve the application of pesticides that may have a negative effect on the environment or human health?	Yes
7.5	Does the Project include activities that require significant consumption of raw materials, energy, and/or water?	No

While it's considered that Cancun safeguards (f) and (g) are implicitly captured in the UNDP Social and Environmental Standards and Policies (See Demonstrating Consistency: UNDP Social and Environmental Standards and Policies and UNFCCC Cancun Safeguards, 1 June 2016), it is important to consider

these Cancun safeguards separately in the SESP and ESMP because they: 1) are not explicitly referenced in the UNDP standards; 2) are unique, assumed risks for forest and land use; and 3) should be reflected separately in the national reporting of the SIS/SOI.

Cancun safeguard (f) – Address the risk of reversals	
• Does the scope of the project include conservation, sustainable management of forests, and/or enhancement activities?	Yes
• Are C stocks conserved, enhanced, managed through the project activities likely to be vulnerable to: climate change (e.g., more frequent drought, flooding, Wildfire? Institutional failure?	Yes
Cancun safeguard (g) – Reduce displacement of emissions	
• Is the scale of the project subnational?	Yes
• Does the scope of the project include less than all 5 REDD+ activities?	No
• Are any project activities likely to result in displacement of land-use change at the local level? Within national borders?	Yes

Brazil REDD+ Results Based Payments Use of Proceeds towards Floresta+ Pilot Program and ENREDD+ Implementation

Draft Environmental and Social Management Framework

13 September 2018

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1. EXECUTIVE SUMMARY

The following provides the Environmental and Social Management Framework (ESMF) for the REDD+ Results Based Payments (RBP) Project proposed by Brazil to the Green Climate Fund (GCF) (hereinafter "the RBP Project"). This is a project to be implemented by the Ministry of the Environment (MMA), with the UNDP in its role as a GCF Accredited Entity, and alongside multiple national and local governing institutions, civil society representatives and private sector actors expected to meaningfully and effectively participate in its further design, implementation and benefits.

The currently outlined outputs and activities, which by design will be developed and refined in multi-stakeholder forum with respect to their geographic focus, and application to certain communities and private stakeholders, are consistent with Brazil's National REDD+ Strategy (ENREDD+) and the Action Plan for the Prevention and Control of Deforestation in the Legal Amazon (PPCDAm). It is being conducted within the context of a legal and policy environment that will ensure its consistency with applicable social and environmental safeguards and standards. Its cornerstone is the voluntary participation of stakeholders. The absence of imposing conservation and restoration regimes, but rather seeking the informed and voluntary participation of civil society is the project's greatest safeguard against harms and well as its greatest guarantor for producing measurable and enduring climate change mitigation and improved well-being for Brazilian people.

As discussed below, the RBP Project has been screened against UNDP's Social and Environmental Standards (SES) utilizing UNDP's Social and Environmental Screening Procedure (SESP). This screening has determined that the proposed project includes activities with potential adverse social and environmental risks and impacts. These risks have been identified with a reasonable degree of certainty, and can be addressed through application of best practice, mitigation measures, a project-level grievance mechanism, and a robust commitment and budget focused on stakeholder engagement, capacity building, and impact assessment and monitoring. All of this has been detailed in Table 4, in Section 6 on potential social and environmental impacts. This section also includes an overview of three key issues - land tenure, indigenous and traditional peoples, and geographic scope – to enable further refinement of risk management and mitigation measures.

The project rests on a solid foundation of stakeholder engagement as well as prior experiences and lessons learned from related REDD+ activities.

At the project's inception, a comprehensive and participatory Environmental Social Impact Assessment (ESIA) will be conducted once the design of the four modalities of the Floresta+ pilot program is finalized. Based on those findings, the SESP will be revised and a full Environmental and Social Management Plan (ESMP) will be developed. A series of modality-specific management plans will be elaborated with stakeholders and as necessary, such that all appropriate mitigation measures are put in place before commencing any activity that has the possibility of causing adverse impacts. Whenever possible, including through the sharing of a

Project Management Unit (PMU), the projects will work together to provide efficiency and consistency in the delivery of REDD+ objectives, while also avoiding duplication and adverse impacts across one or more projects.

MMA, its partners in other government institutions, the UN Development Programme (UNDP) and other stakeholders have demonstrated a commitment to participate effectively to ensure that the project not only avoids and mitigates against adverse impacts, but also positively seizes opportunities to enhance the enjoyment of human rights and realize the full benefits of sustainable resource management and economic development.

2. INTRODUCTION

This Environmental and Social Management Framework (ESMF) has been prepared in support of a project proposal for REDD+ RBP Pilot Program by the Government of Brazil to the Green Climate Fund (GCF). As this project is supported by UNDP in its role as a GCF Accredited Entity, the project has been screened against UNDP's Social and Environmental Standards (SES) utilizing the UNDP Social and Environmental Screening Procedure (SESP) and deemed a Moderate Risk project.

The REDD+ RBP Pilot Program proposal has proposed two principle outputs: Output 1: Floresta+ Pilot Program and Output 2: The implementation of Brazil's ENREDD+, as described in more detail below, that include a range of activities that have not been fully specified in terms of specific locations/components, and hence cannot be fully assessed at this stage for all potential social and environmental risks and impacts. As such, this ESMF has been prepared to set out the principles, rules, guidelines and procedures for screening, assessing, and managing the potential social and environmental impacts of the forthcoming but as yet undefined interventions, particularly those which will make up the Floresta+ pilot program as it is designed. It contains measures and plans to avoid, and where avoidance is not possible, to reduce, mitigate and/or offset adverse risks and impacts of the Floresta+ pilot program, and more broadly Brazil's ENREDD+ strategy as it is implemented. The ESMF specifies the most likely applicable social and environmental policies and requirements and how those requirements will be met through procedures for the screening, assessment, approval, mitigation, monitoring and reporting of social and environmental risks and impacts associated with the activities to be supported.

For Output 1: Floresta+ Pilot Program, the ESMF includes as annexes initial management plans (or outlines thereof) for addressing likely social and environmental impacts and to address the requirements of applicable policies and standards, including the UNDP SES. Given the myriad processes already underway at the federal and state levels, these management plans will have to be carefully harmonized with both the National System of Information for Safeguards (SISREDD+), as well as the monitoring of the Action Plan for the Prevention and Control of Deforestation in the Legal Amazon (PPCDAm), and the parallel state-level plans for the prevention and control of deforestation.

3. PROJECT DESCRIPTION

Eliminating illegal deforestation, promoting the enhancement of forest carbon stocks and fostering a sustainable forest economy are common objectives of both Brazil's ENREDD+ and the Nationally Determined Contribution (NDC). Both the ENREDD+ and the NDC also have the implementation of the Forest Code as a strategic element. REDD+ is considered by Brazil as means for the implementation of its NDC. Brazil's NDC states that "the implementation of REDD+ activities and the permanence of results achieved require the provision, on a continuous basis, of adequate and predictable results-based payments in accordance with the relevant COP decisions".

The results-based payments received by Brazil from the GCF will contributed to the implementation of the forest sector actions of Brazil's NDC. This project proposal has two main outputs:

1. Development of a pilot of an Environmental Services Incentive Program for Conservation and Recovery of Native Vegetation (Floresta+); and

2. Strengthen the implementation of Brazil's ENREDD+ through improvements in its governance structure and systems.

These two outputs will contribute to the achievement of the ENREDD+ overall objectives and the country's NDC. More details are provided below.

Output 1: **Floresta+ Pilot Program**

The first 12 months of implementation of Floresta+ will be used to conduct extensive stakeholder consultations and social and environmental impact assessments in line with this ESMF, in order to establish detailed and operational safeguards management plans and to inform the broader design of Floresta+, including the selection of the beneficiaries in the Modalities 1, 2, 3 and 4 (as described in further detail in the Summary of Activities section below). It includes the establishment and operation of a governance structure; the definition of values and priority areas for direct payments; upgrades in National Rural Environmental Registry System (SICAR) for registering and monitoring processes; the development of a simplified online platform to register the proposals for direct payments; the selection process of the beneficiaries and projects; and the establishment of contracts.

The direct payments for each rural farming household that is voluntarily participating in Modalities 1 and 2 will be made for up to four years during the project, considering the period between the admission and the end of the project. From that, annual payments will be based in the monitoring results of forest conservation and restoration. The projects' duration in Modalities 3 and 4 will be determined in the specific criteria and guidelines for each targeted beneficiary group, either Indigenous people and traditional communities for Modality 3, and Public institutions or agencies, civil associations, cooperatives and private law foundations in Modality 4.

Output 2: **The implementation of Brazil's ENREDD+**

The activities in this output will follow the calendar established in the ENREDD+ and CONAREDD+. Activities are currently underway, and the project will support the enhancement of related products and processes. The focus of the first year is to support the preparation of the national FREL and to improve the implementation of SISREDD+, including exploring synergies with the Grievance Redress Mechanism and UNDP's social and environmental safeguards requirements. After that, the Public Policy Matrix and the revision of the National REDD+ Strategy will be conducted taking into consideration Brazil's NDC. The enhancement of the capacities and access

of the various stakeholders for participating in the CONAREDD+ and its Consultative Chambers and the South-South Cooperation initiatives are crosscutting issues and will be implemented throughout all the project.

The Floresta+ is a new and innovative pilot program that aims to provide Incentives for Environmental Services (IES) in the Legal Amazon region, in accordance with Brazil's Forest Code, the ENREDD+ and Brazil's NDC. This IES pilot program will have the following specific objectives:

1. Provide monetary compensation to incentivize the conservation of native vegetation and the recovery and improvement of ecosystems that generate environmental services (including but not limited to carbon);
2. Prevent the occurrence of deforestation, forest degradation and forest fires through financial incentives;
3. Incentivize the conservation and recovery of native vegetation of rural properties, conservation areas, indigenous lands, land settlements as well as community and traditional people's lands;
4. Promote compliance with environmental legislation, especially that related to the protection and recovery of native vegetation (Forest Code);
5. Offer a financial mechanism to foster the development and implementation of public policies aimed at conservation and recovery of native vegetation.

The target beneficiaries for the Floresta+ Pilot Program is comprised of:

1. Small farmers, according to art. 3º, V, of the Forest Code (Law nº 12.651/2012), up to 4 fiscal modules[1]
2. Indigenous peoples;
3. Traditional peoples and communities according to I, do art. 3º, of decree nº 6.040/2007 (that use their territory collectively); and
4. Public institutions or agencies (including States and municipalities), civil associations, cooperatives and private law foundations that act in topics related to conservation and recovery of native vegetation.

The prioritization of areas to be selected as beneficiaries for the Floresta+ pilot program will consider:

a) Regions with high pressure from deforestation, forest degradation and forest fires;
b) Priority areas for biodiversity conservation and for the recovery of native vegetation, according to norms defined by the MMA;

[1] A fiscal module is an agrarian unit used in each municipality in Brazil, defined according to the terms of article 50, section 2, of Law No. 6,746 of December 10, 1979. (Law No. 6.746/1979) This measure is meant to ensure Floresta+ is focused on small and medium households instead of larger land owners. Indeed 90% of farms have up to four fiscal modules according to INCRA (National Institute of Colonization and Agrarian Reform).

c) Buffer zones around protected areas;

d) Regions with higher density of small farmers;

e) Regions with higher concentration of traditional peoples and communities;

f) Integration with other public policies related to the conservation and recovery of native vegetation.

The Floresta+ Pilot Program will incentivize conservation and the recovery of native vegetation in accordance with Brazil's Forest Code and Proveg (National Policy for the Recovery of Native Vegetation), as described in the FP. This will contribute to reducing the pressure on native forests therefore consistent with the ongoing efforts to eliminate illegal deforestation and promote the restoration/ recovery of ecosystems, which are part of the general objective of Brazil's ENREDD+ and are listed as potential activities in the forest sector for the achievement of Brazil's NDC and national policies.

Summary of Activities

The Floresta+ Pilot Program will operate through resource distribution modalities such as:

1. **Modality 1 (Floresta+ Conservation):** incentives to landowners and land users of rural properties according to the classification of item V, of article 3º, of the Forest Code (Law nº 12.651/2012), with the objective of conserving native vegetation remnants additional to the legal requirements;
2. **Modality 2 (Floresta+ Recovery):** incentives to landowners and land users of rural properties according to the classification of item V, of article 3º, of the Forest Code (Law nº 12.651/2012), with the objective of recovering Permanent Preservation Areas (e.g. riparian forests, mountain tops and steep inclines);
3. **Modality 3 (Floresta+ Communities):** support to associations and representative entities of indigenous peoples and traditional peoples and communities;
4. **Modality 4 (Floresta+ Innovation):** support innovative actions and arrangements to develop, implement and leverage public policies for conservation and recovery of native vegetation.

Additional criteria and priority areas will be developed and refined in consultation with the relevant stakeholders, including indigenous peoples and traditional peoples and communities, civil associations, state government representatives, federal agencies, non-governmental organizations, among others.

Direct payments will be calculated based on the area of native vegetation remnants and environmental liabilities to be recovered, in hectares, according to the data in the SICAR. The amount of payment per hectare will be defined in norms to be published by the Project Advisory Committee and should consider:

a) The relationship between the preserved native vegetation area and the area of deforested, degraded or burnt native vegetation within the rural property limits;

b) The opportunity cost of land use in areas with alternative land use;

c) The reference values of other programs of incentives for environmental services, when applicable.

Modalities 1, 2 and 3 of the Floresta+ Pilot Program should represent about 80% of the program funding allocation.

The Rural Environmental Registry (CAR) has identified important environmental assets in private areas, whose total area is higher than the legally protected areas in the country. This CAR data highlights the importance of recognizing and financially promoting the conservation of native vegetation in these particular areas, a major objective of the Floresta+ Program. Seeking ways to make the program feasible for rural producers and other beneficiaries, the team that designed the Forest + Program was inspired by similar initiatives already in place, such as the Bolsa Verde Program of the State of Minas Gerais; the Reforestation Program of the State of Espírito Santo; and the Renova Foundation's recovery bids.

4. Applicable Standards and Safeguards

This Environmental and Social Management Framework (ESMF) has been prepared in support of a funding proposal to the Green Climate Fund (GCF) by the Government of Brazil for the Pilot Program for REDD-plus results-based payments (RBP). As this project is supported by UNDP in its role as a GCF Accredited Entity, the project has been screened against UNDP's Social and Environmental Standards Procedure and deemed a Moderate Risk project. As such, an Environmental and Social Management Framework has been prepared for the project.

This ESMF has been prepared to ensure that prospective actions linked to the use of proceeds, under the Floresta + program, will respect and address all the Cancun Safeguards and UNDP's Social and Environmental Standards. It follows the retroactive Environmental and Social Assessment (ESA), prepared to demonstrate compliance with the Cancun Safeguards and SES of past activities implemented under the Action Plan for Prevention and Control of Deforestation in the Amazon (PPCDAm).

UNDP Social and Environmental Standards

The Floresta + pilot program will comply with UNDP's Social and Environmental Standards (SES), which came into effect in January 2015. The SES are an integral component of UNDP's quality assurance and risk management approach to programming. This includes the Social and Environmental Screening Procedure (SESP, Annex 1). The SES underpin UNDP's commitment to mainstream social and environmental sustainability in its Programs and Projects to support sustainable development. Through the GCF Accreditation Process, the SES are acknowledged to be consistent with the GCF's Environment and Social Standards. The objectives of the standards are to:

- Strengthen the social and environmental outcomes of Programs and Projects
- Avoid adverse impacts to people and the environment

- Minimize, mitigate, and manage adverse impacts where avoidance is not possible
- Strengthen UNDP and partner capacities for managing social and environmental risks
- Ensure full and effective stakeholder engagement, including through a mechanism to respond to complaints from project-affected people

The SES, outlined in **Table 1**, are an integral component of UNDP's quality assurance and risk management approach to programming. This includes the Social and Environmental Screening Procedure (see the completed SESP for the project in Annex 1 of proposal).

Table 1. Key Elements of UNDP's Social and Environmental Standards (SES). Through the GCF Accreditation Process, the SES are acknowledged to be consistent with the GCF's Environment and Social Standards

Overarching Policy	Project-Level Standards	Policy Delivery Process & Accountability
Principle 1: Human Rights **Principle 2:** Gender Equality and Women's Empowerment **Principle 3:** Environmental Sustainability	**Standard 1:** Biodiversity Conservation and Sustainable Natural Resource Management **Standard 2:** Climate Change Mitigation and Adaptation **Standard 3:** Community Health, Safety and Working Conditions **Standard 4:** Cultural Heritage **Standard 5:** Displacement and Resettlement **Standard 6:** Indigenous Peoples **Standard 7:** Pollution Prevention and Resource Efficiency	**Quality Assurance** **Screening and Categorization** **Assessment and Management** **Stakeholder Engagement and Response Mechanism** **Access to Information** **Monitoring, Reporting, and Compliance review**

The Standards are underpinned by an Accountability Mechanism with two key functions:

1) A Stakeholder Response Mechanism (SRM) that ensures individuals, peoples, and communities affected by UNDP projects have access to appropriate procedures for hearing and addressing project-related grievances; and
2) A Compliance Review process to respond to claims that UNDP is not in compliance with UNDP's social and environmental policies.

UNFCCC REDD+ SAFEGUARD REQUIREMENTS

Floresta + will also address and respect the United Nations Framework Convention on Climate Change (UNFCCC) REDD+ safeguard requirements, herein referred to as the 'Cancun Safeguards'.

Decision 1/CP.16 establishes that, when implementing REDD+ activities[2], developing country Parties that aim to be rewarded for their efforts shall promote and support the following:

(a) That actions complement or are consistent with the objectives of national forest programs and relevant international conventions and agreements.

(b) Transparent and effective national forest governance structures, taking into account national legislation and sovereignty.

(c) Respect for the knowledge and rights of indigenous peoples and members of local communities, by taking into account relevant international obligations national circumstances and laws, and noting that the United Nations General Assembly has adopted the United Nations Declaration on the Rights of Indigenous Peoples.

(d) The full and effective participation of relevant stakeholders, in particular indigenous peoples and local communities, in the actions referred to in paragraphs 70 and 72 of this decision.

(e) That actions are consistent with the conservation of natural forests and biological diversity, ensuring that the actions referred to in paragraph 70 of this decision are not used for the conversion of natural forests, but are instead used to incentivize the protection and conservation of natural forests and their ecosystem services, and to enhance other social and environmental benefits.

(f) Actions to address the risks of reversals.

(g) Actions to reduce displacement of carbon emissions.

While it's considered that Cancun safeguards (f) and (g) are implicitly captured in the UNDP Social and Environmental Standards and Policies (See Demonstrating Consistency: UNDP Social and Environmental Standards and Policies and UNFCCC Cancun Safeguards, 1 June 2016; see table in Annex 1, SESP), it is important to consider these Cancun safeguards separately in the SESP and ESMF because they: 1) are not explicitly referenced in the UNDP standards; 2) are unique, assumed risks for forest and land use; and 3) should be reflected separately in the national reporting of the SIS/Summary Of Information (SOI).

The Country Approach for REDD+ Safeguards

Extensive work has been carried out in Brazil to clarify the Cancun Safeguards in accordance with national circumstances, notably with the establishment of the Thematic Advisory Board on Safeguards (CCT-Salv) and an extensive stakeholder consultation process to reach a shared understanding and interpretations of these safeguards as relevant to the Brazilian context. This first step demonstrates the national empowerment with the safeguards implementation. Progress included establishing a working group on safeguards comprising government representatives, national research institutions and civil society. Brazil has also embarked on a

[2] REDD+ activities are the following: reducing greenhouse gas emissions from deforestation and forest degradation, conservation of forest carbon stocks, sustainable management of forests and enhancement of forest carbon stocks (REDD+). Referred to in paragraph 70.

process to develop a Safeguard Information System (SIS) and is currently in the process of operationalizing the system, and has been the first country to develop a second SOI (System of Information) to support this process. The working group will bolster national ownership of the SIS construction process.

To support this national approach, Brazil has been organizing safeguards meetings with a unique governance structure serve as a catalyst for the implementation of the implementation of the National REDD+ Strategy by targeting the main causes of deforestation and also providing the opportunity to other relevant stakeholders take part of the process to the indicators development. At the tactical-operational level, Brazil has developed biome-wide action plans for the prevention and control of deforestation, which are, at present, the main instruments to promote integration and coordination of REDD+ initiatives. The Amazon and the Cerrado are the biomes that have action plans under implementation (PPCDAm/PPCerrado) In addition, the nine states in the Legal Amazon region have similarly structured state plans. According to the Brazilian Forest Service (SFB), the remaining forested areas cover approximately 54% of the national territory - which corresponds to 463 million hectares[3]. These areas present a huge potential for climate change mitigation, be it by actions to fight illegal deforestation resulting in emission reductions, by enhancing removals through the recovery of degraded areas, by sustainably managing forests or by conserving native vegetation.

This approach is bolstered by the legal framework that supports the Floresta + Program: Forest Code (Law 12.651 / 2012), National Policy for the Recovery of Native Vegetation -Proveg (Decree No. 8.972 / 2017), National Plan for the Recovery of Native Vegetation - Planaveg (Interministerial Ordinance No. 230, of November 14, 2017); and NDC of Brazil, further described in the section on Applicable Legal and Institutional Framework.

The country's approach to safeguards also includes a Grievance Redress Mechanism and provision for consulting and Free Prior and Informed Consent in order to respect human rights and avoid conflicts in relation to forest management and forest concessions, especially involving indigenous peoples and traditional communities which make up an important part of the targeted beneficiaries. Floresta+ will inform and provide the basis for these processes as these mechanisms are provided for at the project level. The country is therefore advancing with a safeguard infrastructure that will bolster the management and monitoring of risks identified in Annex 1.

5. Applicable Legal and Institutional Framework

This section provides a preliminary review of the policy, legal and institutional (PLR) framework related to the potential risks and benefits of the proposed Floresta+ program and prospective activities to be implemented with the use of proceeds. The PLR framework underpins how social and environmental safeguards will be addressed and respected. The section includes (a) the

[3] SFB. A Summary on Brazilian Forests 2013. Available at: <http://www.florestal.gov.br/publicacoes/tecnico-cientifico/brazilian-forests- at-a-glance-2013>.

country's applicable policy framework (e.g. national laws and regulations) relating to relevant social and environmental issues; obligations of the country directly applicable to the project under relevant international treaties and agreements; (b) likely applicable requirements under UNDP's SES; and (c) and Cancun safeguards in the Brazilian context.

This analysis will be further expanded in the ESMP when the ESIA is conducted, to compare national PLRs to the social and environmental standards as appropriate to specific Floresta+ activities and indicate institutional and operational capacities and / or weaknesses, with recommendations to address identified gaps or weaknesses where appropriate.

In addition to the safeguard provisions described in this ESMF, Brazil has embarked on a process to address and respect safeguards in the implementation the REDD+ policies and measures determined in the National REDD+ Strategy (ENREDD+). The policy, legal and institutional framework was described, and challenges associated to the implementation of the safeguards were identified in the second SOI, with a logic of recognizing them as essential for the implementation of ENREDD+ and REDD+ safeguards to overcome them. This analysis helped to inform the benefit and risk assessment conducted for this proposal.

Brazil has been a pioneer in regulatory and institutional arrangements for the monitoring and conservation of the Legal Amazon's tropical rainforests. These include:

- Lei 12.651, de 25 de maio 2012 (Forest Code) : demonstrates Brazil's sovereign commitment to the protection of native vegetation and the integrity of the climate system for the well-being of present and future generations. This law establishes administrative restrictions on the use of certain areas of native vegetation within private properties. Areas of Permanent Preservation (APP) and Legal Reserve (RL), as they are denominated in law, must be maintained by rural property owners. The proportion of RL areas depends on the region in which the rural properties are located. In the Legal Amazon, the value of RL corresponds to 80% of the property located in forest areas, 35% of that situated in savanna areas (cerrado) and 20% for grasslands. In all regions outside of the Amazon biome, the share of RL is 20%. The Forest Code also established mandatory registration on the Rural Environmental Registry (CAR) for all rural landholdings (Article. 29, Law No. 12.651/2012) (fonte: enredd)
- Decreto 8.972, de 23 de janeiro 2017: Has as its main goals articulating, protecting and promoting policies, programs and actions to recover forests and other forms of native vegetation; and promoting the environmental regularization of Brazilian rural properties, in accordance with the Forest Code. The National Policy on Climate Change (PNMC, Law No. 12.187/2009) outlines the objectives and guidelines for addressing climate change in Brazil, providing the force of law to the national voluntary commitment of reducing GHG emissions in 36.1% to 38.9% in relation to the projected emissions until 2020. With regards to specific REDD+ actions, Brazil has the commitment to achieve, in 2020, a reduction of 80% in the rate of deforestation in the Amazon biome and 40% in the Cerrado biome.
- The National Policy on Climate Change (PNMC, Law No. 12.187/2009) outlines the objectives and guidelines for addressing climate change in Brazil, providing the force of

law to the national voluntary commitment of reducing GHG emissions in 36.1% to 38.9% in relation to the projected emissions until 2020. With regards to specific REDD+ actions, Brazil has the commitment to achieve, in 2020, a reduction of 80% in the rate of deforestation in the Amazon biome.

A series of advances in environmental policies and law occurred in the last twenty years, including:

- Law of Environmental Crimes (Law No. 9.605/1998) and Decree 6.514, de 22 de julho de 2008
- National System of Conservation Units (Law No. 9.985/2000)
- Law on Data and Information of the National Environment System (Law no. 10.650/2003)
- the Priority Areas for Conservation, Sustainable Use and Biodiversity Benefits Sharing (Decree No. 5.902/2004 and MMA's Ordinance No. 09/2007)
- Public Forests Management Law (Law No. 11.284/2006)
- National Policy for Environmental and Territorial Management of Indigenous Lands (Decree No. 7.747/2012)
- Amazon Region Protected Areas Programme - ARPA (Decree No. 8.505/2015)

These laws and regulations constitute a legal basis for combating deforestation, arrangement on benefit-sharing mechanisms, conflict management and guidance on forest infractions. They provide guidelines for the management and development of forest and wildlife resources, including institutional mandates and responsibilities.

The objectives of the National REDD+ strategy (ENREDD+) are aligned and integrated into sectoral plans and geographically-defined plans concerned with deforestation and degradation at the state and biome-level.

At the biome-level, Brazil has developed and implemented action plans for the Amazon and the Cerrado: the Action Plan for the Prevention and Control of Deforestation in the Amazon (PPCDAm) and the Action Plan for the Prevention and Control of Deforestation and Forest Fires in the Cerrado (PPCerrado). These are the main instruments to promote integration and coordination of REDD+ initiatives across biomes, and due to their relevance, were incorporated into the PNMC. They interface with the following Sectorial Plans: Climate Change Mitigation and Adaption to Establish a Low-Carbon Economy in Agriculture (ABC Plan) and Steel Sector Emission Reductions (Charcoal Plan). Together, these plans form the pillars of the PNMC for mitigation in the LULUCF sector, contributing directly to REDD+.

At the state level, the nine states in the Legal Amazon have similarly structured plans (PPCDs). They define state-level commitments for forest conservation and recuperation of degraded areas, in alignment with the PPCDAm and the PNMC. The plans, elaborated by the State Secretary of Environment (SEMA), have the mandate to expand the scope of the actions planned at the federal level, so that actions can be tailored to the different drivers and dynamics across municipalities and other territorial units and outline sub-national legislation and regulations.

Each plan outlines state-specific objectives and, using a logical framework, they guide the design and prioritization of actions related to prevention of deforestation and forest degradation, as well as allocation of resources and assignment of responsibilities for implementation. The PPCDs include analyses on land tenure issues, forest governance, the dynamics of deforestation and its main drivers, as well as about indigenous peoples and traditional communities living in the state's boarders. The plans are reviewed and updated periodically.

Table 2 summarizes the key national policies, laws and regulations that support the implementation of REDD+ related actions and thus are directly relevant to the project. A key element of Floresta+ will be to support monitoring frameworks and respect for social and environmental safeguards in the context of the ENREDD+ through the Safeguard Information System.

Table 2. National level laws and regulations

Laws and regulations	Description/Objective
National REDD+ Strategy (ENREDD+ - Estratégia Nacional para REDD+) Decree # 8,576/2015 and MMA Ordinance # 370/2015	Contribute to climate change mitigation by eliminating illegal deforestation, conserving and recovering forest ecosystems, and developing a sustainable low-carbon forest economics, generating economic, social and environmental benefits.
Action Plan for the Prevention and Control of Deforestation in the Legal Amazon (PPCDAm)	Reduce deforestation, with a target set for 2020.
Action Plan for the Prevention and Control of Deforestation and Fires in the Cerrado (PPCerrado)	Reduce deforestation, with a target set for 2020.
State Plans to Fight Deforestation (PPCDs)	Reduce deforestation.
National Policy on Climate Change (Política Nacional sobre Mudança do Clima) Law # 12,187/2009 and Decree # 7,390/2010	Reduce greenhouse gas emissions by 2020. Acknowledges plans to combat deforestation as means to meet the target.
Forest Code Law # 12,651/2012	Arrange for the protection of vegetation in private properties (APP, LR and areas of restricted use) with the goal of preserving biodiversity, soil, water resources and the integrity of the climate system, for the well-being of current and future generations.
Rural Environmental Registry (CAR) Law # 12,651/2012	Integrate the environmental information of rural properties related to Areas of Permanent Preservation - APP, Legal Reserves, forests and native forest remnants, areas of restricted use and consolidated areas, making up a database for control, monitoring, environmental and economic planning, and combating deforestation.

National System of Conservation Units (SNUC) Law # 9,985/2000	Contribute to preserve and restore the diversity in natural ecosystems, especially in Sustainable Development Units.
Amazon Protected Areas Program (ARPA) Decree # 8,505/2015	Expand and strengthen the National System of Conservation Units (SNUC) in the Amazon, protect 60 million hectares, secure financial resources for the management of these areas in the short- and long-terms and promote sustainable development in that region.
National Forest Program (PNF) Decree # 3,420/2000	Promote sustainable development, balancing use with conservation of the Brazilian forests.
National Biodiversity Policy Decree # 4,339/2002	Promote, in an integrated manner, the conservation of biodiversity and the sustainable use of its components, with the fair and equitable sharing of benefits derived from the use of genetic resources, components of genetic heritage and traditional knowledge associated with these resources.
The Amazon Fund Decree # 6,527/2008	Fundraise non-reimbursable investments in actions to prevent, monitor and combat deforestation, and to promote the conservation and sustainable use of the Legal Amazon.
National Community and Family Forest Management Program Decree # 6,874/2009	Organize actions to foster sustainable management in forests that are used by family farmers, land reform settlers, and traditional peoples and communities.
National Policy for Territorial and Environmental Management of Indigenous Lands Decree # 7,747/2012	Guarantee and promote protection, recovery, conservation and sustainable use of the natural resources found in indigenous lands and territories, ensuring the integrity of the indigenous heritage, improvement of their quality of life and full conditions of physical and cultural reproduction of current and future generations of indigenous peoples, respecting their sociocultural autonomy.
National Policy for Native Vegetation Recovery Decree # 8,972/2017	Recover forests and other forms of native vegetation. Boost environmental regularization in Brazilian rural properties, according to Act 12,651, as of May 25th, 2012, in a total area of at least 12 million hectares, by December 31st, 2030. A relevant policy for NDC, since it fosters the recovery of forests and other forms of native vegetation.
National Policy for the Sustainable Development of Traditional Peoples and Communities Decree # 6,040/2007	Promote sustainable development for Traditional Peoples and Communities, focusing on acknowledgment, strengthening and assurance of their territorial, social, environmental, economic and cultural rights, respecting and valuing their identity, their forms of organization and their institutions.
Brazil's Nationally Determined Contribution to the Paris Agreement	Reduce greenhouse gas emissions by 2025, by strengthening the Forest Code, fighting illegal deforestation, reforesting and restoring forests for multiple uses, sustainably managing native forests, among others.
Access to Information Law Law # 12,527/2011	Regulates access to information, as established in Item XXXIII of Art. 5, Item II in Paragraph 3 of Art. 37, and Paragraph 2 of Art. 216 of the Federal Constitution; amends Act 8,112, as of December 11th, 1990; revokes Act 11,111,

	as of May 5th, 2005, and devices in Act 8,159, as of January 8th, 1991; and establishes other provisions.
National Policy on Social Participation and National System on Social Participation Decree # 8,243/2014	Strengthen and mobilize democratic mechanisms and instances to debate and jointly act with the federal public administration and civil society.
Biodiversity Law Law # 13,123/2015	Establish rules to access genetic heritage, access the corresponding traditional knowledge, and share benefits. It sets the national definition of associated traditional knowledge, incorporating indigenous peoples, traditional communities and traditional farmers; also, the terms for access with the definition of parameters for prior and informed consent, and the fair and equitable sharing of benefits. Fundamental policy to protect and promote the rights and traditional knowledge of these people that must be supported by the National REDD+ Strategy.
National Nutrition and Food Security System (SISAN) and the National Nutrition and Food Security Policy (PNSAN) Decree # 7,272/2010	Incorporate into State policy the respect for food sovereignty and the guarantee of the human right to adequate food, having as a guideline access to water of adequate quality and quantity, in addition to supplying and structuring of sustainable and decentralized systems, with agroecological basis, production, extraction, food processing and distribution, promoting them in the framework of international negotiation and cooperation.
National Policy on Agroecology and Organic Production (PNAPO) Decree # 7,794/2012	Integrate, mobilize and adapt policies, programs and actions that lead to the agroecological transition and organic and agroecological production, contributing to the sustainable development and quality of life of the population, through the sustainable use of natural resources and the supply and consumption of healthy food.
Quilombola Social Agenda within the framework of the Brazil Maroon Populations Program Decree # 6,261/2007	Promote the improvement of life conditions and extend access to public goods and services of people living in quilombola communities in Brazil.
Information System on the Brazilian Biodiversity (SiBBr)	Integrate data and information on the Brazilian biodiversity to support: i) scientific production, ii) public policy formulation and decision making processes. SiBBr supports actions of environmental conservation and sustainable use of natural resources.
National Plan for the Promotion of Sociobiodiversity Product Chains	Promote the conservation, management and sustainable use of sociobiodiversity products; strengthen productive chains in each of the biomes by adding value to sociobiodiversity products; strengthen the social and productive organization of indigenous peoples, quilombola populations, traditional communities, and family farmers; expand, strengthen and mobilize economic instruments necessary for the structuring of productive chains.
National Plan for the Strengthening of Extractivist and Riparian Communities (Planafe)	Ensure quality of life, access to and sustainable use of natural resources, environmental conservation and the promotion of human rights for extractivist and riparian communities.

National School Nutrition Program (PNAE)	Stimulate the purchase of food directly from family farmers, giving priority to land reform settlers, indigenous peoples and traditional peoples and communities, favoring the ways of life associated with forests and natural ecosystems.
Food Acquisition Program (PAA)	Encourage family farming through sustainable production, production processing and income generation; promote and value biodiversity and the organic and agroecological production of food; promote access to quality food from the perspective of the human right to adequate and healthy food; strengthen local and regional circuits and trade networks, stocks, and food supply through government procurement; stimulate cooperatives and associations.
Monitoring Program in Continental Scale	Monitor biodiversity in conservation units.
Amazon Deforestation Monitoring Project (PRODES)	Satellite monitoring of clearcutting in the Legal Amazon.
Near Real-Time Deforestation Detection System (DETER)	Carry out a quick survey of evidence alerts on changes in the Amazon forest cover.
Brazilian Amazon Forest Degradation Project (DEGRAD)	Map areas of degraded forest and with a tendency to be converted into clear cut logging.
Burn and Fire Monitoring Program	Monitor fires and wildfires detected by satellites, calculate and predict the risk of burning the vegetation.
Land use and land cover mapping of Amazon Deforested Areas - TerraClass	Map the use and coverage of deforested lands in the Brazilian Legal Amazon to understand the dynamics of use and coverage in the Brazilian Legal Amazon.
Brazilian Biomes Environmental Monitoring Program (PMABB) MMA Ordinance # 365/2015	Map and monitor deforestation, including its rate; assess vegetation cover and land use; monitor fires; and restore vegetation and selective extractivism.
Selective Logging Monitoring System (Detex)	Monitor logging in public forest lands under concession.
National Forest Inventory	Carry out a systematic survey about Brazilian forest resources.
National Inventory of Greenhouse Gas Emissions	Regularly update emission estimates from a range of sectors, including land use change and forestry, and assess the evolution of the GHG emission profile, supporting the monitoring of compliance with the Brazilian commitment to reduce emissions.

International Agreements and Protocols

The relevant international policy and legal framework for Brazil's REDD+ efforts are listed in Table 3.

Table 3. Institutional Frameworks at an International level

International policies/legislation	Description/Objective
United Nations Framework Convention on Climate Change (UNFCCC), Paris Agreement, as well as decisions made in the corresponding Conferences of the Parties.	Stabilize concentrations of greenhouse gases in the atmosphere at a level that would prevent dangerous anthropogenic interference with the climate system.
United Nations Convention on Biological Diversity (UNCBD), as well as decisions made in the corresponding Conferences of the Parties, notably the 2012 COP11, held in Hyderabad, India, Decision IX/19, which established Biodiversity Safeguards in compliance with the REDD+ approach.	Promotes the conservation of biological diversity, sustainable use of its components, and the fair and equitable sharing of the benefits derived from the utilization of genetic resources, ensuring free, prior and informed consent of the States, as well as the protection and promotion of associated traditional knowledge.
Ramsar Convention on Wetlands of International Importance	Promotes the conservation and rational use of wetlands, such as Baixada Maranhense, Pantanal in Mato Grosso State, Atol das Rocas, etc.
FAO International Treaty on Plant Genetic Resources for Food and Agriculture	Promote conservation and sustainable use of plant genetic resources for food and agriculture, and the fair and equitable sharing of benefits arising from their use, aligned with the Convention on Biological Diversity. Establishes the right of farmers to conserve, use, exchange and sell farm-saved seeds and other propagating material retained by farmers; to protect their traditional knowledge and to participate in decision-making on the fair and equitable sharing of benefits arising from the use of plant genetic resources for food and agriculture.
ILO Indigenous and Tribal Peoples Convention 169	Applies to indigenous peoples and traditional peoples and communities in order to promote the full realization of the social, economic and cultural rights of these peoples, respecting their social and cultural identity, their customs and traditions, and their institutions. It acknowledges the territorial rights of ownership and possession of the lands they occupy or have already used for their traditional activities and subsistence; the right to participate in the use, management and conservation of natural resources; as well as the right to free, prior and informed consultation in accordance with their own institutions, among other rights.
United Nations Declaration on the Rights of Indigenous Peoples	Reflects the set of claims of indigenous peoples on the improvement of their relations with national states and is used to establish minimum parameters for other international instruments and national laws. The declaration includes principles such as equal rights and prohibition of discrimination, the right to self-determination and the need to obtain consent and agreement as a reference for the relationship between indigenous peoples and States.

International Covenant on Economic, Social and Cultural Rights	Economic, social, and cultural rights to the Non-Self-Governing and Trust Territories and individuals
International Covenant on Civil and Political Rights	Civil and political rights of individuals
International Convention on the Elimination of All Forms of Racial Discrimination	Elimination of racial discrimination and the promotion of understanding among all races
Convention on the Rights of the Child	Rights of children
Convention on the Protection and Promotion of Diversity of Cultural Expressions	Protection and promotion of the diversity of cultural expressions
Convention on the Elimination of Discrimination Against Women	Rights of women
Convention for the Safeguarding of Intangible Cultural Heritage	Safeguard and ensure respect to the tangible cultural heritage
Convention Concerning the Protection of the World Cultural and Natural Heritage	Protection of the World Cultural and Natural Heritage
American Convention on Human Rights	Human rights
American Declaration on the Rights and Duties of Man	Human rights
American Declaration on the Rights of Indigenous Peoples	Indigenous peoples' rights
Universal Declaration of Human Rights	Human rights

Environmental Impact Assessments in Brazil

Environmental Impact Assessments (EIA) are integral to the environmental licensing process, and they have been a main environmental management tool in Brazil. They obligatory for all activities with a potentially significant environmental impact, although the regulation is ambiguous on the definition of such activities. The EIA process includes both the development of an environmental impact report, as well as public hearings, which are organized only if deemed necessary by the environmental agency, if requested by the prosecutor's office or by more than 50 citizens. At the hearings, a non-technical summary is required to provide information about the EIA process. The process also requires that a number of government authorities are consulted, including the

Health Surveillance Secretariat and various institutions related to cultural heritage, or indigenous and traditional groups.

EIA was introduced at the Federal level through the PNMA Law in 1981 and later recognized in the Federal Constitution and in the CONAMA Resolution 01/1986-1997, which established the minimum EIA scope. Responsibility for the environmental licensing process, which includes EIA, has been divided across the three government levels in the Complementary Law 140/2011 and a subsequent presidential decree. Responsible entity depends on the project's objective, scale, location and extent of potential environmental impact.

At the state level, most agencies have their own requirements, depending on the type of activity and project. For territorial planning or other development programs and projects, which are most relevant to this ESMF, it is notable that strategic environmental assessments are not legally required at the federal level. However, it a mandatory process in some states for carrying out the ecological-economic zoning (ZEE), a rural land use management instrument introduced in 2002 that covers the entirety of the Amazon biome[4].

Environmental Management of rural properties

The CAR (Rural Environmental Registry) is a national electronic public registry, mandatory for all rural properties, which was established by the Forest Code (Law 12.651 / 2012). The objective of this instrument is to create a registry of all rural properties in the country that integrates relevant environmental information of the properties in a database to support monitoring and combating deforestation as well as environmental and economic planning on private properties. Properties are registered through the National Rural Environmental Registry System (SICAR), which is the system responsible for issuing the Registration Receipt of the rural property. Proof of ownership of land is not necessary to register environmental information on a property in CAR. It is not a land registry system, rather a self-declaratory environmental registry.

In the CAR, data are recorded on the Permanent Preservation Areas (APPs), Legal Reserves (RLs) and areas of restricted use within the property, which are defined as follows:

- APP: area that intended to preserve waterways, soil, and gallery/riparian forests; they cannot be used for economic exploitation
- RL: rea covered by natural vegetation that can be exploited in a sustainable way, within the limits established by the biome where the property is located. In the legal Amazon, real estate must have a total of 80% RL in forest areas and 35% in cerrado areas. In other biomes, this percentage is 20%.
- Area of restricted use: includes areas of wetlands, marshy plains, areas with slopes between 25º and 45º and areas of the coastal zone.

Rural producers are legally obliged to recover illegally deforested areas in accordance with the law and they have the responsibility to settle any liabilities that exist with their Permanent

[4] PNIA 2012: Painel Nacional de Indicadores Ambientais. Referencial teórico, composição e síntese dos indicadores

Preservation Areas (APP), Legal Reserve (RL) and areas of restricted. If there is a need for forest restoration, the land owner can join the Program of Environmental Regulation (PRA), which can offer some benefits such as a decrease in the APP area to be recovered; possibility of offsetting RL in other producers' real estate; restoration of RL with intercalated planting of native and exotic species; suspension of administrative and criminal proceedings; and maintenance of previously established agro-forestry activities (up to July 22, 2008). Producers may also gain access to agricultural credit and government incentive programs for production and marketing. Environmental regularization is understood to be essential for Brazil to achieve the objectives of reducing deforestation and restoration of degraded areas.

Indigenous Peoples and Environmental Management

Indigenous Territories, accounting for almost 23% of the Amazon, have a fundamental contribution to REDD+ endeavors in Brazil. The environmental importance of these lands was recognized by Decree No. 7747 of June 5, 2012, establishing the National Policy on Land Management and Environmental Indigenous Lands (PNGATI) by a collation including 150 indigenous groups and other institutions to endorse indigenous-led conservation, natural resource management and environmental restoration. This is the main guiding policy for addressing and respecting safeguards relevant to Indigenous peoples and their territories, so it will contribute to the implementation of the Floresta+ pilot program and continued ENREDD+ activities.

The Policy aims to: "...ensure and promote the protection, recovery, conservation and sustainable use of natural resources in indigenous lands and territories, ensuring the integrity of indigenous heritage, improving the quality of life and the full conditions of physical and cultural reproduction of current and future generations of indigenous peoples, respecting their social and cultural autonomy under the law."

A key instrument to support the PNGATI are the Territorial and Environmental Management of Indigenous Lands (PGTAs). The plan's objectives reflect the specific visions Indigenous Peoples' for their lands, covering three main priorities: 1) Territorial control and protection, including indigenous-led surveillance and monitoring practices 2) Sustainable management of natural resources for the promotion of food security and income generation, as well as conservation, restoration and sustainable land use and 3) Capacity building and institutional strengthening for local organizations. Autonomy and self-determination of indigenous peoples underpin participatory decision making and the establishment of territorial planning, which contributes to strengthening indigenous territorial protection and control.

The elaboration of the PGTAs generally follows some guidelines and stages: mobilization of the community, technical advisors and partner institutions; socio-environmental and territorial diagnostics; and definitions of the use of natural resources and actions necessary for their implementation. PGTAs have two methodological tools, operating in consecutive steps, that are directly applicable to environmental initiatives: 1) "ethno-mapping": participatory mapping of areas of environmental, socio-cultural and productive relevance for indigenous peoples, based on indigenous knowledge and knowledge; and 2) "ethno-zoning": participatory planning

instrument that aims to categorize areas of socio-cultural and productive environmental relevance for indigenous peoples, developed from participatory mapping.

In regards to Free, Prior and Informed Consent, Brazil legislation has provisions that support these instruments, including the Federal Constitution, Art. 231; Decree n. 5051/2004 promulgating ILO Convention 169, Decree n. 6040/2007, Act n. 13.123/15 and Decree n. 8772/16, the last two specific for access to traditional knowledge associated with biodiversity. Of particular interest in this regard is Chart 6 of Brazil's 2nd SOI, which presents consultation protocols developed since 2014 by indigenous peoples and traditional peoples and communities in Brazil.

