

# Use of Brazil's REDD+ Payments for Results funds for the Floresta+ Pilot Program and ENREDD+ Implementation

## Environmental and Social Management Plan Final Version

22.October.2021



MINISTÉRIO DO  
MEIO AMBIENTE



This document was prepared with the objective of ensuring the effective social and environmental management of the Floresta+ Amazônia pilot project. The results, interpretations and recommendations expressed in this study are the responsibility of the authors and it will be up to the UNDP and MMA project implementation teams to assess the Plan's feasibility and establish the priority actions to be implemented.

The analyzes performed by this study were based on version 1.2 of the Project Operating Manual (July 2021). It is important to point out that the process of improving the Project's Operational Manual took place in parallel with the Study of Social and Environmental Impacts and this Management Plan. Thus, considerations and measures listed in the documents under the Study may eventually not fully encompass the maturity stage of the MOP. Considering the dynamism of this process, as much as possible mention will be made of the current stage of development or implementation of mitigation measures in subsequent sections.

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### TECHNICAL TEAM

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IDAD (Institute for Environment and Development), located in the city of Aveiro in Portugal, in partnership with the Acariquara Institute (Manaus-Amazonas) was contracted by PNUD to prepare the Environmental and Social Impact Assessment and the Environmental and Social Management Plan of the Floresta+Amazônia Pilot Project.

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### 1. INTRODUCTION

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Brazil's commitments to the Paris Agreement are outlined in its Nationally Determined Contribution (NDC). The Brazilian NDC, presented in 2020, reaffirms the country's commitment to reduce total net greenhouse gas emissions by 37% in 2025, and Brazilian emissions by 43% by 2030, based on the year 2005. The NDC Brazil also sets out the indicative goal of achieving climate neutrality by 2060 – that is, net zero emissions.

NDC is based on the implementation of various public policies. Within the forest sector, government action has two main guiding instruments. The first of the instruments is the National Strategy for REDD+ (ENREDD+) whose objective is to contribute to the mitigation of climate change. The REDD+ initiative is an incentive developed under the United Nations Framework Convention on Climate Change (UNFCCC) to financially reward developing countries for their results in Reducing Greenhouse Gas Emissions from Deforestation and Forest Degradation, considering the role of conserving forest carbon stocks, sustainable forest management and increasing forest carbon stocks (+).

The other instrument of government action for the protection of native vegetation is presented in the Native Vegetation Protection Law (LVPN), which replaced the so-called Forest Code (Law No. 12,651 of May 25, 2012, arising from Bill No. 1,876/99). This legislation established restrictions on the use of certain areas of possessions and private property, which must be covered by native vegetation. The Permanent Preservation Areas (APP) and Legal Reserve (RL), as defined by law, must be maintained by the owners. Thus, the LVPN establishes, in the Legal Amazon, the obligation of rural properties to maintain 80% of their area covered by native vegetation, as a Legal Reserve; for areas of Cerrado in the Amazon the percentage is 35% and in the case of properties located in areas of general fields the percentage of protection is 20%. There are some specific items given by law, which constitute exceptional cases.

The LVPN, as well as the recently approved National Policy and Program for Payments for Environmental Services, advocate payments for environmental services as a way to recognize the efforts of local producers and communities in the conservation and recovery of native vegetation, according to the provider-recipient principle, which supports the Floresta+ Pilot Project.

The Floresta+ Amazônia Pilot Project has two components:

1. The development of a pilot of an Environmental Services Incentive Program for the Conservation and Recovery of Native Vegetation (Floresta+); and
2. Strengthen the implementation of Brazil's ENREDD+ through improvements in its structure and governance systems.

These two results will contribute to the achievement of the overall objectives of the country's ENREDD+ and NDC. The first of these components is the object of this environmental and social impact assessment and aims to create an efficient mechanism for payments for environmental services so that small farmers, indigenous peoples and traditional peoples and communities can maintain, manage and restore native vegetation on their properties and their collective territories through the economic incentives received. The Floresta+ Amazônia pilot project will also contribute to innovation in the forestry sector.

