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# REDD+ SAFEGUARDS IN PERU: AN OVERVIEW OF IMPLEMENTATION (2013-2014)

## FOREST CARBON, MARKETS AND COMMUNITIES (FCMC) PROGRAM

MARCH 2015

This publication was produced for review by the United States Agency for International Development. It was prepared by Conservation International Peru and Tetra Tech.

The U.S. Agency for International Development (USAID) launched the Forest Carbon, Markets and Communities (FCMC) Program to provide its missions, partner governments, and local and international stakeholders with assistance in developing and implementing REDD+ initiatives. FCMC services include analysis, evaluation, tools, and guidance for program design support; training materials; and meeting and workshop development and facilitation that support U.S. Government contributions to international REDD+ architecture.

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## **DISCLAIMER**

The author's views expressed in this publication do not necessarily reflect the views of the United States Agency for International Development or the United States Government.

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# ACRONYMS AND ABBREVIATIONS

AIDSESP	Interethnic Association of Development of the Peruvian Rainforest
CODEPISAM	Development and Defense of the Rights of the Indigenous Peoples
COICA	Coordinator of Indigenous Organizations of the Amazon Basin
COP	Conference of the Parties
FCM	Finance and Carbon Markets
FCMC	Forest, Carbon, Markets and Community Program
FCPF	Forest Carbon Partnership Facility
FIP	Forest Investment Program
GHG	Greenhouse Gas
GORESAM	Regional Government of San Martin
LEDS	Low Emissions Development Strategies
MINAM	Ministry of Environment
MRV	Measurement, Monitoring, Reporting, and Verification
NGO	Nongovernmental Organization
ORDEPISAM	Regional Indigenous Development Office
REDD+	Reduced emissions from deforestation and degradation, plus the role of conservation, sustainable forest management and enhancement of forest carbon stocks
REDD+ SES	REDD+ Social and Environmental Standards
REL	Reference Emissions Levels
R-PP	Readiness Preparation Proposal
SES	Social and Environmental Soundness
SIS	Safeguards Information System
UNEP-WCMC	United Nations Environment Program's World Conservation Monitoring Center
UNFCCC	United Nations Framework Convention on Climate Change
USAID	United States Agency for International Development

# EXECUTIVE SUMMARY

This document summarizes the implementation of the reduced emissions from deforestation and degradation, plus the role of conservation, sustainable forest management, and enhancement of forest carbon stocks (REDD+) social and environmental soundness (SES) project implemented by Conservation International Peru (CI Peru) with support from the Forest, Carbon, Markets and Community (FCMC) Program.

This project builds on previous work on REDD+ safeguards conducted by CI Peru. The lessons learned from previous projects as well as needs identified by national and regional governments influenced this project's design phase, and contributed to move forward the development of REDD+ safeguards in Peru, and establish coordination processes between national and regional levels of government.

Overall, the project's objective was to give technical support to both the national and regional governments to build a process for reporting how safeguards are being addressed and respected, including the development of a safeguards information system, in accordance with United Nations Framework Convention on Climate Change (UNFCCC) REDD+ decisions. Moreover, considering the advances made at the regional level, the project's objective was to facilitate coordination between regional governments and the national government through the Ministry of Environment (MINAM).

The technical support and outcomes obtained during the project's implementation have provided Peru's MINAM, regional governments, and civil society with diverse tools to continue working on REDD+ safeguards. The achievement of these outcomes is timely, considering the Government of Peru holds the current UNFCCC Conference of Parties (COP) presidency, and has made several commitments on REDD+ with multilateral and bilateral initiatives. Among these commitments, is the recent *Joint Declaration of Intent between the Governments of Peru, Norway and Germany on Cooperation on reducing greenhouse gas emissions from deforestation and forest degradation (REDD+) and promote sustainable development in Peru*, which includes the design and implementation of a safeguards information system as a requirement for receiving results-based payments.

These project's activities were mainly focused in supporting the national-level (i.e., MINAM) and the subnational levels (especially the Regional Government of San Martin [GORESAM]) in REDD+ safeguards issues, including close collaboration between these two levels of government. Considering this support, the main outcomes achieved include:

1. Inputs from the regional government's REDD+ readiness process have been considered at the national level, such as the creation of a safeguards platform.
2. MINAM has engaged prioritized REDD+ regions (subnational governments) for the design of the safeguards REDD+ process.
3. The San Martin region has been nationally recognized as a pilot for the development of the REDD+ safeguards process.
4. Capacity-building materials were developed in close collaboration between MINAM and GORESAM.

The outcomes of this project have provided the Peruvian government with important inputs to continue working on REDD+ safeguards, including the design and implementation of the safeguards information system.

At the subnational level, one of most important results of the project is reflected in the creation of the San Martin Regional Safeguards Committee, the first one of its kind in Peru. The objective of this committee is to create a dialog platform among all relevant regional stakeholders on safeguards issues, and most importantly, it will also be responsible for supporting GORESAM to assess how safeguards are being addressed and respected in San Martin, and for providing inputs for national reports as specified by UNFCCC decisions. This outcome is an important contribution of a regional government to the national safeguard information system that will be led by MINAM. This also reinforces and gives continuity to one of the projects goals: support the coordination between governmental levels, and promote civil society as a facilitator of this process. A national safeguards group is also being designed based on San Martin's experience. This result highlights FCMC's unique contributions to the overall REDD+ safeguards effort in Peru.

# I.0 INTRODUCTION

Tetra Tech and its consortium partners—Conservation International, World Resources Institute, Greenhouse Gas Management Institute, Landesa, and Terra Global—were awarded the USAID FCMC contract on March 23, 2011. FCMC was designed as a strategic global USAID program to work on issues of forestry and climate change, specifically focusing on assistance in the design and implementation of activities related to international efforts for REDD+.