Since 2014, some indigenous peoples and traditional peoples and communities in Brazil have been developing their own consultation protocols:

To date, the following protocols have been identified:

- Wajãpi Consultation and Consent Protocol (2014)
- Munduruku Consultation Protocol (2014)
- Montanha and Mangabal Consultation Protocol (2014)
- Peoples of the Xingu Indigenous Territory Consultation Protocol (2016)
- Munduruku and Apiaka Peoples of the Santareno Plateau Consultation Protocol (2017)
- Juruna Consultation Protocol (Yudijá) of Paquiçamba da Volta Grande do Xingu Indigenous Land (2017)

According to current legislation (CF / 88, Law 6001/73, Decree No. 1775/96), indigenous lands can be classified in the following categories:

- Traditionally Occupied Indigenous Lands: The indigenous lands referred to in art. 231 of the Federal Constitution of 1988, a right originating from indigenous peoples, whose demarcation process is regulated by Decree 1775/96.
- Indigenous Reserves: Land donated by third parties, acquired or expropriated by the Union, which are destined to the permanent possession of indigenous peoples. They are lands that also belong to the patrimony of the Union, but are not to be confused with the lands of traditional occupation. Some indigenous lands, however, have been reserved by member states, especially during the first half of the twentieth century, which are recognized as traditional occupation.
- Domain lands: These are lands owned by indigenous communities, under any form of acquisition of the domain, under the terms of civil law.
- Restricted: These are areas prohibited by FUNAI for the protection of isolated indigenous peoples and groups, with the establishment of restriction of entry and transit of third parties in the area. The interdiction of the area can be carried out concomitantly or not with the demarcation process, disciplined by Decree 1775/96.

According to the current Federal Constitution, indigenous peoples have the original right and exclusive usufruct over the lands they traditionally occupy. The phases of the demarcation procedure of the traditionally occupied lands, described below, are defined by a Presidential Decree and consist of:

- Under study: anthropological, historical, land, cartographic and environmental studies are in the process of being carried out, which form the basis for identification and delimitation of indigenous lands
- Delimited: Lands with studies approved by the FUNAI and that are in the phase of administrative analysis for the expedition of the Declaratory Decree by the Ministry of Justice to administer traditional indigenous ownership
- Declared: Land that has been issued the Declaratory Decree by the Minister of Justice and is authorized to be demarcated, with the materialization of landmarks and georeferencing.
- Approved: Lands that have their limits materialized and georeferenced, whose administrative demarcation was approved by the Presidential decree of homologation.
- Regulated: Land that, after the decree of homologation, have been registered in a Registry Office in the name of the Union and in the Secretariat of the Patrimony of the Union.
- Restricted Areas: Restricted areas of use and entry of third parties, for the protection of isolated indigenous peoples.

Traditional Communities and Environmental Management

With their distinct, and diverse cultural, economic, and historical ties to the land and forest, the inclusion of traditional peoples and communities is also at essential for REDD+ efforts. Traditional populations were formally recognized by the Federal Government in the National Policy for the Sustainable Development of Traditional Peoples and Communities (PNPCT), which was instituted in 2007 through Decree No. 6,040 . The Federal Policy seeks to promote the sustainable development of Traditional Peoples and Communities, with an emphasis on strengthening and guaranteeing their rights across territorial, social, environmental, economic and cultural spheres, as well as on their recognition, with respect and appreciation for their identity, their forms of organization and their institutions. This is the main guiding policy for addressing and respecting safeguards relevant to traditional peoples and communities' territories and will contribute to the implementation of the Floresta+ pilot program and continued ENREDD+ activities.

The actions and activities implemented under the policy occur in an intersectoral and integrated manner, which are coordinated by the National Commission for the Sustainable Development of Traditional Peoples and Communities (CNPCT), established by the Decree of December 27, 2004 and reformulated by the Decree of July 13, 2006. The Secretariat for Policies for the Promotion of Equality (SEPPIR), through the Secretariat for Policies for Traditional Communities (SECOMT), is responsible for implementing the Policy aimed at specific groups: notably traditional peoples

and communities with African diaspora matrix and quilombolas who are relevant to the Amazonian region. Since 2007, the Ministry of Social Development (MDS) has been the chair of the CNPCT.

The main objective of the CNPCT is to "co-ordinate the joint action of representatives of the Direct Public Administration and members of the non-governmental sector for the social, economic, cultural and environmental strengthening of traditional peoples and communities". Its main tasks are to propose principles and guidelines for government policies related to the sustainable development of traditional peoples and communities, as well as to coordinate and monitor the implementation of the National Policy for the Sustainable Development of Traditional Peoples and Communities.

Although public policies aimed at Traditional Peoples and Communities are recent within Brazilian national framework, the groundwork for these endeavors was initially framed by Convention 169 of the International Labor Organization (ILO), which Brazil ratified in 1989 and deals with the rights of indigenous and tribal peoples in the world. The Federal Constitution/88, which sought to advance and affirm the universal rights of Brazilians, also recognized the specific rights of some traditional groups (quilombo communities) as well as in indigenous peoples, notably the right to enjoy territorial rights and cultural activities. In addition, the Constitution establishes the protection of "manifestations of indigenous, Afro-Brazilian and other groups participating in the national civilizational process" (Art. 215, 1o), as well as "diversity and integrity of the genetic patrimony of the country "(Article 225, 1o, II).

Regulated by Decree 7.572/2011, the Bolsa Verde is part of the Brazil without Poverty Program (*Brasil Sem Miséria*) and focuses on sustainable use of natural resources of communities that reside in Extractive Reserves (RESEX), National Forests (FLONAs), federal Sustainable Development Reserves, and Environmentally Differentiated Settlements of the Agrarian Reform. Traditional communities such as river-side communities (*ribeirinhos*), extractivists, indigenous peoples, *quilombolas* and others may also benefit from this program, which is a form of recognizing these communities for the environmental services they conserve. Since its onset, 60,239 families have been enrolled in the Green Stipend program, according to June 2014 data. Beneficiary families live on 68 federal protected areas managed by the Chico Mendes Institute for Biodiversity Conservation – ICMBio (19,659 families), 830 resettlement projects of the National Institute for Agrarian Reform – INCRA (35,348 families), and 63 municipalities with areas managed by the Secretariat of Federal Property – SPU (5,232 families).

6. Potential Social and Environmental Impacts and Procedures for Addressing Them

As this project is supported by UNDP in its role as a GCF Accredited Entity, the project has been screened against UNDP's Social and Environmental Standards, using the Social and Environmental Screening Procedure. Discussions on the impact assessment are provided in the Social and Environmental Screening Template (SESP, Annex 1), which provide a basis for a more detailed discussion in this ESMF.

Social and Environmental Impacts

As a Moderate Risk project, further and ongoing impact assessment and management measures are needed for effective risk management throughout project implementation. Key management measures are fully embedded in the project approach, also recognizing since it is a project with close relation with public policies implemented by the Brazilian policies, some measures are already/will be undertaken in the scope of implementation of such policies. Additionally, building on the analyses, stakeholder engagement, and environmental and social assessment and management planning conducting during project design, an environmental and social impact assessment (ESIA) will be conducted at the beginning of the project to better guide the establishment of the criteria for the selection of priority areas in order to avoid or mitigate negative impacts, resulting in an ESMP and associated management plans.

Table 4 below summarizes the key potential social and environmental impacts identified through application of UNDP's Social and Environmental Screening Procedure (SESP) as well as the management measures and the institutional arrangement for their implementation. This table will serve as the basis for further assessment to be undertaken during the Environmental and Social Impact Assessment (ESIA). References to specific, thematic management plans (stakeholder engagement, indigenous people's biodiversity, and livelihood action plans, etc.) are included in the mitigation measures. When applicable, these plans will be developed as per guidelines in the section: Assessment and management of social and environmental risks and impacts. Indicative outlines are included for all potentially applicable management plans in the annexes.

Table 4. Risk Matix and management measures

Risk Description	***Comments***	***Management Measures***
Risk 1: Adverse impacts on the enjoyment of **human rights** of affected populations through unfair or discriminatory impacts and exclusion, particularly of marginalized groups or people living in poverty because duty-bearers might not have the capacity to meet their obligations or because rights-holders might not have the capacity to claim their rights. There are potential risks of excluding marginalized groups associated to the proposed beneficiary selection mechanism, which uses the Rural Environmental Registry (CAR) as the main program entry point. There is a risk of unfair benefit-distribution when payments and compensation amounts are tailored to and target deforestation "hotspots" over large expanses of intact forest.	There is a risk that indigenous and traditional communities may not have full understanding of their rights, may not be given sufficient notice and information, or may not have the capacity to claim their rights. While significant progress has been made in Brazil in terms of respect and promotion of human rights, particularly those in regards to indigenous lands and self-determination, the government may not have the capacity to effectively comply with these obligations, given the extremely high cultural, linguistic, and livelihood diversity of traditional and indigenous communities, as well as the extensive geographic reach of the project, which will be implemented throughout the Legal Amazon. In particular, this risk will vary considerably from state to state, given their different capacities to consult with stakeholders and their history with Indigenous People, which may generate distrust, conflict and delays that may undermine project objectives. To be eligible for payments, beneficiaries must have land registered through the CAR, which could create a biased beneficiary selection process and unfairly benefit those who are already registered, as well as those for whom registration is accessible (not spatially isolated, able to hire someone to demarcate land, access to computer/internet). Currently, wealthy, individual owners of large land areas are disproportionately represented in the land registry. There is a risk of excluding those who have not yet registered their land or those who are facing institutional or practical challenges in registering. For small producers, and in particular those with farms in *assentamentos*, land regularization is overseen by INCRA, an institution with limited capacity and resources to effectively carry out legal land titling in these areas.	There are substantial legal and policy frameworks in place to protect human rights, as well as the rights of IPs to their territories of traditional use (See PLR analysis, conducted as part of the ESA). To identify marginal, potentially at-risk populations, and in particular, potential human rights impacts, a full ESIA is planned as part of the launch of the project and design of Floresta+. Moreover, the project will be implemented using a phased approach to ensure that technical assistance and capacity building is provided to duty-bearers, both in terms of supporting ongoing land titling processes, responding to land conflicts in a fair and equitable manner. In particular, attention will be given to leveling out differences among states in terms of ability to carry out their human rights obligations, and support the land regularization of IPs and traditional communities. Considering the different modalities of Floresta + and diverse groups of beneficiaries, modality-specific plans will be developed so that management and mitigation measures account for the needs and interests of marginalized groups, with particular attention to: (1) the status of their land and the resource rights of different beneficiaries in the project areas; (2) the benefit sharing structure for different beneficiary groups and payment mechanisms of different project modalities; (3) the engagement of women and other minority groups in decision-making and participation processes around activities, including the project design, implementation and management. The ESMP will be updated to detail which sites will require specific plans and overall avoidance and management measures to be put in place across the project. In particular, comprehensive stakeholder engagement plans, indigenous (and traditional) peoples plans, and gender action plans will outline key management measures to prevent potential human rights impacts for vulnerable and marginalized groups. They will define procedures for establishing a relationship of trust and dialogue through principles of accountability and rule of law, and ensuring participation and inclusion, and non-discrimination. Marginalized and vulnerable groups will be engaged

	Additionally, Indigenous Peoples and Traditional Communities whose collective land rights are not secure, are more likely to have legal disputes about land demarcation or about overlapping and contradictory land claims (through 'grilagem verde', for example). Although the granting of Indigenous Land titles is an ongoing process, and in some areas local development plans for these territories (e.g., PGTAs) exist and can be used as the entry point for voluntary program participation, huge tracts of land targeted by the program have yet to titled, and the resources for the process of creating PGTAs is very limited. For the first years of the role out of the pilot program, there remains a risk exclusion, given that the majority of these groups still do not have their territories regularized, or do not have development plans in place – although this varies from state to state. There is also a risk of unfair benefit-distribution when payments and compensation amounts are tailored to and target deforestation "hotspots" over large expanses of intact forest. In general, wealthy landowners reside in priority areas, many of which have already contributed to deforestation in the past, and have been granted amnesty under the revision of Brazil's Forest Code in 2012. A majority of Indigenous people and Traditional communities reside in remote regions that may not currently be threatened by deforestation, so there is a risk of disproportionately benefiting one group over the other.	throughout project implementation, as well as all impact assessment and management planning activities, including defining how they want to be engaged. Monitoring and evaluation of engagement processes will be conducted by a third party or external body, involving a variety of stakeholders, including NGOs, CSOs, and/or community representatives. With specific reference to indigenous people and traditional communities, project activities occurring on their lands will be implemented on a voluntary basis, after adequate information is provided on the implications of adhesion to the program. The elaboration of the local development plans in indigenous territories (PGTA) and of management plans for sustainable use reserves (RESEX, FLONA) will serve as an entry point to the program. In cases where these plans do not yet exist, measures will be taken to design and implement these plans in a participatory manner, with self- selected representatives of indigenous and traditional communities leading the process. An Indigenous and Traditional Peoples working group will be created that will help inform the design of Floresta+ modalities targeting IPs and traditional communities, as well as to inform the design of the stakeholder consultation process. FPIC procedures, focused on providing information and training on the Floresta+ will guide stakeholder engagement when there are potential impacts on their livelihoods and cultural heritage. Likewise, broadened participation of representatives of indigenous groups and traditional populations in the local, regional and national REDD-related platforms will continue to be promoted in the design, implementation and monitoring of project activities and indicators for the SISREDD+. Lessons learned from engagement with stakeholders in previous REDD-related platforms, at the national and state-level, will be taken into account to continue to strengthen the capacities of the government at all levels to comply with its obligations (e.g., SISA in Acre). The National Policy for Territorial and Environmental Management of Indigenous Lands (PNGATI) and The National Council of Traditional Peoples and Communities – CNPCT, are the main guiding policies for addressing and respecting the knowledge and rights of indigenous and traditional peoples and communities' territories. Finally, appropriate grievance redress mechanisms (GRM) that provide channels for concerned stakeholders will be set at the program level to

		ensure accessibility for marginalized populations. There is currently a national system in place to register and resolve land disputes related to the CAR, as well as ombudsman offices (*ouvidoria*) for different government bodies at the federal and state level, including the ministries of environment. Additionally, the work of Brazil's Pastoral Land Commission (CPT) covers the entire national territory and is performed independently, offering support to small farmers and the landless, addressing problems of unjust land distribution and violence. These processes/administrative bodies will be supported throughout the rollout of the Floresta+ pilot program. For project-level complaints, cconflict management and mitigation measures are addressed through the GRM, which will be adapted to specific sites, considering (1) language and literacy of stakeholders; (2) logistical feasibility of reporting structure; (3) power relations between stakeholders and grievance officers along gender and ethno-cultural lines. This alignment with the sub-national and national level mechanisms already in place and/or with a new system for REDD-related grievances. Appropriate capacity building and technical training will be provided to coordinate and tailor these mechanisms at all levels, with particular attention to the state-level where the preparedness for REDD+ varies considerably (e.g., Acre and Mato Grosso are considerably advanced, and hence a phased approach will be adopted). Advisory committees that include stakeholders and representatives of IP and TC, following Acre's SISA example, will monitor complaints and response mechanisms. Finally, the UNDP Stakeholder Response Mechanism (SRM), provides an additional, formal avenue for stakeholders to engage with UNDP when they believe that a UNDP project may have adverse social or environmental impacts on them; they have raised their concerns with Implementing Partners (including applicable project, national or other GRMs) and/or with UNDP through standard channels for stakeholder consultation and engagement; and they have not been satisfied with the response.
Risk 2: Adverse impacts on gender equality and/or the situation of women and girls. The Project could potentially reproduce discrimination against women	Payments and other benefits (e.g., extension services, credit, productive input etc.) may favor head of households (men), especially if they are more highly represented among landowners officially registered to CAR.	A gender-responsive ESIA will further examine these risks, supported by a comprehensive gender analysis to assess relevant gender dynamics and inequalities with attention to the differences across the highly diverse groups of beneficiaries. It will also focus on the collection of additional

based on gender, especially regarding participation in the design and implementation or access to opportunities and benefits. The Project could potentially limit women's ability to use, develop and protect natural resources, taking into account different roles and positions of women and men in accessing benefits.	Similarly, in community-based payment schemes where a leader or representative of the group receives payment on behalf of others, there is a risk of inequitable benefit sharing among community members, including women.	baseline data on gender (e.g. on land tenure, women's involvement in decision-making at local/community levels, etc.). Additionally, the stakeholder consultation and engagement plans will ensure that efforts are designed and undertaken using a gender approach and equitably include representatives from more marginalized groups, including women, youth, single-family households. The gender action plan (Annex 6) will be reviewed and updated according to the ESIA recommendations (and gender-specific consultations) to mitigate risks of reproducing or exacerbating gender inequalities. This includes ensuring that project entry points for beneficiaries and corresponding incentives for environmental services (e.g., compensation schemes to individual, community representative, or other) are adequately assessed and designed. The plan will include relevant baselines and indicators to be monitored, disaggregated by gender and by group of beneficiaries. Finally, prioritizing payments to women, particularly female-headed households drawing on the lessons of 'Bolsa Familia', by enhancing their access to credit and productive resources, capacity building and training, or other such measures to mitigate this risk will be included in the project design and operations manual. The design will be validated by stakeholders, including women, and a gender specialist will support mainstreaming within the project. Community-based payment schemes will build on traditional and customary governance structures, while integrating measures to ensure that benefits are shared among community members, especially women, youth and elders. Consultations and participatory design of project activities will identify appropriate benefit sharing mechanisms that will mitigate risks of inequalities. Finally, appropriate grievance procedures/mechanisms to provide channels for concerned stakeholders will be set to ensure accessibility for marginalized populations, including women (See Risk 1 for further details). Should any complaints or disputes arise regarding project operations and benefit sharing that unfairly impact women, this mechanism will ensure timely responses and appropriate resolution.

Risk 3: Loss of access to natural resources, especially land and non-timber forest products. Project activities could create tensions or exacerbate conflicts among communities and individuals regarding land use and property rights claims. In some cases, the program could engender land speculation and drive land grabbing. The Project could potentially restrict availability, quality of and access to resources, in particular to marginalized groups, regarding farming, grazing, hunting or collecting of forest products.	Project activities that restrict access to productive resources (especially land and forests) could have potentially negative impacts on individuals and communities that are highly dependent on natural resources for their livelihoods. This applies to all beneficiaries but in particular, Indigenous Peoples and Traditional Communities, who rely on forests for food, medicine, construction materials, cultural services, etc. (See also Risk 6, economic displacement). This risk could also potentially affect men and women differently, given their differentiated responsibilities and relationships to forests and land use (See also Risk 2). There is also a risk that activities related to environmental regularization through the CAR program could bring about conflicts between land users and disputed claims to land. This could adversely impact marginalized populations who may face social and cultural barriers in claiming their rights through CAR, or who are vulnerable to land grabbing (such as is occurring through 'grilagem verde') (See Risk 1 for further details).	The project will carry out upgrades to the SICAR for registering and monitoring processes that will strengthening land tenure security in the Amazon, measures will be taken to ensure that environmental registration is accessible to marginalized groups, including women, poor family farmers, indigenous people and traditional communities. Potential risks associated to land rights issues and beneficiary selection through the CAR will be further assessed in the full ESIA in line with UNDP's SES. The assessment will take into account land issues associate to the different Floresta+ modalities, as well as the varied land tenure security concerns of different beneficiary groups, with special attention to the diversity *within* groups (e.g., gender, ethnicity, etc) To address the potential for exacerbated conflicts, a dispute resolution mechanism is integrated as part of the CAR and the project-level and federal-level GRM will be tailored to address land rights issues (See Risk 1 for further details) Regarding restricted access to resources, the Brazilian approach to Cancun safeguards clear states against any kind of restriction to the sustainable use of their own territory. A full ESIA will be carried out to determine if and where access restriction is a risk and, when it is unavoidable, the project will ensure affected stakeholders fully participate in the design, implementation, M&E of management plans. If livelihoods are natural resource based and access restrictions apply, the project will allow continued access or provide access to alternative resources with equivalent livelihood-earning potential and accessibility. Where common property is affected, benefits and compensation may be collective, as determined through the FPIC process. Floresta+ activities will be designed and implemented in coordination with existing policies and instruments (e.g., management plans), while supporting the operationalization of SISREDD+ to avoid any potentially negative impacts on livelihoods, especially of forest dependent individuals and communities. Attention will be given to clearly defining restricted activities related to natural resources and ecosystem services, to be decided in a participatory manner with beneficiaries. Where sustainable production and extraction practices are included in the design, both

		biodiversity and culturally significant livelihoods will be considered following UNDP SES. These activities will be tailored to the needs of different beneficiary groups, and their rights will be fully and effectively communicated, while also providing adequate training and support for alternative livelihood activities that are compatible with forest conservation and the maintenance of ecosystem services. See also mitigation measures outlined for Risk 6 on economic displacement.
Risk 4: Project activities could have indirect negative impact on natural habitats or Protected Areas. Risk of introducing invasive species, or posing a risk to endangered species. The project activities will take place within or adjacent to critical habitats and/or environmentally sensitive areas, including legally protected areas and indigenous people's lands. While there is a risk that beneficiaries displace illegal activities to protected areas or unclaimed/non-regularized land.	Project activities involving the restoration of forest cover on degraded land or sustainable production practices could affect biodiversity, water and soil quality, and other ecosystem services if invasive/non-native species are introduced, or mono-cropping tree plantations are implemented. Likewise, displacement of livelihood activities through restricted land use could lead the intensification of harvesting NTFP and hunting activities, or illegal logging and agriculture and in adjacent protected areas, adversely impacting biodiversity or endangered species (See also Risk 6 on economic displacement and Risk 8 on emissions displacement).	The ESIA will further assess this risk in each of the four Floresta+ modalities and to determine how UNDP's social and environmental standards apply to all these activities. Any risks identified will be specified in the updated version of the ESMP and mitigation measures identified. Biodiversity aspects will be emphasized in risk assessments and translated into the corresponding biodiversity action plans. Floresta+ is designed to provide incentives for the protection and restoration of environmental services in a holistic manner, while management measures will be taken to avoid adverse impacts these services, including biodiversity, carbon sequestration, as well as those of relevance to affected communities. If avoidance is not possible, the project will aim to maintain value and functionality of priority ecosystem services. Planning and implementation will prioritize the protection of ecologically sensitive areas using practices that mitigate risks to biodiversity, especially endangered and culturally important species. Each site will have documented baseline conditions that need to be understood and monitored. These plans will be aligned with UNDP SES requirements on Biodiversity and following recommendations from the UNDP Guidance Note on SES 1: Biodiversity Conservation and Natural Resource Management. They will also support the strengthen the processes for monitoring of biodiversity indicators, as decided through the participatory process of SISREDD+ indicators, as guided by the meetings of the CCT-Safeguards advisory board. Furthermore, rigorous and well-validated national monitoring systems are in place to track illegal activities in protected areas to be included as part of Brazil's SISREDD+. Bottom-up, participatory monitoring of biodiversity will also be implemented as a key mitigation measure, particularly in the case

		on indigenous and traditional peoples, which will encourage ownership and valuation of traditional knowledge. See also mitigation measures for Risk 8 on displacement. To avoid the displacement of activities (hunting, NTFP extraction) in adjacent protected areas, the design of Floresta+ projects and modality-specific management plans will be coordinated with existing territorial land use and development plans and with the full participation of stakeholders. This will ensure that beneficiaries have adequate and appropriate livelihood opportunities to compensate for any displacement due to forest conservation. Beneficiaries will also be fully informed of restricted activities, which will be clearly defined before project implementation in consultation with stakeholders. See also mitigation measures outlined for Risk 6 and 7 that will stimulate sustainable local livelihoods, while enhancing and protecting ecosystem services, including biodiversity and cultural services. In the design of project activities, measures will be taken to avoid the introduction or utilization of invasive and non-native species, whether accidental or intentional, unless carried out per existing regulatory framework and subject to risk assessment. The choice of species for any plantation establishment, with avoidance/prohibition of any monoculture plantations, will be carefully considered. Areas that have begun to significantly regenerate will need to be assessed against high carbon and high conservation value thresholds before these areas are earmarked for plantations establishment. The Safeguards officer and project eligibility criteria will ensure that areas targeted for tree plantations were not degraded or deforested in anticipation of payments and other benefits, by tying eligibility to prerequisite requirements, such as time since forest clearing. The ESIA will assess this national [guidelines/PLR] against UNDP SES to ensure consistency and gap-filling measures are included in its application as needed.
Risk 5: Project activities could trigger Natural habitat conversion or ecosystem degradation.	The project may drive or introduce the use of pesticides and fertilizers, especially if forest conservation leads to intensification of agricultural practices on already cleared	The ESIA will further assess this risk in each of the four Floresta+ modalities to determine how UNDP's social and environmental standards apply to all proposed activities, and possible shifts in agricultural or livelihood

Project activities could directly or indirectly lead to the (increased) use of pesticides and chemical fertilizers, with potentially adverse effects on biodiversity, soil and water quality and other non-carbon related ecosystem services.	land or if tree plantations require inputs that could potentially adversely impact the ecosystem and the services it provides.	practices. Any risks identified will be specified in updated versions of the ESMP and mitigation measures identified. Management measures will be included in updated and revised versions of the ESMP, in which baseline conditions will be established and procedures for monitoring will be outlined. Modality-specific plans and, when applicable, site-specific plans will be developed following UNDP guidelines to mitigate degradation of critical natural habitats and ensure no net loss of biodiversity or ecosystem services.
Risk 6: Risk of economic displacement and inadequate compensation	There is a risk of economic displacement when project activities restrict access to and the use of productive resources such as land and forests (See also Risk 3). Impacts may be especially acute for individuals and communities that are highly dependent on natural resources for their livelihoods. This applies to all beneficiaries but in particular, men and women may be affected differently, given their differentiated responsibilities and relationships to forests and land use (See Risk 2). Likewise, indigenous and traditional communities relate to and depend on the forest in ways that are practically and culturally distinct from family farmers and other land users in the Amazon. As such, restricted access to these resources could potentially have adverse effects on their livelihoods and cultural heritage (See Risk 7). For activities that involve the promotion of sustainable rural livelihoods to address issues of economic displacement, there is a risk that beneficiaries will not receive adequate training or other resources that enable transitions and support alternative income generation that are needed to help beneficiaries maintain forest cover. Additionally, there is a risk of incentivizing rural out-migration or land abandonment if payments are tied to a bank-based distribution system that are inaccessible to remote communities or individuals without bank accounts. Drawing on experiences with Bolsa Familia implementation	A full ESIA will be carried out to determine if and where access restriction is a risk and, when it is unavoidable, the project will ensure affected stakeholders fully participate in the design, implementation, M&E of management plans. If livelihoods are natural resource based and access restrictions apply, the project will allow continued access or provide access to alternative resources with equivalent livelihood-earning potential and accessibility. Where common property is affected, benefits and compensation may be collective. To mitigate any negative impacts associated to economic displacement, the project will include mechanisms that support rural, sustainable production practices and alternative livelihood opportunities for family farmers, IPs, and TCs. During the design phase, consultations will take with different groups of beneficiaries in order to inform the appropriate level of incentives/ payments to mitigate this risk. Modality-specific management plans and livelihood action plans, that are tailored to the different Floresta+ modalities and different groups of beneficiaries will be developed, when applicable. These will be aligned with existing territorial plans that have been elaborated through stakeholder consultations or self-determined, community-led initiatives (e.g., PGTAs). The ESMP and specific plans will pay particular attention to the heterogeneity within these groups, including the different linguistic, cultural and land use practices of indigenous and traditional peoples and family farmers that vary considerably across the Amazon. Measures to support sustainable livelihood options will be integrated into these plans, outlining targets for capacity building, credit, and other productive resources for beneficiaries as additional financial incentives.

	in Brazil, rural households may move to urban areas to secure payments. Finally, there is a risk of dependence of REDD payments rather than traditional livelihood practices and food systems, depending on the compensation amount, that could incentivize out-migration to urban areas or loss of cultural heritage (See also Risk 7).	The amount of payment per hectare will be defined in norms to be published by the Floresta+ Program Management Committee. Direct payments will be calculated based on the area of native vegetation remnants and environmental liabilities to be recovered, in hectares, according to the data in the National Rural Environmental Registry System (CAR). The project will uphold the definition of sustainable extraction levels of a living natural resource, ensuring sustainable management that enables people and communities, including indigenous peoples, to provide for their social, economic, and cultural well-being while also sustaining the potential for those resources to meet the needs of future generations. Special measures to address inequalities for women and other minorities will be included in the gender action and the indigenous people's plans (See Mitigation Measures in Risks 2 and 7). Financial mechanisms will be set up through the project to support the required for adapting land uses and short and medium term mechanisms to compensate opportunity costs during the transition. These mechanisms will be adapted different groups of stakeholders inclusive of small-scale farmers and indigenous/traditional communities. The project will determine any actions to avoid adverse economic displacement, and a set of parameters will be defined to monitor and report. Furthermore, procedures will be put in place to ensure that there is participatory design and implementation of land use planning with communities, to avoid restricting or economically displacing livelihood activities of IPs, TCs and family farmers. The stakeholder engagement plan will include specific actions to engage with marginalized groups, so that issues of food insecurity and access to clean water that disproportionately impact women or indigenous peoples are considered. Regarding restricted access to resources, Floresta+ activities will be designed and implemented in coordination with existing management plans to avoid any potentially negative impacts on livelihoods. For IPs and TCs, these plans will be developed or be revised/updated with the full participation of communities. For family farmers, Floresta+ activities will be coordinated with existing regional land use and development plans (e.g. ZEE) that address strategies for alternative and sustainable rural

		employment and income. The ESIA will further assess risks associated to compensation mechanisms for different beneficiary groups, and will be evaluated in consultation with targeted beneficiaries to identify barriers and risks specific to their geographic location and cultural and social needs, priorities, and concerns. The compensation mechanism and distribution systems will be modified accordingly to ensure accessibility to remote and marginalized groups, while procedures will be implemented to monitor the impacts of payments on livelihoods, as a community-led or participatory procedure when applicable.
Risk 7: The project could potentially adversely affect the cultural heritage of traditional and indigenous peoples, in its intangible form, including the knowledge, practices, technologies, innovations, and institutions related to traditional ways of life.	There is a risk that payments made directly to indigenous and traditional communities will trigger a shift from a subsistence economy to a cash-based, market-integrated economy, which could lead to the loss of traditional livelihood practices (especially those related to the sustainable extraction of forest products, fishing, hunting, etc) and degradation of traditional social structures and knowledge systems that support the health and well-being of these communities.	Currently, some consideration of traditional knowledge and practices in the monitoring and management of various safeguards is incorporated in the participatory process for creating socio-environmental indicators for the SISREDD+. Cultural heritage is also explicitly considered in the creation of PGTAs, the voluntary process of creating development plans based on IP priorities, epistemology and worldviews. The ESIA will further identify these potential risks on traditional forms of knowledge and practices, further taking into consideration the diversity of Indigenous and traditional cultures in the Legal Amazon that give rise to unique knowledge, practices and social structures among Brazil's varied IPs. Culturally-sensitive consultations will be carried out for the participatory design and management planning of project activities, to ensure that the needs, concerns, and priorities of these diverse groups are accounted for and integrated to avoid any adverse impacts on their cultural heritage. In modality-specific indigenous peoples plans, procedures to monitor and report the impacts of compensation and benefits (monetary and non-monetary) on traditional knowledge, practices, and social structures will be defined and carried out with the full participation of affected communities. This will include community-led, local reporting and monitoring of illegal activities (poaching, logging), where applicable and appropriate, as decided through community consultations. These IP plans will link to the PGTAs, where these plans exist, and further support the elaboration of such plans where they have yet to be completed.

		Finally, a GRM will be developed, ensuring that this is accessible and transparent (See further details in mitigation measures for Risk 1).
Risk 8: Displacement of emissions to other sectors, biomes or countries.	There is a risk that actions to reduce emissions for deforestation and forest degradation provoke displacement of activities to other critical biomes in Brazil, such as the *Cerrado* or *Caatinga*. Likewise, transnational leakage is a risk, particularly in areas that border countries with significantly lower capacities to monitor and enforce deforestation, such as Peru or Bolivia. Finally, payments for restricting activities in designated forested areas could be re-invested to promote land-intensive commodity sectors (See risk 5) or support non-forestry sector activities (e.g., artisanal mining, industrial production) within and outside of the Brazilian Amazon that generate GHG emissions and could offset progress made by REDD+ activities	Brazil has demonstrated a strong commitment to continuous improvement of its FREL estimates and monitoring programs. While the scope of the FREL and monitoring has focused on critical areas in the Amazon, scaling up of the implementation of REDD+ from the biome to the national level, in a stepwise manner is underway, to help track and manage any potential for displaced emissions within Brazil's borders. This includes consistent, reliable, credible, accurate, transparent and verifiable monitoring of deforestation and degradation, such as PRODES, which is integrated into the SISREDD+. In 2015, to improve environmental monitoring at the national level, the Brazilian Biomes Environmental Monitoring Program was established and is aligned with the objectives of the ENREDD+ to deliver the enhancement and improvement of systems and monitoring protocols – particularly for the extra-Amazonian biomes – necessary for achieving the desired national scale. Additional actions include the implementation of the PPCerrado and the engagement of stakeholders beyond the Amazon in the ENREDD+, the establishment of the Rural Environmental Registry (CAR) and the creation of a national forest monitoring system (NFMS). These initiatives will also provide important information to improve, at the national level, policies to combat deforestation and forest degradation and to foster forest recovery. Regarding the inclusion of other REDD-plus activities, Brazil will include reducing emissions from forest degradation in the biomes where this activity is considered by the Working Group of Technical Experts on REDD+ as a significant source of emissions. The same applies for pools and non-CO_2 gases. To mitigate displacement of emissions to other sectors, the innovations modality of Floresta+ will support private sector actors in created green innovative technologies and production practices. These measures will also be buttressed by PLRs related to climate change and resource management that provide legal and regulatory frameworks that will mitigate cross-sectoral displacement of emissions.
Risk 9: Reversals (non-permanence of carbon stocks). Risk of reversals	There is risk of incentive structures, compensation, and other program benefits not adequately covering	Brazil has several actions to monitor, analyze and improve the coordinated actions for maintaining reduced deforestation rates. As described in the FP,

is assumed in all REDD+ projects including conservation, sustainable management of forests, and enhancement of C stocks. These risks are related to factors that could result in participant's withdrawal from the voluntary program.	opportunity costs and participants needs over long time horizons, given that drivers and dynamics of deforestation and degradation can rapidly change or shift to new locations overtime. This risk is equally relevant to cases where beneficiaries may feel locked-in to lands use obligations over time with out the capacity and resources to adapt their livelihoods and land use practices (See Risk 6 on economic displacement) Similarly, there is a risk that delayed or inadequate payments after program rollout could also lead to dissatisfaction and conflict, resulting in withdrawal from the program and subsequent deforestation/ degradation of areas targeted for protection or restoration. This risk is associated to myriad factors, including the consultation process, potential financial and operations risks (such as corruption in the government or fund distribution parties) or significant shifts in political agendas following elections. Finally, non-human factors can also contribute to the risk of reversals, notably those linked to climate change pressures (such as natural disasters, extreme flooding, fires, etc.), which could off-set REDD+ efforts.	each phase of PPCDAm is an opportunity to analyze both the main causes of deforestation and the risks of reversals, which leads to improvements in the action plan. To ensure permanence, the underlying factors of deforestation and forest degradation will be reassessed and re-evaluated to reflect an understanding of the likely effect of climate on forests, including both anthropogenic and natural drivers. It should be highlighted that the implementation if the Floresta+ program which incentivizes familiar farmers, IPs, TCs and other relevant stakeholders to maintain forests and associated environmental services are pivotal to these efforts. Further mitigation measures to address the risk of reversals will be taken at the project-level, and involve the further support of monitoring processes, as well as the updating and revision of management plans and stakeholder engagement plans – in accordance with new phases of PPCDAm – so that the procedures outlined for engagements with natural resource users over time will continue to benefit livelihoods and well-beings while incentivizing commitments to conservation, restoration, and reduced deforestation (See mitigation measures for Risks 6, economic displacement, Risk 7, cultural heritage, and Risk 1, human rights). Careful coordination of PLRs with other relevant sectors and Ministries (including, but not limited to those involved in the implementation of PPCDAm) will also be prioritized in order to achieve optimal results.

PROCEDURES FOR SCREENING, ASSESSMENT AND MANAGEMENT

This ESMF identifies potential social and environmental risks and impacts from project activities and outlines strategies and procedures for identifying risks and impacts from as yet undefined components of Floresta+ and for managing those risks and minimizing undesirable environmental and social impacts. Further, the ESMF identifies stakeholder engagement processes and a Grievance Redress Mechanism for stakeholders with concerns and/or complaints regarding the project.

Once the project activities are fully specified, the project SESP will be updated to review the fully specified components and to determine whether additional social and environmental impacts may be present and need to be assessed and managed. Where the screening of the fully defined projects components identifies potential social and environmental risks that could be categorized as High Risk, these components will be redesigned to eliminate and/or minimize such risks. Project components that may still present High Risks after redesign will be excluded from the project. The SESP will also be updated if there are any significant changes in the project's design or context that may materially change its social and environmental risk profile.

The SESP/ESMF have been developed as part of UNDP's due diligence process in the project cycle. This is initial draft ESMF, that will be developed into an ESMP once a full ESIA can be carried out following the final design of the Floresta+ program and the identification of specific criteria for voluntary program participation and payment of beneficiaries.

The annexes of this ESMF include indicative outlines and guidance on a number of management plans that are highly relevant to this project (e.g., Stakeholder Engagement Plan, Livelihoods Action Plan, Biodiversity Action Plan, etc.) and that are applicable across all elements of the Floresta+ pilot program. They will be elaborated as modality-specific plans, as necessary, following completion of the full impact assessment of the program and the specific projects that will be implemented within. Similarly, a preliminary Gender Assessment and Action Plan has been included in the Annexes, which will require updating following the ESIA (Annex 6). Activities that may have environmental and social impacts will not be implemented until impacts have been assessed and management plans are in place.

Assessment and management of social and environmental risks and impacts

A Full Environmental and Social Impact Assessment (ESIA) will be developed and carried out by independent experts in a participatory manner with stakeholders during the inception phase of the project and as part of the work plan preparatory activities. An indicative outline can be found in Annex 2. This will involve stakeholder consultations and engagement, as well as research, fieldwork, and management planning. The targeted assessments/comprehensive Environmental and Social Impact Assessment (ESIA) will be undertaken once project activities/sub-projects and sites are fully defined. The assessment(s) will be conducted in a manner consistent with national regulations and the UNDP SES and lead to the development of appropriately scaled management measures and plans to address the identified risks and impacts. The UNDP SES and SESP require that in all cases required social and environmental assessments and adoption of appropriate mitigation and management measures must be completed, disclosed, and discussed with

stakeholders prior to implementation of any activities that may cause adverse social and environmental impacts.

The ESIA will:

- Screen social and environmental issues and impacts specific to the local context of prioritized areas for implementation under Floresta+ program once the requirements for payments and benefit sharing criteria have been defined.
- Further clarify the applicable social and environmental standards (including UNDP SES) triggered by projects implemented under Floresta+
- Take steps necessary in the context of the ESIA to fulfill those requirements and make recommendations on how such compliance is to be carried out through the life of the project.

A Revised Environmental and Social Management Plan (ESMP) will be elaborated during the inception phase as part of the full ESIA. Based on the above initial analysis, the following management plans will need to be elaborated after project details and sites are confirmed.

The revised ESMP will:

- Provide time-bound specific recommendations for avoiding adverse impacts, and where avoidance is not possible, for reducing, mitigating, and managing those impacts for all projects implemented under Floresta+.
- Further identify project activities that cannot take place until certain standards, requirements and mitigation measures are in place and carried out (complimenting and updating what has already been identified in this draft ESMF).
- Elaborate modality-specific management plans, as necessary and as required by the applicable UNDP SES and the Cancun Safeguards. They will outline the management objectives, potential impacts, control activities and the environmental performance criteria against which projects will be evaluated (e.g. audited). Recommendations will be adopted and integrated into the project activities, monitoring and reporting framework and budget. Site-specific plans will be elaborated as necessary and when applicable.

Modality-specific management plans will be needed prior to the implementation of projects and payments under the Floresta + program. These plans will be elaborated after the criteria for program participation and payments have been defined, allowing for a more thorough assessment of risks related to specific locations and groups of beneficiaries under the different modalities. These plans will be adapted to account for the variability in local contexts across the Legal Amazon, including the diverse livelihoods and socio-economic conditions of the beneficiaries, the ecological and biophysical conditions, as well as resources and capacities of sub-national governments. These measures should be incorporated into the ESMP or elaborated as modality-specific plans, as necessary. If articulated as a modality-specific plan, the ESMP will note the need for such plans and which activities cannot proceed until such plans are in place. The ESMP will also define how these management plans link to existing programs as well as the mitigation measures defined for SISREDD+.

The following management plans will be consistent with the requirements of the UNDP SES. If articulated as a modality-specific plans, the project ESMF will be updated to note the need for such plans and which activities cannot proceed until such plans are in place

- Stakeholder Engagement Plan (see section 8 and Annex 8 for guidance on the stand-alone SEPs): Fair, inclusive and gender-responsive stakeholder engagement will be essential for final design of Floresta+ and the equitable involvement and inclusion of women, men and youth. The stakeholder engagement plan will enable project officers to ensure that selection is carried out appropriately in synergy with the policy governance structure related (e.g., Indigenous people governance – PNGATI) and that the implementation and selection procedures meet the desired norms and standards. The plan will specifically consider how to equitably and meaningfully engage marginalized and vulnerable populations, such as women, youth, etc., within the project area. The plan will also provide terms of reference and modalities for managing stakeholder engagement in project activities at each site and with each community.
- Livelihood Action Plan (See Annex 7): such plans will be necessary when Floresta + activities involve economic displacement where by the livelihoods of individuals or communities are restricted, partially or fully, in their access to land or resources to support their economic well-being. These action plans will address beneficiary participation in economic displacement decision-making, adequate (full and fair) compensation and assistance, as well as risk management to ensure that livelihoods are at least as good as prior to the program implementation and that the livelihoods of poor and marginalized are improved. The plan will include independent monitoring procedures, clarification of land rights consistent with applicable law, and outline capacity, training, and development actions targeting beneficiaries' livelihoods. It will ensure that UNDP SES requirements, best practice standards, and mitigation measures are being met, such that Program activities involving economic displacement cannot proceed until completion of the full ESIA and livelihood action plans that are modality-specific (and/or site-specific, when applicable).
- Indigenous Peoples Plan (when applicable, See Annex 5): there are potential impacts to the rights, lands, territories and traditional livelihoods of indigenous peoples through Floresta+ activities. The ESIA will identify the presence of indigenous peoples for each of the specific sites and an indigenous peoples plan will be developed if there is a potential impact. If needed, this will include a plan for culturally appropriate consultation with the objective of achieving agreement and Free Prior and Informed Consent. Activities that may adversely affect the existence, value, use or enjoyment of indigenous lands, resources or territories will be avoided where possible.
- Biodiversity Management Plan (see Annex 9): To address different levels of potential impacts on biodiversity, management plans will be developed that take into consideration the diverse ecosystems and environmental contexts across the Legal Amazon. The plan will outline baseline conditions that need to be understood and procedures and indicators to monitor biodiversity will be determined, including the management and monitoring of exotic species, endangered species, and species that are

of cultural and economic importance to resource-dependent communities. This plan will address the benefits and risks pertaining to biodiversity conservation, such as land use planning and selection of tree species for restoration and will be carried out for nursery establishment/management.

- Cultural Heritage Management Plan (if needed): The ESIA will assess the risk at the specific sites for potentially adverse impacts to cultural heritage in both its tangible (material) and intangible forms, the latter referring to the knowledge, practices, technologies, innovations, and institutions related to traditional and indigenous ways of life. If there are risks to cultural heritage, a modality-specific management plan, or site-specific plan, as appropriate, will be put in place.
- Integrated Pest Management Plan (If needed): Based on the final selection of the sites and pest management practices specific to the populations of these sites, an adapted pest management plan may be developed if site specific conditions and risks are not covered by generic management measures identified in ESMF.
- Pollution Prevention and Resource use Plan (If needed): While pollution will be avoided and minimized by the project, in cases where pollution may occur a pollution prevention plan will be put in place ensuring prevention and control practices are in place.

Assumptions

In preparing this ESMF, it is assumed that no physical displacement or forced evictions will occur as part of the project. This, however, will be assessed further through the ESIA and, in the case that voluntary resettlement or displacement may occur at a site, a displacement/resettlement plan will be developed and implemented as part of the ESMP. An indicative outline is included in Annex 3 as due diligence. There is a strong commitment through the project approach to ensure displacement/ resettlement will be avoided to the extent possible. In the case of economic displacement, which is applicable to some Floresta + activities, a Livelihood action plan will be carried out (see above).

Key Issues for the Revisions and Updates of the ESMP

particularly relevant to the development of the environmental and social management measures and plans as well as the implementation of projects and payments under the Floresta+ pilot program. These issues are (i) Land tenure; (ii) Indigenous Peoples and traditional communities and (iii) Geographic scale and scope.

They will need to be reconsidered in the full ESIA once the Floresta + program has been refined. The ESMF will be revised and updated according to the specifications of the ESIA, resulting in an Environmental and Social Management Plan (ESMP). These issues are most pertinent to the Brazilian context, given the extensive geographic area that will be covered by the program, the important number of indigenous peoples and traditional communities, as well as the remoteness of much of the Legal Amazon that have pose unique challenges for land tenure regularization as well as project implementation and monitoring.