Financing for Floresta+ Amazônia was obtained from the Green Climate Fund (GCF) based on REDD+ results achieved by Brazil in the Amazon biome in 2014 and 2015. Brazil became the first country to receive financial resources from the GCF for having successfully reduced greenhouse gas emissions from deforestation in the Amazon. It should be noted that the Floresta+ Amazônia Pilot Project is a global pioneer in terms of payment for environmental services.

The Environmental and Social Management Plan outlined here is the ultimate result of an Environmental and Social Impact Assessment (ESIA) process developed by independent experts in a participatory

manner with stakeholders during the initial phase of the project and as part of the activities' preparations for the Pilot Project. This assessment was based on the findings of the Environmental and Social Management Framework (ESMF) and was conducted in accordance with national regulations and the UNDP Environmental and Social Standards.

The ESIA led to the development of appropriately sized measures and management plans to address the identified risks and impacts with a focus on project actions. Thus, the assessment culminates in the preparation of this complete Environmental and Social Management Plan (ESMP) and a Stakeholder Engagement Plan (see Annex I).

Given that a new version of the UNDP SES/SESP was launched just before the ESIA was initiated, though not required for use by the project according to UNDP [policy](#) during the one-year transition phase, the ESIA consultants took the opportunity to use the SES/SESP/2021 version to update the ESMF (which had been based on the SES/SESP/2015). Following the outcomes of the ESIA, it was determined by the ESIA consultants that the project still fits squarely in the moderate risk category, in line with the SES/SESP/2015, which is the version that applies to this project.

It is important to point out that the Study of Social and Environmental Impacts and this Management Plan were prepared in parallel with the improvement process of the Project Operating Manual (MOP). The weightings and measures listed in the documents within the scope of this Study are based on version 1.2 of the MOP and may eventually not fully encompass the final stage of maturity of the MOP.

More than conclusions, the ESMP proposes measures to manage and control, as far as possible, the effects foreseen for the implementation of the Floresta+ Pilot Project, enhancing positive impacts and opportunities and mitigating negative impacts, these fundamentally caused by context problems. Adequate monitoring and capacity building and training activities complement the Project's implementation strategy, ensuring the possibility of adjustments during implementation and in gathering information to consolidate learning and good practices in each of the Modalities.

This Environmental and Social Management Plan develops a broad set of recommendations that must be considered by PNUD and the MMA in implementing the Pilot Project. Some of these recommendations will be easily integrated into the MOP, with minor programming adjustments. Other recommendations will require the development of new lines of work that were not initially planned. Finally, it must be admitted that there will be recommendations that may be considered unfeasible or, although relevant, outside the scope of the Pilot Project. Here, it will be important to assess the possibility of sharing these recommendations with government institutions (at the federal or state level) or civil society that can more quickly incorporate these concerns into their policies and projects they support. The risk of dropping some of the proposed measures should be assessed.

Priority should be given to mitigation measures designed to mitigate the identified problems, highlighting measures that have a transversal application to the four Modalities.

It should be noted that adequate, attentive and intervening environmental and social management will be essential to transfer to other projects the learning gained from the Floresta+ Amazônia Pilot Project.

## 2. BRIEF DESCRIPTION OF THE PROJECT

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Results-based payments received by Brazil from the GCF will contribute to the implementation of Brazil's NDC. This project proposal has two main results:

1. Development of a pilot project for an Environmental Services Incentive Program for the Conservation and Recovery of Native Vegetation (Floresta+); and
2. Strengthen the implementation of ENREDD+ in Brazil through improvements in its structure and governance systems.

These two results will contribute to the achievement of the general objectives of the country's ENREDD+ and NDC. Additional details are provided below.

### Result 1: Floresta+ Amazônia Pilot Project

The beginning of the implementation of Floresta+ was used to promote broad stakeholder consultations and develop this social and environmental impact assessment. It is intended to establish detailed operational safeguards management plans and inform the broader Floresta+ project. This includes the selection of beneficiaries in Modalities 1, 2, 3 and 4. It will also include:

- the establishment and operation of a governance structure;
- the definition of values and priority areas for direct payments;
- updating of the National System of Rural Environmental Registration (SICAR) for registration and monitoring of processes;
- the development of a simplified online platform for registering direct payment proposals;
- the process of selecting beneficiaries and projects;
- and the establishment of contracts.