The FCMC Program focuses on four technical areas: 1) SES; 2) finance and carbon markets (FCM); 3) low emissions development strategies (LEDS); and 4) forest and terrestrial greenhouse gas (GHG) measurement, monitoring, reporting, and verification (MRV). In Peru, the FCMC Program focused on areas 1 and 4.

This document summarizes the main achievements and challenges of the SES work FCMC supported in Peru. The work was undertaken between June 2013 and December 2014 by CI Peru.

## I.1 BACKGROUND

Due to the important advances of REDD+ negotiations under the UNFCCC, the Government of Peru, through MINAM, began designing a national process for engaging in REDD+. In accordance with the decisions reached by the parties under the UNFCCC, countries should develop the following four elements to obtain results-based payments: (a) a national strategy or action plan, (b) a national forest reference emission level and/or a forest reference level, (c) a national forest monitoring system, and (d) a system for providing information on how safeguards are being addressed and respected.<sup>1</sup>

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<sup>1</sup> This element is generally referred by various countries as a safeguards information system (SIS).

## BOX 1: REDD+ SAFEGUARDS

During UNFCCC COP 16 held in the city of Cancun, México, parties agreed on seven safeguards:

- (a) Actions complement or are consistent with the objectives of national forest programs and relevant international conventions and agreements.
- (b) National forest governance structures are transparent and effective, taking into account national legislation and sovereignty.
- (c) Respect for the knowledge and rights of indigenous peoples and members of local communities is demonstrated 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) Relevant stakeholders have full and effective participation, in particular indigenous peoples and local communities;
- (e) That actions are consistent with the conservation of natural forests and biological diversity, ensuring that the actions approved by parties in paragraph 70 of Decision 1/CP.16 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 are in place to address the risks of reversals.
- (g) Actions are in place to reduce displacement of emissions.

Parallel to the national REDD+ process, the Peruvian government has also engaged in developing proposals to diverse funding organizations to support REDD+ readiness.<sup>2</sup> Peru's Readiness Preparation Proposal (R-PP) for the Forest Carbon Partnership Facility (FCPF) was approved in March 2011 and its updated version was approved in January 2014. Additionally, a proposal for the Forest Investment Program (FIP), was submitted in 2013 and approved in 2014.

At the local and regional levels, diverse organizations started implementing REDD+ pilot projects that have and continue providing important inputs to the overall REDD+ readiness process including the safeguards component.

Since 2008, CI Peru has closely engaged in supporting the Peruvian government on REDD+ and the development of the four elements needed to obtain results-based finance mentioned above. On the development of the safeguards information system (SIS, see Box 2 below), CI Peru has supported both the national- and regional-level governments. In the beginning, this support was focused on enhancing the capacity of public institutions such as MINAM and GORESAM, as well as civil society stakeholders, including indigenous people representatives through the San Martín's Regional REDD+ roundtable and national REDD+ group.

At the regional level, with support of CI Peru and other relevant stakeholders, GORESAM was trying to identify initiatives and tools that could contribute to social and environmental best practices in the design of its REDD+ process. In 2011, CI Peru together with the REDD+ SES Secretariat invited GORESAM to participate in a REDD+ SES introductory and capacity-building workshop.

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<sup>2</sup> REDD+ readiness is a process by which a country designs its plans and creates the enabling conditions for the implementation of REDD+ at the national level. REDD+ readiness should be guided by UNFCCC REDD+ related decisions as described above.

In 2012, after participating in two additional REDD+ SES exchange meetings, GORESAM through the Regional Environmental Authority made the decision to implement the REDD+ SES initiative as a guideline for SES in its REDD+ readiness process. For this purpose, a facilitation team comprising ARA and CI Peru was created; its main objective was to design the REDD+ safeguards process in San Martin.

Since then, San Martin has taken significant steps to move this process forward, and has achieved important milestones due to its political will and stability. Technical support from civil society partners, especially the organizations contributing to San Martin's REDD+ roundtable, has also been a key element to support San Martin's progress on REDD+.

Considering the advances made by the region on overall REDD+ issues, MINAM established a partnership for REDD+ readiness with GORESAM by appointing one of its specialists to be based in San Martin to coordinate the collaboration between these two government levels. This professional, together with a Safeguards Specialist hired to work within the regional government, are important resources within the ARA's team.

## **BOX 2: SAFEGUARDS INFORMATION SYSTEMS FOR REDD+**

At COP 17, parties agreed to Decision 12/CP.17, which establishes guidance on systems for providing information on how safeguards are being addressed and respected:

- (a) Be consistent with the guidance identified in decision 1/CP.16, appendix I (see Box 1 for safeguard relevant provisions).
- (b) Provide transparent and consistent information that is accessible by all relevant stakeholders and updated on a regular basis.
- (c) Be transparent and flexible to allow for improvements over time.
- (d) Provide information on how all of the safeguards referred to in appendix I to decision 1/CP.16 are being addressed and respected.
- (e) Be country-driven and implemented at the national level.
- (f) Build upon existing systems, as appropriate.

Countries should provide a summary of information on how all of the safeguards referred to in decision 1/CP.16, appendix I, are being addressed and respected throughout the implementation of the activities. The summary of information should be included in national communications, and be consistent with relevant decisions of the COP on guidelines on national communications from parties not included in Annex I to the Convention, or communication channels agreed by the COP.

The summaries should be presented after undertaking the REDD+ activities, and thereafter presented with national communications. Also, on a voluntary basis, parties could present the summaries via the UNFCCC web platform. When receiving results-based payments on REDD+, these summaries should also be included in the Lima Information Hub for REDD+.

Each country should consider the design and implementation of its SIS based on UNFCCC recommendations. If a country has support from donors, the SIS could also consider specific operational policies or commitments agreed with the donor.

In the particular case of Peru, the SIS is based on the UNFCCC guidance, and considers the diverse requirements established by donors such as the World Bank, Inter-American Development Bank, and Norwegian government, among others.