Land Tenure

Brazil's current land tenure system, particularly in the Amazon region, is extremely complex due to the size of the rainforest, the settlement history and conflicting interests. Regularized land units include indigenous territories, rural agrarian reform settlements (*assentamentos*), private rural properties, and a variety of state and federal-level conservation areas that are intended for full protection and sustainable use (Figure 1). These different land designations are relevant the development of the ESIA and to the development of a full ESMP for the use of proceeds, and some points of consideration on regularization and threats to these areas are noted.

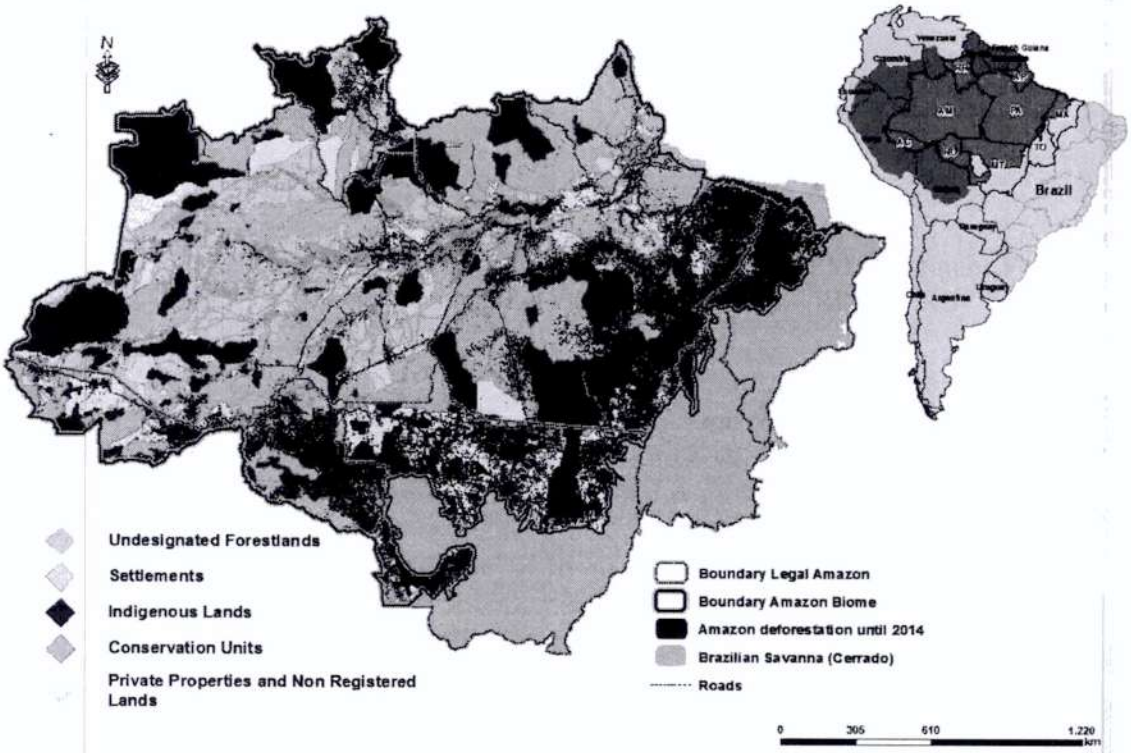

Figure 1. Land designations in the Brazilian Legal Amazon

There remain large expanses of unclaimed/undesignated territory, particularly in the western most states of the Legal Amazon such as Amazonas, Acre. The implementation of PPCDAm sought directly to address this, creating more than 50 million hectares in federal and state protected areas, mostly located in areas under deforestation pressure. However, much of the remaining unclaimed areas exists as ancestral communal lands to a number of indigenous and traditional communities, some of which are currently undergoing demarcation or are in the process of claiming territories or facing legal disputes that stalling the procedure. The absence of clear ownership continues to facilitate land grabbing, and can lead to violent conflicts over land. At the same time, ambiguous definitions of property rights for both public and private holders has historically exacerbated problems of unplanned and unauthorised land use, including

deforestation. Small-scale landholders, traditional populations, and indigenous groups are often more vulnerable to invasions due to their location in less accessible areas and/or limited access to justice and other protection mechanisms.

Brazil has developed legal and practical solutions to the land tenure issues in the Amazon region. PPCDAm has been fundamental to closing the gap in land regularization across the Amazon, which has supported the slowing deforestation and controlling land speculation. One of the aims of PPCDAm is to clarify land tenure in the Amazon to reduce incentives for deforestation. In coordination with the Amazon Region Protected Areas (ARPA) program, more than 500 000 km2 of federal and state-level protected areas were created, targeted primarily to areas with projected road infrastructure development and in the so-called "deforestation arc" (comprising the eastern and southern edges of the forests in the states of Rondônia, Mato Grosso and Pará). In addition, 100 000 km2 of indigenous lands have been granted legal status and thousands of rural land holdings have been geo-referenced under the Terra Legal program.

Terra Legal program has also been fundamental to closing inequalities in land tenure. Launched in 2009 by the Ministry of Agrarian Development, the program seeks to legalize some 55 million hectares (an area that is one-and-a-half times the size of Germany) of state-owned land by granting legal status and land titles to some 160,000 smallholder families. The regularizing of the occupation of federal public lands in the Amazon gives family farmers much needed legal security, such that the program helps combat land grabbing, support the control of deforestation and promote sustainable development initiatives. The regularization process involves periodic inter-institutional consultation meetings. These achievements pave the way for continued programming that enable fair and strategic land regularization across the region that will strengthen Brazil's REDD+ results in the future.

While there is no integrated system for land administration in Brazil that enables coordination efforts across the three levels of government, the establishment of the Rural Environmental Registry (CAR) was a pivotal step for Brazil to support environmental management aspects of regularization of rural holdings. The CAR is an instrument defined at the national level by the Forest Code (Law 12.651 / 2012) with the objective of creating a register of all rural properties in the country, integrating environmental information into a database to enable the environmental regularization of rural properties and ensure the control, monitoring and combat of deforestation in Brazil. In the CAR, the deforested areas are registered, Legal Reserve (RL), Permanent Preservation (APPs), Areas of Consolidated Use, Restricted Use and those that must be reforested. Although it has become mandatory for the whole country with the Forest Code, CAR was already used before 2012 in the states of the Legal Amazon as part of the policies to reduce deforestation in the biome.

Registration of land to the SICAR is an on-going process and over 50% of rural private properties are now in the system. To date wealthy, individual owners of large land areas are more highly represented in the environmental registry, while many smaller rural properties in the Amazon remain unregistered. Among those that are in the Amazon region, a majority are still undergoing analysis and validation, although this varies by state. For example, over 50% have been analysed in Para and Amazonas, while other states have under 10% of properties analyzed. Analysis can be a long process, requiring extensive technical analysis and, often, legal procedures for

resolving disputing claims or overlap. In fact, land conflicts have increased significantly in recent years, with the Amazon Region accounting for 57% of conflicts in 2016, and 54% of families involved in land conflicts.

An additional issue is the notable variation in the concentration of land across states, with larger properties and land claims occurring in the Northwestern states (Amazonas, Para) and smaller lots in southern states (Mato Grosso) or those bordering other nations. State-operated registration systems are also being initiated to assist in the assessment of regularization, as is the case of the Rural Land Registry System (SICARF) designed by the Land Institute of Pará (Iterpa) in partnership with Imazon. The project aims to give greater agility and transparency to Iterpa land regularization procedures, by means of computerization and the integration of different databases.

Through the use of proceeds, processes and oversight related to monitoring land use and environmental aspects of rural properties will be enhanced. Additionally, the creation of an ombudsman to report on violations of safeguards in REDD+ initiatives is recognized as central to addressing land conflict in the Amazon. This will support the protection of rural land rights and help reduce conflict related to tenure and regularization.

Indigenous Peoples and traditional communities

Recognizing and accounting for the diversity of indigenous and traditional populations is also a key consideration for the full assessment of the Floresta+ pilot program and the elaboration of the detailed ESMP and modality-specific plans. Brazil recognizes that these communities can and should be included within broader Environmental initiatives, including REDD+ activities in accordance with Cancun safeguards.

Brazil's indigenous population is diverse, with some 450,000 people identifying as such living in the Brazilian Amazon, making up 60% of the indigenous population of Brazil, with over 40 known groups that are isolated or have had little contact. There are over 419 indigenous territories in the region; they cover more than 115 million hectares, accounting for 23% of the Amazon territory and 98.6% of the extent of all indigenous lands in the country. There are thousands of communities with distinct ethnic, linguistic, and cultural lineages that have been living in the region long before the Portuguese colonization. These peoples have ancestral ties to the land and ecosystems, which are not only of economic importance but also of cultural and spiritual significance and are fundamental to the construction of identities as well as ways of being, thinking, living.

Since the beginning of the 1980s, Brazil has maintained research on Indigenous peoples, with a wealth of information available on the Indigenous Peoples website in Brazil (PIB) and in its special version for children's education, Indigenous Peoples in Brazil Mirim (PIB Mirim). At the federal level, the National Indian Foundation (FUNAI) has the institutional mission to coordinate the formulation and implementation of indigenous policy; land regularization and registration of lands traditionally occupied by indigenous peoples; and resolution of land claims by indigenous peoples as well as for the protection of isolated groups or little contact.

It is estimated that about 4.5 million people are part of traditional communities in Brazil, accounting for about 25% of the national territory. Like indigenous peoples, traditional

communities are also highly diverse and have historical ties to the land that are foundation for their culture, both with respect to social organization and spirituality, as well as their economy. Generally, these communities are of mixed descent (African diaspora, indigenous, and colonial Portuguese) and, like indigenous peoples are highly resource dependent. For the first time, the Federal Government in a Presidential Decree 6,040 / 2007, which established the National Policy for the Sustainable Development of Traditional Peoples and Communities (PNPCT), formally recognized traditional populations. According to this Policy, Traditional Peoples and Communities are defined as: "culturally differentiated and recognized groups that have their own forms of social organization that occupy and use territories and natural resources as a condition for their cultural reproduction, social, religious, ancestral and economic, using knowledge, innovations and practices generated and transmitted by tradition".

For both traditional and indigenous communities, their ancestral lineages and cultural diversity translates into distinct and diverse natural resource management systems that are based on some combination of hunting and gathering practices, fishing and subsistence farming, often over large territorial extensions. While some groups remain isolated from the market-economy, others engage in cash crop production, ranching, or commercial extractivism of non-timber forest products. Overall, however, the ecological footprint of these peoples tends to be comparatively low, compared to family farmers and other land users in the Amazon. Consequently, much of the pristine and intact forested areas that high in biodiversity are on land traditionally occupied by these peoples.

This is of relevance for future updates of the ESMP, so that actions to mitigate and avoid risks and impacts take into consideration this socio-cultural and resource-use diversity. Of particular importance is the fact that there are demographically larger Indigenous groups, such as Guarani (Kaiowá, Mbyá and Nandeva), Guajajara, Kaingang, Munduruku, Ticuna, Xavante and Yanomami, who have somewhat more political power and legitimacy due to their size, their location or their support of government activities. However, there are also less populous, more remote, or anti-state communities that are struggling to sustain their language and culture or acquire land rights. Similarly, within traditional communities, there are a number of different identities related to their historical origins and place-based natural resource management systems, including Quilombolas, rubber tappers, extractivists, caboclos, riberinhos, and pescadores.

For this reason, the Floresta+ pilot program has designed a specific modality that highlights them as distinct groups of beneficiaries. Projects implemented under modality 3 will take these factors into consideration so that activities are adequately tailored these specific groups, communities, or peoples, so that adverse impacts to be mitigated and livelihoods can benefit from the program. To do so, Brazil will work to systematize and coordinate The National Policy for Territorial and Environmental Management of Indigenous Lands (PNGATI) within the framework of the ENREDD+. The policy aims to guarantee and promote protection, recovery, conservation and sustainable use of the natural resources found in indigenous lands and territories, ensuring the integrity of the indigenous heritage, improvement of their quality of life and full conditions of physical and cultural reproduction of indigenous peoples current and future generations, respecting their sociocultural autonomy.

Several indigenous people and traditional peoples and communities have directed and participated in the design of community consultation protocols, to strengthen their right to free, prior and informed consent and consultation. Brazil recognizes that these groups require additional procedural guarantees, in certain circumstances, compared to those provided to the population in general, as well as specific institutions led by these peoples and resources necessary to carry out consultations and activities.

For the use of proceeds, Brazil recognizes these unique challenges, and seeks to strengthen existing governance instances of indigenous peoples and traditional peoples and communities, in particular CNPCT, CNPI and CG PNGATI, including the implementation of PNGATI Axis 2 (with Indigenous Governance and Participation). Brazil will also ensure resources from the federal budget and from REDD+ results-based payments for continuing capacity building and adequate information for different audiences, especially indigenous peoples, traditional peoples and communities, as well as for assigning resources so that they can follow-up and act on the governance bodies of which they are part. In contexts of REDD+ initiatives and programs, Brazil will also make efforts to expend knowledge traditional and indigenous communities on the content of the Law #13,123/2015 (on genetic heritage and traditional knowledge), promoting the empowerment and qualified participation of this public in related governance instances and process.

Notably, deforestation occurring Indigenous Territories is occurring in the largest proportions in areas where communities are not in full possession of their land, it is therefore essential that efforts continue to be made, as with previous phases of PPCDAm, to regulate the largest possible number of indigenous lands. According to FUNAI, the 683 indigenous lands registered in the System of Indigenous Lands, only 60% are in the administrative procedure for regularization, registered with the Secretariat of the Union Equity (SPU). Of these areas, approximately 20% are occupied by non-indigenous, either due to lack of human and material resources that allow greater flexibility of the state to perform the remove invaders occupants and payment for improvements in good faith, either due to lawsuits postpone the withdrawal of occupiers and invaders.

Brazil recognizes challenges land demarcation of indigenous peoples and traditional communities' territories as an important challenge for REDD+ efforts, particularly with respect to institutional avenues for registering these territories in to the CAR as there has been some ambiguity around how these modalities fit into the system. Implementation of PPCDAm made considerable headway on this front, with more than 10 million hectares of indigenous lands being legally approved. Similarly, unifying the systematization of data regarding the creation and homologation of territories of traditional peoples and communities is a challenge, as they are sourced from a number of different governmental agencies: ICMBio with data on territories of extractivist populations (RESEX and RDS), INCRA and Fundação Palmares with data on Quilombola's territories, the Secretariat of Patrimony of the Union (SPU), with data on concession of Sustainable Use Authorization Term (TAUS) for riverine populations.

Geographic scale and scope

The Floresta + pilot program will cover the entire Brazilian Amazon biome, representing an expansive region is virtually unparalleled in scale and complexity, with diverse ecological, socio-economic, and political characteristics that represent logistical and geo-physical challenges in governing such a massive area. These require consideration in future assessments and management planning for risks and impacts related to REDD+ activities. The Brazilian government has made monumental efforts to effectively and accurately combat, monitor, and control deforestation in this region.

At the political level, a key strategy to address the geographic scope in the use of proceeds includes the integration and/or coordination of existing governance structures, programmes and initiatives from public and private entities, that contribute to reducing emissions. Promoting consistency and developing synergies among the policies and plans related to climate change, forest and biodiversity at the federal, state and municipal levels have also been underway and continue to be strengthened.

At the project-level, the risks and impacts associated to the Floresta+ pilot program will vary from state to state and municipality to municipality, considering the different levels of preparedness, technical capacities, and resources. For example, Acre has been a pioneer in REDD+ related activities for nearly a decade, with the implementation of a state-level system of information based on social and environmental safeguards that was developed with extensive stakeholder consultation and a strong participatory design. Mato Grosso is currently in the initial stages of a parallel initiative; however, other states have not begun. Likewise, the implementation of state-level monitoring and safeguard indicators is varied. While Acre is well advanced in their state-level system, and pilot projects such as in such as Plataforma Indicar Estados are underway to report on indicators for the prevention and control of deforestation in four stats (Acre, Amazonas, Mato Grosso, Para), other states are still lagging behind. The range of specific needs, strengths and weaknesses across this broad geographic region will be considered in the development of the Floresta+ pilot program to reduce any operational risks and mitigate important potential impacts for beneficiaries in each state.

It is for this reason that the active participation of state governments has been recognized as essential for reducing deforestation rates, and continual dialogue between federal and state level has been key to coordinating actions, both past and future. Through technical support from the Ministry of Environment, the first State Plans for Prevention and Control of Deforestation (PPCDs) began to be developed in 2008 and currently, the nine states of the Amazon have their plans, some already on review or in implementation. The PPCDs expand the scope of the actions planned at the federal level, recognizing that they are in proximity to local problems and can ease of coordination with the municipalities and communities, where in fact policies and projects will be applied.

Deforestation dynamics and drivers in each state are different, with high variability space-time, affecting unique ecosystems and regionally endemic biodiversity. Areas of higher concentration of deforestation in so called "hotspots" occur along the macro-region known as the arc of deforestation, around the north of Mato Grosso, north Rondonia, west Pará, and Maranhão.

Occasionally, deforestation frontiers appear outside the arc, as in the central and southern region of the state of Roraima along the axis of the BR-174, in the state of Amazonas in the area around Manaus, or the southern region of the state along the BR-230's axis known as "triple border". The western region of Para, known as "Lower Amazon" has also been showing sporadic fronts of deforestation, with the highest concentration of the phenomenon in 2006, 2007 and 2010.

To continue controlling emissions from the LULLCC sector across the Amazon, PPCDAm and future activities carried out under ENREDD+ will prioritize understanding deforestation drivers in each state, as well as the dynamics of temporal changes they are experiencing. To do so, Brazil has developed one of the most sophisticated and comprehensive systems for evaluating deforestation and forest degradation over the vast in the Amazon region. Since 1988 the Brazilian National Institute for Space Research (INPE) of the Ministry of Science, Technology, Innovation and Communication (MCTIC) have been monitoring deforestation rates. Every year, Brazil releases the deforestation rate for the previous year in the Legal Amazon region[5] through the Amazon Deforestation Monitoring Program (PRODES), whose estimates are reliable, consistent, and validated and by national and international experts. The PRODES database is open and available to the public. A separate project, named DEGRAD, is carried out by INPE/ MCTIC to address forest degradation, which also ensures the consistency of the PRODES deforestation time series over time. Additional projects for monitoring in the LULCC sector include DETEX (Detection System Wood Selective Exploration), DETER (the Real-Time Deforestation Detection Project) and TerraClass (Survey of land cover in the Amazon), which together with PRODES and DEGRAD form a set of systems for tracking and monitoring the condition of the Amazon forest, operated by INPE through its Amazon Program.

These systems have been recognized as a major contribution to the achievement of the goals PPCDAm the promptness and transparency in the disclosure of its results. They have been of great importance for the actions and planning of public policies in the Amazon, particularly those related to environmental regularization, land use planning, and REDD+ efforts. Civil society has also played a central role in supporting these national monitoring systems. Imazon, for example, has also launched a deforestation and forest degradation monitoring system for the Amazon.

Additional instruments for rural environmental management and planning also underpin these achievements. The ecological-economic zoning (ZEE), which currently covers over 70% of Brazil's territory including the entirety of the Amazon biomes[6], supports the maintenance and promotion of sustainable natural resources use by allocating activities to predefined environmental areas. Focused on sustainable agro-economic production and forest economies, it aims to maintain ecological balance through environmentally compatible activities.

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[5] The Legal Amazon region is an area of approximately 5.217.423 km² (521.742.300 ha) that covers the totality of the following states: Acre, Amapá, Amazonas, Pará, Rondônia, Roraima and Tocantins; and part of the states of Mato Grosso and Maranhão. The Legal Amazon region encompasses three different biomes: the entire Amazon biome; 37% of the Cerrado biome; and 40% of the Pantanal biome.

[6] PNIA 2012: Painel Nacional de Indicadores Ambientais. Referencial teórico, composição e síntese dos indicadores

7. Institutional arrangements, Roles and Responsibilities for the ESMF Implementation and operation

For each project or payment scheme implemented under the different Floresta + modalities, the MMA and UNDP/contracted consultants will carry out a revision of the ESMF and full risk assessment prior to any works being undertaken. The MMA, with oversight from UNDP, will be responsible for the revisions or updates of this document as project activities and participation/payment criteria are further refined, resulting in the elaboration of a full ESMP. The UNDP with gain the endorsement of the MMA and will ensure the ESMP is adequate and followed.

The roles and responsibilities of staff and associated agencies in implementation project activities and application of social and environmental procedures is provided in Table 5.

The ESIA report and ESMP may propose changes and further clarifications to the roles and responsibilities of project staff and associated entities in the implementation, evaluation and monitoring of project activities and application of social and environmental standards and procedures. Such changes will be assessed and integrated, as appropriate, as part of the participatory decision making and implementation proceedings of the project.

Activities implemented under the different Floresta+ modalities (direct payments and projects) will be delivered on the ground via the MMA through its subsidiary departments or partner organizations/ministries, as to be determined. In addition, collaboration with local councils, NGOs and CSOs is expected, as appropriate for the locality and the modality (project or direct payment).

The program team will include environmental and social safeguards experts, responsible for monitoring and implementation of safeguards and the mechanism for receiving and handling complaints, as well as for the Gender Action Plan. This team will be dedicated to the formulation and follow-up of these frameworks and to the evaluation twice a year of the evolution of these aspects. This team will be in addition to the role played by NGOs responsible for the official follow-up of the safeguards and the complaint mechanism for the REDD+ SEP and will be required to produce reports that will be included in the national communication submitted to the UNFCCC.

The UNDP and MMA are accountable for the provision of specialist advice to delivery entities for effective implementation as well as environmental and social monitoring and reporting. The MMA or its delegate will be responsible for the compliance of the SES/Cancun safeguards as outlined in the ESMF. This includes responsibility for maintaining administrative and environmental records, especially procedures related to FPIC and a log of complaints together with records of any measures taken to mitigate the cause of the complaints.

Capacity Building

The Project Board (in consultation with the Technical Committee) will have final responsibility for the integration of ESIA report and ESMF recommendations in the execution of the projects

implemented under the Floresta+ program. The integration of such recommendations will need to consider particular institutional needs within the implementation framework for application of the ESMP, once elaborated, including a review of the required budget allocations for each recommended activity, as well as the authority and capability of institutions at different administrative levels (e.g. local, regional, and national), and their capacity to manage and monitor ESMP implementation. Where necessary, capacity building and technical assistance activities will be included to enable proper implementation of the ESMP, including through modality-specific management plans and related capacity building.

Delivery organizations (e.g. contractors, NGOs) have the responsibility for ensuring systems are in place so that relevant employees, contractors and other workers are aware of the environmental and social requirements for project implementation, including the ESMP once elaborated.

All project personnel will attend an induction that covers relevant ESMP requirements, including health, safety, environment and cultural requirements.

All workers engaged in any activity with the potential to cause serious social and/or environmental harm (e.g. handling of hazardous materials) will receive task specific training.

8. Stakeholder Engagement and Information Disclosure Process

Brazil is committed to the full and effective participation of relevant stakeholders, in particular indigenous peoples and local communities, in alignment with UNDP SES and Cancun Safeguards. This section describes procedures for ensuring consultation and stakeholder engagement during assessment, development of action plans, and monitoring of social and environmental impacts associated with specific project activities, including information disclosure requirements, linked to the use of RBP proceeds. This shall occur through appropriate channels and governance mechanisms as part of the stakeholder engagement plan (Annex 8), to be further clarified and finalized as part of the full ESMP. The first steps during project inception will be to conduct an environmental and social impact assessment (ESIA), which will cover the activities planned, including the Floresta+ pilot program. This will be carried out by experts and will involve stakeholder consultations and engagement, as well as research, field work, and management planning.

At the national-level, the development of the National REDD+ Strategy (ENREDD+) included extensive and wide-reaching stakeholder engagement, as shown in Appendix A of Brazil's second SoI. The governance for the implementation of REDD+ is one of the most participative structures created by the Brazilian government for implementing policies in the forest sector. To coordinate and monitor the implementation of the ENREDD+ in alignment with applicable safeguards, CONAREDD+ and the CCTs participants are numerous, diverse and representative of Brazilian society. These consultative processes and guidance from UNDP's SES have provided the basis for this ESMF. Refer to Annex B: Overview of Stakeholder Engagement in the ESA.

The governance structures will continue to be strengthened with the use of proceeds, so that REDD+ related projects, programs, and other activities are discussed with a wide range of stakeholders including relevant government departments, NGO/CSOs, indigenous and people's

representatives, traditional communities and family farmers organizations, partner organizations and individual community members. Participation in ENREDD+ management bodies shall be continually enhanced, aiming to cover the great diversity of actors relevant to REDD+ in Brazil. When applicable, efforts will be made to expand the participation and interaction of states located in other biomes of the country at CONAREDD +, as well as REDD+ actions. In doing so, Brazil will continue to support intercultural debates and multi-sector mobilization, in particular with respect to existing structures of indigenous peoples and traditional peoples and communities, including the CNPCT, CNPI and CG PNGATI.

Stakeholder engagement in the state of Acre was fundamental to the development of its pioneering Jurisdictional REDD+ program Initiative, developed in 2010, using participatory and community-led approaches. The System of Incentives for Environmental Services of the State of Acre (SISA), which applies REDD+ SES through the SISA law is exemplary and can be drawn upon to inform the refinement of stakeholder management plans in future revisions of the ESMF.

SISA was designed and validated with input and feedback gathered during a comprehensive stakeholder consultation process[7]. A draft law was first published in 2009 and was sent to 120 people from more than 72 national and international organizations for evaluation, it was also made available online. In addition, public consultation meetings with more than 170 people were organized by the State Secretariat of Environment to discuss the SISA proposal and to work toward a fair and efficient structure of benefit sharing[8]. This included representatives from 35 indigenous territories (out of 36 in the state), FUNAI, and indigenous NGOs, demonstrating the commitment to hearing the voices and integrating the needs of indigenous peoples in the state. Representatives from diverse groups also participated, including universities, companies, banks, family famers, small producers, and traditional extractivist communities. Five meetings were held with technical staff from local NGOs, three workshops brought together potential beneficiaries, and a technical seminar included 10 national and international organizations that represented civil society, as well as representatives of seven State Secretariats[9].

To oversee the implementation of SISA, a multi-stakeholder Commission of Validation and Monitoring of the SISA (CEVA - Comissão Estadual de Validação e Acompanhamento) was created. State law No. 2.308, Article 12, in October 2010 and functions established the Commission as a balanced representation of government and civil society. The Commission held its first meeting in December 2011 and in early 2012, the duties and functions of the Commission were approved by the members. The Instituto de Mudanças Climáticas (IMC) facilitates the use of REDD+ SES in close coordination with CEVA (See Annex B of the ESA for details on participants). The SISA law also created an Indigenous People's working group and a technical advisory committee to oversee activities of the SEVA, which includes representatives of FUNAI, of indigenous groups/federations and indigenous-led NGOs. This serves as another mechanisms to ensure that there is transparent decision-making and participatory monitoring and evaluation of SISA and SEVA activities in the state of Acre.

7 http://imc.ac.gov.br/wp-content/uploads/2016/09/SISA-Construcao-Participativa.pdf
8 Duchelle et al. Acre's State System of Incentives for Environmental Services (SISA), Brazil. CIFOR.
9 ibid

The Floresta+ pilot project builds on the extensive stakeholder engagements and consultations that have already been conducted in Brazil, and these activities will continue throughout project implementation. The first 12 months of implementation will be used to conduct extensive stakeholder consultations and social and environmental impact assessments in line with the ESMF, in order to establish detailed and operational safeguards management plans and to inform the broader design of Floresta+, including the selection of the beneficiaries in the Modalities 1, 2, 3 and 4. It includes the establishment and operation of a governance structure; the definition of values and priority areas for direct payments; upgrades in SICAR for registering and monitoring processes; the development of a simplified online platform to register the proposals for direct payments; the selection process of the beneficiaries and projects; the establishment of the contracts. In the context of REDD+ results payments initiatives, stakeholder engagement processes will also create spaces for dialogue and lessons learned on possible hindrances in the execution of resources (third sector, state and federal government) in order to increase implementation capacity.

A Project Inception Workshop will be held within the first 2 months of project start, involving stakeholders as well as those with assigned roles in the project organization structure, the UNDP Country Office and, where appropriate/feasible, UNDP regional technical policy and technical advisors. The Inception Workshop is crucial to building ownership of the project results and to plan the first-year annual work plan. The Inception Workshop will address several key issues including:

- To assist all partners to fully understand and take ownership of the project.
- To detail the roles, support services and complementary responsibilities of UNDP Country Office (CO) and Regional staff vis à vis the project team.
- Discussion on the roles, functions and responsibilities within the project's decision-making structures, including reporting and communication lines, and conflict resolution mechanisms.
- Based on the project results framework, finalization of the first annual work plan. Review and agree on the indicators, targets and their means of verification, and recheck assumptions and risks.
- Provision of a detailed overview of reporting, monitoring and evaluation (M&E) requirements. The M&E work plan and budget will be agreed and scheduled.
- Discussion of financial reporting procedures and obligations, and arrangements for annual audit.
- Planning and scheduling of project Board meetings. Roles and responsibilities of all project organization structures will be clarified, and meetings planned. The first project Board meeting will be held within the first 12 months following the inception workshop.
- An Inception Workshop Report will be a key reference document and will be prepared and shared with participants to formalize various agreements and plans decided during the meeting.

Meaningful, effective and informed stakeholder engagement and participation will continue to be undertaken that will seek to build and maintain over time a constructive relationship with stakeholders, with the purpose of avoiding or mitigating any potential risks in a timely manner. The scale and frequency of the engagement will reflect the nature of the activity, the magnitude of potential risks and adverse impacts, and concerns raised by affected communities. The Stakeholder Engagement Plan (See Annex 8) will continue to evolve and will be detailed further through the elaboration of modality-specific stakeholder engagement plans on payment schemes are refined. Stakeholder engagement arrangements will be consistent with requirements of the UNDP SES. See the UNDP Guidance Note: Stakeholder Engagement.

Consultations and Information Disclosure

Stakeholders will have access to relevant project information in order to understand potential project-related opportunities and risks and to engage in project design and implementation. Therefore, as part of the stakeholder engagement process, information will be disclosed to ensure that project stakeholders have access to relevant information. Specifically, the following information be made available:

- Stakeholder engagement plans and summary reports of stakeholder consultations,
- Social and environmental screening reports with project documentation (30 days prior to approval),
- Draft social and environmental assessments, including any draft management plans (30 days prior to finalization),
- Final social and environmental assessments and associated management plans,
- Any required social and environmental monitoring reports.

This information is to be disclosed in a timely manner, in an accessible place, and in a form and language understandable to affected persons and other stakeholders. These elements of effective disclosure are briefly elaborated below:

- Timely disclosure: information on potential project-related social and environmental impacts and mitigation/management measures will be provided in advance of decision-making whenever possible. In all cases, draft and final screenings, assessments and management plans must be disclosed and consulted on prior to implementation of activities that may give rise to potential adverse social and environmental impacts.
- Accessible information: Appropriate means of dissemination will need to be considered in consultation with stakeholders. This could include posting on websites, public meetings, local councils or organizations, newsprint, and radio reporting, flyers, or direct mail.
- Appropriate form and language: Information needs to be in a form and language that is readily understandable and tailored to the target stakeholder group.

The UNDP and MMA will develop and release updates on the project on a regular basis to provide interested stakeholders with information on project status. A publicized email or similar

channel will be maintained throughout the project to serve as a point of contact for enquiries, concern, complaints and/or grievances. All enquiries, concern, complaints and/or grievances will be recorded on a register and the appropriate manager will be informed. All material must be published in Portuguese and, when appropriate, in English. Whenever feasible, efforts will be made to also publish material in the local (indigenous) languages applicable to the region and beneficiary group.

These activities will align with the consultation protocols that Indigenous people and traditional peoples and communities have developed in order to strengthen their right to free, prior and informed consent and consultation. These protocols are collaboratively designed by the communities and are intended to communicate to governments and other sectors of society the way they wish to be consulted on initiatives that impact or affect their communities and territories. Doing so will encourage the elaboration of other community consultation protocols nationwide to broaden the promotion of the right to consultation and to free, prior and informed consent.

9. Grievance Redress Mechanism

During the design and implementation phases of any project, a person or group of people can be adversely affected, directly or indirectly due to the project activities. The grievances that may arise can be related to social issues such as eligibility criteria and entitlements, disruption of services, temporary or permanent loss of livelihoods and other social and cultural issues. Grievances may also be related to environmental issues such as pollution or pesticide use.

Should such a situation arise, there must be a mechanism through which affected parties can resolve such issues in a cordial manner with the project personnel in an efficient, unbiased, transparent, timely and cost-effective manner. To achieve this objective, a grievance redress mechanism has been included in ESMF for this project.

The project allows those that have a complaint or that feel aggrieved by the project to be able to communicate their concern, complaints and/or grievances through an appropriate process. The Complaints Register and Grievance Redress Mechanism set out in this ESMF are to be used as part of the project and will provide an accessible, rapid, fair and effective response to concerned stakeholders, especially any vulnerable group who often lack access to formal legal regimes.

While recognizing that many complaints may be resolved immediately, the Grievance Redress Mechanism set out in this ESMF encourages mutually acceptable resolution of issues as they arise.

The Grievance Redress Mechanism set out in this ESMF has been designed to:

- Be a legitimate process that allows for trust to be built between stakeholder groups and assures stakeholders that their concerns will be assessed in a fair and transparent manner;
- Allow simple and streamlined access to the Complaints Register and Grievance Redress Mechanism for all stakeholders and provide adequate assistance for those that may have faced barriers in the past to be able to raise their concerns;

- Provide clear and known procedures for each stage of the Grievance Redress Mechanism process, and provides clarity on the types of outcomes available to individuals and groups;
- Ensure equitable treatment to all concerned and aggrieved individuals and groups through a consistent, formal approach that, is fair, informed and respectful to a concern, complaints and/or grievances;
- To provide a transparent approach, by keeping any aggrieved individual/group informed of the progress of their complaint, the information that was used when assessing their complaint and information about the mechanisms that will be used to address it; and
- Enable continuous learning and improvements to the Grievance Redress Mechanism. Through continued assessment, the findings may reduce potential complaints and grievances.

The GRM will be gender- and age-inclusive and responsive and address potential access barriers to women, the elderly, the disabled, youth and other potentially marginalized groups as appropriate to the Project. The GRM will not impede access to judicial or administrative remedies as may be relevant or applicable and will be readily accessible to all stakeholders at no cost and without retribution.

Information about the Grievance Redress Mechanism and how to make a complaint and/or grievance must be communicated during the stakeholder engagement process and placed at prominent places for the information of the key stakeholders.

Eligibility criteria for the Grievance Redress Mechanism include:

- Perceived negative economic, social or environmental impact on an individual and/or group, or concern about the potential to cause an impact;
- Clearly specified kind of impact that has occurred or has the potential to occur; and explanation of how the project caused or may cause such impact; and
- Individual and/or group filing of a complaint and/or grievance is impacted, or at risk of being impacted; or the individual and/or group filing a complaint and/or grievance demonstrates that it has authority from an individual and or group that have been or may potentially be impacted on to represent their interest.

Local communities and other interested stakeholders may raise a grievance/complaint regarding social and environmental issues at all times to the MMA. Affected local communities should be informed about the ESMF provisions, as well as those refined in the full ESMP, including its grievance mechanism and how to make a complaint.

The GRM will be revised and updated in the ESMP, following recommendations of the full ESIA. Specifically, frameworks and protocols for linking and aligning project-level GRM with existing national and state-level and sector-specific systems - which have their own consolidated and operating ombudsman offices (*ouvidorias*) that are applicable to REDD+ related activities - will need to be elaborated to leveraging the existing channels. Revisions will ensure that that the GRM is clear and accessible to stakeholders so that any complaints or disputes related to REDD+

activities related to the use of proceeds can be received and addressed. The CCT is currently supporting the elaboration of a safeguard ombudsman as part of the SISREDD+ to take concrete steps in this direction.

At the national level, various ministries, secretariats, and other government bodies have ombudsman offices that are mandated with receiving complaints, serving as a channel of communication between society and governance institutions (see details in Annex C: Overview of Grievance Redress Mechanisms, in the ESA). In the Forestry sector, Brazilian Forest Service (SFB) an autonomous body and part of the structure of the Ministry of the Environment (MMA), has an ombudsman's office, where "anyone can make a statement, send a request, complaint, complaint, suggestion and praise about SFB and its activities"[10]. In addition to the typical activities of the ombudsman, the SFB office is mandated with performing the following duties: 1) coordinate the Information Citizen Services (SIC), ensuring access to information in an efficient and appropriate manner, as envisaged in the Law on Access Information (LAI); and 2) channel service flows and queries related to Register Rural Environment (CAR). In 2016, the SFB implemented a series of measures to focus on better public service in relation to the SICAR, as well as availability of strategic information related to the CAR, resulting in a reduction in the number of complaints. Beyond the SFB, MMA has created within its organizational structure an office of the ombudsman for the Brazilian Environment and Renewable Natural Resources Institute and Chico Mendes Institute for Biodiversity Conservation (both autonomous federal agencies).

State-level ombudsman offices are also present in different sub-national governance institutions and may be aligned with the GRM, as applicable. Acre pioneered the System of Incentives for Environmental Services (SISA, refer to Annex C in the ESA) involved the establishment of an ombudsman office within the CEVA (State Commission for Validation and Monitoring), linked directly to the State Secretary of Environment (SEMA), to deal specifically with grievances related to REDD+ activities. This office works in parallel to the state-level ombudsman office within the Office of the Attorney General, such that stakeholders can make complaints can either office. Furthermore, the design of the GRM for REDD+ SISA in the State of Mato Grosso is expected to be based on a network of ombudsman offices from different relevant ministries and other state-level organs/entities to coordinate complaints registry and resolutions in an effective manner.

The project will support ongoing activities to strengthen and link up existing entry points for addressing grievances related to REDD+. Where the above mentioned existing national and sub-national mechanisms will be used in the context of this project, an assessment of the mechanisms using the UN Guiding Principles on Business and Human Rights: Implementing the United Nations "Protect, Respect and Remedy" Framework[11] will made as part of the ESIA. Gaps will be identified and addressed as part of the development of the ESMP.

[10] http://www.florestal.gov.br/ouvidoria

[11] For more guidance on how to apply these in the context of REDD+ programming, see: https://unredd.net/documents/global-programme-191/grievance-and-compliance-1455/national-grievance-mechanisms-3390/14201-joint-fcpfun-redd-guidance-note-for-redd-countries-establishing-and-strengthening-grievance-redress-mechanisms-1.html?path=global-programme-191/grievance-and-compliance-1455/national-grievance-mechanisms-3390

UNDP SRM and SECU

In addition to the project-level and national grievance redress mechanisms, complainants have the option to access UNDP's Accountability Mechanism, with both compliance and grievance functions. The Social and Environmental Compliance Unit investigates allegations that UNDP's Standards, screening procedure or other UNDP social and environmental commitments are not being implemented adequately, and that harm may result to people or the environment. The Social and Environmental Compliance Unit is housed in the Office of Audit and Investigations, and managed by a Lead Compliance Officer. A compliance review is available to any community or individual with concerns about the impacts of a UNDP program or project. The Social and Environmental Compliance Unit is mandated to independently and impartially investigate valid requests from locally impacted people, and to report its findings and recommendations publicly.

The Stakeholder Response Mechanism offers locally affected people an opportunity to work with other stakeholders to resolve concerns, complaints and/or grievances about the social and environmental impacts of a UNDP project. Stakeholder Response Mechanism is intended to supplement the proactive stakeholder engagement that is required of UNDP and its Implementing Partners throughout the project cycle. Communities and individuals may request a Stakeholder Response Mechanism process when they have used standard channels for project management and quality assurance, and are not satisfied with the response (in this case the project level grievance redress mechanism). When a valid Stakeholder Response Mechanism request is submitted, UNDP focal points at country, regional and headquarters levels will work with concerned stakeholders and Implementing Partners to address and resolve the concerns. Visit www.undp.org/secu-srm for more details. The relevant form is attached at the end of the ESMF.

10. Monitoring and Evaluation Arrangements

Project-level monitoring and evaluation (M&E) will be undertaken in compliance with the UNDP POPP and the UNDP Evaluation Policy. The M&E Plan will be conducted in accordance with UNDP and GCF procedures by the project team and the Brazilian UNDP Country Office (UNDP CO). These arrangements will work with project stakeholders to ensure the M&E requirements are implemented in a timely manner and to the satisfaction of the stakeholders. UNDP will report to GCF on disbursement of project finance and co-finance, as well as M&E and safeguards for the project, including co-finance, in the project's annual performance report. The UNDP project document will also include additional information such as corresponding means of verification. The M&E plan will include: an inception report, annual Project reports to GCF, project implementation reviews, a mid-term review and final evaluation. This information will be made available online via Info Hub Brasil (http://redd.mma.gov.br/en/infohub).

The annual project report will be prepared by the Project Technical Advisors, consolidated by the Project Manager, validated by the Project Coordination Unit (PCU) and final approved by the Project Board to monitor progress made since project start and for the previous reporting period.

The GCF Secretariat, taking into account the simplified reporting approach for REDD+ RBP, will define the format and content of the report.

Co-financiers will also have to support UNDP by sending an annual report, which will include:

- Amount of funds disbursed over the past year and cumulatively,
- A narrative of the activities that the funds were used for during the past year,
- The contribution of these funds to the project outcomes and outputs using the indicators and means of verification agreed in the project logical framework,
- If relevant to the co-financed activities, a summary of progress in implementing the project's Environmental and Social Management Framework (ESMF) including the evidence where available.

The project will be audited as per UNDP norms and standards and supplementary audits may be requested by the GCF and stakeholders.

The following key milestones are anticipated for M & E:

- A project inception phase and project launch workshop will be held.
- A project implementation phase launch workshop will be held at the end of the inception phase, detailing the exact stakeholders and partners as well as final project locations. The ESIA results will be presented as well as the revised GRM and ESMF.
- Annual reports are planned for submission by end of December of each year, or each anniversary of the Launch date of the project.
- A midterm review is expected at the onset of the third year of implementation. A midterm review workshop will be held to present and discuss feedback from the evaluation and amend the project if required.
- A final project evaluation will be launched 3 months before project closure to provide the final overview of implementation results.

Table 5 provides a summary of specific measures related to M&E of environmental and social safeguards during project implementation:

Table 5. Summary of Social and Environmental M&E Arrangements for Floresta +

Monitoring Activity	Purpose	Frequency	Expected Action	Roles and Responsibilities
Development of Environmental and Social Impact Assessment (ESIA)	Carried out and drafted in a participatory and gender responsive manner, in-depth analysis of potential social and environmental impacts, as well as identification / validation of mitigation measures linked to projects implemented under Floresta+..	Quarters one and two of program implementation	Risks and potential impacts are assessed according the site of implementation and the modality, with support of external consultants and participation of project team and stakeholders; management actions are identified and	MMA with the support of UNDP will launch the ESIA process. A group of consultants will lead the process and garner the expertise needed. Stakeholders will review the terms of reference, and validate the findings. The Consultants and the team

			incorporated into project implementation strategies.	will ensure that relevant changes and updates are made to the ESMF and again validated by stakeholders.
Track progress of ESMF implementation	Application of mitigation measures, as well as any required changes to ESMF, including modality-specific plans as required by applicable SES, will be monitored through a participatory process, and with results reported to Project Board on bi-annual basis.	Quarterly, or in the frequency required for each measure.	Slower than expected progress will be addressed by project management.	Collection of data will be ascribed to various stakeholder groups and the PMU. The project management unit, and particularly the safeguards officer, will integrate the mitigation measures into the overall monitoring and reporting framework of the project.
Implementation of mitigation measures and monitoring of potential impacts identified in ESIA, and reporting through SIS and Summary of Information to the UNFCCC	Permanent and participatory implementation and monitoring of impacts and mitigation measures, in accordance with Environmental and Social Management Plan - ESMF (to be revised and updated once the ESIA is completed)	Continuous	Implementation of ESMF; participatory monitoring of ESIA findings (i.e. identifying and aligning indicators, monitoring potential impacts and risks); integration of ESMF into project implementation strategies	The PMU will be responsible for the implementation of the mitigation measures in conjunction with stakeholders in various parts of the project, these include including relevant national and sub-national government departments, NGO/CSOs, indigenous people's representatives, traditional community and family farmers organizations, private sector and partner associations. Reporting to the UNFCCC will be done by Climate Change Directorate of the MMA once validation has taken place.
Learning	Knowledge, good practices and lessons learned regarding social and environmental risk management will be captured regularly, as well as actively sourced from other projects and partners and integrated back into the project.	At least annually	Relevant lessons are captured by the project team and used to inform management decisions.	MMA with the Project management unit with the communications officer, and the learning units of the project, including sub-national and local partners.
Annual Project Quality Assurance	The quality of the project will be assessed against UNDP's quality standards to identify project strengths and weaknesses and to inform management decision making to improve the project.	Annually	Areas of strength and weakness will be reviewed by project management and used to inform decisions to improve project performance.	MMA with the Project Board.
Review and adapt activities and approach as necessary	Internal review of data and evidence from all monitoring actions to inform decision making.	At least annually	Performance data, risks, lessons and quality will be discussed by the project board and used to make course corrections.	PMU, MMA
Project Report	As part of progress report to be presented to the Project Board and key stakeholders, analysis, updating and recommendations for risk management will be	Annually, and at the end of the project (final report)		PMU

	included.			
Project Review (Project Board)	The project's governance mechanism (i.e., project board) will hold regular project reviews during which an updated analysis of risks and recommended risk mitigation measures will be discussed.	At least annually	Any risks and/ or impacts that are not adequately addressed by national mechanisms or project team will be discussed in project board. Recommendations will be made.	Project Board
System of Information on Safeguards SIS	Systematize information on how REDD+ safeguards are addressed and respected during project implementation, in order to comply with the requirement of the Warsaw framework on REDD.	Continuously	The information on how REDD+ safeguards are addressed and respected during project implementation will be available online, once the SIS web-platform is up and running.	MMA at the National Level with support from UNDP as required.
Summary of Information to the UNFCCC on how safeguards are addressed and respected	Summarize for the UNFCCC, how the REDD+ safeguards have been and are being addressed and respected during project implementation, prior to seeking REDD+ RBP.	Summary of information (SoI) as part of the National Communication every 4 years; encouraged to submit the SoI more frequently (every 2 years) directly to the UNFCCC REDD+ platform.	Elaboration of the summary of information, once every 4 years, in the National Communication. Direct submission of the Summary of Information to the UNFCCC REDD+ platform on more frequent basis (every 2 years) is encouraged.	MMA at the National Level with support from UNDP as required.
REDD+ Specific				
System of Information on Safeguards, SIS	Systematize information on how REDD+ safeguards are addressed and respected during project implementation, in order to comply with the requirement of the Warsaw framework on REDD.	Continuously	The information on how REDD+ safeguards are addressed and respected during project implementation will be available online, once the SIS web-platform is up and running.	MMA and CCT-Safeguards advisory board at the National Level with support from UNDP as required.
Summary of Information to the UNFCCC on how safeguards are addressed and respected	Summarize for the UNFCCC, how the REDD+ safeguards have been and are being addressed and respected during project implementation, prior to seeking REDD+ RBP.	Summary of information (SoI) as part of the National Communication every 4 years; encouraged to submit the SoI more frequently (every 2 years) directly to the UNFCCC REDD+ platform.	Elaboration of the summary of information, once every 4 years, in the National Communication. Direct submission of the Summary of Information to the UNFCCC REDD+ platform on more frequent basis (every 2 years) is encouraged.	MMA and CCT-Safeguards advisory board at the National Level with support from UNDP as required.