Direct payments to female and rural farmers who voluntarily participate in Modalities 1 and 2 will be made until 2025.

The duration of local projects supported by Modalities 3 and 4 will be determined according to specific criteria and guidelines, focusing on achieving the specific objectives of each modality and the project as a whole.

### Result 2: The implementation of ENREDD+ Brazil

The activities of this output will follow the calendar established in ENREDD+ and CONAREDD+ (National REDD+ Commission). Activities are ongoing and the project will support the improvement of related products and processes. The initial focus is to support the preparation of the national FREL and improve the implementation of the SISREDD+ (REDD+ Safeguards Information System), including identifying synergies with the PNUD Grievance Redress Mechanism and social and environmental safeguards requirements. Activities related to the impact of public policies and support for the implementation of ENREDD+, its arrangements and instruments will also be developed. Expanding the capacities and access of different actors to participate in CONAREDD+ and its Technical Working Groups and in cooperation initiatives with other countries are cross-cutting themes and will be implemented during the project.

### The Floresta+ Amazônia Project

Floresta+ Amazônia is a new and innovative Pilot Project that aims to provide Incentives for Environmental Services in the Legal Amazon region, in accordance with the Forest Law of Brazil and ENREDD+. This Pilot Project will have the following specific objectives:

1. Provide monetary retribution for environmental services performed that result in improvement, conservation or restoration;
2. Prevent the occurrence of deforestation, forest degradation and forest fires through financial incentives;
3. Encourage the conservation and recovery of native vegetation on rural properties, conservation areas, indigenous lands, settlements and lands belonging to traditional communities and peoples;
4. Promote compliance with environmental legislation (mainly the Forestry Law), especially those related to the protection and recovery of native vegetation;
5. Offer a financial mechanism to promote the development and implementation of public policies aimed at the conservation and recovery of native vegetation.

The target beneficiaries of the Floresta+ Pilot Project are composed of:

1. Family farmers, defined in accordance with art. 3, V, of the Forestry Law (Law No. 12,651/2012), and art. 3 of the National Policy on Family Agriculture and Rural Family Enterprises (Law No. 11,326/2006);
2. Indigenous Peoples;
3. Traditional peoples and communities, defined in accordance with I of art. 3, of Decree No. 6,040/2007 i.e.: culturally differentiated groups that recognize themselves as such, 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; and
4. Public institutions or bodies (including States and Municipalities), civil associations, cooperatives and foundations under private law that work on issues related to the conservation and restoration/recovery of native vegetation.

The basic proposal for prioritizing the areas to be selected as beneficiaries of the Floresta+ Amazônia Pilot Project considers:

- a) Regions with high rates of deforestation, forest degradation and forest fires;
- b) Priority areas for the conservation of biodiversity and for the recovery of native vegetation, in accordance with the standards defined by the MMA;
- c) Buffer zones around protected areas;
- d) Regions with the highest density of family farmers;
- e) Regions with the greatest concentration of indigenous peoples, traditional peoples and communities;
- f) Integration with other public policies related to conservation and restoration/recovery of native vegetation.

The Floresta+ Pilot Project will encourage the conservation and recovery of native vegetation in accordance with the Forest Law of Brazil and PROVEG (National Policy for the Recovery of Native Vegetation - Federal Decree No. 8972/2017). This will contribute to reducing pressure on native forests,

revealing consistency with ongoing efforts to eliminate illegal deforestation and promote ecosystem restoration/recovery, which are part of the overall objective of ENREDD+ in Brazil.

The Project Operation Manual (MOP version 1.2, of July 2021 – used as support material in the refinery workshops of the Floresta+ Amazônia pilot project) states that “investments in positive incentives are essential to maintain and further expand the REDD+ results achieved in the Amazon region. This would contribute to reducing pressure on native forests, consistent with ongoing efforts to eliminate illegal deforestation and promote ecosystem recovery, which is part of the overall objective of ENREDD+ and the Sustainable Development Goals (SDGs).”