## 1.2 OBJECTIVES

Based on the preliminary work done on REDD+ safeguards, it was important to continue to move forward on the safeguards work currently undertaken by the Government of Peru to build a process for reporting how safeguards are being addressed and respected, including the development of a SIS, in accordance with UNFCCC REDD+ decisions as well as other donor's operational policies. One important input for this effort was the pilot safeguard system being developed in the region of San Martin.

Considering this, one of the principal objectives was to work closely with MINAM to enhance the ministry's capacities, strengthen coordination between the two government levels (San Martin Regional Government), and include national guidance developed by MINAM in San Martin's process (see Section 3).

## 1.3 APPROACH AND METHODOLOGY

The following sources were used as guiding documents to develop the project's approach and methodology:

- Decision 1/CP.16 approved at COP 16 of the UNFCCC;
- The REDD+ SES initiative<sup>3</sup> and the reports of pilot experiences implemented in Ecuador and the state of Acre in Brazil;
- Peru's R-PP for the FCPF<sup>4</sup> approved in March 2011 and its updated version approved in January 2014; and
- The FIP<sup>5</sup> document, submitted late 2013.

To give continuity to previous work implemented since 2012 on REDD+ safeguards issues in the San Martin region (see Background, and Section 3), and based on these documents, the facilitation team (comprising representatives GORESAM and CI-Peru) identified the need to work closely with MINAM to enhance the ministry's capacities on REDD+ safeguards issues, as well as the coordination between both government levels, to ensure San Martin's REDD+ safeguards work is developed following national

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<sup>3</sup> The REDD+ SES can be used by governments, nongovernmental organizations (NGOs), financing agencies and other stakeholders to support the design and implementation of REDD+ programs that respect the rights of indigenous peoples and local communities and generate significant social and environmental co-benefits. The standards are designed for government-led REDD+ programs implemented at national or state/provincial/regional levels and for all forms of fund-based or market-based financing. By providing a comprehensive framework of key issues to address with respect to the social and environmental performance of a REDD+ program, the standards provide guidance to assist with program design while also providing a mechanism for reporting on how safeguards are addressed and how social and environmental benefits of REDD+ programs have been delivered.

<sup>4</sup> The Readiness Fund supports tropical and sub-tropical developing countries in preparing themselves to participate in a future, large-scale, system of positive incentives for REDD+. This includes adopting national REDD+ strategies, developing reference emission levels (RELs), designing MRV systems, and setting up REDD+ national management arrangements, including proper environmental and social safeguards. The first step for interested countries is to submit a Readiness Plan Idea Note to the FCPF. The next step is for the selected countries to prepare their Readiness Plan, which is a framework for a country to set a clear plan, budget, and schedule to undertake REDD+ activities.

<sup>5</sup> The FIP provides funding to support developing country efforts to reduce deforestation and forest degradation and promote sustainable forest management that leads to emissions reduction and enhancement of forest carbon stocks (REDD+). Funds are allocated to countries on a programmatic basis involving extensive consultations processes, led by the collaborative effort of country governments and regional multilateral development banks, with a view to develop strategic investment projects. Currently, the FIP has allocated US\$420 million to eight pilot countries: Brazil, Burkina Faso, DRC, Ghana, Indonesia, Lao PDR, Mexico, and Peru. Peru's FIP investment focus areas include using integrated landscape management to reduce deforestation and forest degradation and strengthening of national forest governance and innovation.

guidance. CI Peru took on the role of facilitator to support the project's objectives of achieving collaboration between different levels of government and supporting the development of regional REDD+ safeguards.

MINAM participated in the design and implementation of all project components and activities. This was important to enhance collaboration between MINAM and GORESAM. Consequently, MINAM started to be closely engaged in coordination meetings of the San Martín's safeguards facilitation team and the technical group<sup>6</sup> on safeguards.

The project's implementation was based on the premise that there is a need for a strong and effective participation process for key stakeholders. This process included identifying relevant stakeholders that are not yet engaged, especially at the regional level, as well as synergies between all stakeholders. A methodology for supporting capacity-building processes at the national and regional levels was developed by MINAM, GORESAM, and CI Peru to enhance the engagement of stakeholders. The methodology was designed to encourage dialogue and interaction between all participants. This methodology was used to support workshops carried out mainly at the regional level, especially those designed to build capacities on REDD+ and safeguards issues and disseminate information regarding the Regional Safeguards Committee.

### **BOX 3: WORKSHOP METHODOLOGY**

GORESAM's priority was to design a methodology for REDD+ and safeguards workshops that would support a strong and effective participation process for key stakeholders. Taking this into consideration, MINAM, GORESAM, and CI Peru designed a pilot methodology that was used at the regional level in the workshops funded with FCMC support. The methodology divided the training sessions in two parts to meet the objectives of the training, which was focused on building capacities of key stakeholders.

#### **First part of the training**

All workshop sessions started with a game, designed to break the ice and get the full attention of the participants. Once this was achieved, during the first part of the trainings, safeguard specialists made presentations followed by preliminary questions to evaluate the degree of understanding of participants.

#### **Second part of the training**

During the second part of the trainings, small group discussions were conducted. This allowed reinforcing the concepts explained during the first part of the training and encouraged participants to relate these concepts to everyday life issues. Finally, each participant was required to explain the concepts to the rest of the workshop attendees.

#### **Capacity-building materials**

Diverse capacity-building materials were designed to support the presentations given during the workshops (for examples of these materials please, see Annex I).

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<sup>6</sup> The Technical Group includes the Peruvian Society for Environmental Law (SPDA), Center for Conservation, Research and Management of Natural Protected Areas (CIMA) and the Center for Indigenous People's Cultures of Peru (CHIRAPAQ)

During the course of the project, the methodology proposed for its different components went through small changes and modifications to meet project goals, taking into consideration the diverse needs of the different key stakeholder groups the project was engaged with.