11. BUDGET FOR ESMF IMPLEMENTATION

A budget has been prepared for the implementation of the ESMF as follows:

Item	Cost

ESMF Updating and Auditing	$400,000
Supporting SISREDD+ operationalization	$9,000,000
Elaboration of Modality-specific and, when applicable, Site-Specific Management Plans	$5,000,000
Consultants for development of identified management and consultation plans	$300,000
Consultation process on Floresta+ national and sub-national (state) level	$300,000
Consultation process with indigenous and traditional people, local communities	$1,000,000
Consultation process Gender	$100,000
Support of Indigenous Land Titling, CPT and subsequent phases of Terra Legal	$200,000
Support of CAR registration and validation	$300,000
Supporting the implementation and/or development of PGTAs	$300,000
Establishment of Grievance Redress Mechanism for Floresta+ and SISREDD+ and support of existing grievance systems (*ouvidorias*)	$100,000
Total	$17,000,000

ANNEXURES

Below is a list of potential examples and indicative outlines for annexes that may need to be attached to the ESMP.

Annexure 1: UNDP Social and Environmental Screening Procedure (SESP) Template for the Floresta+ pilot program.

Annexure 2: Indicative Outline for ESIA Report

Annexure 3: Indicative Outline for the ESMP

Annexure 4: Key Social and Environmental Indicators and Management Measures

Annexure 5: Indicative outline for Indigenous People's Plan

Annexure 6: Preliminary Gender Assessment and Action Plan

Annexure 7: Indicative outline for Livelihood Action Plan

Annexure 8: Guidance on Stakeholder Engagement Plan

Annexure 9: Indicative outline of Biodiversity Action Plan

Annexure 10: Indicative outline of Resettlement Action Plan, if applicable

Annexure 11: Sample ToR for Project-level Grievance Redress Mechanism

Annexure 12: Guidance for submitting requests to UNDP SECU/SRM

ANNEXURE 1. UNDP SOCIAL AND ENVIRONMENTAL SCREENING FOR FLORESTA+ PILOT PROGRAM

The completed template, which constitutes the Social and Environmental Screening Report, must be included as an annex to the Project Document. Please refer to the Social and Environmental Screening Procedure and Toolkit for guidance on how to answer the 6 questions.

Project Information

Project Information	
1. Project Title	REDD+ results-based payments for results achieved by Brazil in the Amazon biome in 2014 and 2015
2. Project Number	XXX
3. Location (Global/Region/Country)	Brazil, Amazon Biome

Part A. Integrating Overarching Principles to Strengthen Social and Environmental Sustainability

QUESTION 1: How Does the Project Integrate the Overarching Principles in order to Strengthen Social and Environmental Sustainability?
Briefly describe in the space below how the Project mainstreams the human-rights based approach
In Brazil, there are substantial legal and policy frameworks that strive to protect, promote and respect human rights constitutionally that will underpin the design and implementation of the Floresta+ activities, as well as Brazil's overall national REDD+ strategy (ENREDD+). In addition to the numerous international agreements and instruments that have been ratified, Brazil has made significant efforts in the last decades towards reforming and creating national laws relevant to resource management, conservation, sustainable economic development, and the enjoyment of rights and freedoms, including that of self-determination of Indigenous Peoples and Traditional Communities. These are fundamental to the realization, inclusivity and permanence of REDD+ efforts, particularly with respect to IPs and traditional communities (quilombolas) who are stewards of forest ecosystems, and are key stakeholders in the maintenance of forest cover and the ecosystem services with which this is associated. In addition to conserving and restoring forest cover across the Brazilian Amazon, the project also seeks to improve the well-being of those whose livelihoods and cultures are tightly linked to natural resources, supporting the right to an adequate standard of living, the right to health, the right to water and the right of IPs to the lands, territories and resources which they have traditionally owned, occupied or otherwise used or acquired. At the heart of the Floresta+ program and ENREDD+, are efforts to address land tenure issues first and foremost, so that resource-dependent communities can secure their rights and access. Integrating stakeholders from the private, public, and non-profit sectors into the project as equal partners or as leaders is recognized as pivotal to the success of REDD+ in Brazil. In particular, measures are taken to support the participation of indigenous peoples and traditional communities, as well as marginalized groups such as poor rural farmers and women, in the design, implementation, and monitoring/evaluation of project activities in ways that value their knowledge and respond to their needs. The meaningful, effective, inclusive and voluntary participation of these stakeholders (and where required, the free prior and informed consent (FPIC) of indigenous and traditional communities), will strengthen ownership and build local support of REDD+ related activities. The voluntary nature of the RBP Project activities, broadly through adhesion to the Rural

and exclusion, particularly of marginalized groups or people living in poverty because duty-bearers might not have the capacity to meet their obligations or because rights-holders might not have the capacity to claim their rights. There are potential risks of excluding marginalized groups associated to the proposed beneficiary selection mechanism, which uses the Rural Environmental Registry (CAR) as the main program entry point. There is a risk of unfair benefit-distribution when payments and compensation amounts are tailored to and target deforestation "hotspots" over large expanses of intact forest.			capacity to claim their rights. While significant progress has been made in Brazil in terms of respect and promotion of human rights, particularly those in regards to indigenous lands and self-determination, the government may not have the capacity to effectively comply with these obligations, given the extremely high cultural, linguistic, and livelihood diversity of traditional and indigenous communities, as well as the extensive geographic reach of the project, which will be implemented throughout the Amazon. In particular, this risk will vary considerably from state to state, given their different capacities to consult with stakeholders and their history with Indigenous People, which may generate distrust, conflict and delays that may undermine project objectives. To be eligible for payments, beneficiaries must have land registered through the CAR, which could create a biased beneficiary selection process and unfairly benefit those who are already registered, as well as those for whom registration is accessible (not spatially isolated, able to hire someone to demarcate land, access to computer/internet). Currently, wealthy, individual owners of large land areas are disproportionately represented in the land registry. There is a risk of excluding those who have not yet registered their land or those who are facing institutional or practical challenges in registering. For small producers, and in particular those with farms in *assentamentos*, land regularization is overseen by INCRA, an institution with limited	potential human rights impacts, a full ESIA is planned as part of the launch of the project and design of Floresta+. Moreover, the project will be implemented using a phased approach to ensure that technical assistance and capacity building is provided to duty-bearers, both in terms of supporting ongoing land titling processes, responding to land conflicts in a fair and equitable manner. In particular, attention will be given to leveling out differences among states in terms of ability to carry out their human rights obligations, and support the land regularization of IPs and traditional communities. Considering the different modalities of Floresta + and diverse groups of beneficiaries, modality-specific plans will be developed so that management and mitigation measures account for the needs and interests of marginalized groups, with particular attention to: (1) the status of their land and the resource rights of different beneficiaries in the project areas; (2) the benefit sharing structure for different beneficiary groups and payment mechanisms of different project modalities; (3) the engagement of women and other minority groups in decision-making and participation processes around activities, including the project design, implementation and management. The ESMP will be updated to detail which sites will require specific plans and overall avoidance and management measures to be put in place across the project. In particular, comprehensive stakeholder engagement plans, indigenous (and traditional) peoples plans, and gender action plans will outline key management measures to prevent potential human rights impacts for vulnerable and marginalized groups. They will define procedures for establishing a relationship of trust and dialogue through principles of accountability and rule of law, and ensuring participation and inclusion, and non-discrimination. Marginalized and vulnerable groups will be engaged throughout project implementation, as well as all impact assessment and management planning activities, including defining how they want to be engaged. Monitoring and evaluation of engagement processes will be conducted by a third party or external body, involving a variety of stakeholders, including NGOs, CSOs, and/or community

			capacity and resources to effectively carry out legal land titling in these areas. Additionally, Indigenous Peoples and Traditional Communities whose collective land rights are not secure, are more likely to have legal disputes about land demarcation or about overlapping and contradictory land claims (through 'grilagem verde', for example). Although the granting of Indigenous Land titles is an ongoing process, and in some areas local development plans for these territories (e.g., PGTAs) exist and can be used as the entry point for voluntary program participation, huge tracts of land targeted by the program have yet to titled, and the resources for the process of creating PGTAs is very limited. For the first years of the role out of the pilot program, there remains a risk exclusion, given that the majority of these groups still do not have their territories regularized, or do not have development plans in place – although this varies from state to state. There is also a risk of unfair benefit-distribution when payments and compensation amounts are tailored to and target deforestation "hotspots" over large expanses of intact forest. In general, wealthy landowners reside in priority areas, many of which have already contributed to deforestation in the past, and have been granted amnesty under the revision of Brazil's Forest Code in 2012. A majority of Indigenous people and Traditional communities reside in remote regions that may not currently be threatened by deforestation, so there is a risk of disproportionately benefiting one group	representatives. With specific reference to indigenous people and traditional communities, project activities occurring on their lands will be implemented on a voluntary basis, after adequate information is provided on the implications of adhesion to the program. The elaboration of the local development plans in indigenous territories (PGTA) and of management plans for sustainable use reserves (RESEX, FLONA) will serve as an entry point to the program. In cases where these plans do not yet exist, measures will be taken to design and implement these plans in a participatory manner, with self-selected representatives of indigenous and traditional communities leading the process. An Indigenous and Traditional Peoples working group will be created that will help inform the design of Floresta+ modalities targeting IPs and traditional communities, as well as to inform the design of the stakeholder consultation process. FPIC procedures, focused on providing information and training on the Floresta+ will guide stakeholder engagement when there are potential impacts on their livelihoods and cultural heritage. Likewise, broadened participation of representatives of indigenous groups and traditional populations in the local, regional and national REDD-related platforms will continue to be promoted in the design, implementation and monitoring of project activities and indicators for the SISREDD+. Lessons learned from engagement with stakeholders in previous REDD-related platforms, at the national and state-level, will be taken into account to continue to strengthen the capacities of the government at all levels to comply with its obligations (e.g., SISA in Acre). The National Policy for Territorial and Environmental Management of Indigenous Lands (PNGATI) and The National Council of Traditional Peoples and Communities – CNPCT, are the main guiding policies for addressing and respecting the knowledge and rights of indigenous and traditional peoples and communities' territories. Finally, appropriate grievance redress mechanisms (GRM) that provide channels for concerned stakeholders will be set at the program level to ensure accessibility for marginalized populations.

			over the other.	There is currently a national system in place to register and resolve land disputes related to the CAR, as well as ombudsman offices (*ouvidoria*) for different government bodies at the federal and state level, including the ministries of environment. Additionally, the work of Brazil's Pastoral Land Commission (CPT) covers the entire national territory and is performed independently, offering support to small farmers and the landless, addressing problems of unjust land distribution and violence. These processes/administrative bodies will be supported throughout the rollout of the Floresta+ pilot program. For project-level complaints, cconflict management and mitigation measures are addressed through the GRM, which will be adapted to specific sites, considering (1) language and literacy of stakeholders; (2) logistical feasibility of reporting structure; (3) power relations between stakeholders and grievance officers along gender and ethno-cultural lines. This alignment with the sub-national and national level mechanisms already in place and/or with a new system for REDD-related grievances. Appropriate capacity building and technical training will be provided to coordinate and tailor these mechanisms at all levels, with particular attention to the state-level where the preparedness for REDD+ varies considerably (e.g., Acre and Mato Grosso are considerably advanced, and hence a phased approach will be adopted). Advisory committees that include stakeholders and representatives of IP and TC, following Acre's SISA example, will monitor complaints and response mechanisms. Finally, the UNDP Stakeholder Response Mechanism (SRM), provides an additional, formal avenue for stakeholders to engage with UNDP when they believe that a UNDP project may have adverse social or environmental impacts on them; they have raised their concerns with Implementing Partners (including applicable project, national or other GRMs) and/or with UNDP through standard channels for stakeholder consultation and engagement; and they have not been satisfied with the response.
Risk 2: Adverse impacts on gender equality and/or the situation of women and girls. The Project could potentially reproduce				

discrimination against women based on gender, especially regarding participation in the design and implementation or access to opportunities and benefits. The Project could potentially limit women's ability to use, develop and protect natural resources, taking into account different roles and positions of women and men in accessing benefits.	I = 3 P = 3	Moderate	Payments and other benefits (e.g., extension services, credit, productive input etc.) may favor head of households (men), especially if they are more highly represented among landowners officially registered to CAR. Similarly, in community-based payment schemes where a leader or representative of the group receives payment on behalf of others, there is a risk of inequitable benefit sharing among community members, including women.	A gender-responsive ESIA will further examine these risks, supported by a comprehensive gender analysis to assess relevant gender dynamics and inequalities with attention to the differences across the highly diverse groups of beneficiaries. It will also focus on the collection of additional baseline data on gender (e.g. on land tenure, women's involvement in decision-making at local/community levels, etc.). Additionally, the stakeholder consultation and engagement plans will ensure that efforts are designed and undertaken using a gender approach and equitably include representatives from more marginalized groups, including women, youth, single-family households. The gender action plan (Annex 6) will be reviewed and updated according to the ESIA recommendations (and gender-specific consultations) to mitigate risks of reproducing or exacerbating gender inequalities. This includes ensuring that project entry points for beneficiaries and corresponding incentives for environmental services (e.g., compensation schemes to individual, community representative, or other) are adequately assessed and designed. The plan will include relevant baselines and indicators to be monitored, disaggregated by gender and by group of beneficiaries. Finally, prioritizing payments to women, particularly female-headed households drawing on the lessons of 'Bolsa Familia', by enhancing their access to credit and productive resources, capacity building and training, or other such measures to mitigate this risk will be included in the project design and operations manual. The design will be validated by stakeholders, including women, and a gender specialist will support mainstreaming within the project. Community-based payment schemes will build on traditional and customary governance structures, while integrating measures to ensure that benefits are shared among community members, especially women, youth and elders. Consultations and participatory design of project activities will identify appropriate benefit sharing mechanisms that will mitigate risks of inequalities. Finally, appropriate grievance procedures/mechanisms to provide channels for concerned stakeholders will be set to ensure

				accessibility for marginalized populations, including women (See Risk 1 for further details). Should any complaints or disputes arise regarding project operations and benefit sharing that unfairly impact women, this mechanism will ensure timely responses and appropriate resolution.
Risk 3: Loss of access to natural resources, especially land and non-timber forest products. Project activities could create tensions or exacerbate conflicts among communities and individuals regarding land use and property rights claims. In some cases, the program could engender land speculation and drive land grabbing. The Project could potentially restrict availability, quality of and access to resources, in particular to marginalized groups, regarding farming, grazing, hunting or collecting of forest products.	I = 4 P = 3	Moderate	Project activities that restrict access to productive resources (especially land and forests) could have potentially negative impacts on individuals and communities that are highly dependent on natural resources for their livelihoods. This applies to all beneficiaries but in particular, Indigenous Peoples and Traditional Communities, who rely on forests for food, medicine, construction materials, cultural services, etc. (See also Risk 6, economic displacement). This risk could also potentially affect men and women differently, given their differentiated responsibilities and relationships to forests and land use (See also Risk 2). There is also a risk that activities related to environmental regularization through the CAR program could bring about conflicts between land users and disputed claims to land. This could adversely impact marginalized populations who may face social and cultural barriers in claiming their rights through CAR, or who are vulnerable to land grabbing (such as is occurring through 'grilagem verde') (See Risk 1 for further details).	The project will carry out upgrades to the SICAR for registering and monitoring processes that will strengthen land tenure security in the Amazon, measures will be taken to ensure that environmental registration is accessible to marginalized groups, including women, poor family farmers, indigenous people and traditional communities. Potential risks associated to land rights issues and beneficiary selection through the CAR will be further assessed in the full ESIA in line with UNDP's SES. The assessment will take into account land issues associate to the different Floresta+ modalities, as well as the varied land tenure security concerns of different beneficiary groups, with special attention to the diversity *within* groups (e.g., gender, ethnicity, etc.) To address the potential for exacerbated conflicts, a dispute resolution mechanism is integrated as part of the CAR and the project-level and federal-level GRM will be tailored to address land rights issues (See Risk 1 for further details) Regarding restricted access to resources, the Brazilian approach to Cancun safeguards clear states against any kind of restriction to the sustainable use of their own territory. A full ESIA will be carried out to determine if and where access restriction is a risk and, when it is unavoidable, the project will ensure affected stakeholders fully participate in the design, implementation, M&E of management plans. If livelihoods are natural resource based and access restrictions apply, the project will allow continued access or provide access to alternative resources with equivalent livelihood-earning potential and accessibility. Where common property is affected, benefits and compensation may be collective, as determined through the FPIC process.

				Floresta+ activities will be designed and implemented in coordination with existing policies and instruments (e.g., management plans), while supporting the operationalization of SISREDD+ to avoid any potentially negative impacts on livelihoods, especially of forest dependent individuals and communities. Attention will be given to clearly defining restricted activities related to natural resources and ecosystem services, to be decided in a participatory manner with beneficiaries. Where sustainable production and extraction practices are included in the design, both biodiversity and culturally significant livelihoods will be considered following UNDP SES. These activities will be tailored to the needs of different beneficiary groups, and their rights will be fully and effectively communicated, while also providing adequate training and support for alternative livelihood activities that are compatible with forest conservation and the maintenance of ecosystem services. See also mitigation measures outlined for Risk 6 on economic displacement.
Risk 4: Project activities could have indirect negative impact on natural habitats or Protected Areas. Risk of introducing invasive species, or posing a risk to endangered species. The project activities will take place within or adjacent to critical habitats and/or environmentally sensitive areas, including legally protected areas and indigenous people's lands. While there is a risk that beneficiaries displace illegal activities to protected areas or unclaimed/non-regularized land.	I = 3 P = 2	Moderate	Project activities involving the restoration of forest cover on degraded land or sustainable production practices could affect biodiversity, water and soil quality, and other ecosystem services if invasive/non-native species are introduced, or mono-cropping tree plantations are implemented. Likewise, displacement of livelihood activities through restricted land use could lead the intensification of harvesting NTFP and hunting activities, or illegal logging and agriculture and in adjacent protected areas, adversely impacting biodiversity or endangered species (See also Risk 6 on economic displacement and Risk 8 on emissions displacement).	The ESIA will further assess this risk in each of the four Floresta+ modalities and to determine how UNDP's social and environmental standards apply to all these activities. Any risks identified will be specified in the updated version of the ESMP and mitigation measures identified. Biodiversity aspects will be emphasized in risk assessments and translated into the corresponding biodiversity action plans. Floresta+ is designed to provide incentives for the protection and restoration of environmental services in a holistic manner, while management measures will be taken to avoid adverse impacts these services, including biodiversity, carbon sequestration, as well as those of relevance to affected communities. If avoidance is not possible, the project will aim to maintain value and functionality of priority ecosystem services. Planning and implementation will prioritize the protection of ecologically sensitive areas using practices that mitigate risks to biodiversity, especially endangered and culturally important species. Each site will have documented baseline conditions that need to be understood and monitored. These plans

				will be aligned with UNDP SES requirements on Biodiversity and following recommendations from the UNDP Guidance Note on SES 1: Biodiversity Conservation and Natural Resource Management. They will also support the strengthen the processes for monitoring of biodiversity indicators, as decided through the participatory process of SISREDD+ indicators, as guided by the meetings of the CCT-Safeguards advisory board. Furthermore, rigorous and well-validated national monitoring systems are in place to track illegal activities in protected areas to be included as part of Brazil's SISREDD+. Bottom-up, participatory monitoring of biodiversity will also be implemented as a key mitigation measure, particularly in the case on indigenous and traditional peoples, which will encourage ownership and valuation of traditional knowledge. See also mitigation measures for Risk 8 on displacement. To avoid the displacement of activities (hunting, NTFP extraction) in adjacent protected areas, the design of Floresta+ projects and modality-specific management plans will be coordinated with existing territorial land use and development plans and with the full participation of stakeholders. This will ensure that beneficiaries have adequate and appropriate livelihood opportunities to compensate for any displacement due to forest conservation. Beneficiaries will also be fully informed of restricted activities, which will be clearly defined before project implementation in consultation with stakeholders. See also mitigation measures outlined for Risk 6 and 7 that will stimulate sustainable local livelihoods, while enhancing and protecting ecosystem services, including biodiversity and cultural services. In the design of project activities, measures will be taken to avoid the introduction or utilization of invasive and non-native species, whether accidental or intentional, unless carried out per existing regulatory framework and subject to risk assessment. The choice of species for any plantation establishment, with avoidance/prohibition

				of any monoculture plantations, will be carefully considered. Areas that have begun to significantly regenerate will need to be assessed against high carbon and high conservation value thresholds before these areas are earmarked for plantations establishment. The Safeguards officer and project eligibility criteria will ensure that areas targeted for tree plantations were not degraded or deforested in anticipation of payments and other benefits, by tying eligibility to prerequisite requirements, such as time since forest clearing. The ESIA will assess this national [guidelines/PLR] against UNDP SES to ensure consistency and gap-filling measures are included in its application as needed.
Risk 5: Project activities could trigger Natural habitat conversion or ecosystem degradation. Project activities could directly or indirectly lead to the (increased) use of pesticides and chemical fertilizers, with potentially adverse effects on biodiversity, soil and water quality and other non-carbon related ecosystem services.	I=3 P= 2	Low	The project may drive or introduce the use of pesticides and fertilizers, especially if forest conservation leads to intensification of agricultural practices on already cleared land or if tree plantations require inputs that could potentially adversely impact the ecosystem and the services it provides.	The ESIA will further assess this risk in each of the four Floresta+ modalities to determine how UNDP's social and environmental standards apply to all proposed activities, and possible shifts in agricultural or livelihood practices. Any risks identified will be specified in updated versions of the ESMP and mitigation measures identified. Management measures will be included in updated and revised versions of the ESMP, in which baseline conditions will be established and procedures for monitoring will be outlined. Modality-specific plans and, when applicable, modality-specific plans will be developed following UNDP guidelines to mitigate degradation of critical natural habitats and ensure no net loss of biodiversity or ecosystem services.
Risk 6: Risk of economic displacement and inadequate compensation	I=4 P=2	Moderate	There is a risk of economic displacement when project activities restrict access to and the use of productive resources such as land and forests (See also Risk 3). Impacts may be especially acute for individuals and communities that are highly dependent on natural resources for their livelihoods. This applies to all beneficiaries but in particular, men and women may be affected differently, given their differentiated responsibilities and relationships to forests and land use (See Risk 2). Likewise, indigenous and traditional	A full ESIA will be carried out to determine if and where access restriction is a risk and, when it is unavoidable, the project will ensure affected stakeholders fully participate in the design, implementation, M&E of management plans. If livelihoods are natural resource based and access restrictions apply, the project will allow continued access or provide access to alternative resources with equivalent livelihood-earning potential and accessibility. Where common property is affected, benefits and compensation may be collective. To mitigate any negative impacts associated to economic displacement, the project will include mechansims that support

			communities relate to and depend on the forest in ways that are practically and culturally distinct from family farmers and other land users in the Amazon. As such, restricted access to these resources could potentially have adverse effects on their livelihoods and cultural heritage (See Risk 7). For activities that involve the promotion of sustainable rural livelihoods to address issues of economic displacement, there is a risk that beneficiaries will not receive adequate training or other resources that enable transitions and support alternative income generation that are needed to help beneficiaries maintain forest cover. Additionally, there is a risk of incentivizing rural out-migration or land abandonment if payments are tied to a bank-based distribution system that are inaccessible to remote communities or individuals without bank accounts. Drawing on experiences with Bolsa Familia implementation in Brazil, rural households may move to urban areas to secure payments. Finally, there is a risk of dependence of REDD payments rather than traditional livelihood practices and food systems, depending on the compensation amount, that could incentivize out-migration to urban areas or loss of cultural heritage (See also Risk 7).	rural, sustainable production practices and alternative livelihood opportunties for family farmers, IPs, and TCs. During the design phase, consultations will take with different groups of beneficiaries in order to inform the appropriate level of incentives/ payments to mitigate this risk. Modality-specific management plans and livelihood action plans, that are tailored to the different Floresta+ modalities and different groups of beneficiaries will be developed, when applicable. These will be aligned with existing territorial plans that have been elaborated through stakeholder consultations or self-determined, community-led initiatives (e.g., PGTAs). The ESMP and specific plans will pay particular attention to the heterogeneity within these groups, including the different linguistic, cultural and land use practices of indigenous and traditional peoples and family farmers that vary considerably across the Amazon. Measures to support sustainable livelihood options will be integrated into these plans, outlining targets for capacity building, credit, and other productive resources for beneficiaries as additional financial incentives. The amount of payment per hectare will be defined in norms to be published by the Floresta+ Program Management Committee. Direct payments will be calculated based on the area of native vegetation remnants and environmental liabilities to be recovered, in hectares, according to the data in the National Rural Environmental Registry System (CAR). The project will uphold the definition of sustainable extraction levels of a living natural resource, ensuring sustainable management that enables people and communities, including indigenous peoples, to provide for their social, economic, and cultural well-being while also sustaining the potential for those resources to meet the needs of future generations. Special measures to address inequalities for women and other minorities will be included in the gender action and the indigenous people's plans (See Mitigation Measures in Risks 2 and 7). Financial mechanisms will be set up through the project to support the

				required for adapting land uses and short and medium term mechanisms to compensate opportunity costs during the transition. These mechanisms will be adapted different groups of stakeholders inclusive of small-scale farmers and indigenous/traditional communities. The project will determine any actions to avoid adverse economic displacement, and a set of parameters will be defined to monitor and report. Furthermore, procedures will be put in place to ensure that there is participatory design and implementation of land use planning with communities, to avoid restricting or economically displacing livelihood activities of IPs, TCs and family farmers. The stakeholder engagement plan will include specific actions to engage with marginalized groups, so that issues of food insecurity and access to clean water that disproportionately impact women or indigenous peoples are considered. Regarding restricted access to resources, Floresta+ activities will be designed and implemented in coordination with existing management plans to avoid any potentially negative impacts on livelihoods. For IPs and TCs, these plans will be developed or be revised/updated with the full participation of communities. For family farmers, Floresta+ activites will be coordinated with existing regional land use and development plans (e.g. ZEE) that address strategies for alternative and sustainable rural employment and income. The ESIA will further assess risks associated to compensation mechainsms for different benficiary groups, and will be evaluated in consultation with targeted beneficiaries to identify barriers and risks specific to their geographic location and cultural and social needs, priorities, and concerns. The compensation mehcanism and distribution systems will be modified accordingly to ensure accessibility to remote and marginalized groups, while procedures will be implemented to monitor the impacts of payments on livelihoods, as a community-led or participatory procedure when applicable.

Risk 7: The project could potentially adversely affect the cultural heritage of traditional and indigenous peoples, in its intangible form, including the knowledge, practices, technologies, innovations, and institutions related to traditional ways of life.	I=3 P=3	Moderate	There is a risk that payments made directly to indigenous and tradtional communities will trigger a shift from a subsistence economy to a cash-based, market-integrated economy, which could lead to the loss of traditional livelihood practices (especially those related to the sustainable extraction of forest products, fishing, hunting, etc) and degradation of traditional social structures and knowledge systems that support the health and well-being of these communities.	Currently, some consideration of traditional knowledge and practices in the monitoring and management of various safeguards is incorporated in the participatory process for creating socio-environmental indicators for the SISREDD+. Cultural heritage is also explicitly considered in the creation of PGTAs, the voluntary process of creating development plans based on IP priorities, epistemology and worldviews. The ESIA will further identify these potential risks on traditional forms of knowledge and practices, firther taking into consideration the diversity of Indigenous and traditional cultures in the Amazon that give rise to unique knowledge, practices and social structures among Brazil's varied IPs. Culturally-sensitive consultations will be carried out for the participatory design and management planning of project activities, to ensure that the needs, concerns, and priorities of these diverse groups are accounted for and integrated to avoid any adverse impacts on their cultural heritage. In modality-specific indigenous peoples plans, procedures to monitor and report the impacts of compensation and benefits (monetary and non-monetary) on traditional knowledge, practices, and social structures will be defined and carried out with the full participation of affected communities. This will include community-led, local reporting and monitoring of illegal activities (poaching, logging), where applicable and appropriate, as decided through community consultations. These IP plans will link to the PGTAs, where these plans exist, and further support the elaboration of such plans where they have yet to be completed. Finally, a GRM will be developed, ensuring that this is accessible and transparent (See further details in mitigation measures for Risk 1).
Risk 8: Displacement of emissions to other sectors, biomes or countries.	I=4 P=3	Moderate	There is a risk that actions to reduce emissions for deforestation and forest degradation provoke displacement of activities to other critical biomes in Brazil, such as the *Cerrado* or *Caatinga*. Likewise,	Brazil has demonstrated a strong commitment to continuous improvement of its FREL estimates and monitoring programs. While the scope of the FREL and monitoring has focused on critical areas in the Amazon, scaling up of the implementation of REDD+ from the biome to the national level, in a stepwise manner is underway, to

			transnational leakage is a risk, particularly in areas that border countries with significantly lower capacities to monitor and enforce deforestation, such as Peru or Bolivia. Finally, payments for restricting activities in designated forested areas could be re-invested to promote land-intensive commodity sectors (See risk 5) or support non-forestry sector activities (e.g., artisanal mining, industrial production) within and outside of the Brazilian Amazon that generate GHG emissions and could offset progress made by REDD+ activities	help track and manage any potential for displaced emissions within Brazil's borders. This includes consistent, reliable, credible, accurate, transparent and verifiable monitoring of deforestation and degradation, such as PRODES, which is integrated into the SISREDD+. In 2015, to improve environmental monitoring at the national level, the Brazilian Biomes Environmental Monitoring Program was established and is aligned with the objectives of the ENREDD+ to deliver the enhancement and improvement of systems and monitoring protocols – particularly for the extra-Amazonian biomes – necessary for achieving the desired national scale. Additional actions include the implementation of the PPCerrado and the engagement of stakeholders beyond the Amazon in the ENREDD+, the establishment of the Rural Environmental Registry (CAR) and the creation of a national forest monitoring system (NFMS). These initiatives will also provide important information to improve, at the national level, policies to combat deforestation and forest degradation and to foster forest recovery. Regarding the inclusion of other REDD-plus activities, Brazil will include reducing emissions from forest degradation in the biomes where this activity is considered by the Working Group of Technical Experts on REDD+ as a significant source of emissions. The same applies for pools and non-CO_2 gases. To mitigate displacement of emissions to other sectors, the innovations modality of Floresta+ will support private sector actors in created green innovative technologies and production practices. These measures will also be buttressed by PLRs related to climate change and resource management that provide legal and regulatory frameworks that will mitigate cross-sectoral displacement of emissions.
Risk 9: Reversals (non-permeance of carbon stocks). Risk of reversals is assumed in all REDD+ projects including conservation, sustainable management of forests, and enhancement of C stocks. These risks are related to factors that		Moderate	There is risk of incentive structures, compensation, and other program benefits not adequatly covering opportuntiy costs and participants needs over long time horizons, given that drivers and dynamics of deforestation and degredation can rapidly change or shift to new locations overtime.	Brazil has several actions to monitor, analyze and improve the coordinated actions for maintaining reduced deforestation rates. As described in the FP, each phase of PPCDAm is an opportunity to analyze both the main causes of deforestation and the risks of reversals, which leads to improvements in the action plan. To ensure permanence, the underlying factors of deforestation and forest degradation will be reassessed and re-evaluated to reflect an

could result in participant's withdrawal from the voluntary program.			This risk is equally relevant to cases where beneficiaries may feel locked-in to lands use obligations over time with out the capacity and resources to adapt their livelihoods and land use practices (See Risk 6 on economic displacement) Similarly, there is a risk that delayed or inadequate payments after program rollout could also lead to dissatisfaction and conflict, resulting in withdrawal from the program and subsequent deforestation/ degradation of areas targeted for protection or restoration. This risk is associated to myriad factors, including the consultation process, potential financial and operations risks (such as corruption in the government or fund distribution parties) or significant shifts in political agendas following elections. Finally, non-human factors can also contribute to the risk of reversals, notably those linked to climate change pressures (such as natural disasters, extreme flooding, fires, etc.), which could off-set REDD+ efforts.	understanding of the likely effect of climate on forests, including both anthropogenic and natural drivers. It should be highlighted that the implementation if the Floresta+ program which incentivizes familiar farmers, IPs, TCs and other relevant stakeholders to maintain forests and associated environmental services are pivotal to these efforts. Further mitigation measures to address the risk of reversals will be taken at the project-level, and involve the further support of monitoring processes, as well as the updating and revision of management plans and stakeholder engagement plans – in accordance with new phases of PPCDAm – so that the procedures outlined for engagements with natural resource users over time will continue to benefit livelihoods and well-beings while incentivizing commitments to conservation, restoration, and reduced deforestation (See mitigation measures for Risks 6, economic displacement, Risk 7, cultural heritage, and Risk 1, human rights). Careful coordination of PLRs with other relevant sectors and Ministries (including, but not limited to those involved in the implementation of PPCDAm) will also be prioritized in order to achieve optimal results.
	QUESTION 4: What is the overall Project risk categorization?			
	Select one (see SESP for guidance)			**Comments**
	Low Risk		☐	
	Moderate Risk		X	The proposed program includes activities with potential adverse social and environmental risks and impacts, that are limited in scale, can be identified with a reasonable degree of certainty, and can be addressed through application of standard best practice, mitigation measures and stakeholder engagement during Project implementation.
	High Risk		☐	

	QUESTION 5: Based on the identified risks and risk categorization, what requirements of the SES are relevant?		
	Check all that apply		**Comments**
	Principle 1: Human Rights	X	
	Principle 2: Gender Equality and Women's Empowerment	X	
	1. Biodiversity Conservation and Natural Resource Management	X	
	2. Climate Change Mitigation and Adaptation	X	
	3. Community Health, Safety and Working Conditions	X	
	4. Cultural Heritage	X	
	5. Displacement and Resettlement	X	
	6. Indigenous Peoples	X	
	7. Pollution Prevention and Resource Efficiency	X	

Final Sign Off

Signature	*Date*	*Description*
QA Assessor		UNDP staff member responsible for the Project, typically a UNDP Programme Officer. Final signature confirms they have "checked" to ensure that the SESP is adequately conducted.
QA Approver		UNDP senior manager, typically the UNDP Deputy Country Director (DCD), Country Director (CD), Deputy Resident Representative (DRR), or Resident Representative (RR). The QA Approver cannot also be the QA Assessor. Final signature confirms they have "cleared" the SESP prior to submittal to the PAC.
PAC Chair		UNDP chair of the PAC. In some cases PAC Chair may also be the QA Approver. Final signature confirms that the SESP was considered as part of the project appraisal and considered in recommendations of the PAC.

SESP Attachment 1. Social and Environmental Risk Screening Checklist

Checklist Potential Social and Environmental Risks		
Principles 1: Human Rights		**Answer (Yes/No)**
1.	Could the Project lead to adverse impacts on enjoyment of the human rights (civil, political, economic, social or cultural) of the affected population and particularly of marginalized groups?	Yes
2.	Is there a likelihood that the Project would have inequitable or discriminatory adverse impacts on affected populations, particularly people living in poverty or marginalized or excluded individuals or groups? [12]	Yes
3.	Could the Project potentially restrict availability, quality of and access to resources or basic services, in particular to marginalized individuals or groups?	Yes
4.	Is there a likelihood that the Project would exclude any potentially affected stakeholders, in particular marginalized groups, from fully participating in decisions that may affect them?	Yes
5.	Is there a risk that duty-bearers do not have the capacity to meet their obligations in the Project?	Yes
6.	Is there a risk that rights-holders do not have the capacity to claim their rights?	Yes
7.	Have local communities or individuals, given the opportunity, raised human rights concerns regarding the Project during the stakeholder engagement process?	
8.	Is there a risk that the Project would exacerbate conflicts among and/or the risk of violence to project-affected communities and individuals?	Yes
Principle 2: Gender Equality and Women's Empowerment		
1.	Is there a likelihood that the proposed Project would have adverse impacts on gender equality and/or the situation of women and girls?	Yes
2.	Would the Project potentially reproduce discriminations against women based on gender, especially regarding participation in design and implementation or access to opportunities and benefits?	Yes
3.	Have women's groups/leaders raised gender equality concerns regarding the Project during the stakeholder	No

[12] Prohibited grounds of discrimination include race, ethnicity, gender, age, language, disability, sexual orientation, religion, political or other opinion, national or social or geographical origin, property, birth or other status including as an indigenous person or as a member of a minority. References to "women and men" or similar is understood to include women and men, boys and girls, and other groups discriminated against based on their gender identities, such as transgender people and transsexuals.

	engagement process and has this been included in the overall Project proposal and in the risk assessment?	
4.	Would the Project potentially limit women's ability to use, develop and protect natural resources, taking into account different roles and positions of women and men in accessing environmental goods and services? *For example, activities that could lead to natural resources degradation or depletion in communities who depend on these resources for their livelihoods and well being*	Yes
Principle 3: Environmental Sustainability: Screening questions regarding environmental risks are encompassed by the specific Standard-related questions below		
Standard 1: Biodiversity Conservation and Sustainable Natural Resource Management		
1.1	Would the Project potentially cause adverse impacts to habitats (e.g. modified, natural, and critical habitats) and/or ecosystems and ecosystem services? *For example, through habitat loss, conversion or degradation, fragmentation, hydrological changes*	Yes
1.2	Are any Project activities proposed within or adjacent to critical habitats and/or environmentally sensitive areas, including legally protected areas (e.g. nature reserve, national park), areas proposed for protection, or recognized as such by authoritative sources and/or indigenous peoples or local communities?	Yes
1.3	Does the Project involve changes to the use of lands and resources that may have adverse impacts on habitats, ecosystems, and/or livelihoods? (Note: if restrictions and/or limitations of access to lands would apply, refer to Standard 5)	Yes
1.4	Would Project activities pose risks to endangered species?	No
1.5	Would the Project pose a risk of introducing invasive alien species?	Yes
1.6	Does the Project involve harvesting of natural forests, plantation development, or reforestation?	Yes
1.7	Does the Project involve the production and/or harvesting of fish populations or other aquatic species?	No
1.8	Does the Project involve significant extraction, diversion or containment of surface or ground water? *For example, construction of dams, reservoirs, river basin developments, groundwater extraction*	No
1.9	Does the Project involve utilization of genetic resources? (e.g. collection and/or harvesting, commercial development)	Yes
1.10	Would the Project generate potential adverse transboundary or global environmental concerns?	Yes
1.11	Would the Project result in secondary or consequential development activities which could lead to adverse social and environmental effects, or would it generate cumulative impacts with other known existing or planned activities in the area?	Yes

	For example, a new road through forested lands will generate direct environmental and social impacts (e.g. felling of trees, earthworks, potential relocation of inhabitants). The new road may also facilitate encroachment on lands by illegal settlers or generate unplanned commercial development along the route, potentially in sensitive areas. These are indirect, secondary, or induced impacts that need to be considered. Also, if similar developments in the same forested area are planned, then cumulative impacts of multiple activities (even if not part of the same Project) need to be considered.	
Standard 2: Climate Change Mitigation and Adaptation		
2.1	Will the proposed Project result in significant[13] greenhouse gas emissions or may exacerbate climate change?	No
2.2	Would the potential outcomes of the Project be sensitive or vulnerable to potential impacts of climate change?	Yes
2.3	Is the proposed Project likely to directly or indirectly increase social and environmental vulnerability to climate change now or in the future (also known as maladaptive practices)? *For example, changes to land use planning may encourage further development of floodplains, potentially increasing the population's vulnerability to climate change, specifically flooding*	No
Standard 3: Community Health, Safety and Working Conditions		
3.1	Would elements of Project construction, operation, or decommissioning pose potential safety risks to local communities?	No
3.2	Would the Project pose potential risks to community health and safety due to the transport, storage, and use and/or disposal of hazardous or dangerous materials (e.g. explosives, fuel and other chemicals during construction and operation)?	No
3.3	Does the Project involve large-scale infrastructure development (e.g. dams, roads, buildings)?	No
3.4	Would failure of structural elements of the Project pose risks to communities? (e.g. collapse of buildings or infrastructure)	No
3.5	Would the proposed Project be susceptible to or lead to increased vulnerability to earthquakes, subsidence, landslides, erosion, flooding or extreme climatic conditions?	No
3.6	Would the Project result in potential increased health risks (e.g. from water-borne or other vector-borne diseases or communicable infections such as HIV/AIDS)?	No

[13] In regards to CO_2, 'significant emissions' corresponds generally to more than 25,000 tons per year (from both direct and indirect sources). [The Guidance Note on Climate Change Mitigation and Adaptation provides additional information on GHG emissions.]

3.7	Does the Project pose potential risks and vulnerabilities related to occupational health and safety due to physical, chemical, biological, and radiological hazards during Project construction, operation, or decommissioning?	No
3.8	Does the Project involve support for employment or livelihoods that may fail to comply with national and international labor standards (i.e. principles and standards of ILO fundamental conventions)?	Yes
3.9	Does the Project engage security personnel that may pose a potential risk to health and safety of communities and/or individuals (e.g. due to a lack of adequate training or accountability)?	No
Standard 4: Cultural Heritage		
4.1	Will the proposed Project result in interventions that would potentially adversely impact sites, structures, or objects with historical, cultural, artistic, traditional or religious values or intangible forms of culture (e.g. knowledge, innovations, practices)? (Note: Projects intended to protect and conserve Cultural Heritage may also have inadvertent adverse impacts)	Yes
4.2	Does the Project propose utilizing tangible and/or intangible forms of cultural heritage for commercial or other purposes?	No
Standard 5: Displacement and Resettlement		
5.1	Would the Project potentially involve temporary or permanent and full or partial physical displacement?	Yes
5.2	Would the Project possibly result in economic displacement (e.g. loss of assets or access to resources due to land acquisition or access restrictions – even in the absence of physical relocation)?	Yes
5.3	Is there a risk that the Project would lead to forced evictions?[14]	No
5.4	Would the proposed Project possibly affect land tenure arrangements and/or community based property rights/customary rights to land, territories and/or resources?	Yes
Standard 6: Indigenous Peoples		
6.1	Are indigenous peoples present in the Project area (including Project area of influence)?	Yes

[14] Forced evictions include acts and/or omissions involving the coerced or involuntary displacement of individuals, groups, or communities from homes and/or lands and common property resources that were occupied or depended upon, thus eliminating the ability of an individual, group, or community to reside or work in a particular dwelling, residence, or location without the provision of, and access to, appropriate forms of legal or other protections.

6.2	Is it likely that the Project or portions of the Project will be located on lands and territories claimed by indigenous peoples?	Yes
6.3	Would the proposed Project potentially affect the human rights, lands, natural resources, territories, and traditional livelihoods of indigenous peoples (regardless of whether indigenous peoples possess the legal titles to such areas, whether the Project is located within or outside of the lands and territories inhabited by the affected peoples, or whether the indigenous peoples are recognized as indigenous peoples by the country in question)? *If the answer to the screening question 6.3 is "yes" the potential risk impacts are considered potentially severe and/or critical and the Project would be categorized as either Moderate or High Risk.*	Yes
6.4	Has there been an absence of culturally appropriate consultations carried out with the objective of achieving FPIC on matters that may affect the rights and interests, lands, resources, territories and traditional livelihoods of the indigenous peoples concerned?	Yes
6.5	Does the proposed Project involve the utilization and/or commercial development of natural resources on lands and territories claimed by indigenous peoples?	No
6.6	Is there a potential for forced eviction or the whole or partial physical or economic displacement of indigenous peoples, including through access restrictions to lands, territories, and resources?	Yes
6.7	Would the Project adversely affect the development priorities of indigenous peoples as defined by them?	Yes
6.8	Would the Project potentially affect the physical and cultural survival of indigenous peoples?	No
6.9	Would the Project potentially affect the Cultural Heritage of indigenous peoples, including through the commercialization or use of their traditional knowledge and practices?	Yes
Standard 7: Pollution Prevention and Resource Efficiency		
7.1	Would the Project potentially result in the release of pollutants to the environment due to routine or non-routine circumstances with the potential for adverse local, regional, and/or transboundary impacts?	Yes
7.2	Would the proposed Project potentially result in the generation of waste (both hazardous and non-hazardous)?	Yes
7.3	Will the proposed Project potentially involve the manufacture, trade, release, and/or use of hazardous chemicals and/or materials? Does the Project propose use of chemicals or materials subject to international bans or phase-outs? *For example, DDT, PCBs and other chemicals listed in international conventions such as the Stockholm Conventions on Persistent Organic Pollutants or the Montreal Protocol*	No
7.4	Will the proposed Project involve the application of pesticides that may have a negative effect on the environment or human health?	Yes

7.5	Does the Project include activities that require significant consumption of raw materials, energy, and/or water?	No

While it's considered that Cancun safeguards (f) and (g) are implicitly captured in the UNDP Social and Environmental Standards and Policies (See Demonstrating Consistency: UNDP Social and Environmental Standards and Policies and UNFCCC Cancun Safeguards, 1 June 2016), it is important to consider these Cancun safeguards separately in the SESP and ESMP because they: 1) are not explicitly referenced in the UNDP standards; 2) are unique, assumed risks for forest and land use; and 3) should be reflected separately in the national reporting of the SIS/SOI.