The Floresta+ Pilot Project will work through four Modalities of resource distribution:

1. **Modality 1 (Forest+ Conservation):** incentives for owners and squatters of rural properties in accordance with the classification of item V, of the Forest Code Article (Law nº 12,651/2012), with the objective of conserving remnants of native vegetation additional to legal requirements up to 380,000 hectares;
2. **Modality 2 (Floresta+ Recovery):** incentives for owners and squatters of rural properties according to the classification of item V, of the Forest Code Article (Law nº 12,651/2012), with the objective of recovering Permanent Preservation Areas up to 180,000 hectares (e.g. riparian forests, mountain tops and steep slopes);
3. **Modality 3 (Floresta+ Communities):** support for up to 64 projects that benefit associations and entities representing indigenous peoples and traditional peoples and communities;
4. **Modality 4 (Floresta+ Innovation):** support up to 20 innovative actions and measures to develop, implement and leverage public policies for the conservation and restoration/recovery of native vegetation, through Payments for Environmental Services, implemented.

The project began during 2021 and will have a maximum intensity between 2022 and 2023, as shown in Table 2-1.

Table 2-1. Evolution of the targets of the various Modalities between 2021 and 2024.

	Global target	Target by period			
		2021	2022	2023	2024
Modality 1: Forest area supported by incentives to environmental conservation services [hectares]	380,000	20,000	80,000	200,000	80,000
Modality 2: Area supported by incentives for environmental restoration/recovery services [hectares]	180,000	5,000	30,000	80,000	65,000
Modality 3: Projects to support indigenous peoples and traditional peoples and communities	64	10	30	20	4
Modality 4: Projects to support the improvement and adoption of innovative instruments for public policies related to the preservation and restoration/recovery of forests	20	5	5	5	5

The total fund available for the Floresta+ Pilot Project is 421 million reais<sup>1</sup> with the distribution by Modality shown in Figure 2-1.

<sup>1</sup> Exchange rate on 03/31/2021: R\$/US\$ 5.65 (Central Bank of Brazil).

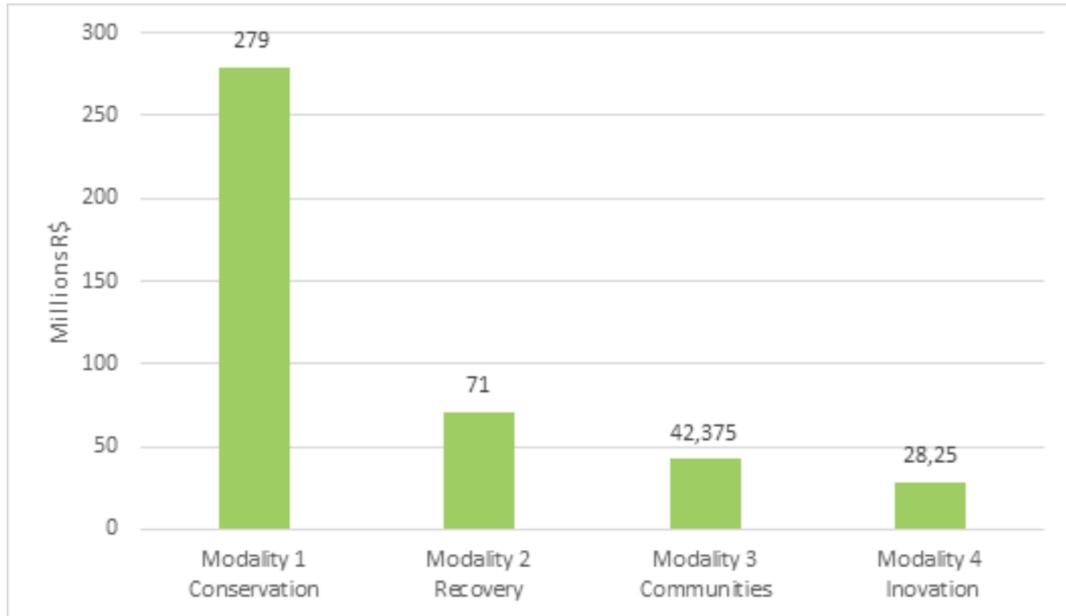


Figure 2-1 Distribution of financing by Modalities.