This report is divided in three sections that describe the work, activities, and outcomes reached by the project. The first section describes the work supported at the national level, specifically with MINAM. The second section describes the safeguards work supported in the region of San Martin. In both sections the coordination of activities between both levels of government is highlighted. The last section presents the summary of outcomes and lessons learned.

# 2.0 PERUVIAN GOVERNMENT ADVANCEMENTS ON REDD+ SAFEGUARD READINESS

The project succeeded in addressing the national government’s needs, such as building capacities at both the national and regional government levels, promoting spaces to interact with regional authorities to advance on coordination, providing inputs for the design of a roadmap to move the national safeguards process forward and disseminating information at the international level on the advances of the REDD+ safeguards work in Peru. The engagement of the Ministry of Environment (MINAM) during this project’s proposal-drafting phase was essential to achieve these results, as well as its engagement throughout the project’s implementation phase.

## 2.1 CAPACITY-BUILDING ACTIVITIES FOR MINAM AND RELEVANT PARTNERS

An important platform in which MINAM participated was the REDD+ Social and Environmental standards (REDD+ SES) international exchange workshops. The first of these workshops attended by MINAM was held in Indonesia in July 2013 and two others were held in Mexico in July 2014.

These exchange workshops allowed the Peruvian delegation, led by MINAM, to i) show other countries the synergies that exist in Peru between the national government, the regional government, and civil society; ii) present the implementation of Peru’s safeguards efforts and lessons learned; iii) present the safeguards’ dissemination materials; and iv) exchange information and identify synergies regarding safeguards issues between the other participating countries.

**TABLE 1: INTERNATIONAL EXCHANGE WORKSHOPS**

Workshop	Participants	Results
<b>“REDD+ Social and Environmental Standards, Exchange, and Learning Workshop</b>  <b>July 1-3, 2013</b>  <b>Bogor, Indonesia</b>	36 participants from 17 different countries attended  MINAM’s REDD+ team Communications and Safeguards Coordinator, GORESAM’s Regional Environmental Authority Manager and its Safeguards Specialist, and CI Peru’s Environmental Policy Manager were part of the Peruvian delegation	Peruvian delegation presented advances at regional level and synergies with national level  Next steps for the safeguards initiative were identified, as well as synergies between the activities to carry out at a national and regional level
<b>Latin America Exchange Workshop on Safeguards Information Systems (SIS)</b>  <b>July 11-12, 2014</b>	27 participants from 8 countries (12 jurisdictions), of which 9 were from government, 10 from civil society, and 8 from support organizations.  MINAM’s REDD+ team Communications and Safeguards Coordinator, GORESAM’s	General challenges and potential solutions for the development and implementation of SIS were identified  The Peruvian delegation identified common problems between countries as

Workshop	Participants	Results
<b>Mérida, México</b>	REDD+ Safeguards Specialist, and CI Peru's Environmental Policy Manager were part of the Peruvian delegation	well as lessons learned that are important inputs for the safeguards process
<b>7th REDD+ SES Exchange and Learning Workshop on SIS</b>  <b>July 15-17, 2014</b>  <b>Mérida, México</b>	37 participants from 15 countries (20 jurisdictions), of which 14 were from government, 13 from civil society, and 10 from support organizations.  MINAM's REDD+ team Communications and Safeguards Coordinator, GORESAM's REDD+ Safeguards Specialist, and CI Peru's Environmental Policy Manager were part of the Peruvian delegation	Lessons learned and experiences regarding Peru's safeguards process and linkages with subnational levels were exchanged; capacity-building materials were presented, including capacity-building modules, and the methodology developed to support stakeholders to participate in the interpretation of indicators  Capacity-building materials were well received and recommendations were provided for their completion  Peruvian delegation continued exchanging important information with initiatives that are being undertaken by diverse countries; the importance of these exchanges resides in lessons learned feedback that can be provided by diverse participants

Table 1 above illustrates the three exchange workshops in which a Peruvian delegation participated. Important changes were seen from one exchange meeting to the next (from Indonesia to Mexico). Latin American representatives made important inputs at the Indonesia exchange workshop that led to the REDD+ SES Secretariat making changes in methodology and objectives of the exchange workshops. As a result, during the exchange workshop held in Merida, two workshops were convened. The first focused on providing an opportunity for Latin American countries or subnational initiatives to exchange views on how they were focusing their work on safeguards, including the design of a safeguards information system (SIS). The second workshop included countries of other regions of the world. In this workshop, the Peruvian participants presented their advances including capacity-building materials. Several country representatives requested Peruvian participants to make these materials available (for more information on these workshops see [www.redd-standards.org](http://www.redd-standards.org)).

## 2.2 MINAM'S CAPACITY-BUILDING WORK WITH RELEVANT STAKEHOLDERS

MINAM required support for building the capacity of relevant stakeholders, specifically in regions prioritized for REDD+, including San Martín, Madre de Dios, and Ucayali. Considering this, the project focused on supporting MINAM with a capacity-building process, through workshops and the dissemination of information, which included the development of a variety of materials (examples of these materials can be seen in Annex 1).

These workshops gave MINAM the opportunity of communicating key messages on REDD+ safeguards as well as presenting its advances on its safeguards efforts, both to regional governments and key stakeholders. MINAM also worked on a proposal that describes how it envisions the involvement and participation of regional governments in the national safeguards process.

Conservation International Peru's (CI Peru) role during these workshops consisted of supporting the design of the methodology for the workshops, identifying key stakeholder participants, actively participating in discussions including delivering presentations, and supporting the participation of representatives of Regional Government of San Martin (GORESAM) as well as civil society including indigenous peoples.