Cancun safeguard (f) – Address the risk of reversals	
• Does the scope of the project include conservation, sustainable management of forests, and/or enhancement activities?	Yes
• Are C stocks conserved, enhanced, managed through the project activities likely to be vulnerable to: climate change (e.g., more frequent drought, flooding, Wildfire? Institutional failure?	Yes
Cancun safeguard (g) – Reduce displacement of emissions	
• Is the scale of the project subnational?	Yes
• Does the scope of the project include less than all 5 REDD+ activities?	No
• Are any project activities likely to result in displacement of land-use change at the local level? Within national borders?	Yes

ANNEXURE 2. INDICATIVE OUTLINE FOR ESIA REPORT

A Full Environmental and Social Impact Assessment (ESIA) will be developed and carried out by independent experts in a participatory manner with stakeholders during the inception phase of the project and as part of the work plan preparatory activities. This will involve stakeholder consultations and engagement, as well as research, field work, and management planning. The targeted assessments/comprehensive Environmental and Social Impact Assessment (ESIA) will be undertaken once project activities/sub-projects and sites are fully defined. The assessment(s) will be conducted in a manner consistent with national regulations and the UNDP SES and lead to the development of appropriately scaled management measures and plans to address the identified risks and impacts. The UNDP SES and SESP require that in all cases required social and environmental assessments and adoption of appropriate mitigation and management measures must be completed, disclosed, and discussed with stakeholders prior to implementation of any activities that may cause adverse social and environmental impacts. Refer to the UNDP SES Guidance Note on Assessment and Management for additional information.

An ESIA report should include the following major elements (not necessarily in the following order):

(1) Executive summary: Concisely discusses significant findings and recommended actions.

(2) Legal and institutional framework: Summarizes the analysis of the legal and institutional framework for the project, within which the social and environmental assessment is carried out, including (a) the country's applicable policy framework, national laws and regulations, and institutional capabilities (including implementation) relating to social and environmental issues; obligations of the country directly applicable to the project under relevant international treaties and agreements; (b) applicable requirements under UNDP's SES; and (c) and other relevant social and environmental standards and/or requirements, including those of any other donors and development partners. Compares the existing social and environmental framework and applicable requirements of UNDP's SES (and those of other donors/development partners) and identifies any potential gaps that will need to be addressed.

(3) Project description: Concisely describes the proposed project and its geographic, social, environmental, and temporal context, including any offsite activities that may be required (e.g., dedicated pipelines, access roads, power supply, water supply, housing, and raw material and product storage facilities), as well as the project's primary supply chain. Includes a map of sufficient detail, showing the project site and the area that may be affected by the project's direct, indirect, and cumulative impacts. (i.e. area of influence).

(4) Baseline data: Summarizes the baseline data that is relevant to decisions about project location, design, operation, or mitigation measures; identifies and estimates the extent and quality of available data, key data gaps, and uncertainties associated with predictions; assesses the scope of the area to be studied and describes relevant physical, biological, and

socioeconomic conditions, including any changes anticipated before the project commences; and takes into account current and proposed development activities within the project area but not directly connected to the project.

(5) Social and environmental risks and impacts: Predicts and takes into account all relevant social and environmental risks and impacts of the project, including those related to UNDP's SES (Overarching Policy and Principles and Project-level Standards). These will include, but are not limited to, the following:

(a) Environmental risks and impacts, including: any material threat to the protection, conservation, maintenance and rehabilitation of natural habitats, biodiversity, and ecosystems; those related to climate change and other transboundary or global impacts; those related to community health and safety; those related to pollution and discharges of waste; those related to the use of living natural resources, such as fisheries and forests; and those related to other applicable standards.[15]

(b) Social risks and impacts, including: any project-related threats to human rights of affected communities and individuals; threats to human security through the escalation of personal, communal or inter-state conflict, crime or violence; risks of gender discrimination; risks that adverse project impacts fall disproportionately on disadvantaged or marginalized groups; any prejudice or discrimination toward individuals or groups in providing access to development resources and project benefits, particularly in the case of disadvantaged or marginalized groups; negative economic and social impacts relating to physical displacement (i.e. relocation or loss of shelter) or economic displacement (i.e. loss of assets or access to assets that leads to loss of income sources or means of livelihood) as a result of project-related land or resource acquisition or restrictions on land use or access to resources; impacts on the health, safety and well-being of workers and project-affected communities; and risks to cultural heritage.

(6) Analysis of alternatives: systematically compares feasible alternatives to the proposed project site, technology, design, and operation – including the "without project" situation – in terms of their potential social and environmental impacts; assesses the alternatives' feasibility of mitigating the adverse social and environmental impacts; the capital and recurrent costs of alternative mitigation measures, and their suitability under local conditions; the institutional, training, and monitoring requirements for the alternative mitigation measures; for each of the alternatives, quantifies the social and environmental impacts to the extent possible, and attaches economic values where feasible. Sets out the basis for selecting the particular project design.

(7) Mitigation Measures: Inclusion or summary of (with attachment of full) Environmental and Social Management Plan (ESMP) (see indicative outline of ESMP below.) The ESMP identifies mitigation measures required to address identified social and environmental risks and

15 For example, the Environmental, Health, and Safety Guidelines (EHSGs), which are technical reference documents with general and industry-specific statements of Good International Industry Practice. The EHSGs contain information on industry- specific risks and impacts and the performance levels and measures that are generally considered to be achievable in new facilities by existing technology at reasonable cost. Available at www.ifc.org/ehsguidelines.

impacts, as well as measures related to monitoring, capacity development, stakeholder engagement, and implementation action plan.

(8) Conclusions and Recommendations: Succinctly describes conclusion drawn from the assessment and provides recommendations.

(9) Appendices: (i) List of the individuals or organizations that prepared or contributed to the social and environmental assessment; (ii) References – setting out the written materials both published and unpublished, that have been used; (iii) Record of meetings, consultations and surveys with stakeholders, including those with affected people and local NGOs. The record specifies the means of such stakeholder engagement that were used to obtain the views of affected groups and local NGOs, summarizes key concerns and how these concerns addressed in project design and mitigation measures; (iv) Tables presenting the relevant data referred to or summarized in the main text; (v) Attachment of any other mitigation plans; (vi) List of associated reports or plans.

ANNEXURE 3: INDICATIVE OUTLINE FOR ESMP

A full ESMP will be elaborated once the ESIA can be carried out following the final design of the Floresta+ program and the identification of specific criteria for voluntary program participation and payment of beneficiaries. Included in the annexes are a number of indicative outlines and guidance on specific management plans (e.g., Stakeholder Engagement Plan, Livelihoods Action Plan, Indigenous peoples plan, etc.) that apply across all elements of the Floresta+ program and will be elaborated as modality-specific plans following completion of the full impact assessment of the program and the specific projects that will be implemented within. Similarly, a preliminary Gender Assessment and Action Plan has been included in the Annexes, which will require updating following the ESIA.

Below is an indicative outline for the development of an ESMP once project activities have been fully specified and assessed. A number of elements of the ESMF feed directly into the ESMP. Refer to the UNDP SES Guidance Note on Assessment and Management for additional information. Annexure 4 that follows (Key Environmental and Social Indicators and Management Measures) is an integral part of the ESMP but is provided separately for ease of use.

An ESMP may be prepared as part of the Environmental and Social Impact Assessment (ESIA) or as a stand-alone document.[16] The content of the ESMP should address the following sections:

(1) Mitigation: Identifies measures and actions in accordance with the mitigation hierarchy that avoid, or if avoidance not possible, reduce potentially significant adverse social and environmental impacts to acceptable levels. Specifically, the ESMP: (a) identifies and summarizes all anticipated significant adverse social and environmental impacts; (b) describes – with technical details – each mitigation measure, including the type of impact to which it relates and the conditions under which it is required (e.g., continuously or in the event of contingencies), together with designs, equipment descriptions, and operating procedures, as appropriate; (c) estimates any potential social and environmental impacts of these measures and any residual impacts following mitigation; and (d) takes into account, and is consistent with, other required mitigation plans (e.g. for displacement, indigenous peoples).

(2) Monitoring: Identifies monitoring objectives and specifies the type of monitoring, with linkages to the impacts assessed in the environmental and social assessment and the mitigation measures described in the ESMP. Specifically, the monitoring section of the ESMP provides (a) a specific description, and technical details, of monitoring measures, including the parameters to be measured, methods to be used, sampling locations, frequency of measurements, detection limits (where appropriate), and definition of thresholds that will signal the need for corrective actions; and (b) monitoring and reporting procedures to (i)

[16] This may be particularly relevant where contractors are being engaged to carry out the project, or parts thereof, and the ESMP sets out the requirements to be followed by contractors. In this case the ESMP should be incorporated as part of the contract with the contractor, together with appropriate monitoring and enforcement provisions. Incorporate the following Annexure Key Environmental and Social Indicators and Management Measures.

ensure early detection of conditions that necessitate particular mitigation measures, and (ii) furnish information on the progress and results of mitigation.

(3) Capacity development and training: To support timely and effective implementation of social and environmental project components and mitigation measures, the ESMP draws on the environmental and social assessment of the existence, role, and capability of responsible parties on site or at the agency and ministry level. Specifically, the ESMP provides a description of institutional arrangements, identifying which party is responsible for carrying out the mitigation and monitoring measures (e.g. for operation, supervision, enforcement, monitoring of implementation, remedial action, financing, reporting, and staff training). Where support for strengthening social and environmental management capability is identified, ESMP recommends the establishment or expansion of the parties responsible, the training of staff and any additional measures that may be necessary to support implementation of mitigation measures and any other recommendations of the environmental and social assessment.

(4) Stakeholder Engagement: Outlines plan to engage in meaningful, effective and informed consultations with affected stakeholders. Includes information on (a) means used to inform and involve affected people in the assessment process; (b) summary of stakeholder engagement plan for meaningful, effective consultations during project implementation, including identification of milestones for consultations, information disclosure, and periodic reporting on progress on project implementation; and (c) description of effective processes for receiving and addressing stakeholder concerns and grievances regarding the project's social and environmental performance.

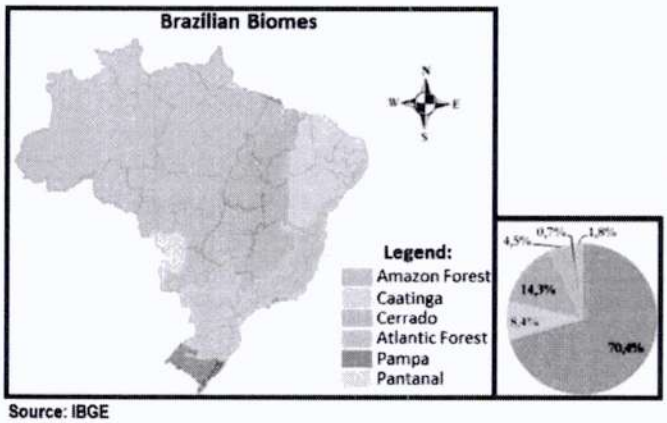
(5) Implementation action plan (schedule and cost estimates): For all four above aspects (mitigation, monitoring, capacity development, and stakeholder engagement), ESMP provides (a) an implementation schedule for measures that must be carried out as part of the project, showing phasing and coordination with overall project implementation plans; and (b) the capital and recurrent cost estimates and sources of funds for implementing the ESMP. These figures are also integrated into the total project cost tables. Each of the measures and actions to be implemented will be clearly specified and the costs of so doing will be integrated into the project's overall planning, design, budget, and implementation.

ANNEXURE 4: KEY SOCIAL AND ENVIRONMENTAL INDICATORS AND MANAGEMENT MEASURES

This annex addresses key environmental and social indicators for the Floresta + pilot program. It outlines the baseline of the environmental and social contexts in the Amazon biome and contains information that will support the full development of indicators for modality-specific, and when applicable site-specific, monitoring and reporting. This will include baseline information at the state-level and, when available and relevant, information at lower administrative levels. These are central components of the ESMP, which will be elaborated during the first year of program roll-out. Indicators for monitoring and procedures for reporting will align with the National SISREDD+, so that project activities coordinate with and feed into broader safeguards monitoring and reporting processes at the federal-level.

ENVIRONMENTAL BASELINE

The Amazon biome is the largest area of remaining tropical rain forest in the world, and the Brazilian Amazon region accounts for over 60% of it. The area is defined by predominantly dense moist tropical rainforest and other vegetation types (such as savannas, floodplain forests, grasslands, swamps, bamboos, palm forests) (Figure 1). It is also defined by unique freshwater ecosystems, covering the world's largest river basin that surpass other freshwater systems on the Earth in length and in volume. The Brazilian Amazon Biome is virtually unparalleled in scale and complexity, with diverse ecological, socio-economic, and political characteristics that represent logistical and geo-physical challenges in monitoring such a massive area.



Forest area per biome (2015)		
Biome	**Area (ha)**	**%**
Amazon	342.027.340	70,40
Caatinga	40.582.671	8,35
Cerrado	69.235.988	14,25
Atlantic Forest	21.770.466	4,5
Pampa	3.210.486	0,7
Pantanal	8.975.022	1,8
Total Native	485.801.973	100

Source: SFB

Figure 2. Forest Cover in Brazilian Biomes[17]

[17] Sources: WWF's Living Amazon Initative: A comprehensive approach to conserving the largest rainforest and river system on Earth. 2010. 65 p. (http://wwf.panda.org/what_we_do/where_we_work/amazon/?196095/LIVING-AMAZON-INITIATIVE- STRATEGY-SUMMMARY.) Amazon Network Initiative Strategic Plan – Amazonia Viva / Living Amazon. WWF. 2009. 148 p.

The biome upholds importance in terms of regional and global climate stability and functioning, as well as carbon storage, in addition to other ecosystem services across all categories (such as supporting, provisioning, regulating, and cultural). While there are a multitude of different ecosystems within the biome, it also functions as a single ecological entity with high inter-dependence between these ecosystems. Additionally, the Biome has than 600 types of terrestrial and freshwater habitats[18]. Ecological integrity the biome-scale thus relies of representation and functionality of different ecosystems and their components, which is fundamental for climate stability at the national, regional and global scales[19].

The moist tropical forest represents about 30% of the world's tropical rainforest. The TerraClass data shows the changes total deforested area since 2004, demonstrating that enhancement of forest carbon stocks, due to reduced pressure on forests since the establishment of PPCDAm. This program tracks the subsequent use of deforested areas to improve the understanding of the dynamic of drivers of deforestation in the Amazon region.

Table 6. Evolution of areas mapped by TerraClass between 2004 and 2014[20]

Classes	Area (km2)					Proportions (%)				
	2004	2008	2010	2012	2014	2004	2008	2010	2012	2014
Perenial crops	18,354	34,927	39,978	42,346	45,050	3.0	4.9	5.4	5.6	5.9
Non-observed area	48,566	45,406	45,849	69,132	30,056	7.9	6.4	6.2	9.2	4.0
Setlements	2,579	3,818	4,474	5,341	6,010	0.4	0.5	0.6	0.7	0.8
Mining	799	731	967	1,049	1,272	0.1	0.1	0.1	0.1	0.2
Mosaic	16,284	24,417	17,963	9,590	16,256	2.7	3.4	2.4	1.3	2.1
Other	4,637	478	2,731	6,113	7,752	0.8	0.1	0.4	0.8	1.0
Pasture	422,036	447,160	459,467	442,403	479,760	69	63	62	59	63
Pastures with bare soil	106	594	373	43	63	0.0	0.1	0.1	0.0	0.0
Pastures clean	306,039	335,715	339,852	345,420	377,470	49.8	47.4	45.9	46.0	49.6
Pastures dirty	55,250	62,824	56,077	50,472	60,199	9.0	8.9	7.6	6.7	7.9
Pastures with regeneration	60,641	48,027	63,165	46,468	42,028	9.9	6.8	8.5	6.2	5.5
Reforestation	0	0	3,015	3,176	2,922	0.0	0.0	0.4	0.4	0.4
Secondary vegetation	100,674	150,815	165,229	172,190	173,387	16.4	21.3	22.3	22.9	22.8
Total	613,928	707,752	739,673	751,340	762,464	100.0	100.0	100.0	100.0	100.0

Biodiversity

Brazil is the world's most biodiverse country, with the forms the largest area of intact tropical forests. Nationally, there are at least 104,546 known animal species (vertebrates and invertebrates) and 43,893 known plant species of which: 4,310 algae; 32,131 angiosperms; 1,535 bryophytes; 4,665 fungi; 30 gymnosperms; and 1,222 ferns and lycophytes[21]. The Amazon biome also has the largest number of freshwater fish species, with some estimates as high as 3,000[22]. With the unique habitats and expansive, and often inaccessible, vast

[18] OECD (2015)

[19] WWF (2016)

[20] Source: INPE, 2018, available at: http://www.inpe.br/cra/projetos_pesquisas/arquivos/TerraClass_2014_v3.pdf

[21] MMA (2015), Fifth National Report to the Convention on Biological Diversity.

[22] WWF (2016)

region, new discoveries of species continue. Several Brazilian native species are important as a source of food, regionally and locally.

The status of biodiversity conservation varies across biomes and states[23], with some of the highest Biodiversity Conservation Indices reported in Amazonian states, with Amapà, Acre, Amazonas, Roraima, Para, and Rondonia leading. This indicates that biodiversity is generally better preserved, owing to the larger native vegetation cover and extension of protected areas and indigenous lands.

Table below demonstrates the distribution of biodiversity across Brazil's biomes.

Table 7. Number of known species by biome[24]

Group*	Amazon	Atlantic Forest	Cerrado	Caatinga	Pampas
Plants	13,993	18,951	13,014	4,508	1,675
Mammals	399	298	251	153	102
Birds	1,300	1,020	837	510	476
Reptiles	284	197	202	107	110
Amphibians	250	340	150	49	50
Fish	1,800	350	1,000	185	151
Total	18,026	21,156	15,454	5,512	2,564

The 2014 list of threatened fauna species indicates that the number of threatened species identified in the previous assessment has nearly doubled. Out of over 12 000 species that were assessed, 1 173 species are threatened, including 110 mammal, 234 bird and 409 marine and freshwater fish species[25]. For flora species, the 2014 list indicates that 46% of the nearly 4 600 evaluated plant species are threatened under various risk categories[26]. Around 330 alien invasive species have been identified, mostly in the Atlantic Forest biome[27]. ICMBio is in the process of assessing various taxonomic groups to update the previous Official List of

[23] MMA (2015), Fifth National Report to the Convention on Biological Diversity.

[24] Numbers presented for each biome correspond to the number of known species in a given taxonomic group at the time of source publication. As many species occur in more than one biome, the sum of the numbers presented in this table for species in each taxonomic group per biome will not match the total number of known species presented in the previous table. Source: MMA (2015)

[25] ICMBio (2015)

[26] OECD (2015)

[27] MMA (2015), Fifth National Report to the Convention on Biological Diversity

Brazilian Threatened Animal and plant Species. This assessment is carried out by taxonomic group and generates a diagnostic report outlining the risk of extinction, identification and location of the main threats, priority areas for species conservation, and compatibility with human activities.

Protected Areas

In 2000, the National System of Protected Areas (SNUC) was created, setting the way for Brazil's remarkable expansion of official protected areas, nationally termed conservation units (UC). The system consolidated the pre-existing federal, state, municipal and private protected areas into one consistent framework, which were previously fragmented. The National Register of Protected Areas (CNUC) was developed in 2006 by the MMA; it contains a database of biodiversity and management data for each UC.

Since 2000, the number and extent of terrestrial CU more than doubled in the CNUC, with the majority of new protected areas being created in the Amazon biome, demonstrating national efforts to fight deforestation. Existing conservation units are shown in the Figure below.

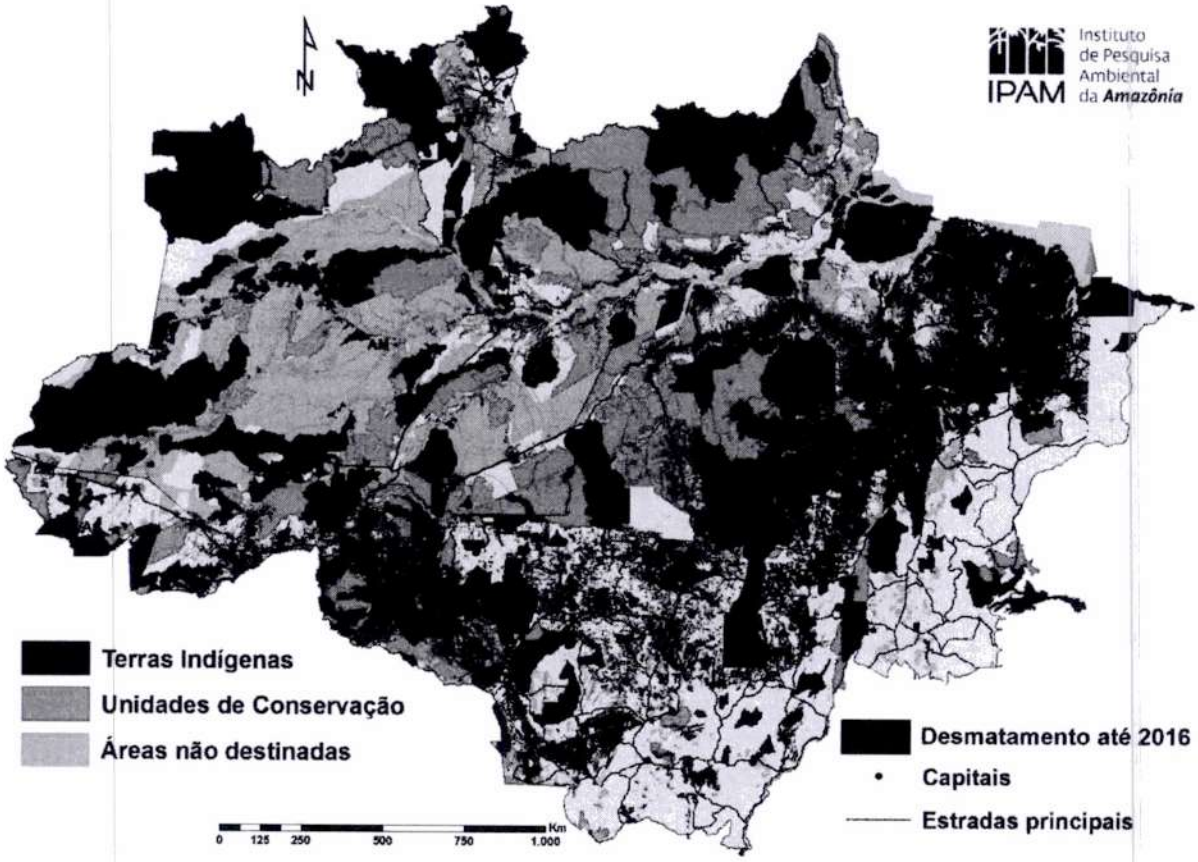


Figure 3. Map of Protected Areas (UC) in the Amazon

There are currently twelve management categories of UC, divided into two groups:

- Strict protection areas: with the primary objective of biodiversity conservation;
- Extractive and sustainable use reserves: permit human settlement and natural resource use in accordance with sustainable management plans (such as tourism, environmental education and sustainable logging).

The table below shows the number of protected areas by state.

Table 8. Protected areas in the Amazon Biome. Source: CNUC

State	Number of UCs	Area (Km2)
AC	Federal: 8 State: 4	31,325.12
AM	Federal: 21 State: 29	266,617.68
AP	Federal: 2 State: 2	42,366.51
MA	Federal: 5 State: 0	6,802.06
MT	Federal: 0 State: 1	-
PA	Federal: 30 State: 7	190,551.10
RO	Federal: 7 State: 30	20,247.70
RR	Federal: 3 State: 0	10,096.53
TO	Federal: 1 State: 0	90.7024

Although management efficiency of the Amazon's UC has improved, many protected areas operate without a management plan, even though such plans are required by law. Given that management plans are a prerequisite for sustainable use by local (mostly traditional and indigenous) communities to continue harvesting, fishing, farming, their absence can hinder socio-economic development and local control over resources.

For traditional communities, extractive and sustainable development reserves, a category of UC, are central to their livelihoods, and the federal legislation recognizes that the management of means that communities must have meaningful opportunities to sustainably use natural resources. Within this category, there are Extractive Reserves (RESEX), National Forests (FLONAs), and Sustainable Development Reserves (RDS).

These endeavors were largely supported by the Amazon Region Protected Areas (ARPA) program, which has complemented the PPCDAm in reducing deforestation in biome. In 2002, the long-term, multiphase program was implemented to expand and strengthen the Brazilian National Protected Area System (SNUC), protecting over 60 million ha and ensuring financial resources for the management and sustainable development. It is the world's largest tropical forest conservation program. UCs were created in priority areas, including the "deforestation arc" and in areas expecting road infrastructure development. It has also effectively supported the operation of protected areas by investing in basic infrastructure and capacity building.

Socio-economic Baseline

People have lived in the Amazon region for thousands of years, but the region's development trajectory is characterized by rapid change. Since the mid-20th century, the Amazon has been subject to unprecedented intensification of human occupation and exploitation of natural resource, including land, minerals, oil, and hydropower. This corresponds to the expansion of road networks, rural and urban settlements, as well as private sector and military presence. It has also driven the opening up of vast areas of forest to agriculture and logging. While the past decades were marked by rapid rural population growth due to colonization starting in the 1960s, today, the regions urban centers are quickly expanding. While the region contributes minimally to the National GDP, certain sectors are booming. Over thirty seven percent of Brazil's beef herd is in the Amazon and over 80% of all Brazilian beef is consumed domestically. Today large-scale soybean farming is taking new economic force. In 2012, soybean grain and beef from the region generated US$9 billion in export revenues.

The millions of people currently living the Brazilian Amazon are, in generally, poorer and less urbanized than the rest of the country. It is estimated that about 17% of the population is living below the extreme poverty line [28]. The Human Development Index for Amazonian states is around 10–15 percent below the national average, although Amazonas and Mato Grosso are notable exceptions. The region exhibits high levels of inequality, even though the numbers have gone down over the last decade (decreasing from 0.57 in 2005 to 0.52 in 2013).

Resource use practices vary considerably across the region and from state and state, ranging from industrial extractivist projects, agro-buisness endeavors, small-scale family farming local to subsistence extractivist practices. Land use thus varies by the different types of actors in the region. Farmers and ranchers (small to large scale) are an important and diverse group of actors, with complex and distinct settlement histories, ranging from agrarian reform immigrants practicing family farming, to traditional and indigenous groups, to ranchers and commodity agriculture famers with a significant amount of land.

A large portion of forested areas in Brazil is located in territories of indigenous people and traditional people and communities, with which they have historical bonds when it comes to their physical and cultural reproduction. Throughout generations, those peoples have

[28] UNDP (2016). National report on agenda 2030

interacted with their environment, building multiple and complex natural resources management systems, drawing on a the wealth of Traditional knowledge.

Indigenous people

There are hundreds of different indigenous peoples, across thousands of communities (*aldeias*) across all nine states, many of whom live in precarious conditions. It is estimated that around 38% of indigenous people are living in extreme poverty (compared to 17% of the general population), due to a combination of factors. Indigenous peoples face higher illiteracy rates, higher infant mortality, the highest rates of maternal fertility, lower education rates, and the highest poverty levels.

Brazil's indigenous population is diverse, with some 450,000 people identifying as such living in the Brazilian Amazon, making up 60% of the indigenous population of Brazil, with over 40 known groups that are isolated or have had little contact. With a wealth of cultural and ethnic diversity, these peoples have ancestral ties to the land and ecosystems, which are not only of economic importance but also of cultural and spiritual significance and are fundamental to the construction of identities as well as ways of being, thinking, living.

There are over 419 indigenous territories in the region at different levels in the land regularization and demarcation process, as shown in the following Table and Figure. The total area of Brazilian indigenous lands covers more than 1.1 million km2, accounting for 13.8% of the national territory and 22.6% of the Amazon Region.

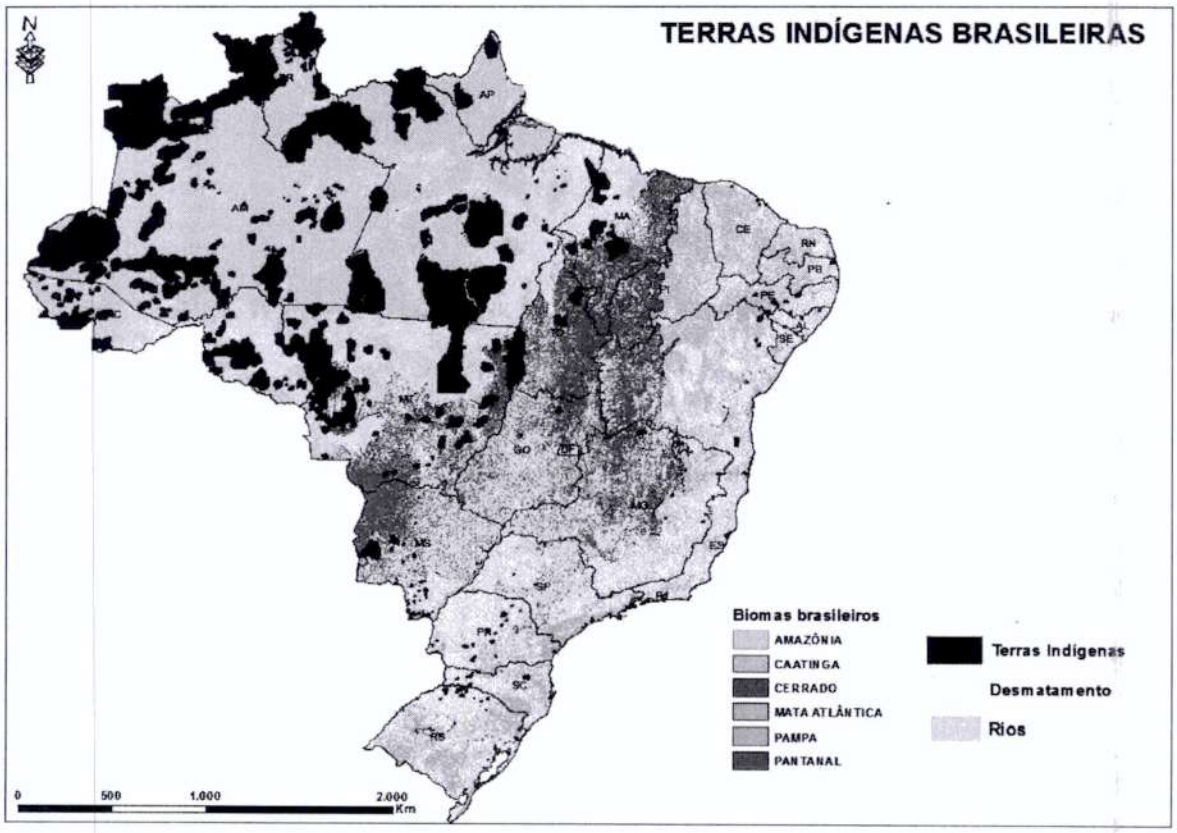


Figure 4. Map of Indigenous Territories in Brazil

Table 9. Protected Areas classified as indigenous territories. Source: FUNAI

State	communities (n)	regularized communities	% regularized	recognized as Indigenous territories (n)	population (n)	Area (ha)
AC	36	28	77.78	0	13429	2529178.7
AM	163	130	79.75	0	152303	56447472
AP	6	5	83.33	0	7937	4196539.6
MA	23	16	69.57	1	31698	2441010.9
MT	87	57	65.52	2	47051	18548410
PA	65	41	63.08	4	35409	23223795
RO	27	20	74.07	1	9047	4616512.2
RR	34	32	94.12	0	37833	13058524
TO	12	9	75.00	1	11808	2580586.8

Traditional communities

It is estimated that about 4.5 million people are part of traditional communities in Brazil, accounting for about 25% of the national territory. Like indigenous peoples, traditional

communities are also highly diverse and have historical ties to the land that are foundation for their culture, both with respect to social organization and spirituality, as well as their economy. Generally, these communities are of mixed descent (African diaspora, indigenous, and colonial Portuguese) and, like indigenous peoples are highly resource dependent. Like indigenous peoples, these communities tend to live in precarious conditions, sometimes in extreme poverty, tending to face higher illiteracy rates, higher infant mortality, the highest rates of maternal fertility, lower education rates.

Within traditional communities, there are a number of different identities related to their historical origins and place-based natural resource management systems, including Quilombolas, rubber tappers, extractivists, caboclos, riberinhos, and Pescadores. This diverse group have been legally defined in the Federal Decree no. 6,040 of February 7, 2000, stating that they are "culturally differentiated and recognized as such groups that have their own forms of social organization that 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". They are also recognized in the Federal Constitution, which states that" Traditional Peoples and Communities are groups that have cultures different from the prevailing culture in society and recognize themselves as such".

To be legally recognized as such, these groups must work with existing governance frameworks for sustainable development and territorial management, most notably within protected areas designated as RESEX, FLONAS or SDRs (see protected areas section for further detail).

The table below demonstrates the land tenure situation of quilombo groups across the nine Amazonian States.

Table 10. land regularization of Quilombo communities. Source: INCRA/ITAPA

State	communities (n)	Communities with title (n)	% titled communities	families (n)	Area (ha)
AC			0		
AM	2	0	0	272	747696.807
AP	7	5	71.43	187	57775.4539
MA	56	32	57.14	7805	163117.271
MT	3	0	0	513	18985.1168
PA	118	97	82.20	11395	1153661.44
RO	4	2	50.00	100	92591.3282
RR					
TO	6	0	0	635	128327.55

Farmers

In the Amazon, farmers are also diverse in their land use practices and scale of production, with small, medium and large-scale producers. To voluntarily patriciate in the Floresta+ pilot program, farmers will need to register with the CAR.

The following table indicates that number of farms registered in CAR in each state in the Brazilian Amazon.

Table 11. Properties registered to CAR

State	All Farms (n)	Farms registered in CAR (n)	% Farms registered in CAR	Total Area of Farms (ha)	Total Area of Farms Registered in CAR (ha)	% area registered
AC	34,296	1,610	4.69	15,554,468.79	4,052,499.82	26.05
AM	40,783	19,637	48.15	52,494,302.07	44,546,148.12	84.86
AP	4,818	2,783	57.76	4,492,222.25	3,555,233.72	79.14
MA	78,359	26,083	33.29	24,670,639.40	14,863,348.89	60.25
MT	114,190	2,073	1.82	74,766,266.74	8,544,778.98	11.43
PA	194,337	89,878	46.25	67,061,365.22	36,036,497.89	53.74
RO	111,483	13,868	12.44	16,312,866.66	8,210,795.57	50.33
RR	7,540	3,206	42.52	4,744,968.07	2,486,220.03	52.40
TO	64,865	4,187	6.45	18,562,542.08	2,523,296.42	13.59

Source: SICAR accessed 2018 (www.car.gov.br)

MONITORING AND REPORTING

Indicators for monitoring and procedures for reporting for projects implemented under the 4 Floresta+ modalities will align with the National SISREDD+, so that activities coordinate with and feed into broader safeguards monitoring and reporting processes at the federal-level. For environmental monitoring, Section 5 of the 2nd SoI presents information about safeguards related biodiversity and protected areas have been addressed and respected by the policies and initiatives aimed at reducing deforestation in the Amazon biome.

To monitor program activities, diverse indicators be needed to measure social and environmental impacts and changes associated to the projects implemented under the different Floresta+ modalities. A mixture of indicator types that are applicable to monitoring in the context of the ESMF include: 1) Process indicators to monitor the number and types of activities carried out (e.g., capacity building, number of beneficiaries, etc.) and 2) Outcome or impact indicators to measure the long-term effect of interventions (incomes, poverty, biodiversity, etc.).

For biodiversity, indicators could include the following, which should be divided by category of species, by ecosystem/habitat type, and by state when possible:

- Number of species categorized as threatened

- Number of species protected by legally defined conservation units

For Protected Areas, indicators could include the following, which should be divided by management, as per Brazil's classification of conservation units:

- Number of protected areas with implemented management plans
- Area under legal protection/number of conservation units

Refinement of environmental management planning and monitoring in the first year of the program can be supported by the Information System on Brazilian Biodiversity (SiBBr – *Sistema de Informação sobre a Biodiversidade Brasileira*)[29], developed and implemented by the Ministry of Science Technology and Innovation (MCTI). The database contains information on the research sites of the Long Term Ecological Research Program – PELD (*Programa de Pesquisas Ecológicas de Longa Duração*). MCTI also coordinates a multi-institutional initiative, The National Biodiversity Research System – SISBIOTA (*Sistema Nacional de Pesquisa em Biodiversidade*) to promote and expand the knowledge on Brazilian biodiversity, with a project in the Amazon Biome. The National Institute for Amazon Research (INPA)[30] also focuses on plant and animal inventories and aims to increase scientific knowledge of the Amazon biome to promote the economic use of its natural resources and forest conservation. It is one of the world's leading research institutions on tropical biology.

For socio-economic monitoring, indicators can include the following and should be disagrregated by groups of beneficiaries (IP, TC, family farmers) and by an appropriate economic divider, such as household income, as well as by region/state:

- Number of beneficiaries of each modality
- Number of properties registered to CAR

[29] http://www.sibbr.gov.br
[30] *http://portal.inpa.gov.br*

ANNEXURE 5: INDICATIVE OUTLINE FOR INDIGENOUS PEOPLE'S PLAN

An Indigenous Peoples Plan will be developed, recognizing and accounting for the diversity of indigenous and traditional populations (See the sub-section on Indigenous Peoples and traditional communities that highlights important considerations) as part of the ESMP to be elaborated following the full assessment of the Floresta+ pilot program and modality-specific plans. Herein is an indicative outline of this plan. Please refer to the UNDP SES Guidance Note: Standard 6: Indigenous Peoples for additional information.

INTRODUCTION

If the proposed Project may affect the rights, lands, resources or territories of indigenous peoples, an "Indigenous Peoples Plan" (***IPP***) needs to be elaborated and included in the Project documentation. The ***IPP*** is to be elaborated and implemented in a manner consistent with the UNDP Social and Environmental Standards and have a level of detail proportional to the complexity of the nature and scale of the proposed Project and its potential impacts on indigenous peoples and their lands, resources and territories.

Concisely describes the critical facts, significant findings, and recommended actions

DESCRIPTION OF THE PROJECT

General description of the project, the project area, and components/activities that may lead to impacts on indigenous peoples

Description of Indigenous Peoples:

A description of affected indigenous people(s) and their locations, including:

Description of the community or communities constituting the affected peoples (e.g. names, ethnicities, dialects, estimated numbers, etc.);

Description of the resources, lands and territories to be affected and the affected peoples connections/ relationship with those resources, lands, and territories; and

An identification of any vulnerable groups within the affected peoples (e.g. uncontacted and voluntary isolated peoples, women and girls, the disabled and elderly, others).

Summary of Substantive Rights and Legal Framework:

A description of the substantive rights of indigenous peoples and the applicable legal framework, including:

Applicable domestic and international laws affirming and protecting the rights of indigenous peoples

Provide an analysis of applicable domestic and international laws affirming and protecting the rights of indigenous peoples (include general assessment of government implementation of the same).

Analysis as to whether the Project involves activities that are contingent on establishing legally recognized rights to lands, resources, or territories that indigenous peoples have traditionally owned, occupied or otherwise used or acquired. Where such contingency exists (see Standard 6 Guidance Note, sections 6 & 7), include:

Identification of the steps and associated timetable for achieving legal recognition of such ownership, occupation, or usage with the support of the relevant authority, including the manner in which delimitation, demarcation, and titling shall respect the customs, traditions, norms, values, land tenure systems and effective and meaningful participation of the affected peoples, with legal recognition granted to titles with the full, free prior and informed consent of the affected peoples; and

List of the activities that are prohibited until the delimitation, demarcation and titling is completed.

Analyze whether the Project involves activities that are contingent on the recognition of the juridical personality of the affected Indigenous Peoples. Where such contingency exists (see Standard 6 Guidance Note, section 7):

Identification of the steps and associated timetables for achieving such recognition with the support of the relevant authority, with the full and effective participation and consent of affected indigenous peoples; and

List of prohibited activities until the recognition is achieved

Summary of Social and Environmental Assessment and Mitigation Measures

A summary of the findings and recommendations of the required prior social and environmental impact studies (e.g. limited assessment, ESIA, SESA, as applicable) – specifically those related to indigenous peoples, their rights, lands, resources and territories. This should include the manner in which the affected indigenous peoples participated in such study and their views on the participation mechanisms, the findings and recommendations.

Where potential risks and adverse impacts to indigenous peoples, their lands, resources and territories are identified, the details and associated timelines for the planned measures to avoid, minimize, mitigate, or compensate for these adverse effects. Identify the special measures to promote and protect the rights and interests of the indigenous peoples including compliance with the affected peoples' internal norms and customs.

If the Project will result in the relocation of indigenous peoples from their lands and territories, a description of the consultation and FPIC process leading to the resulting agreement on relocation and just and fair compensation, including the possibility of return.

A description of measures to protect traditional knowledge and cultural heritage in the event that the Project will result in the documentation and/or use and appropriation of such knowledge and heritage of the indigenous peoples and the steps to ensure FPIC before doing so.

PARTICIPATION, CONSULTATION, AND FPIC PROCESSES

A summary of results of the culturally appropriate consultation and, where required, FPIC processes undertaken with the affected peoples' which led to the indigenous peoples' support for the Project.

A description of the mechanisms to conduct iterative consultation and consent processes throughout implementation of the Project. Identify particular Project activities and circumstances that shall require consultation and FPIC (consistent with section 4 of the Standard 6 Guidance Note).

Appropriate Benefits:

Identify measures to be taken to ensure that indigenous peoples receive equitable social and economic benefits that are culturally appropriate, including a description of the consultation and consent processes that lead to the determined benefit sharing arrangements.

CAPACITY SUPPORT

- Description of Project activities aimed at increasing capacity within the government and/or the affected indigenous peoples, and facilitating exchanges, awareness, and cooperation between the two.
- Description of measures to support social, legal, technical capabilities of indigenous peoples' organizations in the project area to enable them to better represent the affected indigenous peoples more effectively
- Where appropriate and requested, description of steps to support technical and legal capabilities of relevant government institutions to strengthen compliance with the country's duties and obligations under international law with respect to the rights of indigenous peoples.

GRIEVANCE REDRESS:

- A description of the procedures available to address grievances brought by the affected indigenous peoples arising from Project implementation, including the remedies available, how the grievance mechanisms take into account indigenous peoples' customary laws and dispute resolution processes, as well as the effective capacity of indigenous peoples under national laws to denounce violations and secure remedies for the same in domestic courts and administrative processes.

MONITORING, REPORTING, EVALUATION

- Mechanisms and benchmarks appropriate to the Project for transparent, participatory joint monitoring, evaluating, and reporting, including a description of how the affected indigenous peoples are involved.

- Define the mechanisms put in place to allow for periodic review and revision of the ***IPP*** in the event that new Project circumstances warrant modifications developed through consultation and consent processes with the affected indigenous peoples.

INSTITUTIONAL ARRANGEMENTS:

- Describes institutional arrangement responsibilities and mechanisms for carrying out the measures contained in the ***IPP***, including participatory mechanisms of affected indigenous peoples. Describes role of independent, impartial entities to audit, conduct social and environmental assessments as required, and/or to conduct oversight of the project.
    - Budget and Financing:
    - An appropriately costed plan, with itemized budget sufficient to satisfactorily undertake the activities described.
- **Note:** The ***IPP*** will be implemented as part of Project implementation. However, in no case shall Project activities that may adversely affect indigenous peoples – including the existence, value, use or enjoyment of their lands, resources or territories – take place before the corresponding activities in the ***IPP*** are implemented. The relationship between the implementation of specific ***IPP*** measures and the permitted commencement of distinct Project activities shall be detailed within the ***IPP*** to allow for transparent benchmarks and accountability.
- Where other Project documents already develop and address issues listed in the above sections, citation to the relevant document(s) shall suffice.

ANNEXURE 6: PRELIMINARY GENDER ASSESSMENT AND ACTION PLAN

1. INTRODUCTION

The Green Climate Fund (GCF) recognizes the central importance of gender considerations in terms of both impact and access to climate funding, and requires a Gender Assessment and Gender Action Plan to be submitted as part of the funding proposals that it assesses. The main objective of the Gender Assessment is to screen the gender aspects of the GCF project, and to subsequently strengthen the gender responsive actions within the project. It is within this context that this gender assessment aims to provide an overview of the gender dynamics in Brazil, with a focus on REDD+ and related thematic areas, specifically as they refer to the results period (2014 and 2015) as well as the investment of proceeds for this proposal. The information and design considerations in this Annex should not be considered additional, but rather part of the basis of the proposal, including its Stakeholder Engagement and Environmental and Social Management Framework (ESMF) Annexes.