One of the largest workshops implemented with FCMC and other organization's<sup>7</sup> support was a capacity-building workshop on REDD+ safeguards, including the REDD+ SES initiative. To support the participation of a broader range of stakeholders, the workshop was hosted in the city of Puerto Maldonado, Madre de Dios in October 2013. The workshop was led by MINAM, and participants included representatives of the Regional Government of Madre de Dios, the Environmental Services and REDD+ Roundtable of Madre de Dios, indigenous federations including representatives of the Madre de Dios Regional Indigenous Federation (FENAMAD), among other stakeholders. This workshop also provided stakeholders in Madre de Dios with the opportunity to learn from the San Martin safeguard process; synergies between both regions were identified, and combined inputs were provided to the national level.

Based on this experience, MINAM and CI Peru decided to conduct, under MINAM's leadership, a second workshop in Lima in May 2014. For this workshop, both institutions decided to prioritize the participation of representatives of seven regions interested in moving REDD+ issues forward (see Table 2 for a list of participants).

**TABLE 2: SAFEGUARDS WORKSHOP FOR REGIONAL GOVERNMENTS**

<b>Representative's Name</b>	<b>Regional Government</b>
<b>Cesar Elias Talledo Mendoza</b>	Regional Government of Piura
<b>Celso Adler Ratachi Visalot</b>	Regional Government of Amazonas
<b>Carola Antuanet Galarreta Aguilar</b>	Regional Government of San Martin
<b>Patricia Porras de las Heras</b>	Regional Government of San Martin
<b>Franck Luis Bardales Ruiz</b>	Regional Government of Ucayali
<b>Raul Ulises Lopez Flores</b>	Regional Government of Madre de Dios
<b>Luis Alberto Valer Aragón</b>	Regional Government of Cusco
<b>Ricardo Moroni Vela Pinedo</b>	Regional Government of Loreto

The workshop objectives included strengthening the technical capacities of regional governments, including the dissemination of San Martin's experience. Additionally, MINAM proposed the establishment of a platform for dialogue and the exchange of learning experiences between the seven regions that participated. This proposal was based on the inputs and experience of the region of San Martin in creating a regional safeguards committee (see Section 3). The participants showed support to MINAM's leadership by approving the proposal. The platform—which may be a national committee—is being designed by MINAM and is expected to be launched in 2015. Additionally, this workshop supported the validation of capacity-building materials on REDD+ safeguards, developed by MINAM, GORESAM, and CI Peru. The process for validation implied the presentation of materials to participants and receiving their feedback for further adjustments.

<sup>7</sup> Organizations that supported this workshop include the Regional Government of Madre de Dios, ICAA-USAID Support Unit, World Wildlife Fund – WWF, Net Zero Deforestation Zones (NZDZ) through Rainforest Alliance, REDD+ SES Secretariat, and the ONU-REDD Ecuador Program.

## **2.3 DISSEMINATING AND POSITIONING MINAM'S WORK ON SAFEGUARDS**

To reach this objective, it was important to showcase advances MINAM was making in REDD+ readiness—specifically on safeguards. An opportunity to do this came about when CI Peru, CI Ecuador, Rainforest Alliance, the Initiative for Conservation in the Andean Amazon (ICAA) Support Unit (funded by USAID), and the United Nations REDD (UN-REDD) Ecuador Program joined efforts to support both the Ministries of Environment of Peru and Ecuador to conduct the “Technical Workshop: Development of safeguard information systems for REDD+.” This workshop was convened in October 2013 in Lima, with government and civil society representatives of diverse countries and subnational initiatives (including the San Martin regional government). The workshop enabled participants to discuss and provide feedback on their approaches for the design and implementation, as well as challenges and lessons learned in the design of SIS. The documentation process of this workshop can be found in [www.conservation/pe](http://www.conservation/pe).

The workshop was important and relevant for REDD+ professionals of both Peru and Ecuador's environmental ministries to further engage on coordination, with support of their civil society partners. This coordination and collaborative work continues, and includes ongoing discussions and feedback on their corresponding work on safeguards at the design and implementation levels, as well as on issues related to the development of both countries' positions for the UN Framework Convention on Climate Change (UNFCCC) negotiations.

## **2.4 NATIONAL SAFEGUARDS INCLUDING THE DESIGN OF A SIS**

Continuous technical support was provided to MINAM over the course of this project to help with the development of REDD+ safeguards, including technical support in the design of a roadmap that outlines the REDD+ safeguards process from the readiness, implementation, and results-based phases. Under this roadmap, the pilot REDD+ safeguards initiative lead by GORESAM was recognized. The roadmap considers the steps identified by GORESAM, and proposes that the inputs or work done at the regional level be scaled up to be included in the national SIS. This is an important recognition from the national level of the work being done with the support of FCMC at the regional level, identifying the later synergies this work will have for the SIS. At the national level, the roadmap identifies early safeguards work led by MINAM, which includes issues such as participation and inclusion, access to information, safeguard identification in current legislation, as well as capacity building.

Much of this work, especially issues related to capacity building, were supported through FCMC funding, focused within the ministry and to other selected public institutions. An example of this work includes meetings held with diverse national and international institutions, such as the United Nations Environment Program's World Conservation Monitoring Center (UNEP-WCMC). This meeting supported existing work related to the assessment of environmental and social benefits of REDD+, creating synergies between different MINAM offices such as the Land Use Planning Directorate.

Another input developed for the national government was a legal assessment of REDD+ safeguards in Peru, which includes a preliminary legal assessment San Martin region. The legal assessment identified the diverse legislation that should be considered when working on the seven safeguards approved under the UNFCCC. This identification was done both at the national and regional levels. This assessment provides a first attempt to identify and understand the diversity of legislation as well as institutions that will be engaged in working on REDD+ safeguards issues both levels.