This gender assessment also identifies gender issues that are relevant to the project and examines potential gender mainstreaming opportunities. The assessment was based upon available data from studies conducted by the Government of brazil, United Nations (UN) agencies, and multilateral and research organizations; and included:

1. Undertaking a desktop review and aligning approaches in this proposal with the national priorities of Brazil;
2. Reviewing and considering national aspirations as detailed in the national policies and agenda on gender and women's empowerment;
3. Incorporating information and lessons learned from past studies and assessments on gender in Brazil from the Government of Brazil, the UN and international development and research organizations;
4. Integrating gender considerations in the project indicators, targets, budget and activities.

2. EXISTING GENDER DYNAMICS AND INEQUALITIES IN BRAZIL

Over the last two decades, Brazil has made good strides in promoting gender equality within the country. As discussed in more detail in the following sections, Brazil's has taken concrete actions to promote and integrate gender equality into the broader policy-making agenda and has achieved substantial advances in women's education and health and equality before the law. Brazilian women now even outperform men in various education indicators.31

[31] Gukovas, R., Müller, M., Pereira, A.C., Reimão, M.E. (2016) "A Snapshot of Gender in Brazil Today: Institutions, Outcomes, and a Closer Look at Racial and Geographic Differences"

Progress has been weaker, however, in the areas of women's economic opportunities, particularly in outcomes relating to women's economic opportunities and agency (i.e., the capacity to make decisions and take control over one's life projects). Additionally, aggregate advances by women often hide the more racial or geographic differences in every dimension of gender equality. This means, that even in areas where progress has been made, large groups of women are being left behind due to their racial, ethnic or geographic identities. And when these types of inequalities remain, these same women face double discrimination for being female as well as for being part of a different culture, race ethnicity, etc. In Brazil, the existing gender dynamics can be detrimental to men as well. The continuing underperformance in school by men (specifically Black/pardo males) has negate e implications for development. These existing inequalities are discussed in more detail within the sections below.

2.1 Gender Inequality Index

Through the years, several indices have developed to quantify the concept of gender inequality. The United Nations Development Programme uses the Gender Inequality Index (GII) and Gender Development Index (GDI). GII is a composite measure that shows inequality in achievement between women and men in reproductive health, empowerment and the labour market while with a measures achievement in human development in three areas: health, education, and command over economic resources. The GDI considers the gender gaps on human development between men and women.

Brazil has a GII value of 0.414, ranking it 92 out of 159 countries in the 2015 index. The female HDI value for Brazil is 0.754 in contrast with 0.751 for males, resulting in a GDI value of 1.005, which places the country into Group 1 (high equality in HDI achievements between women and men).32

The Global Gender Gap Index (GGGI) of the World Economic Forum examines the gap between men and women in four categories: economic participation and opportunity, educational attainment, health and survival; and political empowerment.33 Out of 144 countries, Brazil's rankings, based on GGGI in the year 2016, are given below34:

Description	Score	Rank
Economic participation and opportunity	0.640	91
Educational attainment	0.998	42

[32] United Nations Development Programme (2016). Briefing Note for Countries on the 2016 Human Development Report: Brazil. Available at: http://hdr.undp.org/sites/all/themes/hdr_theme/country-notes/BRA.pdf

[33] World Economic Forum. The Global Gender Gap Report 2014 Country Profiles. http://www3.weforum.org/docs/GGGR14/GGGR_CountryProfiles.pdf

[34] World Economic Forum. The Global Gender Gap Report 2016 Country Profiles: Brazil. Available at http://reports.weforum.org/global-gender-gap-report-2016/economies/#economy=BRA

Health and survival	0.980	1
Political empowerment	0.132	86
Gender Gap Index 2016	0.687	79

* Inequality = 0.00; Equality = 1.00. Source: The Global Gender Gap Report 2014

The Organization for Economic Cooperation and Development (OECD) developed the Social Institutions and Gender Index (SIGI), a composite index that scores countries (i.e., 0 to 1) on 14 indicators grouped into five sub-indices: discriminatory family code, restricted physical integrity, son bias, restricted resources and assets, and restricted civil liberties to measure the discrimination against women in social institutions across 160 countries. The 2014 SIGI value for Brazil is 0.0458, suggesting that discrimination against women is low.35

2.2 EDUCATION[36]

The literacy rate of youth (ages 15-24) is 98% for males and 99% for females, which is up from 84% in 1980. Similarly, 98.7% of 12-year-olds currently attend school, with 98.1% of girls and 98.3% of boys of this age attending school.

School attendance rates drop between 14 and 17 years of age, however, with only 87% of 16-year-olds and 73% of 17-year-olds attending school. This decline does not differ substantially between girls and boys. In fact, among older youths, females are more likely to attend school than males. One in three women 21 years of age attends school, versus only one in four of their male counterparts. With the increase in women's and girls' schooling, a gender gap in favor of girls has developed in secondary (female-to-male ratio: 1.11) and tertiary education (1.29) according to the latest data from 2008. The increase in female tertiary education is notable given that in 1970, the female-to-male ratio in tertiary education was as low as 0.6.

To note, with education, disparities emerge when disaggregating by race, with white women reporting over a year more of education than women who self-identify as black or parda (Afro-Brazilian), 9.1 versus 7.7 years. Regional differences also occur, as women in the Southeast and the Center-West report 8.8 years of schooling, compared to 7.5 for those in the Northeast.

Gender discrepancies in education increase with levels of education. While equal shares of boys and girls (92.5%) ages 6 to 14 were enrolled in school in 2013, the shares dropped at ages 15-17 to 60.1% for girls and 50.4 percent for boys. There was a dramatic drop for the next age group, 18-24 year olds, to 18.8% for women, which is still meaningfully higher than

[35] OECD. Social Institutions and Gender Index 2014. http://www.genderindex.org/ranking/

[36] Gukovas, R., Müller, M., Pereira, A.C., Reimão, M.E. (2016) "A Snapshot of Gender in Brazil Today: Institutions, Outcomes, and a Closer Look at Racial and Geographic Differences"

the men's share of 14.0%. **Currently, close to two-thirds of graduates from tertiary education each** year are women.

2.3 POLITICAL PARTICIPATION AND DECISION-MAKING

Women´s political participation and representation are still very weak in Brazil and have not much changed over the last decades. While Brazil is one of the few countries in the Latin America region that has had a female president, Dilma Rousseff (from 2011-2016), only six out of 39 ministers in her government were female, and they were often appointed to "softer", less technical roles, in areas such as human rights, racial equality, and policies for women. None of the new ministers whom current president Michel Temer selected for his government in May 2016 are female.37

There has been a recent change to the Brazilian electoral code which now requires that at least 30% of political party's candidates must be women, and that at least 5% of financial resources must be allocated to promoting female political participation and meeting this quota. As a result, the number of female candidates in the last general election, in 2014, increased by 47% when compared to the election in 2010.38

Nevertheless, the election itself did not significantly change the gender make-up of law-making bodies. In 2010, 45 women were elected to the Chamber of Deputies; in 2014, 51 female candidates secured seats. The numbers represent respectively 8.8% and 9.9% of the chamber's 513 deputies. For the Federal Senate, which renewed one third of its 81 seats in 2014, five female senators were elected, joining another six previously chosen. Women now occupy 13.6% of all Senate seats.39 Additionally, the Inter-Parliamentary Union40 ranks Brazil 152nd in the world in its "List of Women in National Parliaments".41

At the state level, leadership roles are equally male-dominated, with only one female governor elected in 2014 for the 27 posts available. In state parliaments, the number of women elected decreased between 2010 and 2014: 120 female candidates won seats in 2014, compared to 141 in the previous cycle. Finally, at the local level, only 11.8% of elected mayors and 13.3% of city councilors are female (CEPAL Gender Observatory, data for 2014).

Within this context it is encouraging to see the level of the organization of women, who live in rural and forest areas, has increased, particularly since 2006. As an important example, in

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[37] Ibid

[38] Ibid

[39] Ibid

[40] The Inter-Parliamentary Union compiles and reports data on the percentage of women in the lower or single House of 193 countries, and organizes the countries by descending sorder of these percentages.

[41] http://archive.ipu.org/wmn-e/classif.htm

2010, the Brazilian indigenous movement founded the Union of the Indigenous Women from the Legal Amazon (UMIAB).

2.4 LABOUR FORCE PARTICIPATION[42]

Female labor force participation (LFP) and employment have risen only slightly over the last 20 years, from a rate of 54% in 1995 to 59% in 2014. To note, while the respective rates for men declined ever so slightly and female rates increased over the last twenty years, most of this happened between 1995 and 2005. Between 2005 and 2014, female LFP in Brazil did not deviate by more than 1 percentage point.

While labor force participation changed little for men or women over the past decade, large drops for some groups is present when looking at age and educational level. For example, LFP among unskilled young men and women dropped significantly between 2004 and 2014. At the same time, skilled people aged 55 to 64 seem to have postponed their retirement.

In households with children present, the LFP participation increases for both men and women when they have just one child, but then drops continuously for females and stays constant for males with every additional child in the household.

LFP among women is higher in the top quintiles of the income distribution, regardless of the household composition. Women in households with both parents and another female adult tend to participate less in the labor market than those in households with both parents and children. Among women in the poorest two quintiles, LFP does not change much whether they have children or not in the household. In single-parent households, which are typically led by women, LFP is higher when there is no other adult female in the household.

Even though they have lower LFP rates, women also face higher levels of unemployment relative to men, particularly among younger cohorts. In 2013, the average unemployment rate was 6.3% (for the population aged 15 and higher). For women, it was 8.2%, whereas for men it was only 4.8%. This gap widens significantly in the younger population, with 17.1% of women ages 18-24 being unemployed compared to 10.8% of men in the same age group.

[42] Gukovas, R., Müller, M., Pereira, A.C., Reimão, M.E. (2016) "A Snapshot of Gender in Brazil Today: Institutions, Outcomes, and a Closer Look at Racial and Geographic Differences"

These LFP and employment figures covers up occupational segregation, which shows up not only in the differences in gender representation in different sectors, but also in vocational training and entrepreneurship. In Brazil, female employment is still concentrated in sectors related to traditionally female roles, such as accommodation and food, education, health, social services, and domestic services. Together, these sectors account for approximately 45% of working females, while about 48% of employed men are engaged in the agricultural, industrial, and construction sectors.

The rate of female entrepreneurship in Brazil is close to the regional average, with 15% of working-age women about to start or currently running a new business. This is also very close to the male rate of 16%. The share of female entrepreneurs operating single-person businesses in Brazil is higher than that of male entrepreneurs—71% versus 55%. This data, together, suggests that there is a willingness among women to start business but that there are barriers—actual or perceived—for the growth of female-owned businesses.

Business training offered to women is often gender-biased, particularly in rural areas, where women often take courses on traditional roles, such as cooking and sewing. Female-owned businesses are concentrated in the micro and small end of the spectrum. They grow more slowly, use less labor and physical capital, and are focused in the commerce, services, and manufacturing sectors, which tend to be less profitable overall.

Differences in hours worked in paid work and domestic tasks are also present between men and women. In Brazil, women tend to spend an average of 22.7 hours a week on domestic work and men 5.5 hours. This division of labor not only reduces women's earnings by limiting the time they spend on paid activities, but it may also lead women to seek employment that has flexible or shorter hours. This work is more likely to be found in the informal sector or in low-growth entrepreneurship. Brazilian women also work for more hours than men, when both paid and domestic work are taken into account. To illustrate, women spend an average of 41.5 hours per week at work, compared to the 37.3 hours spent by men. The difference between sexes increases substantially when considering employed persons, where women work about 55.4 hours a week, or eight more hours than men.

2.5 Access to land and social resources

In Brazil, distortions in agrarian, forest and environmental policies, laws and regulations and their implementation have contributed to insecure property rights over both land and timber, leading to persistent violent conflicts over resources – all of which affect women and men in particular ways. Indigenous areas along with sustainable use reserves, smallholder colonization settlements, and quilombolas control rights to over 37% of lands in Brazilian Amazonia. These claims to "territories" imply far more than mere rights to land, often encompassing historical memory and identity, and implying the right to self-determination and self-governance of the common property using local practices that may follow a different

logic from formal property institutions. In Brazil, "traditionally occupied lands" combine the use of commons (forests, water, fields and pastures) with titled properties and recognition of de facto rights related to specific extractive, agricultural, fishing, hunting, crafts and animal husbandry activities. Securing access to territory often is a precondition for survival as an ethic group, embedded in highly charged social mobilizations that unite all community members in a common struggle. In Brazil, where joint titling of both women and men became an option in the 1988 Constitution, female land ownership remains very low (12.6% in the mid-1990s) because cultural practices led to titling only male household heads, and the Land Reform Institute (INCRA) resisted joint titling because the forms they used for land registration did not have space for two names until 2001 reforms.43

Additionally, land tenure in the country is difficult to track and follow. There is no central database containing information on land ownerships and titles and there is no official land registry system. Rather, each location often has its own paper-based system. This situation then makes it equally difficult to track and compile gender data and statistics on land ownerships.

Nevertheless, there has been efforts undertaken by the Government of Brazil to improve this situation. The Terra Legal Program which supports regularization of land titles for small holders in the "Legal Amazon" (including Maranhão and Tocantins) have included actions to empower the position of women through, for example, registration of the land titles in the name of both wife and husband (in that order). Another important program is the National Agrarian Reform Program (Programa de Reforma Agrária) which seeks to improve the distribution of land to meet the principles of social justice, sustainable rural development and increased production.44 This land distribution program has improved the women's access to land titles by means of prioritizing the access for women who are head of household.

In terms of access to social services, the Government of Brazil has invested in partnerships with local authorities and in mobile units (54 buses and five boats) that provide specialized services to women living in rural and remote areas, including social, psychological, health, and legal advice. And while plans exist to extend these services, ensuring these services reach rural women remains a challenge. Specialized and nonspecialized services within the network are concentrated in urban areas. Even theoretically nationwide services, such as Dial 180,45 do not reach all parts of the country. At the same time, the number of calls to Dial 180, which covers 70 percent of Brazilian cities, originated from rural areas, and quadrupled

[43] Schmink M and García MAG. 2015. Under the canopy: Gender and forests in Amazonia. Occasional Paper 121. Bogor, Indonesia: CIFOR.

[44] http://mds.gov.br/assuntos/cadastro-unico/o-que-e-e-para-que-serve/programa-nacional-de-reforma-agraria

[45] The hotline (dial 180) provides women with legal and services information. As of 2014, women could also use it to report cases of violence. Complaints filed through this service are forwarded to law-enforcement agencies and to state public prosecutors' offices

from 2013 to 2014.46

2.6 AGRICULTURE

A less well studied sector in Brazil is the relation between gender and agriculture, particularly agribusiness. Some studies have concluded that although agribusiness is often seen as a generator of wealth and local development, it is also responsible for the social exclusion of women from participation in the labor market.47

In terms of supporting women in agriculture, the National Program on Family Agriculture (Programa Nacional de Fortalecimento da Agricultura Familiar) does offer a dedicated line of credit to rural women. In practice, however, accessing it is quite difficult, because female applicants must submit a technical project for approval, which requires technical knowledge and thus imposes barriers particularly for less-educated women. Some women overcome this by relying on local cooperatives and/or other services to assist in proposal design, but it is clear that this agricultural credit does not generally reach the poorest or least-educated women in rural areas.48

2.7 HEALTH[49]

In Brazil, maternal mortality rate fell from 120 per 100,000 live births in 1990 to 69 in 2013. 98% of births are currently attended by skilled personnel, compared to 88% in the mid-1990s.

However, it should be noted that the share of births by cesarean section in Brazil is high, at 57.7% of all births in 2012 [the World Health Organization (WHO) recommends a target of 15 %]. While it is not known why the rate is well above this WHO recommended target, it could be due to a combination of financial incentives for hospital administrators and medical staff and the preferences of pregnant women to schedule a birth in advance. As medically unnecessary cesarean procedures may pose risks to pregnant women, in 2015, the Ministry of Health and the National Agency on Supplementary Health launched an initiative aimed at reducing cesarean surgeries and encouraging vaginal deliveries. Obstetricians are now required to provide a written explanation for each cesarean delivery. Pregnant women are

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[46] Gukovas, R., Müller, M., Pereira, A.C., Reimão, M.E. (2016) "A Snapshot of Gender in Brazil Today: Institutions, Outcomes, and a Closer Look at Racial and Geographic Differences"

[47] See for example: Campos, Christiane Senhorinha Soares (2009). "Pobreza e exclusão feminina nos territórios do agronegócio – o caso de Cruz Alta/RS" PhD-thesis on: http://www.lume.ufrgs.br/handle/10183/21080 and ROSSINI, R. A modernidade tecnológica no campo exclui a mulher e acelera as masculinidades na agricultura, anais do XIII Encontro da Associação Brasileira de Estudos Populacionais, Ouro Preto/MG, novembro de 2002.

[48] Gukovas, R., Müller, M., Pereira, A.C., Reimão, M.E. (2016) "A Snapshot of Gender in Brazil Today: Institutions, Outcomes, and a Closer Look at Racial and Geographic Differences"

[49] Gukovas, R., Müller, M., Pereira, A.C., Reimão, M.E. (2016) "A Snapshot of Gender in Brazil Today: Institutions, Outcomes, and a Closer Look at Racial and Geographic Differences"

given leaflets with information on vaginal and cesarean deliveries, and health insurance companies are required to disclose obstetricians' shares of cesarean sections relative to total deliveries.

Concerning pregnancy prevention, contraceptive use is as high as 80% among married women 15-49 years of age. Unmet need from family planning has fallen to 6%, well below the regional average of 11%. In regards to contraception use, there is significant variation in the type of use across income quintiles. Condom use gradually increases by socio-economic level, from 10.3% among the poorest to 16.4% in the highest quintile. Female sterilization, which is known as an invasive means of contraception, is most common among the poorest quintile (32.3%) and drops to 20.2% for the two highest quintiles. In contrast, the rate of male sterilization is only 1% among the poorest but 13.3% among the two wealthiest quintiles.

The prevalence of teenage motherhood has fallen slightly since 2001. To illustrate, in 2001, 13.6% of women 15-19 years of age reported having had a child. By 2014, the figure had dropped to 11%. Among those aged 15-17 in 2001, 7.3% reported having had a child, where in 2014 it had decreased to 6.2%.

3. Legal and Administrative Framework Protecting Women and Protecting Gender Equality

3.1 Key International Protocols and Frameworks Ratified by Brazil in Support of Gender Equality and Women's Empowerment and Human Rights

Brazil has ratified and/or signed many key international conventions, treaties and plans of actions on gender equality, women's empowerment and human rights. Critical among them are:50

- UN Declaration on Human Rights;
- International Covenant on Civil and Political Rights;
- The Convention on the Elimination of All Forms of Discrimination against Women, including its Optional Protocol51;
- The Inter-American Convention to Prevent, Punish and Eradicate Violence against the Woman "Convention of Belém do Pará";
- International Covenant on Economic, Social and Cultural Rights;
- The Beijing Declaration and Platform for Action of 1995;
- The Declaration on the Rights of Indigenous People;
- The International Convention on the Elimination of All Forms of Racial Discrimination;
- The International Convention on the Rights of the Child;

[50] https://www.ohchr.org/en/professionalinterest/pages/cerd.aspx
[51] The Optional Protocol allows parties to recognize the authority of the CEDAW Committee to consider complaints from individuals

- Convention on the Rights of Persons with Disabilities.

3.2 Key National Gender Equality and Women's Empowerment Frameworks, Policies and Laws

3.2.1 National Constitution and laws

Feminist and women's movements have successfully advocated for the inclusion of gender equality principles in the 1988 Constitution, as well as for legal changes aimed at enforcing such principles.52 In addition to this, Article 3 of Brazil's Constitution states that the fundamental objectives of the Federation Republic of Brazil are to 1) build a free, just and solidarity society; 2) guarantee national development; 3) eradicate poverty and marginal living conditions and to reduce social and regional inequalities; and 4) promote the well-being of all, without prejudice as to origin, race, sex, color, age, and any other forms of discrimination.

Additionally, Article 1 of Brazil's Labour Laws states that it is prohibited to adopt discriminatory practices and for the purpose of limiting access to the employment relationship, or its maintenance by reason of sex, origin, race, color, marital status, family status or age, except in this case the chances of child protection provided for in paragraph XXXIII art. 7 of the Federal Constitution.

The "Feminicide/Femicide" law, signed by ex-President Dilma Rousseff on 9 March 2015, is new legislation under Brazil's Penal Code that imposes harsher penalties for those who harm or kill women or girls on account of their gender.

Law 13,112/2015, sanctioned by ex-President Dilma Rousseff in March 2015, legally equates mothers and fathers on the obligation to register the newborn and allows mothers to seek registration of birth of their children at register offices without the presence of the father and Law 13,109, also sanctioned in March 2015, provides six months maternity leave for women in the military armed forces.

3.2.2 National Policies, Plans and Programs

Four National Conferences (in 2004, 2007, 2011 and 2016) on Policies for Women (Conferência Nacional de Políticas para as Mulheres) have taken place under the direction of National Secretariat for Women's Policies (SPM), with the participation of women in various levels of government and civil society. The first three conferences each led to a National Plan of Policies for Women (Plano Nacional de Políticas para as Mulheres). The latest National Plan

[52] Gukovas, R., Müller, M., Pereira, A.C., Reimão, M.E. (2016) "A Snapshot of Gender in Brazil Today: Institutions, Outcomes, and a Closer Look at Racial and Geographic Differences"

of Policies for Women was for the period from 2013-2015. Prior to the conferences, consultation rounds were held at municipal and regional levels, with the purpose of crafting or strengthening plans of policies for women and institutionalizing gender-related policies. Thereafter, state conferences were convened in order to elect delegates for the conference and, in some cases, draft State Plans of Policies for Women. (Currently, twelve states have adopted their own state plans of policies for women).53, 54

Decree No. 6,040, of February 7, 2007, established the National Policy for the Sustainable Development of Traditional Peoples and Communities. The goal of this policy is to strengthen programs and actions aimed at enhancing gender relations in traditional peoples and communities and women's contributions and participation in government initiatives, while also valuing the historical importance of women and their ethical and social leadership.

The "Maria da Penha Law" (also known as Brazil's Federal Law 11340) has the objective of reducing domestic violence against women. The law expedites court orders and domestic violence cases, as well as imposes harsher sentences for perpetrators. In 2015, women were afforded greater protection when the "Lei do Feminicidio," was adopted, which distinguished regular homicides from homicides specifically targeting women by adding it to the Brazilian Penal Code and imposing higher penalties for perpetrators, ranging anywhere from twelve to thirty years. While this is a federal law, its implementation is delegated to the states and municipalities, with no built-in federal enforcement mechanisms or conditionality. While the law has been internationally recognized as one of the most comprehensive legal instruments to address this problem, there are still several bottlenecks regarding its implementation, notably questions of jurisdiction and insufficient funding from states and municipalities. 55

The National Plan of Action on Women, Peace and Safety of Brazil, with a duration of 2 years (2017- 2018), was created to promote gender mainstreaming and empowerment of women within strategies for adopting an inclusive and sustainable perspective of peace and security. It is structured into four thematic pillars, with two strategic objectives that permeate all its content. These objectives are the following: 1) gender mainstreaming in all actions undertaken by the country in the context of international peace and security; and (2) the empowerment of women and girls as lasting peace. 56

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[53] The states with Plans of Policies for Women are: Amazonas, Amapá, Bahia, Goiás, Minas Gerais, Mato Grosso do Sul, Pará, Paraíba, Pernambuco, Rio Grande do Norte, and Sergipe e Tocantins

[54] Gukovas, R., Müller, M., Pereira, A.C., Reimão, M.E. (2016) "A Snapshot of Gender in Brazil Today: Institutions, Outcomes, and a Closer Look at Racial and Geographic Differences"

[55] Ibid

[56] Government of Brazil (2017). "National Plan of Action on Women, Peace and Safety" Brazil, March 2017. Available at: http://www.itamaraty.gov.br/images/PlanoNacional-Mulheres-Paz-Seguranca.pdf

With the fifth edition of the Pro Gender and Racial Equity Program, the federal government has also taken steps to encourage public and private businesses to adopt measures promoting equal opportunities and treatment.

3.2.3 Additional frameworks and policies supporting gender equality and women's empowerment

There are also other national policies, laws and legislation frameworks that support gender equality and women's empowerment in Brazil. These include:

- National Policy for Comprehensive Attention to Women's Health
- National Program on Women's Health
- Laws 10,208/2003 and 11,324/2006 [focus on reducing the gap and ensure domestic workers greater (though not yet comprehensive) social protection and rights such as job stability for pregnant employees and a 30-day leave]
- National Pacts for Combating Violence Against Women I and II

3.3 Institutional Arrangements

In 2003, the Federal Government created the National Secretariat for Women's Policies (SPM). Originally a ministry, it later lost this ministerial status in September 2015 and was merged with the Ministry of Human Rights and Racial Equality and is now called the Ministério das Mulheres, da Igualdade Racial, da Juventude e dos Direitos Humanos (Ministry of Women, Racial Equality, Youth and Human Rights). This was done as part of a national ministerial reform to cut government spending. Women's groups and feminist organizations decried this action as a setback for gender equality in Brazil. SPM's mandate is to create enforce policies for gender equality, and led to the design and implementation of National Plans for Policies for Women.57 The SPM also has an Ombudsman.

The National Council on Women's Rights (Conselho Nacional dos Direitos da Mulher – CNDM), created in 1985 under the Ministry of Justice, was placed under SPM in 2003. It includes representatives of other areas of government and civil society and is comprised of 16 members of various departments of the federal government and 21 elected civil society representatives. The Council formulates guidelines for the promotion of women's rights and enforces gender-related policies.58

Gender equality is also a relevant subject for the environmental sector. Since 2012, the Ministry of Environment has a Gender Committee, which is in charge of discussing and

[57] Gukovas, R., Müller, M., Pereira, A.C., Reimão, M.E. (2016) "A Snapshot of Gender in Brazil Today: Institutions, Outcomes, and a Closer Look at Racial and Geographic Differences"
[58] Ibid

proposing actions to ensure gender equality in programs and policies, specifically those as they relate to Sustainable Development Goal 5 (SDG 5).

4. GENDER ISSUES AROUND FORESTS AND REDD+

In Brazil, the gender division of labor commonly associates men with timber and women with multi-use, small-scale, local, informal activities. Resource-based economies are predominantly controlled by men, including production and trade, while direct sales networks have opened opportunities for rural and urban women, despite economic risks. Men's and women's knowledge also differs according to these areas of expertise. For example, it can be the case that women list more NTFPs compared to men. Men in the Brazilian Amazon are also more likely to cite timber products among important forest products, whereas women cite a variety of species used for food, nutrition, medicines and other cultural uses. 59 Additionally, women, particularly those living in extractive reserves in Brazil, are the principal health care providers for their families. Women's accumulated knowledge of forests within the extractive reserves, the ecology, habitats, and specific location of phototherapeutics, is intimately connected with their family's health.60 This organization of knowledge into complementary but distinct gender domains provides a valuable, collective adaptive resource for rural communities.

It can, conversely, also skew realities. To illustrate, in western Brazil, one study61 found that over 64% of women had cut and collected rubber at some point and 78% had regularly collected latex usually tapped by men. Yet tapping rubber, nevertheless, continued to be viewed as a male occupation. These gender relations in Brazilian rubber tapper communities, paired with patriarchal values, the spatial division of labor, social isolation and the exclusion of women from community and public arenas have strongly influenced women's roles and livelihood strategies, and often limited their access to resource rights and decision making at household and community levels.

Cultural values within forest communities often influence the roles of women and men in Brazil as well. For example, patriarchal cultural values among some indigenous groups and among the general population in northeastern Brazil assume that men represent the family and the community in public arenas, leaving women without independent autonomous property rights and representation in decision making related to forest management.62

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[59] Schmink M and García MAG. 2015. Under the canopy: Gender and forests in Amazonia. Occasional Paper 121. Bogor, Indonesia: CIFOR.

[60] Shanley, P., Da Silva, F.C., Macdonald, T. (2011). "Brazil's social movement, women and forests: a case study from the National Council of Rubber Tappers". International Forestry Review Vol.13(2), 2011

[61] Kainer K and Duryea M. 1992. Tapping women's knowledge: Plant resource use in extractive reserves, Acre, Brazil. Economic Botany 46(4):408–25.

[62] Schmink M and García MAG. 2015. Under the canopy: Gender and forests in Amazonia. Occasional Paper 121. Bogor, Indonesia: CIFOR.

5. GENDER INTEGRATION WITHIN FOREST CONSERVATION EFFORTS AND REDD+ ACTION IN BRAZIL

5.1 WOMEN'S COLLECTIVE MICROENTERPRISES IN THE BRAZILIAN AMAZON[63]

Over the past two decades, women in the Brazilian Amazon region have organized themselves into collective microenterprises to work with forest resources and support more sustainable land use practices. These efforts in turn have contributed to their economic empowerment within their households and communities. The goals of these enterprises have typically centered on improvements for women and their families, but they also aim to enhance women's self-confidence and social visibility, political awareness, and environmental knowledge. Unfortunately, little information is available about the diverse types of rural women's collective microenterprises, as many of them are informal.

These collective microenterprises, lacking support from public policies attuned to their particular characteristics and potential, often instead are supported through church-based or NGO groups. These efforts have resulted in many positive outcomes. For example, these enterprises have helped women to change family property management models through microenterprise training and activities. They have also increased economic gains for women, and added value to the NTFP they produce. Given that women have also contributed more to their family's income composition, they have gained more voice and power in the household as well as in decision making about natural resources use, especially in households with smaller land size, because they implemented profitable productive activities and expanded their management of the family property.

However, the prospect of scaling up support for these promising small-scale women-led initiatives presents challenges, given their continued "invisibility," their hybrid nature that encouraged informality, and their lack of experience in dealing with larger commercial markets. Public policies are also lacking in support women's collective microenterprises, as they do not provide women with flexibility in accessing technical assistance and credit lines appropriate to enable them to learn and grow at their own pace.

5.2 SOCIAL MOVEMENT OF NATIONAL COUNCIL OF EXTRACTIVIST POPULATIONS (CNS)[64]

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[63] Mello, D. Schmink, M. (2017) "Amazon entrepreneurs: Women's economic empowerment and the potential for more sustainable land use practices". Women's Studies International Forum 65 (2017) 28–36. Available at: https://www.sciencedirect.com/science/article/pii/S027753951530176X

[64] Shanley, P., Da Silva, F.C., Macdonald, T. (2011). "Brazil's social movement, women and forests: a case study from the National Council of Rubber Tappers". International Forestry Review Vol.13(2), 2011

The extractivist movement in Brazil, which started with the rubber tappers, began not as an environmental movement but a human rights movement, and has close ties with the agrarian reform movements. The rubber tappers movement then came to be allied with the environmental movement when international environmentalists adopted the purpose of the rubber tappers of defending their forests. Collaboration efforts between national and international environmental groups gave it unprecedented visibility and effectiveness throughout the 1980s until today. The council, first founded in 1985, works to advocate for the social and political empowerment of forest communities. In 1995, the council, realizing the need to better reflect women's views and needs, created the Secretariat of Women Extractivists.

Over the years, the Women's Secretariat of CNS has built on strengths of forest-reliant women by strategically mobilizing support across sectors and scales, working from the personal to the political while blurring the boundaries between lay and expert knowledge. Their efforts have helped to shift the paradigm in development, environment and health in Brazil. For example, the Secretariat worked closely with the Ministry of Health to amend health policies. They were also successful in modifying policy language away from an agriculture-centric nomenclature to new language which includes forest peoples. The name of this policy became the National Policy of Health for Rural and Forest Populations. This was a significant achievement in recognition of extractivist communities as well as calling for more equitable access to and provision of health services for forest-reliant people. Building on these efforts they also created a project entitled, A Bagagem das Mulheres da Floresta (Baggage of the Women of the Forest) signifying the knowledge that women possess and the tools and outside knowledge that the project brought to them (i.e. videos, books, workshops). Critical support from the Ministry of Health allowed them to broaden their workshops to reach every extractive reserve in Amazonia.

The Women's Secretariat of CNS helped to break down barriers in social movements around land use and forest management in Brazil as well. Once barred from entry into rural workers' unions and social and land reform movements, women are now commonly members of social movements linked with forests and land reform. Inequalities, nevertheless, persist. Women are secondary to men in institutional politics and as of yet, there are no women leaders of forest extractive reserves. Women living within reserves generally have little voice in land use and forest management decision and have little access to formal education or public health care.

5.3 NATIONALLY-LED PROGRAMMES IN RURAL AND FOREST AREAS

5.3.1 Floresta+ Pilot Program

As highlighted in the proposal, the results-based payments that would be received by Brazil through the proposed project will contribute to the implementation of Brazil's forest sector actions, one of which is the Floresta+ Pilot Program. It is a new and innovative pilot program that aims to provide incentives for environmental services (IES) in the Legal Amazon region, in accordance with Brazil's Forest Code, the ENREDD+ and Brazil's Nationally Determined Contributions (NDC) (for more details on this Program, please consult Section C.2.1 of the Proposal). The target beneficiaries for the Floresta+ Pilot Program are the following:

- Small farmers, according to art. 3º, V, of the Forest Code (Law nº 12.651/2012), up to 4 fiscal modules;
- Indigenous peoples;
- Traditional peoples and communities according to I, do art. 3º, of decree nº 6.040/2007 (that use their territory collectively); and
- Public institutions or agencies (including States), civil associations, cooperatives and private law foundations that act in topics related to conservation and recovery of native vegetation.

The amount of payment per hectare will be defined in norms to be published by the Floresta+ Program Management Committee. Direct payments will be calculated based on the area of native vegetation remnants and environmental liabilities to be recovered, in hectares, according to the data in the National Rural Environmental Registry System (SICAR), which is the system responsible for issuing the Registration Receipt of the rural property in the Rural Environmental Registry (CAR). The CAR is a national electronic public registry, mandatory for all rural properties, with the purpose of integrating the environmental information of rural properties and possessions and forming a database for control, monitoring, environmental and economic planning and deforestation. It is also important to highlight that proof of ownership of land is not necessary to register environmental information on a property in CAR. It is not a land registry system, rather a self-declaratory environmental registry.

Given this, while the CAR provides critical geographical and biophysical information on the properties, it does not display publicly who the property owner is or give any information about the owner (male/female, age, etc.). Rather, CAR assigns a code to each property, which public officials can then use to liaise with other government ministries/departments in order to obtain any specific information about a property owner. This format and design of CAR makes it very difficult and complicated to assess information pertaining to the sex of property owners (in those instances where the land is individually held). Given this, the ability for Floresta+ to integrate a gender perspective also becomes more difficult, as additional steps will need to be taken, for example, to collect sex-disaggregated data, when quotas are established to ensure Floresta+ provides incentives equitably among women and men property owners. The recommendations below look to mitigate and address some of these limitations (see Gender Action Plan below for more information).

One key entry point for gender-responsive action will be ensuring that the consultations on criteria and priority areas for Floresta+, which are taken with relevant stakeholders, fully integrate a gender approach in their design and implementation. This will help to ensure that women from different stakeholder groups can actively and equitably participate and that their interests, concerns and perspectives are taken into account.

5.3.2 Bolsa Família and Bolsa Verde

In the recent decades, some fundamental programs focused on mainstreaming gender took place in the country, among them the social welfare program known as Bolsa Família, which has defined women as preferred beneficiaries. Bolsa Familia has contributed to keep millions of Brazilian women (who account for almost 90% of all the beneficiaries65) and their families out of poverty. Bolsa Família has shown positive impact on forest dependent communities.

Another important programme from the Federal Government in forest areas is the Bolsa Verde, which provides conditional cash transfers in return for the maintenance of forest cover. Bolsa Verde shares targeting and cash transfer channels with Bolsa Família. Launched in 2011, the programme aims to promote conservation of the ecosystems while also improving the livelihoods of people living in extreme poverty – the condition of nearly 17% of the population in the Amazon region. The traditional people and communities of the babassu coconut breakers (largely constituted by women), is an important group that benefited from this initiative.

5.4 REDD+ Design

5.4.1 National REDD+ Strategy

In 2015, Brazil launched its National Strategy for REDD+ (ENREDD+)66 with the objective to scale up the implementation of policies to reduce deforestation and forest degradation from the Amazon and Cerrado biomes to the national level. ENREDD+'s overall objective to contribute to climate change mitigation by eliminating illegal deforestation, promote conservation and restoration of forest ecosystems and foster a low-carbon and sustainable forest economy, while delivering environmental, social and economic benefits. It notes that these actions will be achieved through three specific objectives: (i) improving the monitoring

[65] For more information see: http://www.worldbank.org/en/news/opinion/2013/11/04/bolsa-familia-Brazil-quiet-revolution, last accessed on August 3rd, 2018.
[66] http://redd.mma.gov.br/images/publicacoes/enredd_english_web.pdf

and impact assessment of public policies for REDD+; (ii) integrating governance structures for climate change, forests and biodiversity in all levels; (iii) contributing to the mobilization of resources at the scale compatible with Brazil's commitments to mitigate climate change in accordance with Brazil's NAMAs by 2020.

Although ENREDD+ discusses social and economic aspects, it lacks explicit mention of gender aspects, and does not identify women as a group to be engaged with and who will benefit from REDD+ action in the country. It also does not incorporate principles of gender equality or women's empowerment within its objectives, governance arrangements or action lines. Thus, in order to ensure that Brazil's efforts on REDD+ do no harm to more marginalized groups, such as women, youth and the elderly, and actively promotes their meaningful involvement in such efforts, Brazil will need to take proactive and explicit measures to ensure a gender perspective is fully integrated into the revised ENREDD+ and REDD+ implementation.

5.4.2 REDD+ Safeguards

The application of the UNFCCC REDD+ safeguards requires adapting them to the reality of each country, taking into account national and regional context, and aligning them with existing policies and national REDD+ actions. Given this, Brazil's National REDD+ Committee (CONAREDDD+) commissioned the REDD+ Thematic Advisory Board on Safeguards (CCT-Salv) to adapt the seven UNFCCC REDD+ safeguards to the Brazilian reality, in order support the effective implementation of REDD + actions in the country. Within this national interpretation of the REDD+ safeguards67, the following gender considerations were incorporated:

- Safeguard (b) - Transparent and effective national forest governance structures, with a view to national sovereignty and national legislation: Governance bodies of ENREDD+ and polices or bodies receiving REDD+ resources will be guided by principles of representativeness, participation, commitment, accountability, transparency, effectiveness and integrity. These instances of partnership should be balanced in composition, encompassing the representation of indigenous peoples, traditional peoples and communities, traditional and family agriculture, and the private sector, taking into account gender and generational representation.
- Safeguard (c) - Respect for the knowledge and rights of indigenous peoples and members of local communities, taking into account relevant international obligations, national circumstances and laws and noting that the UN General Assembly adopted in the United Nations Declaration on the Rights of Peoples Indigenous people: The rights of indigenous peoples, traditional peoples and communities, and traditional and family farmers should be based on non-discrimination, where these groups should enjoy the same rights as other citizens, especially as regards human rights and fundamental freedoms, without discrimination, including gender equity.

[67] http://redd.mma.gov.br/images/conaredd/SEI_MMA---0160864---Resoluo-9.pdf

- Safeguard (d) - Full and effective participation of stakeholders, in particular indigenous peoples and local communities, in the actions referred to in paragraphs 70 and 72 of this decision: Full and effective participation of stakeholders should be achieved through transparent governance structures and instruments that ensure stakeholder representation and engagement, while safeguarding sociocultural diversity and gender equity.

While gender considerations are integrated into the national REDD+ safeguards, it is done so to a limited degree, with a focus on ensuring gender equity. For example, they do not provide information on whether and how the safeguards will ensure the meaningful and active participation of marginalized groups, such as youth and women, in REDD+ implementation. There is also a lack of information on how such groups will equitably benefit from such national efforts on REDD+. Thus, in REDD+ implementation and in the use of proceeds for this project, additional efforts will need to be undertaken to ensure gender is sufficiently mainstreamed within national efforts to address and respect the UNFCCC REDD+ safeguards, to ensure all groups, including those who are more marginalized in Brazilian society, such as youth and women, will be meaningfully involved and can equitably benefit from such actions.

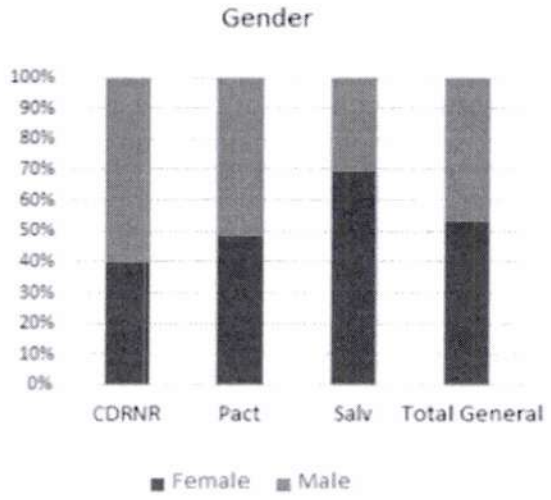
To note, and as illustrated above, gender equitable participation is an important consideration for REDD+ planning within Brazil. This has been reflected in various CONAREDD+ working groups, including its CCTs. To illustrate, as of 11 July 2016, 67% of the members of CCT-Salv, the Thematic Advisory Board on Safeguards, are women. Additionally, the development of indicators for Brazil's REDD+ Safeguards Information System (SISREDD+) is currently underway, with four workshops having already taken place. These workshops are representative of various societal sectors/groups. Of the 158 representatives thus far, 80 have been female and 78 have been male.

5.5 REDD+ Implementation

5.5.1 REDD+ Governance

While there are gender gaps in its REDD+ design efforts, Brazil has taken steps in REDD+ implementation to ensure equitable representation of women, including within its governance for REDD+. Most of the representatives from the Ministries, states and civil society in CONAREDD+ are female. To illustrate, CNS has one seat in CONAREDD+ and they have appointed a woman to represent them in it. Also, CONAREDD+ has gender balance as one of the selection criteria for the representatives within the CCTs. As a result, as indicated in Figure 1, more than 50% of the representatives in the CCTs are female. Some CCTs, including the one dealing with safeguards, have a majority of women.

Figure 1. Sex-disaggregated data of CCT participants



CDRNR = Thematic Advisory Board on Fundraising and Distribution of Non Reimbursable Resources; Pact = Thematic Advisory Board on Federal Relations; Salv = Thematic Advisory Board on Safeguards

5.5.2 Early REDD+ implementation

There have efforts undertaken by the international community to assess REDD+ implementation impacts on women, both in terms of their roles in REDD+ implementation, as well as any changes of their well-being. The results of these studies can help shed light on existing gender gaps in REDD+ implementation, inform Brazil's efforts in how it integrates a gender perspective in its REDD+ efforts moving forward, including in its use of REDD+ proceeds, as well as demonstrate areas in which good practices and lessons learned can be drawn upon.

Within the study "The role of women in early REDD+ implementation: lessons for future engagement", led by CIFOR in 201668, an assessment was undertaken to analysis women's role in REDD+ initiatives in four countries (one of which being Brazil), as well as assess corresponding implications for implementation and future outcomes. The results from this assessment are not meant to be representative of all REDD+ sites. To note, the choice of study sites was not random and the sites for the REDD+ initiatives were chosen based on proponents' interest in an outside evaluation and their prior identification of specific villages for REDD+ interventions. The following four sites where evaluated in Brazil (from the period from 2009 to 2011):

[68] Larson, A.M., Dokken, T., Duchelle, A.E., Atmadja, S., Resosudarmo, I.A.P., Cronkleton, P., Cromberg, M., Sunderlin, W., Awono, A., and Selaya, G. (2015). "The role of women in early REDD+ implementation: lessons for future engagement". Center for International Forestry Research. International Forestry Review Vol.17(1), 2015

- Acre State System of Incentives for Environmental Services
- Northwest Mato Grosso Pilot REDD+ Project
- Sustainable settlements in the Amazon: the challenge of family production in a low carbon economy
- The sustainable Landscape Pilot Program in Säo Félix do Xingu

In the Brazil sites, results from the survey found that women's focus groups demonstrated a basic understanding of REDD+ in all the villages where the village focus groups demonstrated understanding. However, in Acre, Brazil, although all villages had at least one woman in the main decision making body, a majority of the women disagreed to at least one of the statements that they were sufficiently represented, able to influence and participate actively in meetings. Additionally, in the Brazil sites, women did not perceive that they influenced village decisions, did not participate in forest decisions and used the forest less relative to men. They were also very dissatisfied with their level of participation in decision-making bodies. At the household level, the majority of women believed that they did not influence household decisions on land and forest use.