It is important to highlight that much of the technical support given during the project's implementation phase is also based on the results and lessons learned at the subnational level in the San Martin region. The results of the enhanced coordination and participation of both levels of government, as well as the

efforts made by CI Peru acting as a facilitator to this process, are reflected in ideas such as the National Safeguards Commission, which has important inputs from the San Martín's Regional Safeguards Committee (see Section 3).

# 3.0 THE SAN MARTIN REGION, PILOT REGION FOR REDD+ SAFEGUARDS IN PERU

## 3.1 BACKGROUND

San Martin has taken important steps to move its REDD+ regional process forward. GORESAM has achieved important milestones due to its political will and stability, as well as the technical support from civil society partners, especially the organizations forming San Martin's REDD+ roundtable.

In its REDD+ safeguards work, GORESAM identified the need to include more relevant stakeholders in the REDD+ readiness process. Taking this into account, the facilitation team of the safeguards process decided to promote stakeholder engagement. This was done through capacity-building processes to ensure effective and efficient participation in the REDD+ readiness and implementation phases in the region.

One of the most important recognitions received throughout implementation of this project happened during a meeting convened by MINAM in collaboration with the Amazon Interregional Council (CIAM for its Spanish acronym).<sup>8</sup> This meeting held in the city of Puerto Maldonado in late 2013, had as its main objective to draft a road map for the design and implementation of the national REDD+ strategy in Peru. On safeguards issues, meeting participants recognized the important advances made by the San Martin government, and decided that the region would serve as the pilot safeguards region. This recognition represented an important political endorsement to San Martin and its efforts on REDD+ safeguards.

The project supported the following work to help San Martin be a leader in REDD+ safeguards in Peru: i) capacity building and dissemination of information, ii) creation of the Safeguards Committee, and iii) coordination and collaboration between stakeholders. Additionally, due to FCMC funding, a Safeguards Specialist was hired to support the advances of GORESAM on these issues, including coordination with MINAM.

## 3.2 CAPACITY BUILDING AND DISSEMINATION OF INFORMATION

This project supported one of the main objectives identified by GORESAM: capacity building to promote stakeholder engagement and ensure effective and efficient participation in the REDD+ readiness process in the region.

During the project's implementation period, several capacity-building workshops on REDD+ and safeguards issues were conducted. Through these workshops a capacity-building process was

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<sup>8</sup> CIAM is a platform that convenes amazon regional governments including San Martin, Madre de Dios, Amazonas, Loreto, and Ucayali, among others.

implemented focusing on relevant key stakeholders prioritized in collaboration with the REDD+ roundtable. This included representatives of the public and private sectors as well as civil society and regional indigenous federations (for more information on the capacity-building workshops conducted, see Annex 2). This process aimed to i) support the overall strategy of GORESAM to disseminate and build capacities on climate change, REDD+, and safeguards; and ii) create interest in relevant stakeholders to participate in the Regional Safeguards Committee.

CI Peru used FCMC funding to hire GORESAM's Safeguards Specialist, who led the workshops. The workshops were co-organized with CI Peru, who was responsible for conducting the trainings on climate change and REDD+ in most of these events.

To be able to disseminate information, and strengthen and build capacities, it is important to have good training materials. In Peru, before the beginning of the project, materials about REDD+ safeguards did not exist. To respond to this need, a REDD+ safeguards capacity-building toolkit was developed in 2013 and 2014, which includes:

- a) Eight safeguards posters,
- b) Puzzles of REDD+ safeguards process, and
- c) An animated video on safeguards.

The materials were designed by CI Peru's team, GORESAM's Safeguards Specialist, with inputs from MINAM's Safeguards Specialist. These materials were validated by different groups of stakeholders in the San Martin region, in Lima, and in México, during a safeguards exchange meeting. The GORESAM Safeguards Specialist was responsible for conducting these validation sessions together with CI professionals. In total, four validation sessions were held throughout the project and approximately 50 people provided feedback. Among those who validated these materials are indigenous peoples, representatives of seven regional governments of Peru, representatives of different national and international organizations, and representatives of MINAM.

The capacity-building materials that were developed are an important tool that helped GORESAM and CI Peru to disseminate information and strengthen capacities on safeguards issues. Both institutions will continue to use the materials in future activities.

Considering the possibility that indicators could be required to report on how governments are addressing and respecting safeguards, the facilitation team, with the collaboration of a consultant team, designed capacity-building modules to build capacities for the drafting of these safeguard indicators by the Safeguards Regional Committee (for more information on these documents see [www.conservation.org/pe](http://www.conservation.org/pe)). FCMC's funding supported the module's validation. Table 3 summarizes the first validation process which was led by the REDD+ SES facilitation team. This validation process included meetings with indigenous leaders from San Martin's Regional Federation that coordinates the Development and Defense of the Rights of the Indigenous Peoples in the region (CODEPISAM),<sup>9</sup>

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<sup>9</sup> CODEPISAM represents all the indigenous regional federations established in San Martin. They are also part of the national indigenous organization AIDSESP.

members of the social working group of San Martín's REDD+ roundtable, GORESAM, indigenous facilitators,<sup>10</sup> and CI Peru's gender consultant team.<sup>11</sup>

**TABLE 3: FIRST VALIDATION OF CAPACITY BUILDING MODULES ON INDICATORS REDD SES INITIATIVE**

Validation 1						
	CODEPISAM	SAN MARTÍN REDD+ ROUNDTABLE	INDIGENOUS FACILITATORS OF CLIMATE CHANGE AND FORESTS	REGIONAL GOVERNMENT OF SAN MARTIN	GENDER SPECIALISTS TEAM	TOTAL
	6	4	6	1	1	18
	6	6	-	5	1	18
<b>TOTAL</b>	<b>12</b>	<b>10</b>	<b>6</b>	<b>6</b>	<b>2</b>	<b>36</b>

Between March and April 2014, a final validation was conducted: 1) of the adjustments made to the first two products and 2) of the third product. This validation took place in two different locations, Tarapoto and Moyobamba, with different stakeholders.