This study concluded that promoting women's participation in REDD+ alone is insufficient. This is not only due cultural norms, discrimination and lack of experience, confidence and skills and power relations that may limit women's voice in the public sphere, but also because of the limited analysis and understanding of gendered forest uses and community and household relations that may be affected by interventions. While women's active participation is key, gender-responsive analyses are also needed to understand real and perceived gender differences and anticipate risks.69

In another study on "Gender lessons for climate initiatives: A comparative study of REDD+ impacts on subjective wellbeing"70, subnational REDD+ initiatives in six countries (one of which was Brazil) were analyzed to assess the gendered impact of the initiatives on women's perceived wellbeing. The results show net negative movement in Brazil, wherein more women in REDD+ villages perceived that their wellbeing decreased and were worse off than those in non-REDD+ villages. In cases were women in the villages were undecided on whether the effects of conditional livelihood enhancements were positive or negative, the reasons given were primarily due to perceptions that the expected benefits may not materialize, was not or will not be distributed fairly, or that the payment value was low. Concern over REDD+ interventions related to those that restricted forest access and conversion. In the case of Brazil, some women in villages viewed such environmental policing as detrimental to their livelihoods. In cases where women in villages saw REDD+ as having a positive impact on their well-being, the reasoning focused on environmental and health benefits of less deforestation

[69] Ibid

[70] Larson, A.M., Solis, D., Duchelle, A.E., Atmadja, S., Resosudarmo, I.A.P., Dokken, T., and Komalasari, M. (2018). "Gender lessons for climate initiatives: A comparative study of REDD+ impacts on subjective wellbeing". World Development Volume 108, August 2018, Pages 86-102

and burning.
This study concluded that perceived wellbeing decreased in REDD+ villages both for villagers as a whole and for women, relative to control villages, but the decrease was much worse for women – a decrease that is significantly associated with living in a REDD+ village.71

These analyses reveal, moving forward, the need for REDD+ efforts in Brazil to fully mainstream gender into design, monitoring and evaluation. These efforts need to more comprehensively explore the ways in which men and women interact and differ with regard to REDD+ implementation in their respective sites, and incorporate such dimensions into national efforts on REDD+. To avoid perpetuating gender inequalities and worsening the situation of women, REDD+ action in Brazil needs to focus on empowering women, increasing their control over assets and safeguarding their rights.

6. Recommendations

This preliminary gender analysis acts as an entry point for gender mainstreaming throughout design and implementation of the proposed project. The results and findings of the gender analysis has also informed and guided the development of a Gender Action Plan (please see Section 7 below).

This gender analysis, conducted through desk review, resulted in the following actions:

- Identification of gender gaps and inequalities within Brazil's land tenure system and incentives for environmental services;
- Identification of gender inequalities and challenges and risks faced by women and other marginalized groups in Brazil around thematic areas of relevance to REDD+ action, such decision-making processes, labor force participation, forest use, land tenure, safeguards, etc.;
- Identification of gaps, entry points and opportunities for mainstreaming gender in the proposed project, and in the implementation of REDD+ action and safeguards more broadly;
- Development of the gender approach used within this proposal to effectively integrate gender and women's and youth empowerment considerations within the social, economic, political and local context within the country;
- Identification of sectors and thematic area of particular relevance in REDD+ in which gender-responsive actions can catalyze transformational positive change for marginalized groups, such as women and youth;
- Demonstration of the need to develop a gender-responsive environmental and social impact assessment (ESIA), which also focuses on the collection of additional baseline

[71] Ibid

data on gender (e.g. on land tenure, women's involvement in decision-making at local/community levels, etc.)

- Demonstration of the need to ensure the stakeholder consultations and engagement efforts for the ESIA are designed and undertaken using a gender approach and equitably include representatives from more marginalized groups, including women, youth, single-family households.
- Establishment of recommendations to incorporate into the preliminary Gender Action Plan.

Key entry points and recommendations for gender action within programme design and implementation are listed below. To note, these recommendations are based on preliminary findings of this assessment (based solely on a desk review). Thus, the findings and recommendations of this gender assessment, including the gender-responsive actions, indicators, etc., noted in the Gender Action Plan in Section 7 below, will need to be re-assessed and revised as necessary during the ESIA process, as well as will need to be consulted with and validated by state and non-state stakeholders, including those more marginalized, such as women, youth, indigenous, people, etc.

- Undertake measures within work on Floresta+ (e.g. establishment of quotas, capacity building, etc.) to address identified gender gaps and inequalities within Brazil's land tenure system and incentives for environmental services.
- Develop a gender-responsive ESIA which also focuses on the collection of additional baseline data on gender (e.g. on land tenure, women's involvement in decision-making at local/community levels, etc.).
- In partnership with MMA, work with the applicable government agencies to identify gender gaps in data within CAR (both individual and collective) and address these gaps to the best extent possible to help ensure that women can actively participate in and receive equitable benefits under Floresta+.
- Ensure governance arrangements with Floresta+ (e.g. Program Management Committee) and ENREDD+ (e.g. CONAREDD+) are gender equitable in their memberships. In cases where there are seats for civil society groups, ensure women and youth are represented.
- Take affirmative measures to solicit and incorporate the perspectives of women in the design, implementation, monitoring, and evaluation of the proposed outputs of this proposed project.
- Hire a gender specialist within the project to support the mainstreaming of gender throughout the design and implementation of the outputs of the project, as well as any associated gender action plans and mitigation measures that are developed during the safeguards work and social and environmental assessments, etc.
- In stakeholder engagements activities, ensure a gender approach is fully integrated into their design and implementation so that women and men across different

stakeholder groups can actively and equitably participate and that their interests, concerns and perspectives are taken into account.

- Build capacity of women and youth from local and indigenous communities on REDD+ and provide them with adequate resources (e.g. financing, know-how, etc.) to actively participate and benefit from the activities of the proposed project.
- Carry out training and capacity building among MMA and REDD+ staff, stakeholders and partners on matters of gender equality, the contributions of women to REDD+, and the specific harms faced by women in the context of ecosystem destruction and conversion.
- Given its responsibility to promote the integration of gender equality principles within MMA programs and policies, train and build capacity of the MMA's Gender Committee on Floresta+ and ENREDD+ so that their guidance can be context specific and they can be used as a resource to help mainstream gender into REDD+ action.
- Require and develop capacities to collect and report on accurate disaggregated data around all REDD+ activities with respect to male and female participation, benefit sharing, positive and negative impacts, then share it across government institutions, and make such data publicly accessible.
- Devote and allocate adequate funds, resources and expertise for implementing gender-related strategies, monitoring the results of implementation, and holding individuals and institutions accountable for outcomes that promote gender equality.
- During project implementation conduct qualitative assessments on the gender-specific benefits that can be directly associated to the project.

Addressing the gender dimensions and gaps identified within this preliminary assessment and implementing the corresponding recommendations noted above and gender-responsive actions noted below in the Gender Action Plan, within project design and implementation, will help to promote the project provides gender-responsive results.

7. Preliminary Gender Action Plan

Data presented above provides context and an overall baseline assessment on the gender dynamics, inequalities and state-of-play within Brazil, its forest sector and in its efforts on REDD+ action to date. This analysis identified the differences between men and women and has helped to identify gaps and provide a baseline for comparison.

Addressing the gender gaps noted above, this preliminary Gender Action Plan provides suggested entry points for gender-responsive actions to be taken under the applicable activities of the proposed project. In addition, specific indicators are also proposed to measure and track progress on these actions at the activity level. This can be incorporated into the detailed M&E plan which will be developed at the start of implementation, and provides concrete recommendations on how to ensure gender (including disaggregated data) continues to be collected and measured throughout implementation.

The gender budget assigned to each of the outputs below reflects the portion of the output and corresponding budget, which either has gender equality as a significant objective or has gender equality as a principal objective within it.

To note, as additional gender data collection in the field still needs to be undertaken in the forest sector and around REDD+ issues within the country, detailed gender baseline data, as they pertain to the project activities, in many cases are not yet known. In these instances, baseline information for the activities within the Gender Action Plan are currently marked with a '0', to illustrate that such information is not yet available. Such information will be collected during the process of developing the gender-responsive ESIA, wherein the generation of gender-responsive baseline data for the proposed programme will be undertaken. Thereafter, the Gender Action Plan below will be revised as necessary and gender baseline information will be provided.

Gender Action Plan

Objective	Gender-responsive actions	Gender indicators	Responsible Institutions/ Individuals	Budget (USD)
Output 1: Floresta+ Pilot Program	- In any outreach activities on Floresta+ Pilot Program, ensure equitable participation of women and men, including from single-headed households - Under modalities 1 and 2 of the Floresta+ Pilot Program: • Ensure that at least 40% of the landowners and/or land users rewarded are women. • Ensure at least 10% of the landowners and land users rewarded are women from single-headed households - Under modality 3 of the Floresta+ Pilot Program: • Organize all awareness	Baseline: 0 Indicator: % and # of participants of outreach activities and consultations/workshops related to this output who are women and are heads of single-headed households (disaggregated by sex) Target: 40% of participants of outreach activities and consultations/workshops related to this output are women and at least 10% are from single-headed households (disaggregated by sex) Baseline: 0 Indicator: % and # of women and single headed household participants involved in consultations/workshops for this output who felt they 1) understood the content being discussed; 2) could actively participate and 3) had their perspectives taken into account Target: 90% of women and single headed household participants felt the consultations/workshops for this output at least 'adequately' met and/or achieved these parameters Baseline: 0 Indicator: % of outreach activities and consultations/workshops associated with this output which are designed to account for women's and single-headed household constraints (e.g. location, timing, women's only groups, etc.) Target: 100% of outreach activities and consultations/workshops associated with this output are designed to account for women's and	MMA, UNDP	TBD

	raising workshops on Floresta+ Pilot Program with associations and representative entities of indigenous and traditional peoples and communities to ensure women's and youth's active and equitable involvement • Build capacity of women and men (both married and unmarried) within indigenous and traditional communities receiving rewards from Floresta+ on the benefits of having both women and men involved in decision-making on use of rewards. - In systems developed to monitor distribution of rewards under Floresta+ pilot program: • Undertake a workshop to build capacity of staff responsible for monitoring system on	youth constraints Baseline: 0 Indicator: % and # of landowners and/or land users under Floresta+ Pilot Program rewarded who are women Target: 40% of landowners and/or land users under Floresta+ Pilot Program rewarded are women Baseline: 0 Indicator: % and # of landowners and/or land users under Floresta+ Pilot Program rewarded who are women from single-headed households Target: 10% of landowners and/or land users under Floresta+ Pilot Program rewarded are women from single-headed households Baseline: 0 Indicator: Evidence that staff responsible for the monitoring system for the Floresta+ pilot program attended a gender workshop in order to have their capacity on gender and monitoring systems built Target: All staff responsible for the monitoring system attended the workshop on gender Baseline: 0 Indicator: Evidence that the monitoring system for the Floresta+ pilot program 1) disaggregates data on modality 1 and 2 by sex and household type (e.g. single, etc.) and 2) consulted equitably with women and men in communities in its data collection methodology Target: Both of these elements noted above present in the monitoring system for the Floresta+ pilot program and corresponding data for them successfully collected Baseline: 0		

	how a gender perspective can be incorporated into their work • Integrate a gender perspective into monitoring system to ensure information collected is disaggregated by sex and household type • Measure women's 1) involvement in decision-making on use of rewards; and 2) satisfaction in how household and community used rewards (as applicable per modality used) - In any governance structure for the Floresta+ pilot program 1) gender equitable participation of women and men; 2) representatives of marginalized groups, such women, indigenous people, etc. - Equitably build capacity of women and men	Indicator: Evidence that the monitoring system for the Floresta+ pilot program measures women's 1) involvement in decision-making on use of rewards; and 2) satisfaction in how household and community used rewards (as applicable per modality used) Target: Both of these elements noted above present in the monitoring system for the Floresta+ pilot program and corresponding data for them successfully collected Baseline: 0 Indicator: # and % of women who are involved in the governance structure for Floresta+ pilot program Target: 40% of those involved in the governance structure for Floresta+ pilot program are women Baseline: 0 Indicator: # and % of representatives within the governance structure of Floresta+ pilot program who are from a women's organization Target: 1 representative from a women's organization actively participants within governance structure for Floresta+ pilot program Baseline: 0 Indicator: % of women and men beneficiaries (both married and unmarried) trained on the stipulations of the Floresta+ pilot program contracts (disaggregated by sex, marital status and household type) Target: 100% of women and men beneficiaries trained on the stipulations of the Floresta+ pilot program contracts before contract is signed		

	participating in the Floresta+ pilot program on the stipulations of the contracts including their stipulations (undertaken before they sign the contracts)			
Output 2: The implementation of Brazil's ENREDD+	**NFMS** - In the expansion of the NFMS, when undertaking local monitoring and validation, equitably and meaningfully consult with and involve women, men and youth from communities **REDD+ Policies Monitoring & Revision** - Mainstream gender into the tool developed to monitor and measure the impacts of REDD+ policies and investments -Integrate a gender perspective throughout the revised national REDD+ Strategy	**NFMS** Baseline: 0 Indicator: % and # of women and female youth involved in monitoring activities (disaggregated by stakeholder group) Target: 40% of community participants of involved in monitoring activities are women or female youth Baseline: 0 Indicator: % of consultations and workshops associated with this activity which are designed to account for women's constraints (e.g. location, timing, women's only groups, etc.) Target: 100% of consultations and workshops associated with this activity are designed to account for women's and youth constraints Baseline: 0 Indicator: % and # of women from communities involved in the monitoring efforts who felt they 1) could actively participate, 2) understood the activities being undertaken and 3) had their perspectives taken into account Target: 90% of women participants involved in the monitoring efforts felt this activity at least 'adequately' met and/or achieved these parameters	MMA, UNDP	TBD

	SISREDD+ - Equitably include women and female youth as key non-state information holders for the SIS - Assess women's and youth's capacity on safeguards themes, and conduct any necessary capacity building to facilitate their meaningful involvement and inform their decision-making under this activity - As more marginalized groups (e.g. women, youth, etc.) can face increased barriers (e.g. safety, trust, etc.) in engagement within information sharing channels, ensure such processes are gender responsive, participatory and encourage active engagement from information holders. **Stakeholder Participation and Capacity Building** - Equitably include women and female youth within	**REDD+ Policies Monitoring & Revision** Baseline: 0 Indicator: Evidence that gender was mainstreamed into the 1) tool developed to monitor and measure the impacts of REDD-plus policies and investments; and 2) revised National REDD+ Strategy Target: Gender mainstreamed into the 1) tool developed to monitor and measure the impacts of REDD-plus policies and investments; and 2) revised national REDD+ Strategy **SISREDD+** Baseline: 0 Indicator: # and % of information holders for the SIS who are women and female youth (disaggregated by stakeholder group) Target: At least 40% of information holders for the SIS are women and female youth (disaggregated by stakeholder group) Baseline: 0 Indicator: % and # of women and female youth consulted on the SIS under this output who felt they 1) understood the content being discussed; 2) could actively participate and 3) had their perspectives taken into account Target: 90% of women and women and female youth consulted on the SIS under this output at least 'adequately' met and/or achieved these parameters Baseline: 0 Indicator: Evidence that feedback from women and youth (including from associated organizations that represent them) was integrated into SIS		

	consultations and validation processes with this output - Ensure women represent an equitable number of positions and/or seats within CONAREDD+ and its Consultative Chambers -Ensure capacities of women and men stakeholders (both state and non-state) are equitably built on REDD+ - Design all consultations and training associated with this activity to encourage women's active involvement - Address any knowledge gaps and particular needs of women and youth in advance of consultations for this activity to enable the active participation of these groups	Target: 80% of feedback from women and youth (including from associated organizations that represent them) integrated into SIS Baseline: 0 Indicator: % of outreach activities and consultations/workshops associated with this output which are designed to account for women's and single-headed household constraints (e.g. location, timing, women's only groups, etc.) Target: 100% of outreach activities and consultations/workshops associated with this output are designed to account for women's and youth constraints **Stakeholder Participation and Capacity Building** Baseline: For gender make-up within REDD+ thematic advisory groups, see Figure 1 above Indicator: % and # of women 1) involved in consultations, workshops, and/or validations associated with this output (disaggregated by stakeholder group); and 2) who occupy positions and/or seats within CONAREDD+ and its Consultative Chambers Target: 40% of people who are 1) involved in consultations, workshops, and/or validations associated with this output are women; and 2) occupy positions and/or seats within CONAREDD+ and its Consultative Chambers are women Baseline: 0 Indicator: % of consultations, workshops, and/or validations associated with this output which are designed to account for women's and single-headed household constraints (e.g. location, timing, women's only groups, etc.) Target: 100% of consultations, workshops, and/or validations associated with this output are designed to account for women's and youth		

		constraints Baseline: 0 Indicator: % and # of women participants involved in capacity building and consultations for this output who felt they 1) could actively participate, 2) understood the content being discussed and 3) had their perspectives taken into account Target: 90% of women participants felt the consultations and capacity building for this output at least 'adequately' met and/or achieved these parameters		
Output 3: Program management	- Train and build capacity of MMA staff and REDD+ staff, stakeholders and partners on the 'why' and 'how to' integrate a gender perspective within REDD+ Implementation - Hire a gender expert to support the mainstreaming of gender within this proposed project - Train and build capacity of MMA's Gender Committee on REDD+ concepts as necessary, so that their guidance can be context specific and they can be used as resource to help gender integration into REDD+	Baseline: 0 Indicator: # of MMA and REDD+ staff and stakeholders who have had their capacity built/awareness raised on gender and REDD+ (disaggregated by sex and stakeholder group) Target: 80% of MMA and REDD+ staff and stakeholders have their capacity built/awareness raised on gender and REDD+ Baseline: 0 Indicator: Evidence of changes in perception/understanding of gender among MMA and REDD+ staff and stakeholders Target: at least 80% of MMA and REDD+ staff and stakeholders trained demonstrate changes in perception/ understanding of gender (e.g. through use of pre and post workshop surveys, etc.) Baseline: There is no existing gender expert supporting the mainstreaming of gender in REDD+ efforts in Brazil Indicator: Evidence that a gender expert is supporting the mainstreaming of gender in REDD+ efforts in Brazil for the lifespan of the project Target: A gender expert is hired to support the mainstreaming of gender	MMA, UNDP, MMA's Gender Committee – safeguards officer	TBD

		in REDD+ efforts in Brazil for the lifespan of the project Baseline: 0 Indicator: % and # of members of MMA's Gender Committee who have had their capacity built/awareness raised on REDD+ (disaggregated by sex) Target: 80% of members of MMA's Gender Committee have their capacity built/awareness raised on REDD+		

ANNEXURE: 7: INDICATIVE OUTLINE FOR LIVELIHOOD ACTION PLAN

Please refer to the UNDP SES Guidance Note: Standard 5: Displacement and Resettlement for additional information.

INTRODUCTION

A Livelihood Action Plan (RAP) details the **procedures** and **actions** that will be undertaken in order to ensure that 1) the capacity, production levels, and standards of living of beneficiaries of Floresta + are improved or at least restored, 2) the beneficiaries are compensated adequately for the opportunity cost, and 3) that payments do not displace livelihood activities or trigger adaptive practices that have adverse environmental or social impacts (eg., increased use of pesticides and fertilizers, refer Annex 1, SESP). The LAP reflects the commitment made by the Implementing Partner and UNDP to affected people and communities to meet obligations arising from economic displacement.

Briefly describe the project and associated facilities (if any)

Describe project components requiring economic displacement; land acquisition and resettlement; give overall estimates of land and/or resources to which access has been restricted

Provide explanation of how economic displacement is necessary to achieve the project objectives, how the project is in the 'public interest' and how displacement is proportional to project outcomes

MINIMIZING ECONOMIC DISPLACEMENT

- Describe the justification for the displacement (Economic displacement things to consider: losses related to food security and livelihood activities (income generating activities), Fair and full payment, Legal tenure and land security...)
- Different beneficiaries (production level, land size, targeted beneficiary group)
- Describe efforts and measures to minimize displacement, and expected outcomes of these efforts and measures
- Describe how requirements of Indigenous Peoples Standard have been addressed if Indigenous Peoples are displaced.

CENSUS AND SOCIOECONOMIC SURVEYS

- Provide results of the census, assets inventories, natural resource assessments, and socioeconomic surveys and briefly describe how these were performed, i.e., techniques used, individuals interviewed, etc.

- Identify all people and communities potentially affected by displacement activities and potential impacts to each
- Summary of what surveys have been done in past programs and planning for FLoresta +, and outline what types of surveys would be needed for implementation of each modality

Legal Framework

- Describe all relevant international, national, local, and community laws and customs that apply to displacement activities, with particular attention to laws and customs relating to tenure rights (especially of indigenous people, refer to indigenous plan)
- Describe how free, prior, informed consent was obtained for displacement of indigenous peoples and traditional communities
- Describe project-specific mechanisms to address conflicts
- Describe entitlement/compensation policies for each type of impact
- Describe method of valuation used for affected structures, land, trees, and other assets
- Prepare entitlement matrix, which includes budget and timeframe for payment of entitlements

Displacement-related Property

- Describe how affected people have been involved in a participatory process to identify replacement property when they have lost access to property to which they have legitimate rights. Describe the advantages and disadvantages of the properties, including the property chosen.
- Describe how affected people whose livelihoods are urban-based have been involved in a participatory process to identify livelihood replacement and support opportunities.
- Describe how affected people whose livelihoods are land-based have been involved in a participatory process to identify lands they can access, including lands with productive potential, locational advantages, and other factors at least equivalent to that being lost.
- Describe how affected people whose livelihoods are natural resource-based have been involved in a participatory process to identify resources they can access with equivalent livelihood-earning potential and accessibility.
- Describe how affected people whose access to legally designated parks and protected areas has been restricted have been involved in identifying and choosing measures to mitigate impacts.

- Describe the feasibility studies conducted to determine the suitability of chosen lands and/or natural resources described above, including natural resource assessments (soils and land use capability, vegetation and livestock carrying capacity, water resource surveys) and environmental and social impact assessments of the sites.
- Give calculations relating to land and resource availability
- Describe, as relevant, mechanisms for: 1) procuring, 2) developing and 3) allotting displacement property, including the awarding of title or use rights to allotted lands and/or resources. Indicate to whom titles and use rights will be allocated, including by gender.
- Provide detailed description of the arrangements for site development for agriculture, including funding of development costs
- If circumstances made it difficult to provide land or resources as described above, provide evidence of mutual agreement with affected people/communities on alternative measures.

Income Restoration

- Are compensation entitlements sufficient to restore and/or improve livelihoods and income streams for each category of impact? Attach independent review of opportunities to restore and improve incomes/livelihoods. What additional economic rehabilitation measures are necessary?
- Briefly spell out the restoration strategies for each category of impact and describe their institutional, financial, and technical aspects
- Describe the process of consultation with affected populations and their participation in finalizing strategies for income restoration
- How do these strategies vary with the area of impact?
- Does income restoration require change in livelihoods, development of alternative farmlands or some other activities that require a substantial amount of training, time for preparation, and implementation?
- How are the risks of impoverishment to be addressed?
- What are the main institutional and other risks for the smooth implementation of the resettlement programs?
- Describe the process for monitoring the effectiveness of the income restoration measures

- Describe any social or community development programs currently operating in or around the project area. If programs exist, do they meet the development priorities of their target communities? Are there opportunities to support new programs or expand existing programs to meet the development priorities of communities in the project area?

Institutional Arrangements

- Describe the institution(s) responsible for delivery of each item/activity in the entitlement policy; implementation of income restoration programs; and coordination of the activities associated with and described in the livelihood action plan
- State how coordination issues will be addressed where displacement is spread over a number of jurisdictions or where displacement will be implemented in stages over a long period of time
- Identify the agency that will coordinate all implementing agencies. Does it have the necessary mandate and resources?
- Describe the external (non-project) institutions involved in the process of income restoration (land development, land allocation, credit, training) and the mechanisms to ensure adequate performance of these institutions
- Discuss institutional capacity for and commitment to displacement
- Describe mechanisms for ensuring independent monitoring, evaluation, and financial audit of the LAP and for ensuring that corrective measures are carried out in a timely fashion

Implementation Schedule

- List the chronological steps in implementation of the LAP, including identification of agencies responsible for each activity and with a brief explanation of each activity
- Prepare a month-by-month implementation schedule of activities to be undertaken as part of resettlement implementation
- Describe the linkage between resettlement implementation and initiation of civil works for each of the project components

Participation and Consultation

- Describe the various stakeholders

- Describe the process of promoting consultation/participation of affected populations and stakeholders in resettlement preparation and planning
- Describe the process of involving affected populations and other stakeholders in implementation and monitoring
- Describe the plan for disseminating LAP information to affected populations and stakeholders, including information about compensation for lost assets, eligibility for compensation, displacement assistance, and grievance redress

Grievance Redress

- Describe the step-by-step process for registering and addressing grievances and provide specific details regarding a cost-free process for registering complaints, response time, and communication modes
- Describe the mechanism for appeal
- Describe the provisions for approaching civil courts if other options fail

Monitoring and Evaluation

- Describe the internal/performance monitoring process. Ensure monitoring program seeks to measure whether displaced enjoy at least a standard of living and access to livelihoods equal to what they enjoyed before displacement
- Define key monitoring indicators derived from baseline survey. Provide a list of monitoring indicators that will be used for internal monitoring, including number and location of displaced persons
- Describe institutional (including financial) arrangements
- Describe frequency of reporting and content for internal monitoring
- Describe process for integrating feedback from internal monitoring into implementation
- Define methodology for external monitoring
- Define key indicators for external monitoring
- Describe frequency of reporting and content for external monitoring. Ensure monitoring program is regular and ongoing following project completion until durable solutions are reached
- Describe process for integrating feedback from external monitoring into implementation
- Describe arrangements for final external evaluation

- Describe need for updates to census, assets inventories, resource assessments, and socioeconomic surveys, if necessary, as part of LAP monitoring and evaluation

Costs and Budgets

- Provide a clear statement of financial responsibility and authority
- List the sources of funds for displacement and describe the flow of funds
- Ensure that the budget for displacement is sufficient and included in the overall project budget. Include provisions for non-anticipated adverse impacts.
- Identify displacement costs, if any, to be funded by the government and the mechanisms that will be established to ensure coordination of disbursements with the LAP and the project schedule. Prepare estimated budget, by cost and by item, for all displacement costs including planning and implementation, management and administration, monitoring and evaluation, and contingencies
- Describe the specific mechanisms to adjust cost estimates and compensation payments for inflation and currency fluctuations
- Describe the provisions to account for physical and price contingencies
- Describe the financial arrangements for external monitoring and evaluation including the process for awarding and maintenance of contracts for the entire duration of displacement

ANNEXURE 8: GUIDANCE ON STAKEHOLDER ENGAGEMENT PLAN

UNDP supported projects require the development of an appropriately scaled Stakeholder Engagement Plan. See UNDP Guidance Note: Stakeholder Engagement for further information on stakeholder engagement. The following information is provided here as guidance to assist in the development of a Stakeholder Engagement Plan.

Appropriately scaled plans. No one type or format of a stakeholder engagement plan will accommodate all projects. Its content will depend on various factors, including the nature, scale, location, and duration of project; the diverse interests of stakeholders; the scale of the project's potential positive and adverse impacts on people and the environment; and the likelihood of grievances.

For a relatively small project with few if any potential adverse social and environmental impacts or initial stakeholder concerns (e.g. Low Risk project, straightforward Moderate Risk project), it is likely that only a "simplified" stakeholder engagement plan would be needed, focusing primarily on initial consultations, information disclosure and periodic reporting (see Box). In such cases, the "plan" would be relatively simple and easily described in the body of the Project Document (that is, no separate plan would be needed).

Box. Triggering the appropriate scale of stakeholder engagement plans

- *Simplified stakeholder engagement plan*: Project funding aimed at providing technical support (training in survey equipment) and materials (office space, computers, GPS equipment) to a national land and survey commission will likely have minimal impact on stakeholders other than the government.
- *Comprehensive stakeholder engagement plan*: Project funding to the same land and survey commission to actually conduct land titling in indigenous and forest-dependent communities across the nation, however, would require a comprehensive plan.

A project with greater complexity and potentially significant adverse social and environmental impacts (complex Moderate Risk project or High Risk project) should elaborate a more strategic plan. A "comprehensive" plan would outline mechanisms that buttress not just disclosure and good communications, but iterative consultations and possibly consent processes over the course of the social and environmental assessment process, development of mitigation and management plans, monitoring project implementation, and evaluation. A separate, detailed stakeholder engagement plan should be appended to the Project Document (see outline below).

All stakeholder engagement plans – whether simplified or comprehensive (see below) – should address basic minimum criteria. The following checklist will help ensure that the plan addresses key issues and components.

Checklist: Key questions for developing a stakeholder engagement plan[72]

[72] As modified, see Asian Development Bank (ADB), Strengthening Participation, p. 43.

Who	Which stakeholder groups and individuals are to be engaged based on the stakeholder analysis? Have potentially marginalized groups and individuals been identified among stakeholders?
Why	Why is each stakeholder group participating (e.g. key stakeholder objectives and interests)?
What	What is the breadth and depth of stakeholder engagement at each stage of the project cycle? What decisions need to be made through stakeholder engagement?
How	How will stakeholders be engaged (strategy and methods, including communications)? Are special measures required to ensure inclusive participation of marginalized or disadvantaged groups?
When	What is the timeline for engagement activities, and how will they be sequenced, including information disclosure?
Responsibilities	How have roles and responsibilities for conducting stakeholder engagement been distributed among project partners (e.g. resident mission, executing agency, consultants, NGOs)? What role will stakeholder representatives play? Are stakeholder engagement facilitators required?
Resources	What will the stakeholder engagement plan cost and under what budget?

Building mutual trust and ensuring meaningful and effective engagement is facilitated by stakeholder ownership of the relevant processes. All efforts should be made to work with the relevant stakeholders to design by mutual agreement the engagement and consultation processes, including mechanisms for inclusiveness, respecting cultural sensitivities, and any required consent processes. Cultural understanding and awareness are central to meaningful stakeholder engagement.

Moreover, a general solicitation of feedback or input cannot be relied upon, nor accepted as the sole method of consultation. Information laden questions presenting various options, the reasons for those options, and their consequences may be a better method in that it presents information in a relationship-building manner, does not assume full stakeholder knowledge of

the project plans, and solicits input on specific project instances instead of placing the impetus on the stakeholder to make seemingly high-level suggestions.

Recall that stakeholder engagement may be minimal at certain times and intense at others, depending on the issues and particular project phase. Also, targeted input from select stakeholder groups may be needed at key points in project development and implementation.

As project information changes – perhaps from subsequent risk assessments, the addition of project activities, stakeholder concerns – the stakeholder engagement plan should be reviewed and modified accordingly to ensure its effectiveness in securing meaningful and effect stakeholder participation.

The stakeholder engagement plan should also anticipate if/when professional, neutral facilitators might be needed to lead key engagement activities. For projects where the stakeholder engagement process is likely to be complex or sensitive, social advisors or other expert staff should help design and facilitate the process and assist with participatory methodologies and other specialized techniques. [73]

Grievance redress processes for the project need to be described in the stakeholder engagement plan. Section 3.4 above elaborates on relevant SES requirements.

The plan should also outline a reasonable budget for stakeholder engagement activities, including potential support for groups to facilitate their participation where necessary (noting that meeting locations should be as convenient as possible and stakeholder acceptance of such support should not be interpreted as endorsement of the project).

Comprehensive Stakeholder Engagement Plan

Below is an example of elements that should be addressed in a comprehensive stakeholder engagement plan. The scope and level of detail of the plan should be scaled to fit the needs of the project.

INTRODUCTION

- Briefly describe the project including design elements and potential social and environmental issues. Where relevant, include maps of the project site and surrounding area.

REGULATIONS AND REQUIREMENTS

- Summarize any legal, regulatory, donor/lender requirements pertaining to stakeholder engagement applicable to the project. This may involve public consultation and

[73] IFC Stakeholder Engagement, p. 101.

disclosure requirements related to the social and environmental assessment process as well as relevant international obligations.

Summary of any previous stakeholder engagement activities

- If any stakeholder engagement activities had been undertaken to date, including information disclosure and/or consultation, provide the following details:
- Type of information disclosed, in what forms and languages (e.g., oral, brochure, reports, posters, radio, etc.), and how it was disseminated
- Locations and dates of any meetings undertaken to date
- Individuals, groups, and/or organizations that have been consulted
- Key issues discussed and key concerns raised
- Responses to issues raised, including any commitments or follow-up actions
- Process undertaken for documenting these activities and reporting back to stakeholders

Project Stakeholders

- List the key stakeholder groups who will be informed about and engaged in the project (based on stakeholder analysis). These should include persons or groups who:
    - Are directly and/or indirectly affected by the project
    - Have "interests" in the project that determine them as stakeholders
    - Have the potential to influence project outcomes or operations
    - [Examples of potential stakeholders are beneficiaries and project-affected communities, local organizations, NGOs, and government authorities, indigenous peoples; stakeholders can also include politicians, private sector companies, labor unions, academics, religious groups, national environmental and social public sector agencies, and the media]
    - Consider capacities of various stakeholder groups to effectively participate in the stakeholder engagement activities, and include measures to support them where capacity is limited

Stakeholder Engagement Program

- Summarize the purpose and goals of the stakeholder engagement program
- Briefly describe what information will be disclosed, in what formats and languages, and the types of methods that will be used to communicate this information to each of the stakeholder groups identified in section 4 above. Methods used may vary according to target audience, for example:
    - Newspapers, posters, radio, television

  - Information centers and exhibitions or other visual displays
  - Brochures, leaflets, posters, non-technical summary documents and reports
- Briefly describe the methods that will be used to engage and/or consult with each of the stakeholder groups identified in section 4. Methods used may vary according to target audience, for example:
  - Interviews with stakeholder representatives and key informants
  - Surveys, polls, and questionnaires
  - Public meetings, workshops, and/or focus groups with specific groups
  - Participatory methods
  - Other traditional mechanisms for consultation and decision-making
- Describe how the views of women and other relevant groups (e.g. minorities, elderly, youth, other marginalized groups) will be taken into account and their participation facilitated
- Where relevant, define activities that require prior consultation and FPIC from indigenous peoples (and refer to Indigenous Peoples Plan and FPIC protocols)
- Outline methods to receive feedback and to ensure ongoing communications with stakeholders (outside of a formal consultation meeting)
- Describe any other engagement activities that will be undertaken, including participatory processes, joint decision-making, and/or partnerships undertaken with local communities, NGOs, or other project stakeholders. Examples include benefit-sharing programs, stakeholder-led initiatives, and training and capacity building/support programs.

Timetable

- Provide a schedule outlining dates/periodicity and locations where various stakeholder engagement activities, including consultation, disclosure, and partnerships will take place and the date by which such activities will be undertaken

Resources and Responsibilities

- Indicate who will be responsible for carrying out the specified stakeholder engagement activities
- Specify the budget and other resources allocated toward these activities
- [For projects with significant potential impacts and multiple stakeholder groups, it is advisable to hire a qualified stakeholder engagement facilitator to undertake all or portions of the stakeholder engagement activities]

Grievance Mechanism

- Describe the process by which people concerned with or potentially affected by the project can express their grievances for consideration and redress. Who will receive grievances, how and by whom will they be resolved, and how will the response be communicated back to the complainant? (see **Guidance Note on Grievance Redress Mechanisms**)
- Ensure reference is made to and stakeholders are informed of the availability of UNDP's Accountability Mechanism (Stakeholder Response Mechanism, SRM, and Social and Environmental Compliance Unit, SECU) as additional avenues of grievance redress.

Monitoring and Reporting

- Describe any plans to involve project stakeholders (including target beneficiaries and project-affected groups) or third-party monitors in the monitoring of project implementation, potential impacts and management/mitigation measures
- Describe how and when the results of stakeholder engagement activities will be reported back to project-affected and broader stakeholder groups. Examples include newsletters/bulletins, social and environmental assessment reports; monitoring reports.

ANNEXURE 9: INDICATIVE OUTLINE OF BIODIVERSITY ACTION PLAN

Please refer to the UNDP SES Guidance Note: Standard 1: Biodiversity Conservation and Sustainable Natural Recourse Management for additional information.

INTRODUCTION

Where biodiversity values of importance to conservation are associated with a project or its area of influence, the preparation of a Biodiversity Action Plan (BAP) or Biodiversity Management Plan (BMP) provides a useful means to focus a project's mitigation and management strategy. For project activities in critical habitats and protected areas, Standard 1 notes that a BAP needs to be in place. For projects solely designed to strengthen biodiversity and maintain or restore ecosystems in areas of critical habitat, the project document itself would constitute such a plan. Biodiversity plans are highly encouraged when also operating in natural habitats (or in modified habitats with biodiversity values of importance to conservation).

Targeted biodiversity-related mitigation and management measures may be integrated into more general Environmental and Social Management Plans (ESMFs) or related plans. However, a BAP or BMP provides focused attention to actions in ecologically critical areas. A BAP/BMP may be included as part of a broader ESMF.

As noted in the Section 2.1 of this guidance note, National Biodiversity Strategies and Action Plans (NBSAP) are the primary instruments for implementing the Convention on Biological Diversity at the national level. A BAP/BMP is a more targeted instrument for enhancing and conserving biodiversity and ecosystem services in particular habitats, demonstrated on an appropriate geographic scale. A BAP/BMP should seek to achieve net gains to the biodiversity values for which the critical habitat was designated. A BAP/BMP is highly context specific.

There is no one widely recognized, cross-sectoral framework for the development of a BAP/BMP. Typically a BAP will be undertaken to address significant gaps in information for undertaking biodiversity-related actions (such as insufficient baseline data or understanding of key biodiversity values) whereas a BMP would be developed where adequate information is available for developing appropriate actions.

DESCRIPTION OF BIODIVERSITY CONTEXT:

Identifies national and/or regional biodiversity context; location of projects site/s; relevant physiography; general description of relevant ecosystems, habitats, flora, fauna; priority biodiversity features and components of elevated significance.

OBJECTIVES AND TARGETS BIODIVERSITY ACTIONS AND MITIGATION:

Identifies measures and actions to enhance and conserve biodiversity and/or in accordance with the mitigation hierarchy avoid, minimize, mitigate, potentially significant adverse social and environmental impacts to acceptable levels. Describes – with technical details – each biodiversity-related action/mitigation measure, including the type of issue/impact to which it relates and the conditions under which it is required (e.g., continuously or in the event of contingencies), together with designs, implementation descriptions and operating procedures, as appropriate; takes into account, and is consistent with, other relevant mitigation plans (e.g. indigenous peoples, economic displacement).

IMPLEMENTATION ACTION PLAN (SCHEDULE AND COST ESTIMATES):

Outlines an implementation schedule for measures that must be carried out as part of the project, showing phasing and coordination with overall project implementation plans; and the capital and recurrent cost estimates and sources of funds for implementing the BAP/BMP. Describes institutional arrangements, identifying which party is responsible for carrying out the actions/mitigation and monitoring measures.

STAKEHOLDER ENGAGEMENT:

Outlines plan to engage in meaningful, effective and informed consultations with relevant stakeholders, including locally affected groups. Includes information on (a) means used to inform and involve affected people and description of effective processes for receiving and addressing stakeholder concerns and grievances regarding the project's social and environmental performance.

MONITORING AND REPORTING:

Identifies monitoring objectives and specifies the type of monitoring, with linkages to the biodiversity actions and mitigation measures. Describes parameters to be measured, methods to be used, sampling locations, frequency of measurements, detection limits (where appropriate), and definition of thresholds that will signal the need for corrective actions. Establishes reporting schedule and format.

ANNEXURE 10. INDICATIVE OUTLINE FOR RESETTLEMENT ACTION PLAN (IF APPLICABLE)

If deemed applicable after the full ESIA, a Resettlement Action Plan (RAP) will be developed. The plan details the **procedures** to be followed and the **actions** to be taken in order to properly resettle and compensate affected people and communities. This plan must be developed after it has been determined, following the process outlined in Standard 5, that displacement and resettlement are unavoidable. The RAP reflects the commitment made by the Implementing Partner and UNDP to affected people and communities to meet obligations arising from resettlement. refer to the UNDP SES Guidance Note: Standard 5: Displacement and Resettlement for additional information.

1. Introduction

Briefly describe the project and associated facilities (if any)

Describe project components requiring land acquisition and resettlement; give overall estimates of land acquisition and resettlement

Provide explanation of how displacement is necessary to achieve the project objectives, how the project is in the 'public interest' and how displacement is proportional to project outcomes

2. Minimizing Resettlement

Describe the justification for the resettlement

Describe efforts and measures to minimize displacement, and expected outcomes of these efforts and measures

3. Census and Socioeconomic Surveys

Provide results of the census, assets inventories, natural resource assessments, and socioeconomic surveys and briefly describe how these were performed, i.e., techniques used, individuals interviewed, etc.

Identify all people and communities potentially affected by displacement activities and potential impacts to each

4. Legal Framework

Describe all relevant international, national, local, and community laws and customs that apply to displacement and resettlement activities, with particular attention to laws and customs relating to tenure rights

Describe how free, prior, informed consent was obtained for resettlement of indigenous peoples and tribal communities, if applicable

Describe project-specific mechanisms to address conflicts

Describe entitlement/compensation policies for each type of impact

Describe method of valuation used for affected structures, land, trees, and other assets

Prepare entitlement matrix, which includes budget and timeframe for payment of entitlements

5. Resettlement Sites and Housing

If the project requires relocation, describe how affected people have been involved in a participatory process to identify sites, assess advantages and disadvantages of each site, and select preferred sites. Site selection to be risk-informed (e.g. ensure not subject to higher levels of risks from floods, landslides, earthquakes). Describe the options

If housing must be replaced, describe how affected people have been involved in developing an acceptable strategy for housing replacement and how alternative housing meets adequate housing criteria (including legal security of tenure; availability of services, materials, facilities and infrastructure; affordability; habitability; accessibility; location; cultural adequacy). Describe the specific process of involving affected populations in identifying potential housing sites, assessing advantages and disadvantages, and selecting sites

If the project involves allocation of agricultural land or pasture/rangeland, describe how individual households that will be allocated lands have been involved in identifying potential new sites, and how they have explicitly accepted the selected sites

Describe the feasibility studies conducted to determine the suitability of the proposed relocation sites and housing, including where relevant natural resource assessments (soils and land use capability, vegetation and livestock carrying capacity, water resource surveys) and environmental and social impact assessments of the sites. Include a description of potential access of affected people to necessary services, shelter, food, water, energy, and sanitation

Demonstrate where relevant that the land quality and area are adequate for allocation to all of the people eligible for allocation of agricultural land. Provide data on land quality and capability, productive potential, and quantity

Give calculations relating to site requirements and availability

Describe mechanisms for: 1) procuring, 2) developing and 3) allotting resettlement sites and housing, including the awarding of title or use rights to allotted lands. Indicate to whom titles and use rights will be allocated, including by gender

Provide detailed description of the arrangements where relevant for site development for agriculture, including funding of development costs

6. Income Restoration

Are compensation entitlements sufficient to restore and/or improve livelihoods and income streams for each category of impact? Attach independent review of opportunities to restore and improve incomes/livelihoods. What additional economic rehabilitation measures are necessary?

Briefly spell out the restoration strategies for each category of impact and describe their institutional, financial, and technical aspects

Describe the process of consultation with affected populations and their participation in finalizing strategies for income restoration

How do these strategies vary with the area of impact?

Does income restoration require change in livelihoods, development of alternative farmlands or some other activities that require a substantial amount of training, time for preparation, and implementation?

How are the risks of impoverishment to be addressed?

What are the main institutional and other risks for the smooth implementation of the resettlement programs?

Describe the process for monitoring the effectiveness of the income restoration measures

Describe any social or community development programs currently operating in or around the project area. If programs exist, do they meet the development priorities of their target communities? Are there opportunities to support new programs or expand existing programs to meet the development priorities of communities in the project area?

7. Institutional Arrangements

Describe the institution(s) responsible for delivery of each item/activity in the entitlement policy; implementation of income restoration programs; and coordination of the activities associated with and described in the resettlement action plan

State how coordination issues will be addressed where resettlement is spread over a number of jurisdictions or where resettlement will be implemented in stages over a long period of time

Identify the agency that will coordinate all implementing agencies. Does it have the necessary mandate and resources?

Describe the external (nonproject) institutions involved in the process of income restoration (land development, land allocation, credit, training) and the mechanisms to ensure adequate performance of these institutions

Discuss institutional capacity for and commitment to resettlement

Describe mechanisms for ensuring independent monitoring, evaluation, and financial audit of the RAP and for ensuring that corrective measures are carried out in a timely fashion

8. Implementation Schedule

List the chronological steps in implementation of the RAP, including identification of agencies responsible for each activity and with a brief explanation of each activity

Prepare a month-by-month implementation schedule of activities to be undertaken as part of resettlement implementation

Describe the linkage between resettlement implementation and initiation of civil works for each of the project components

9. Participation and Consultation

Describe the various stakeholders

Describe the process of promoting consultation/participation of affected populations and stakeholders in resettlement preparation and planning

Describe the process of involving affected populations and other stakeholders in implementation and monitoring

Describe the plan for disseminating RAP information to affected populations and stakeholders, including information about compensation for lost assets, eligibility for compensation, resettlement assistance, and grievance redress

10. Grievance Redress

Describe the step-by-step process for registering and addressing grievances and provide specific details regarding a cost-free process for registering complaints, response time, and communication modes

Describe the mechanism for appeal

Describe the provisions for approaching civil courts if other options fail

11. Monitoring and Evaluation

Describe the internal/performance monitoring process. Ensure monitoring program seeks to measure whether displaced enjoy at least a standard of living and access to livelihoods equal to what they enjoyed before displacement

Define key monitoring indicators derived from baseline survey. Provide a list of monitoring indicators that will be used for internal monitoring, including number and location of displaced/resettled persons

Describe institutional (including financial) arrangements

Describe frequency of reporting and content for internal monitoring

Describe process for integrating feedback from internal monitoring into implementation

Define methodology for external monitoring

Define key indicators for external monitoring

Describe frequency of reporting and content for external monitoring. Ensure monitoring program is regular and ongoing following project completion until durable solutions are reached

Describe process for integrating feedback from external monitoring into implementation

Describe arrangements for final external evaluation

Describe need for updates to census, assets inventories, resource assessments, and socioeconomic surveys, if necessary, as part of RAP monitoring and evaluation

12. Costs and Budgets

Provide a clear statement of financial responsibility and authority

List the sources of funds for resettlement and describe the flow of funds

Ensure that the budget for resettlement is sufficient and included in the overall project budget. Include provisions for non-anticipated adverse impacts.