Table 4 summarizes the stakeholders that provided feedback to the design of the capacity-building modules for the REDD+ SES during the second validation session.

**TABLE 4: SECOND VALIDATION OF CAPACITY BUILDING MODULES ON INDICATORS REDD SES INITIATIVE**

Validation 2					
	CODEPISAM <sup>12</sup>	SAN MARTÍN REDD+ ROUNDTABLE	REGIONAL GOVERNMENT OF SAN MARTIN	INDIGENOUS FACILITATORS OF CLIMATE CHANGE AND FORESTS	TOTAL
	2	-	2	1	5
	0	3	4	-	7
	2	3	6	1	12

The final products presented were:

1. **Summary of the process:** document that summarizes the process of designing the capacity-building modules as well as its validations, including a section on lessons learned.

<sup>10</sup> Group supported by CI since 2012. This group is representative of the three indigenous groups in San Martín and has gone through a training process for over a year on climate change and the role of forests, including REDD+ and safeguards.

<sup>11</sup> CI-Peru hired a team of consultants to support the integration of gender issues in all of CI's work, including the REDD+ SES initiative. For more information on this process please contact [msandoval@conservation.org](mailto:msandoval@conservation.org).

<sup>12</sup> CODEPISAM represents all the indigenous regional federations established in San Martín. They are also part of the national indigenous organization AIDESEP.

2. **Facilitator’s guide:** guidelines on how to plan and conduct a workshop to build capacities on drafting REDD+ SES indicators. It specifies the duration of each part of the workshop, materials to be used, and the respective slides to be presented.
3. **Training module:** a PowerPoint presentation to be used by the facilitators to present the content of a workshop.
4. **Key concepts, prerequisites for participants, and glossary:** identifies the key concepts participants should understand before their participation in a workshop. The glossary includes concepts that correspond to key words.

This process was part of a decision adopted by the facilitation team to adapt the REDD+ SES initiative to regional circumstances, considering lessons learned from other countries or jurisdictions where this initiative is being implemented.

### 3.3 CREATION OF THE SAFEGUARDS COMMITTEE

One of most important outcomes of the project is reflected in the creation of the San Martin Regional Safeguards Committee, the first one of its kind in Peru. This process was led by GORESAM, though its Safeguards Specialist and CI Peru gave technical support throughout the entire process. Particularly, support was given by analyzing the international and national legal framework of safeguards and inputs on who should be part of the Safeguards Committee.

The Regional Safeguards Committee was officially approved by the *Ordenanza Regional OR-023-2014-GRSM/CR*, on December 9, 2014. This implies that officially REDD+ and the concept of safeguards for REDD+ have been legally included in regional regulations, which is a great achievement for the region.

The objective of this committee is to create a dialog platform among all the relevant stakeholders. It will have 11 members, representatives of the public sector, private sector, civil society, and indigenous peoples.

The Regional Safeguards Committee will also be responsible for discussing how safeguards are addressed and respected in San Martin, and providing inputs to the national government’s reports on UNFCCC decisions. This will be part of the contribution of GORESAM to the national SIS.

### 3.4 COORDINATION AND COLLABORATION BETWEEN STAKEHOLDERS

The project has also strengthened the coordination and collaboration between stakeholders in the region, ensuring the robustness of the REDD+ readiness process and that the credibility of the outcomes are aligned with the four elements approved by parties under the UNFCCC: (a) a national strategy or action plan, (b) a national forest reference emission level and/or a forest reference level, (c) a national forest monitoring system, and (d) a system for providing information on how safeguards are being addressed and respected. As previously explained in the methodological section, technical support given by CI has been relevant to facilitate the national efforts on safeguards in coordination with international-level developments.

This coordination was conducted at multiple levels, including coordination within other GORESAM’s offices such as the Regional Indigenous Development Office (ORDEPISAM), as well as with regional indigenous federations, including CODEPISAM and civil society organizations— mainly through the San Martin regional REDD+ roundtable.

# 4.0 SUMMARY OF OUTCOMES AND LESSONS LEARNED

The main outcomes achieved at the end of the project's implementation include 1) national recognition of San Martin as a pilot region for the development of REDD+ safeguards in Peru; 2) creation of a Regional Safeguards Committee; 3) design and validation of capacity-building materials in close collaboration with GORESAM and MINAM; 4) support of coordination efforts between national and regional levels including a proposal for a national platform similar to San Martin's regional safeguards committee, 5) support of MINAM's safeguards efforts through technical inputs including the support for the national safeguards roadmap, and 6) support for MINAM to disseminate its REDD+ safeguards efforts in international fora.

The implementation of this project has provided important lessons that are serving as inputs to the national and regional safeguards efforts, and overall to the establishment of a SIS in Peru that can show how safeguards are being addressed and respected. Many of these lessons come from the fact that REDD+ has been in constant change due to diverse factors. Changes at the international level (such as and/or donor's requirements) and at the national level (such as empowerment of the National Forest Conservation Program as the lead of the REDD+ development in Peru) have provided important lessons. Below, we identify the most relevant of these lessons learned:

- REDD+ and its safeguards are complex processes that are still being understood and developed at the national/regional levels. Establishing the linkages and building capacities to understand how the international, national, and subnational levels can work together are probably one of the most important challenges.
- Given this complexity, sound stakeholder engagement processes are required to achieve the effective participation of relevant stakeholders in REDD+, which includes building climate change and REDD+ capacities at diverse levels and taking into account lessons learned from previous processes.
- To make the REDD+ safeguards effort credible and consistent, it is important to ensure the participation of all key stakeholders; particularly, it is essential to guarantee and promote the participation of indigenous peoples' representatives and grassroots organizations.
- To engage these stakeholders, it is necessary to implement capacity-building methods that address their needs.
- The inclusion of the national government early on in the project's conceptualization and design is an important aspect that contributed to its success. The continuous collaboration between both government levels led to the active participation of MINAM in supporting the San Martin region's facilitation team and the safeguards technical group.
- It is essential to have clear and consistent information. Thus, clear messages were developed by GORESAM, MINAM, and CI Peru, through the design of diverse capacity-building materials as well as diverse workshops.