Identify resettlement costs, if any, to be funded by the government and the mechanisms that will be established to ensure coordination of disbursements with the RAP and the project schedule. Prepare estimated budget, by cost and by item, for all resettlement costs including planning and implementation, management and administration, monitoring and evaluation, and contingencies

Describe the specific mechanisms to adjust cost estimates and compensation payments for inflation and currency fluctuations

Describe the provisions to account for physical and price contingencies

Describe the financial arrangements for external monitoring and evaluation including the process for awarding and maintenance of contracts for the entire duration of resettlement

Annexes

Copies of census and survey instruments, interview formats, and any other research tools

Information on all public consultation including announcements and schedules of public meetings, meeting minutes, and lists of attendees

Examples of formats to be used in monitoring and reporting on RAP implementation

Entitlement matrix

Evidence of prior informed consent for indigenous peoples and tribal communities

ANNEXURE 11. SAMPLE TOR FOR PROJECT-LEVEL GRIEVANCE REDRESS MECHANISM

Sample Terms of Reference: Project-level Grievance Redress Mechanism

I. Mandate

The mandate of the GRM will be to:

receive and address any concerns, complaints, notices of emerging conflicts, or grievances (collectively *"Grievance"*) alleging actual or potential harm to affected person(s) (the *"Claimant(s)"*) arising from Project;

assist in resolution of Grievances between and among Project Stakeholders; as well as the various government ministries, agencies and commissions, CSOs and NGOs, and other natural resource users (collectively, the *"Stakeholders"*) in the context of the REDD+ Project;

Conduct itself at all times in a flexible, collaborative, and transparent manner aimed at problem solving and consensus building.

II. Functions

The functions of the GRM will be to:

Receive, Log and Track all Grievances received;

Provide regular status updates on Grievances to Claimants, Policy Board (PB) members and other relevant Stakeholders, as applicable;

Engage the PB members, Government institutions and other relevant Stakeholders in Grievance resolution;

Process and propose solutions and ways forward related to specific Grievances within a period not to exceed sixty (60) days from receipt of the Grievance;

Identify growing trends in Grievances and recommend possible measures to avoid the same;

Receive and service requests for, and suggest the use of, mediation or facilitation;

Elaborate bi-annual reports, make said reports available to the public, and more generally work to maximize the disclosure of its work (including its reports, findings and outcomes);

Ensure increased awareness, accessibility, predictability, transparency, legitimacy, and credibility of the GRM process;

Collaborate with Partner Institutions and other NGOs, CSOs and other entities to conduct outreach initiatives to increase awareness among Stakeholders as to the existence of the GRM and how its services can be accessed;

Ensure continuing education of PB members and their respective institutions about the relevant laws and policies that they will need to be aware of to participate in the development of effective resolutions to Grievances likely to come before the GRM;

Monitor follow up to Grievance resolutions, as appropriate.

III. Composition

The GRM will be composed of:

[Name of Implementing Partner] as the Secretariat and either:

A standing GRM Sub-Committee [made up of x, y, z PB members]; and/or

Ad hoc GRM Task Teams in response to specific requests for grievance

The GRM Sub-Committee will be balanced in composition (government and non-government) and should not include any PB members with a direct interest or role in the grievance/dispute.

IV. [Name of Implementing Partner]

In its role as GRM Secretariat, [Name of Implementing Partner] will perform the following core functions:

Publicize the existence of the GRM and the procedure for using it;

Receive and log requests for dispute resolution;

Acknowledge receipt to the requestor;

Determine eligibility;

Forward eligible requests to the PB for review and action, and

Track and document efforts at grievance/dispute resolution and their outcomes.

V. Project Board

The Project Board would perform the following core functions:

GRM Sub-Committee and/or GRM Task Team will:

Take direct action to resolve the grievance/dispute (e.g. bring the relevant parties together to discuss and resolve the issue themselves with oversight by the PB);

Request further information to clarify the issue, and share that information with all relevant parties, or ensure that a government agency represented on the PB took an appropriate administrative action to deal with a complaint;

Refer the grievance/dispute to independent mediation, while maintaining oversight; or

Determine that the request was outside the scope and mandate of the PB and refer it elsewhere (e.g. Ministry of Justice and Police or to the courts).

VI. Communicating a Grievance

Who can Submit a Grievance?

A Grievance can be sent by any individual or group of individuals that believes it has been or will be harmed by the Project.

If a Grievance is to be lodged by a different individual or organization on behalf of those said to be affected, the Claimant must identify the individual and/or people on behalf of who the Grievance is submitted and provide written confirmation by the individual and/or people represented that they are giving the Claimant the authority to present the Grievance on their behalf. The GRM will take reasonable steps to verify this authority.

How is the Grievance Communicated?

The GRM shall maintain a flexible approach with respect to receiving Grievances in light of known local constraints with respect to communications and access to resources for some Stakeholders. A Grievance can be transmitted to the GRM by any means available (i.e. by email, letter, phone call, meeting, SMS, etc.). The contact information is the following:

[Implementing Partner to add address, phone number, fax, etc.]

To facilitate communications with and between the GRM and potential Claimants, the GRM will receive support from the PB members' institutions, District Commissioners, [local actors and others?]

What information should be included in a Grievance?

The Grievance should include the following information:

the name of the individual or individuals making the Complaint (the "Claimant");

a means for contacting the Claimant (email, phone, address, other);

if the submission is on behalf of those alleging a potential or actual harm, the identity of those on whose behalf the Grievance is made, and written confirmation by those represented of the Claimant's authority to lodge the Grievance on their behalf;

the description of the potential or actual harm;

Claimant's statement of the risk of harm or actual harm (description of the risk/harm and those affected, names of the individual(s) or institutions responsible for the risk/harm, the location(s) and date(s) of harmful activity);

what has been done by Claimant thus far to resolve the matter;

whether the Claimant wishes that their identity is kept confidential; and

the specific help requested from the GRM.

VII. Logging, Acknowledgment, and Tracking

All Grievances and reports of conflict will be received, assigned a tracking number, acknowledged to Claimant, recorded electronically, and subject to periodic updates to the Claimant as well as the office file.

Within one (1) week from the receipt of a Grievance, the GRM will send a *written* acknowledgement to Claimant of the Grievance received with the assigned tracking number.[74]

Each Grievance file will contain, at a minimum:

the date of the request as received;

the date the written acknowledgment was sent (and oral acknowledgment if also done);

the dates and nature of all other communications or meetings with the Claimant and other relevant Stakeholders;

any requests, offers of, or engagements of a Mediator or Facilitator;

the date and records related to the proposed solution/way forward;

the acceptance or objections of the Claimant (or other Stakeholders);

the proposed next steps if objections arose;

the alternative solution if renewed dialogues were pursued;

notes regarding implementation; and

[74] Oral acknowledgments can be used for expediency (and also recorded), but must be followed by a written acknowledgment.

any conclusions and recommendations arising from monitoring and follow up.

IX. Maintaining Communication and Status Updates

Files for each Grievance will be available for review by the Claimant and other Stakeholders involved in the Grievance, or their designated representative(s). Appropriate steps will be taken to maintain the confidentiality of the Claimant if previously requested.

The GRM will provide periodic updates to the Claimant regarding the status and current actions to resolve the Grievance. Not including the acknowledgment of receipt of the Grievance, such updates will occur within reasonable intervals (not greater than every thirty (30) days).

X. Investigation and Consensus Building

Within one (1) week of receiving a Grievance, [Implementing Partner] will notify the PB and any other relevant institutions of the receipt of the Grievance.

The PB will identify [Need to develop a specific procedure for doing this] a specific team of individuals drawn from the PB and/or their respective institutions to develop a response to the Grievance. The names of these individuals will be made available to the Claimant.

The designated PB members [hereafter called Task Team] will promptly engage the Claimant and any other relevant Stakeholders deemed appropriate, to gather all necessary information regarding the Grievance.

Through the PB members, the GRM will have the authority to request from relevant Government institutions any information (documents or otherwise) relevant to resolving the Grievance and avoiding future Grievances of the same nature.

As necessary, the Task Team will convene one or more meetings with relevant individuals and institutions in [national capital], or elsewhere in [name of country] as needed.

The objective of all investigative activities is to develop a thorough understanding of the issues and concerns raised in the Grievance and facilitate consensus around a proposed solution and way forward.

The PB members will procure the cooperation of their respective staff with the investigation.

At any point during the investigation, the Task Team may determine that an onsite field investigation is necessary to properly understand the Grievance and develop an effective proposed solution and way forward.

XI. Seeking Advisory Opinion and/or Technical Assistance

At any point after receiving a Grievance and through to implementation of the proposed solution and way forward, the Task Team may seek the technical assistance and/or an advisory opinion from any entity or individual in [country] or internationally which may reasonably be believed to be of assistance.

XII. Making Proposed Actions and Solutions Public and Overseeing Implementation

The Task Team will communicate to the Claimant one or more proposed actions or resolutions and clearly articulate the reasons and basis for proposed way forward.

If the Claimant does not accept the resolution, the Task Team will engage with the Claimant to provide alternative options.

If the Claimant accepts the proposed solution and way forward, the GRM will continue to monitor the implementation directly and through the receipt of communications from the Claimant and other relevant parties. As necessary, the GRM may solicit information from the relevant parties and initiate renewed dialogue where appropriate.

XII. Monitoring and Evaluation

Bi-annually, the GRM will make available to the public, a report describing the work of the GRM, listing the number and nature of the Grievances received and processed in the past six months, a date and description of the Grievances received, resolutions, referrals and ongoing efforts at resolution, and status of implementation of ongoing resolutions. The level of detail provided with regard to any individual Grievance will depend on the sensitivity of the issues and Stakeholder concerns about confidentiality, while providing appropriate transparency about the activities of the GRM. The report will also highlight key trends in emerging conflicts, Grievances, and dispute resolution, and make recommendations regarding:

measures that can be taken by the Government to avoid future harms and Grievances; and

improvements to the GRM that would enhance its effectiveness, accessibility, predictability, transparency, legitimacy, credibility, and capacity.

XIII. Mediation

For the option of independent mediation, mediators on the roster/panel should have at least the following qualifications:

professional experience and expertise in impartial mediation;

knowledge of [project type and activities in the country] and the region, including an understanding of indigenous and tribal culture and practices;

[national and local language, as appropriate] proficiency;

availability in principle for assignments of up to 20 days; and

willingness to declare all relationships and interests that may affect their ability to act as impartial mediators in particular cases.

If mediation succeeded in resolving the dispute or grievance, the outcome would be documented by [Implementing Partner] and reviewed by the Task Team. If it were unsuccessful, stakeholders would have the option to return to the Task Team for assistance.

XIV. Without Prejudice

The existence and use of this GRM is without prejudice to any existing rights under any other complaint mechanisms that an individual or group of individuals may otherwise have access to under national or international law or the rules and regulations of other institutions, agencies or commissions.

ANNEXURE 12: GUIDANCE FOR SUBMITTING A REQUEST TO THE SOCIAL AND ENVIRONMENTAL COMPLIANCE UNIT AND/OR THE STAKEHOLDER RESPONSE MECHANISM

SECU SRM
Social & Environmental Compliance Unit
Stakeholder Response Mechanism

UNDP
Empowered lives.
Resilient nations.

Guidance for Submitting a Request to the Social and Environmental Compliance Unit (SECU) and/or the Stakeholder Response Mechanism (SRM)

Purpose of this form

- **If you use this form, please put your answers in bold writing to distinguish text**
- **The use of this form is recommended, but not required. It can also serve as a guide when drafting a request.**

This form is intended to assist in:

(1) Submitting a request when you believe UNDP is not complying with its social or environmental policies or commitments and you are believe you are being harmed as a result. This request could initiate a 'compliance review', which is an independent investigation conducted by the Social and Environmental Compliance Unit (SECU), within UNDP's Office of Audit and Investigations, to determine if UNDP policies or commitments have been violated and to identify measures to address these violations. SECU would interact with you during the compliance review to determine the facts of the situation. You would be kept informed about the results of the compliance review.

and/or

(2) Submitting a request for UNDP "Stakeholder Response" when you believe a UNDP project is having or may have an adverse social or environmental impact on you and you would like to initiate a process that brings together affected communities and other stakeholders (e.g., government representatives, UNDP, etc.) to jointly address your concerns. This Stakeholder Response process would be led by the UNDP Country Office or facilitated through UNDP headquarters. UNDP staff would communicate and interact with you as part of the response, both for fact-finding and for developing solutions. Other project stakeholders may also be involved if needed.

Please note that if you have not already made an effort to resolve your concern by communicating directly with the government representatives and UNDP staff responsible for this project, you should do so before making a request to UNDP's Stakeholder Response Mechanism.

Confidentiality If you choose the Compliance Review process, you may keep your identity confidential (known only to the Compliance Review team). If you choose the Stakeholder Response Mechanism, you can choose to keep your identity confidential during the initial eligibility screening and assessment of your case. If your request is eligible and the assessment indicates that a response is appropriate, UNDP staff will discuss the proposed response with you, and will also discuss whether and how to maintain confidentiality of your identity.

Guidance
When submitting a request please provide as much information as possible. If you accidentally email an incomplete form, or have additional information you would like to provide, simply send a follow-up email explaining any changes.

Information about You
Are you...
1. A person affected by a UNDP-supported project?
Mark "X" next to the answer that applies to you: Yes: No:
2. An authorized representative of an affected person or group?
Mark "X" next to the answer that applies to you: Yes: No:

If you are an authorized representative, please provide the names of all the people whom you are representing, and documentation of their authorization for you to act on their behalf, by attaching one or more files to this form.
3. First name:
4. Last name:
5. Any other identifying information:
6. Mailing address:
7. Email address:
8. Telephone Number (with country code):
9. Your address/location:
10. Nearest city or town:
11. Any additional instructions on how to contact you:
12. Country:

What you are seeking from UNDP: Compliance Review and/or Stakeholder Response
You have four options:
- Submit a request for a Compliance Review;
- Submit a request for a Stakeholder Response;

- Submit a request for both a Compliance Review and a Stakeholder Response;
- State that you are unsure whether you would like Compliance Review or Stakeholder Response and that you desire both entities to review your case.

13. Are you concerned that UNDP's failure to meet a UNDP social and/or environmental policy or commitment is harming, or could harm, you or your community? Mark "X" next to the answer that applies to you: Yes: No:

14. Would you like your name(s) to remain confidential throughout the Compliance Review process?

Mark "X" next to the answer that applies to you: Yes: No:
If confidentiality is requested, please state why:

15. Would you like to work with other stakeholders, e.g., the government, UNDP, etc. to jointly resolve a concern about social or environmental impacts or risks you believe you are experiencing because of a UNDP project?

Mark "X" next to the answer that applies to you: Yes: No:

16. Would you like your name(s) to remain confidential during the initial assessment of your request for a response?

Mark "X" next to the answer that applies to you: Yes: No:
If confidentiality is requested, please state why:

17. Requests for Stakeholder Response will be handled through UNDP Country Offices unless you indicate that you would like your request to be handled through UNDP Headquarters. Would you like UNDP Headquarters to handle your request?

Mark "X" next to the answer that applies to you: Yes: No:
If you have indicated yes, please indicate why your request should be handled through UNDP Headquarters:

18. Are you seeking both Compliance Review and Stakeholder Response?

Mark "X" next to the answer that applies to you: Yes: No:

19. Are you unsure whether you would like to request a Compliance Review or a Stakeholder Response? Mark "X" next to the answer that applies to you: Yes: No:

Information about the UNDP Project you are concerned about, and the nature of your concern:

20. Which UNDP-supported project are you concerned about? (if known):
21. Project name (if known):
22. Please provide a short description of your concerns about the project. If you have concerns about UNDP's failure to comply with its social or environmental policies and commitments, and can identify these policies and commitments, please do (not required). Please

describe, as well, the types of environmental and social impacts that may occur, or have occurred, as a result. If more space is required, please attach any documents. You may write in any language you choose

-
-
-
-

23. Have you discussed your concerns with the government representatives and UNDP staff responsible for this project? Non-governmental organisations?

Mark "X" next to the answer that applies to you: Yes: No:

If you answered yes, please provide the name(s) of those you have discussed your concerns with

Name of Officials You have Already Contacted Regarding this Issue:

First Name	Last Name	Title/Affiliation	Estimated Date of Contact	Response from the Individual

24. Are there other individuals or groups that are adversely affected by the project?

Mark "X" next to the answer that applies to you: Yes: No:

25. Please provide the names and/or description of other individuals or groups that support the request:

First Name	Last Name	Title/Affiliation	Contact Information

Please attach to your email any documents you wish to send to SECU and/or the SRM. If all of your attachments do not fit in one email, please feel free to send multiple emails.

Submission and Support

To submit your request, or if you need assistance please email: project.concerns@undp.org

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Annex G: Stakeholder Engagement Plan

National REDD+ Strategy development in Brazil has had a long history of broad stakeholder engagement since their inception, as shown in Appendix A of the 2nd Safeguards Summary of Information. As explained in the Funding Proposal, the CONAREDD+ and the CCTs participants were numerous, diverse and strive to be representative of Brazilian society.

The funding proposal approved by GCF is fully aligned with ENREDD+ principles and guidelines and it directly contributes to its implementation and Brazil's Nationally Determined Contribution (NDC). The MMA began consultations regarding the access of resources for this pilot program through CONAREDD+, in parallel to obtaining eligibility approval through CONAREDD+ Resolution n.10 of December 7th, 2017. The discussions continued in the following CONAREDD+ meeting, which was held April 2018. The final concept of the proposal was once again presented to the CONAREDD+ on its VI ordinary meeting on September 27th, 2018. In parallel, the meetings of the CCT advisory boards have been ongoing, including the CCT-Safeguards advisory board, which has been developing indicators for the SISREDD+ system in a participatory manner, in order to incorporate local knowledge, identify gaps and strengthen existing systems.

Prior to submission of the FP, and according to discussions held through the CONAREDD+ meetings, CONAREDD+ has approved the development and submission of a single funding proposal by the MMA to the GCF for REDD+ results-based payments. As the submission of a proposal to the GCF must be performed by an Accredited Entity, the, MMA invited 13 Accredited Entities to the GCF to participate in the selection process. The invited entities were already accredited to the Fund, or at an advanced stage of accreditation. The simplified selection process was based on technical parameters and divided into two stages as follows: 1. Completion of an on-line form and 2. An Interview. As result of on-line form stage, MMA received 7 filled out forms. After the analysis of the forms, the MMA invited the top 4 Accredited Entities that best met the evaluation criteria. As result of the process, the United Nations Development Programme (UNDP) was identified as the entity to submit the funding proposal from Brazil for the pilot programme for REDD+ results-based payments of GCF. In addition to the consultation with CONAREDD+, the plans to submit a proposal to the GCF were discussed with the environmental state secretaries in the Legal Amazon states. Likewise, the proposal was presented and discussed with the relevant technical divisions of MMA and with representatives of the National Indigenous People Foundation (FUNAI) and some representatives of civil society. The Management Committee of the National Policy for Territorial and Environmental Management of Indigenous Land also had the opportunity to discuss the process and the proposal in the meeting held on August 16th, 2018. All stakeholders consulted were in agreement with the principles of the proposal and indicated their interest in continued participation in the design and implementation of the project after GCF approval. These established national processes and forums will act as the foundation for stakeholder participation going forward.

For the future, the REDD+ governance structure will be reviewed in accordance with the new Brazilian government guidelines for a more efficient structure. Furthermore, the full and effective participation of stakeholders will continue to occur through a transparent governance structure, a facilitated access to adequate and quality information, establishment of work groups and holding of workshops and seminars. Therefore, the tools for transparency of Brazilian government activities related to the theme will remain active, such as the REDD+ Brazil and SISREDD+ websites, the Info Hub Brazil platform, currently under reformulation, publications and policy briefs, mail of direct contact with the Executive Secretariat of CONAREDD+ (reddbrasil@mma.gov.br). The technical inputs will also continue to count on Brazilian experts with wide experience in forests and climate change, by establishing technical work groups or holding thematic seminars, for example. The collection of inputs from the different actors and beneficiaries of REDD+ will occur through meetings and workshops demanded by CONAREDD+.

A critical factor in the success of the Project will be the full and effective participation of stakeholders in the design and implementation of the Floresta+ output. This will involve additional consultations with state governments, CSOs, academia and other relevant stakeholders. A focus of the stakeholder consultations for the design of the Floresta+ pilot program, as well as the establishment of the ESMF, will be the consultations of beneficiaries groups of the Floresta+ pilot, which includes Indigenous Peoples, local Communities, Family Farmers and local institutions, throughout the Legal Amazon. The Stakeholder Engagement Plan will be initiated immediately upon PRODOC signature. Consultations with beneficiaries are planned in the first year of project implementation, in order to receive inputs for Floresta+ design, as well as to ensure engagement and the establishment of necessary mitigation measures for the operationalization of management plans.

In addition, regarding to project implementation, there will be the Project Advisory Committee (PAC) composed by: relevant federal institution representatives (e.g. SFB, FUNAI, among others), state level representatives, civil society representatives and UNDP. The PAC will play a critical role in facilitating inter-institutional coordination and ensuring

complementarity of actions among different stakeholders and co-financiers and in seeing that the project's activities lead to the required outcomes as defined in the Project Document. These Committee will can be expanded or invite experts or beneficiaries to participate in specific meetings, further increasing stakeholder's engagement.

Annex H: Gender Analysis and Action Plan

UNDP is committed to avoiding climate change-exacerbated gender inequality, promoting gender equality and the empowerment of women, reducing gender disparities and inequalities in climate funding and overall access to and control over resources and development benefits, encouraging and facilitating gender-responsiveness in its design and implementation, and more generally, mainstreaming the gender focus into the REDD+ activities described in this funding proposal (FP). Thus, it will ensure the FP proposed activities will not discriminate against women or girls or reinforce gender-based discrimination and/or inequalities as well as take affirmative steps, consistent with applicable law and the Gender Action Plan, to ensure both women and men are able to participate meaningfully and equitably, have equitable access to training, capacity building, technical assistance and resources, and receive comparable social and economic benefits and opportunities.

Regardless of the positive experiences in regards to gender balance in REDD+ processes described in the FP, it is recognized that significant gender inequalities remain in regards to political participation, access to land and resources, the collection of gender disaggregated data to better inform decision making and interventions, and additional issues in regards to livelihoods, health, and gender-based violence. There is also growing recognition that more affirmative and special measures could be taken to mainstream the gender focus in ENREDD+ programming. In order to capture the gender context in which ENREDD+ implementation occurs as well as in the rollout of the Floresta+ pilot program, UNDP will identify and assess the different needs, constraints, contributions and priorities of women, men, girls and boys within the activity sites, as part of the completion of a comprehensive Gender Analysis and Action Plan (GAAP). It will then incorporate corresponding measures within the action plans to ensure 1) any possible adverse gender impacts are avoided; 2) and that women, men and youth can equitably participate in, inform and benefit from the activities being proposed. Gender budget and indicators will be also assigned within the action plans to ensure the gender activities identified have accountability mechanisms in place to ensure their implementation. This analysis and planning will be undertaken and then validated equitably with affected women, men and youth stakeholders before implementation of the activities.

As a first step in completing this GAAP, a forward-looking desk-based Gender Assessment was completed in anticipation of the FP. The Assessment examined the proposed activities in the context of the GCF's policy on Gender, Principle 2 of UNDP's SES (Gender Equality and Women's Empowerment) and Brazil's national gender strategy. The Assessment also considered the findings and recommendations of several studies. Based on the Gender Assessment findings, a preliminary Gender Action Plan was developed, which is included as an Annex to the FP. Upon completion of the participatory ESIA referred to above, further consultation with affected stakeholders will take place and the Gender Action Plan will be modified and supplemented as necessary.

Annex I: UNDP Risk Log

1	Risk category	Execution risks: Operational
	Description	Slow start of project given decentralized mechanisms that need to be in place for execution
	Probability/Impact/Priority	Somewhat Unlikely/Somewhat Disruptive/Medium
	Mitigation	Detailed agreements with responsible parties are finalized as soon as the FAA and PRODOC are signed. Communication Plan for Floresta+ and Bidding for hiring Responsible Party need to be launched after PRODOC signature.
2	Risk category	Country specific execution risks: Operational
	Description	Institutional transition might affect project implementation during its lifespan.
	Probability/Impact/Priority	Somewhat likely/ Somewhat Disruptive/High
	Mitigation	Project strategy is based on pre-tested mechanisms for implementation. In the first months of implementation, the project shall have an inception phase and public consultation that will enable buy in by stakeholders, the dissemination of project's strategy and strengthen the participation of local community-based organizations in the project. As for federal level involvement, MMA team is mostly composed by technical civil servants with required expertise to implement the project.
3	Risk category	Execution risks: Operational
	Description	CAR analysis process, which includes validation and monitoring in the Amazonian states is not fully implemented.
	Probability/Impact/Priority	Somewhat likely/Somewhat Disruptive/High
	Mitigation	The SFB and the states are moving forward in CAR analysis, but there are still challenges to be overcome. In the case that there are no significative advances in CAR analysis by the time of the first round of properties' selection, the implementation of Modalities 1 and 2 will be delayed and it will narrow the scale of the project in the first years. In this case, the project may support the appraisal of specific and priority areas in order to start Modalities 1 and 2.
4	Risk category	Execution risks: Operational
	Description	Low engagement of partners to reach large scale, especially in Modalities 1 and 2.
	Probability/Impact/Priority	Somewhat likely/Somewhat Disruptive/Medium
	Mitigation	The successes of Floresta+ in Modalities 1 and 2 depend on a good offer of lands with forest cover and areas to be restored under the commitments of the Forest Code. The project has communication activities to inform beneficiaries, but it may be important to count on farmers' unions and associations, as well as to select "champions" in the ground to serve as example of implementation to other farmers.
5	Risk category	Execution risks: Financial
	Description	Transactional costs in transferring economic incentives to the final beneficiaries in Modalities 1 and 2.
	Probability/Impact/Priority	Somewhat Unlikely/Somewhat Disruptive/Medium
	Mitigation	It is expected that most of beneficiaries will have bank accounts to receive transfers for Modalities 1 and 2. For operational purposes, it will would be important to have only one bank in partnership with UNDP to make the disbursements. In case that is not possible to select one single institution, UNDP has the capacity to make decentralized payments, but it will increase time and operational costs.

6	Risk category	Execution risks: Financial
	Description	Economic recovery could lead to the appreciation of the Brazilian Real, with impact on exchange rate.
	Probability/Impact/Priority	Somewhat Unlikely/Somewhat Disruptive/High
	Mitigation	Interest may be used to reduce possible exchange rate loss during project implementation. Incentives under modalities 1 and 2 could be fixed in US dollars as to address this risk.

Annex J: List of preliminary technical and administrative services to be provided by UNDP, in addition to its obligations as AE

GREEN CLIMATE FUND

GREEN CLIMATE FUND FUNDING PROPOSAL

DESCRIPTION OF UNDP SUPPORT SERVICES

1. Reference is made to consultations between MMA and officials of UNDP with respect to the provision of support services by UNDP for the Green Climate Fund Project "REDD-plus RBP for results achieved by Brazil in the Amazon in 2014 and 2015".

2. In accordance with UNDP's SOPs for GCF project implementation, i.e. "REDD-plus RBP for results achieved by Brazil in the Amazon in 2014 and 2015", UNDP and the Government of Brazil have agreed on a preliminary list of support services for the Project as described below.

3. As stated in section XI of this project document (Financial planning and management), this preliminary list of activities might be revised and updated if necessary, at the inception phase of the project.

4. Preliminary support services to be provided:

A. DESCRIPTION OF PRELIMINARY UNDP COUNTRY OFFICE SUPPORT SERVICES

Support services (where applicable)	Schedule for the provision of the support services	Cost to UNDP of providing such support services	Method of payments to UNDP (where appropriate)
Staff and HR Management • Human Resources Strategy Definition; • Identification, selection and recruitment of project personnel (including all steps such as advertising, short-list, etc); • HR & Benefits Administration & Management; • Contract Management; • Personnel management services (Payroll & Banking Administration & Management);	During project implementation	Estimated Direct Project Costs based on UNDP Local Price List: USD 1,463,857	UNDP will charge direct project costs directly to the project budget only after delivering the services.

• Senior Manager technical analyses and monitoring;			
Finance • Payments, disbursements and other financial transactions; • Dealing with the vendors; • Creation of the vendors; • Project Reconciliation; • Financial analyses and management risks; • Senior Manager technical analyses and monitoring;	During project implementation		
Procurement of goods and services • Definition of Procurement Strategy; • Review ToR/Specifications clarify eventual doubts and assign the responsible for the procurement process; • Preparation of the bidding documents; • Running procurement process; • Prepare submission form to Contract Committee review (including ex-ante review); • Contract Management; • Senior Manager technical analyses and monitoring;	During project implementation		
Training • Organization of training activities, conferences,			

workshops (including all activities). • Contract Management; • Senior Manager technical analyses and monitoring;			
Travel • Travel authorizations, visa procedures, tickets and travel arrangements; • Planning and • Assets Management; • Contract Management; • Senior Manager technical analyses and monitoring.			
Technical Support Services • Facilitate project activity level planning, in line with approved project documents; • Substantive technical support and analyses on issues related to the project implementation; • Peer review of inception, monitoring and evaluation reports produced by the project; • Technical input into capacity building and training programmes; • Mainstream innovation across project interventions.	During project implementation	As per proforma staff costs and benefits based on time committed to the project Total $1,429,710	
Total DPC		**USD 2,893,567.00**	

* UNDP support services should be defined annually, and for those implemented during the period, the direct costs of

the Project will be charged at the end of each year based on the universal price list (UPL) or the actual cost of the corresponding service.

B. DESCRIPTION OF PRELIMINARY UNDP'S CLIMATE AND FOREST TEAM SUPPORT SERVICES

Support services (where applicable)	Schedule for the provision of the support services	Cost to UNDP of providing such support services	Method of payments to UNDP (where appropriate)
Technical Assistance on Measure, Report, and Verification (MRV) • Global technical advisor in MRV Processes	During project implementation	Estimated Direct Project Costs based on time to be spent by global advisor: USD 144,000	UNDP will charge direct project costs directly to the project budget only after delivering the services.
Technical Assistance on Safeguards • Global technical advisor in safeguards;	During project implementation	Estimated Direct Project Costs based on time to be spent by global advisor: USD 25,200	UNDP will charge direct project costs directly to the project budget only after delivering the services.
TOTAL		**USD 169,200**	

Annex K: UNDP Project Quality Assurance Report (to be completed in UNDP online corporate planning system, does not need to be attached as separate document)

Rachel Santos
UNDP Brazil

Annual Work Plan

Brazil - Brasilia

Project: 00116194

Project Title: BRA/19/005 - GCF REDD+ Brazil

Report Date: 16/3/2020

Year: 2020

Output	Key Activities	Timeframe		Responsible Party	Planned Budget				
		Start	End		Fund	Donor	Budget Descr		Amount US$
00113448 BRA/19/005 - GCF REDD+	1. Floresta+ Pilot Programm	1/2/2020	31/12/2025	UNDP	66000	GCF	75700	Training, Workshops and Confer	45,000.00
				UNDP	66000	GCF	71800	Contractual Services-Imp Partn	10,400.00
				UNDP	66000	GCF	71600	Travel	248,520.00
				UNDP	66000	GCF	71300	Local Consultants	60,000.00
				UNDP	66000	GCF	72100	Contractual Services-Companies	507,500.00
				UNDP	66000	GCF	71400	Contractual Services - Individ	181,440.00
	2. Implementation ENREDD	1/2/2020	31/12/2025	UNDP	66000	GCF	61300	Salary & Post Adj Cst-IP Staff	28,426.00
				UNDP	66000	GCF	75700	Training, Workshops and Confer	108,400.00
				UNDP	66000	GCF	71300	Local Consultants	56,727.00
				UNDP	66000	GCF	72100	Contractual Services-Companies	51,900.00
				UNDP	66000	GCF	71400	Contractual Services - Individ	120,960.00
	3. Programme Management	1/2/2020	31/12/2025	UNDP	66000	GCF	73100	Rental & Maintenance-Premises	72,576.00
				UNDP	66000	GCF	71400	Contractual Services - Individ	268,531.00
				UNDP	66000	GCF	72800	Information Technology Equipmt	54,000.00
				UNDP	66000	GCF	73300	Rental & Maint of Info Tech Eq	41,933.00
				UNDP	66000	GCF	74700	Transport, Shipping and handle	7,258.00
				UNDP	66000	GCF	72500	Supplies	5,393.00
				UNDP	66000	GCF	71600	Travel	60,480.00
				UNDP	66000	GCF	72100	Contractual Services-Companies	14,691.00
				UNDP	66000	GCF	75100	Facilities & Administration	567,139.00
				UNDP	66000	GCF	64300	Staff Mgmt Costs - IP Staff	240,191.00
				UNDP	66000	GCF	74500	Miscellaneous Expenses	245,928.00
				UNDP	66000	GCF	72200	Equipment and Furniture	23,619.00
TOTAL									**3,021,012.00**
GRAND TOTAL									**3,021,012.00**

Rachel Santos
UNDP Brazil

Annual Work Plan

Brazil - Brasilia

Project: 00116194

Project Title: BRA/19/005 - GCF REDD+ Brazil

Report Date: 16/3/2020

Year: 2021

Output	Key Activities	Timeframe		Responsible Party	Planned Budget				
		Start	End		Fund	Donor	Budget Descr		Amount US$
00113448 BRA/19/005 - GCF REDD+	1. Floresta+ Pilot Programm	1/2/2020	31/12/2025	UNDP	66000	GCF	71600	Travel	83,520.00
				UNDP	66000	GCF	72100	Contractual Services-Companie	972,100.00
				UNDP	66000	GCF	71400	Contractual Services - Individ	181,440.00
				UNDP	66000	GCF	71800	Contractual Services-Imp Partn	18,560,276.00
	2. Implementation ENREDD-	1/2/2020	31/12/2025	UNDP	66000	GCF	72100	Contractual Services-Companie	897,600.00
				UNDP	66000	GCF	75700	Training, Workshops and Confe	418,026.00
				UNDP	66000	GCF	61300	Salary & Post Adj Cst-IP Staff	28,426.00
				UNDP	66000	GCF	71400	Contractual Services - Individ	120,960.00
				UNDP	66000	GCF	71300	Local Consultants	91,713.00
				UNDP	66000	GCF	74200	Audio Visual&Print Prod Costs	0.00
				UNDP	66000	GCF	71600	Travel	0.00
	3. Programme Management	1/2/2020	31/12/2025	UNDP	66000	GCF	73300	Rental & Maint of Info Tech Eq	41,933.00
				UNDP	66000	GCF	75100	Facilities & Administration	567,139.00
				UNDP	66000	GCF	74500	Miscellaneous Expenses	245,928.00
				UNDP	66000	GCF	72100	Contractual Services-Companie	14,691.00
				UNDP	66000	GCF	71600	Travel	60,480.00
				UNDP	66000	GCF	71200	International Consultants	0.00
				UNDP	66000	GCF	74700	Transport, Shipping and handle	7,258.00
				UNDP	66000	GCF	72500	Supplies	5,393.00
				UNDP	66000	GCF	73100	Rental & Maintenance-Premises	72,576.00
				UNDP	66000	GCF	71400	Contractual Services - Individ	268,531.00
				UNDP	66000	GCF	64300	Staff Mgmt Costs - IP Staff	240,191.00
TOTAL									**22,878,181.00**
GRAND TOTAL									**22,878,181.00**

Rachel Santos
UNDP Brazil

Annual Work Plan

Brazil - Brasilia

Project: 00116194

Project Title: BRA/19/005 - GCF REDD+ Brazil

Report Date: 16/3/2020

Year: 2022

Output	Key Activities	Timeframe		Responsible Party	Planned Budget				
		Start	End		Fund	Donor	Budget Descr		Amount US$
00113448 BRA/19/005 - GCF REDD+	1. Floresta+ Pilot Programm	1/2/2020	31/12/2025	UNDP	66000	GCF	71400	Contractual Services - Individ	181,440.00
				UNDP	66000	GCF	71800	Contractual Services-Imp Partn	19,293,236.00
				UNDP	66000	GCF	71600	Travel	83,520.00
				UNDP	66000	GCF	72100	Contractual Services-Companie	710,400.00
	2. Implementation ENREDD	1/2/2020	31/12/2025	UNDP	66000	GCF	71600	Travel	100,000.00
				UNDP	66000	GCF	61300	Salary & Post Adj Cst-IP Staff	28,425.00
				UNDP	66000	GCF	72100	Contractual Services-Companie	605,000.00
				UNDP	66000	GCF	75700	Training, Workshops and Confe	59,520.00
				UNDP	66000	GCF	71400	Contractual Services - Individ	120,960.00
				UNDP	66000	GCF	71300	Local Consultants	36,913.00
				UNDP	66000	GCF	74200	Audio Visual&Print Prod Costs	30,000.00
	3. Programme Management	1/2/2020	31/12/2025	UNDP	66000	GCF	72500	Supplies	5,393.00
				UNDP	66000	GCF	73300	Rental & Maint of Info Tech Eq	41,933.00
				UNDP	66000	GCF	64300	Staff Mgmt Costs - IP Staff	240,191.00
				UNDP	66000	GCF	72100	Contractual Services-Companie	14,691.00
				UNDP	66000	GCF	71200	International Consultants	30,491.00
				UNDP	66000	GCF	71400	Contractual Services - Individ	268,531.00
				UNDP	66000	GCF	71600	Travel	60,480.00
				UNDP	66000	GCF	75100	Facilities & Administration	567,139.00
				UNDP	66000	GCF	74500	Miscellaneous Expenses	245,928.00
				UNDP	66000	GCF	74700	Transport, Shipping and handle	7,257.00
				UNDP	66000	GCF	73100	Rental & Maintenance-Premises	72,576.00
TOTAL									**22,804,024.00**
GRAND TOTAL									**22,804,024.00**

Rachel Santos
UNDP Brazil

Annual Work Plan

Brazil - Brasilia

Project: 00116194

Project Title: BRA/19/005 - GCF REDD+ Brazil

Report Date: 16/3/2020

Year: 2023

Output	Key Activities	Timeframe		Responsible Party	Planned Budget				
		Start	End		Fund	Donor	Budget Descr		Amount US$
00113448 BRA/19/005 - GCF REDD+	1. Floresta+ Pilot Programm	1/2/2020	31/12/2025	UNDP	66000	GCF	71400	Contractual Services - Individ	181,440.00
				UNDP	66000	GCF	71800	Contractual Services-Imp Partn	19,085,236.00
				UNDP	66000	GCF	72100	Contractual Services-Companie	760,400.00
				UNDP	66000	GCF	71600	Travel	83,520.00
	2. Implementation ENREDD	1/2/2020	31/12/2025	UNDP	66000	GCF	71600	Travel	100,000.00
				UNDP	66000	GCF	61300	Salary & Post Adj Cst-IP Staff	28,425.00
				UNDP	66000	GCF	72100	Contractual Services-Companie	551,400.00
				UNDP	66000	GCF	71300	Local Consultants	56,913.00
				UNDP	66000	GCF	75700	Training, Workshops and Confe	90,026.00
				UNDP	66000	GCF	74200	Audio Visual&Print Prod Costs	75,000.00
				UNDP	66000	GCF	71400	Contractual Services - Individ	120,960.00
	3. Programme Management	1/2/2020	31/12/2025	UNDP	66000	GCF	75100	Facilities & Administration	567,140.00
				UNDP	66000	GCF	73300	Rental & Maint of Info Tech Eq	41,932.00
				UNDP	66000	GCF	74700	Transport, Shipping and handle	7,258.00
				UNDP	66000	GCF	71600	Travel	60,480.00
				UNDP	66000	GCF	74500	Miscellaneous Expenses	245,928.00
				UNDP	66000	GCF	73100	Rental & Maintenance-Premises	72,576.00
				UNDP	66000	GCF	71400	Contractual Services - Individ	268,531.00
				UNDP	66000	GCF	72100	Contractual Services-Companie	14,691.00
				UNDP	66000	GCF	64300	Staff Mgmt Costs - IP Staff	240,191.00
				UNDP	66000	GCF	72500	Supplies	5,393.00
TOTAL									22,657,440.00
GRAND TOTAL									22,657,440.00

Rachel Santos
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Annual Work Plan

Brazil - Brasilia

Project: 00116194

Project Title: BRA/19/005 - GCF REDD+ Brazil

Report Date: 16/3/2020

Year: 2024

Output	Key Activities	Timeframe		Responsible Party	Planned Budget				
		Start	End		Fund	Donor	Budget Descr		Amount US$
00113448 BRA/19/005 - GCF REDD+	1. Floresta+ Pilot Programm	1/2/2020	31/12/2025	UNDP	66000	GCF	71800	Contractual Services-Imp Partn	18,470,835.00
				UNDP	66000	GCF	71600	Travel	83,520.00
				UNDP	66000	GCF	71400	Contractual Services - Individ	181,440.00
				UNDP	66000	GCF	72100	Contractual Services-Companie	609,600.00
	2. Implementation ENREDD	1/2/2020	31/12/2025	UNDP	66000	GCF	71300	Local Consultants	16,913.00
				UNDP	66000	GCF	61300	Salary & Post Adj Cst-IP Staff	28,426.00
				UNDP	66000	GCF	72100	Contractual Services-Companie	1,281,600.00
				UNDP	66000	GCF	71400	Contractual Services - Individ	120,960.00
				UNDP	66000	GCF	71600	Travel	200,000.00
				UNDP	66000	GCF	75700	Training, Workshops and Confe	179,520.00
				UNDP	66000	GCF	74200	Audio Visual&Print Prod Costs	15,000.00
	3. Programme Management	1/2/2020	31/12/2025	UNDP	66000	GCF	71400	Contractual Services - Individ	268,531.00
				UNDP	66000	GCF	74700	Transport, Shipping and handle	7,258.00
				UNDP	66000	GCF	71200	International Consultants	0.00
				UNDP	66000	GCF	75100	Facilities & Administration	567,139.00
				UNDP	66000	GCF	64300	Staff Mgmt Costs - IP Staff	240,191.00
				UNDP	66000	GCF	72100	Contractual Services-Companie	14,691.00
				UNDP	66000	GCF	73300	Rental & Maint of Info Tech Eq	41,933.00
				UNDP	66000	GCF	71600	Travel	60,480.00
				UNDP	66000	GCF	72500	Supplies	5,393.00
				UNDP	66000	GCF	73100	Rental & Maintenance-Premises	72,576.00
				UNDP	66000	GCF	74500	Miscellaneous Expenses	245,928.00
TOTAL									22,711,934.00
GRAND TOTAL									22,711,934.00

Rachel Santos
UNDP Brazil

Annual Work Plan

Brazil - Brasilia

Project: 00116194

Project Title: BRA/19/005 - GCF REDD+ Brazil

Report Date: 16/3/2020

Year: 2025

Output	Key Activities	Timeframe		Responsible Party	Planned Budget				
		Start	End		Fund	Donor	Budget Descr		Amount US$
00113448 BRA/19/005 - GCF REDD+	1. Floresta+ Pilot Programm	1/2/2020	31/12/2025	UNDP	66000	GCF	71400	Contractual Services - Individ	172,800.00
				UNDP	66000	GCF	71800	Contractual Services-Imp Partn	125,000.00
				UNDP	66000	GCF	71600	Travel	82,400.00
	2. Implementation ENREDD	1/2/2020	31/12/2025	UNDP	66000	GCF	61300	Salary & Post Adj Cst-IP Staff	27,072.00
				UNDP	66000	GCF	71400	Contractual Services - Individ	115,200.00
				UNDP	66000	GCF	72100	Contractual Services-Companie	262,500.00
				UNDP	66000	GCF	71300	Local Consultants	15,385.00
				UNDP	66000	GCF	75700	Training, Workshops and Confe	96,194.00
	3. Programme Management	1/2/2020	31/12/2025	UNDP	66000	GCF	64300	Staff Mgmt Costs - IP Staff	228,755.00
				UNDP	66000	GCF	74500	Miscellaneous Expenses	234,217.00
				UNDP	66000	GCF	73100	Rental & Maintenance-Premises	69,120.00
				UNDP	66000	GCF	71600	Travel	57,600.00
				UNDP	66000	GCF	74700	Transport, Shipping and handle	6,911.00
				UNDP	66000	GCF	73300	Rental & Maint of Info Tech Eq	39,936.00
				UNDP	66000	GCF	75100	Facilities & Administration	540,132.00
				UNDP	66000	GCF	71200	International Consultants	30,490.00
				UNDP	66000	GCF	71400	Contractual Services - Individ	255,745.00
				UNDP	66000	GCF	72500	Supplies	5,135.00
				UNDP	66000	GCF	72100	Contractual Services-Companie	15,045.00
TOTAL									2,379,637.00
GRAND TOTAL									2,379,637.00

Rachel Santos
UNDP Brazil

United Nations Development Programme

BRA/19/005 - REDD+ results-based payments for results achieved by Brazil in the Amazon biome in 2014 and 2015

[Outcome ID 00113448 - Project ID 00116194]

Inicial Project Document - 16-March-2020

Main Source of Funds: Green Climate Fund (GCF)
Executing Agency: UNDP Brazil (DIM)

Donor	Fund		Total	2020	2021	2022	2023	2024	2025
12526	66000	Net Contrib.	96,452,228.00	3,021,012.00	22,878,181.00	22,804,024.00	22,657,440.00	22,711,934.00	2,379,637.00
		Total	**96,452,228.00**	**3,021,012.00**	**22,878,181.00**	**22,804,024.00**	**22,657,440.00**	**22,711,934.00**	**2,379,637.00**