- Opportunities to enable a multi-level (national and regional government) and multi-sectorial coordination and exchange of information are needed to identify synergies and next steps during the project's implementation.
- At the regional level, an important asset in this project was the previous work developed by GORESAM in collaboration with the San Martin regional REDD+ roundtable, including CI Peru.
- It is important to build trust and establish a strong relationship with indigenous peoples' representatives to work closely, in a participative manner that considers their traditional knowledge.
- It was necessary to create a technical group at the regional level that could implement a process that can meet social, legal, and environmental requirements. The technical group has the capacity to provide feedback to GORESAM to move forward on their safeguards process.
- To have effective dissemination materials, it is essential to work with materials that are tailored to the diverse group of stakeholders. This requires rigorous validation processes with the stakeholders to obtain feedback and make changes as required.
- All the processes and activities implemented during the project should be documented. This record of the activities, lessons learned, and project outcomes can be of significant value for project implementers, other countries, and new government representatives.
- Project information needs to be disseminated at an international level to promote the participation of donors interested in supporting work on REDD+ safeguards.
- To ensure the continuity and credibility of the safeguards efforts, it is essential to secure the required financial resources.
- Finally, to reduce the number of setbacks, it is essential to i) identify key project collaborators from the beginning of the project and strengthen their capacities; ii) have flexible timelines to accommodate coordination with the public sector both at the national and regional levels, which may require delays and changes to planned activities (meetings, workshops, etc.); and iii) have flexible funding.

Many of the outcomes obtained during the project's implementation have effectively contributed to the coordination between MINAM and regional governments. This is clearly reflected in the GORESAM's Regional Safeguards Committee. Achieving this important goal will support the continuity of the safeguards effort in San Martin and Peru. Coordination with all governmental levels will always be a challenge, but this project has proved that support and facilitation of civil society organizations can help overcome it.

The next steps in safeguards development include one of the biggest challenges at the regional level, that is, the conformation of new teams considering last year's elections. However, the investment this project supported in building capacity to diverse stakeholders at diverse levels (including indigenous peoples, civil society, and government representatives) will facilitate the transition process faced by the regional government as well as coordination with the national level.

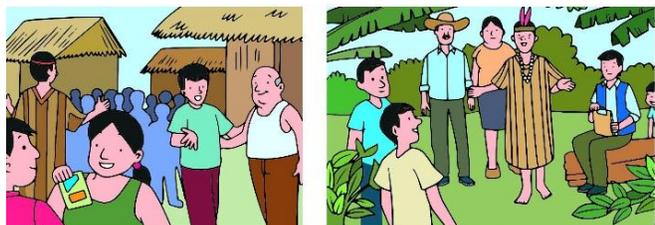
# ANNEXES

## ANNEX I. EXAMPLES OF CAPACITY-BUILDING MATERIALS





## PARTICIPACIÓN



## ANNEX 2: CAPACITY BUILDING WORKSHOPS HELD IN 2014

Workshop Date	Stakeholders participants in workshop	Description	Total number of persons trained
<b>May 13, 2014</b>	Coffee producers' Workshop	This workshop's main objectives were to i) introduce the possible effects of climate change on coffee production activities; ii) provide information on progress in climate change issues in the San Martin region, and iii) invite private companies and producer associations to participate in emission reduction processes in the San Martin region.	16 coffee producers of the San Martin region
<b>April and May, 2014</b>	Local government environmental authorities	4 workshops were carried out. These workshops sought to show local governments their responsibility in the climate change mitigation process in San Martin. It also invited them to take action by participating in the Safeguards Committee incorporation process, among other activities. The workshop's methodology was based on understanding the deforestation processes in each area of the region with an ecosystem services approach.	35 officials of local government
<b>June 30, 2014</b>	Leaders of the "Rondas Campesinas" (peasant patrols)	The workshop's main objectives were to i) introduce basic concept of climate change and REDD+ to participants; ii) identify participants' role in mitigation and adaptations processes; iii) present MINAM's studies on deforestation in the San Martin region for the period 2000-2011; iv) disseminate progress of the San Martin region on reducing the emissions of greenhouse gasses; v) present progress of the San Martin region on implementing the REDD+ mechanism; and vi) explain importance of the participation of the "Rondas Campesinas" in the design, development and monitoring of REDD+.	27 leaders of Rondas Campesinas" (peasant patrols)
<b>July 9, 2014</b>	the Citizens Movement to combat Climate Change (MOCICC)	This workshop introduced the basic concepts of deforestation, climate change, and REDD+. However, main objective of the workshop was to invite the diverse stakeholders to participate in climate change mitigation and adaptation efforts and encourage them to identify their responsibilities. The stakeholders that participated in this workshop represented many different civil society organizations, NGOs, students of the San Martin National University and independent citizens.	30 representatives of Citizens Movement to combat Climate Change – MOCICC-, including, students, women, and indigenous people
<b>September 29, 2014</b>	Indigenous groups from the San Martin region.	Workshop objectives were to strengthen the capacities of indigenous people i) on climate change and REDD+ issues, particularly the current situation at a regional level; and ii) on UNCCF safeguards and on the current situation of the safeguards process at both national and regional levels.	40 representatives of Alto Mayo indigenous people
<b>October 29-31, 2014</b>	Indigenous people	This workshop introduced the 10 main ideas of the indigenous peoples' proposal for REDD+ for the COP 20, and the US \$300 million cooperation agreement sign between Peru and Norway	40 leaders of AIDSESEP, COICA and regional federations of indigenous people

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