The diagram in Figure 2-2 provides a quick representation of the targets that are intended to be achieved with the 4 Modalities.

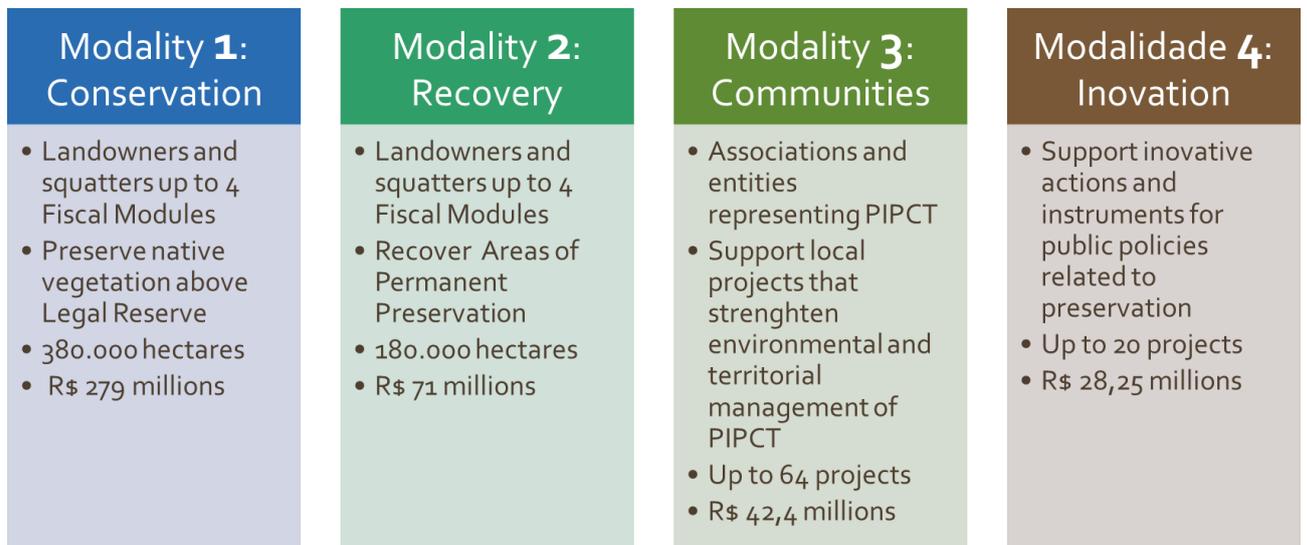


Figure 2-2 General structure of the Floresta+ Amazônia Pilot Project Modalities: beneficiaries, objectives, financial resources.

The detailed description of the Modalities can be found in the Project Operation Manual. The Environmental and Social Impact Study and the Environmental and Social Management Plan were developed on the 1.2 version of the MOP dated July 2021.

The current version of the MOP can be found at the following link:

<https://www.florestamaisamazonia.org.br/>

The MOP includes for each of the Modalities the following items:

- Main characteristics of the modality
- Implementation logic
- Eligibility criteria
- Criteria for prioritizing specific regions and beneficiary groups
- Incentive Structure
- Incentive transfer mechanism
- Dissemination and call
- Process for qualifying, verifying and selecting beneficiaries
- Obligations of beneficiaries or responsible parties
- Financial and performance monitoring

The Project Management Unit (PMU) will be structured on three levels (see Figure 2-3) and will contain approximately 40 people. The coordination team will include seven people responsible for cross-cutting themes: project coordinator, two project assistants and two technical analysts, a technical advisor dedicated to safeguards and, finally, a technical analyst responsible for communication. Whenever necessary, it will be possible to use a group of consultants for more specialized studies.

At a second level will be the operational team for managing the Modalities, which will include a total of five people. Finally, there will be nine state teams totaling 28 people.

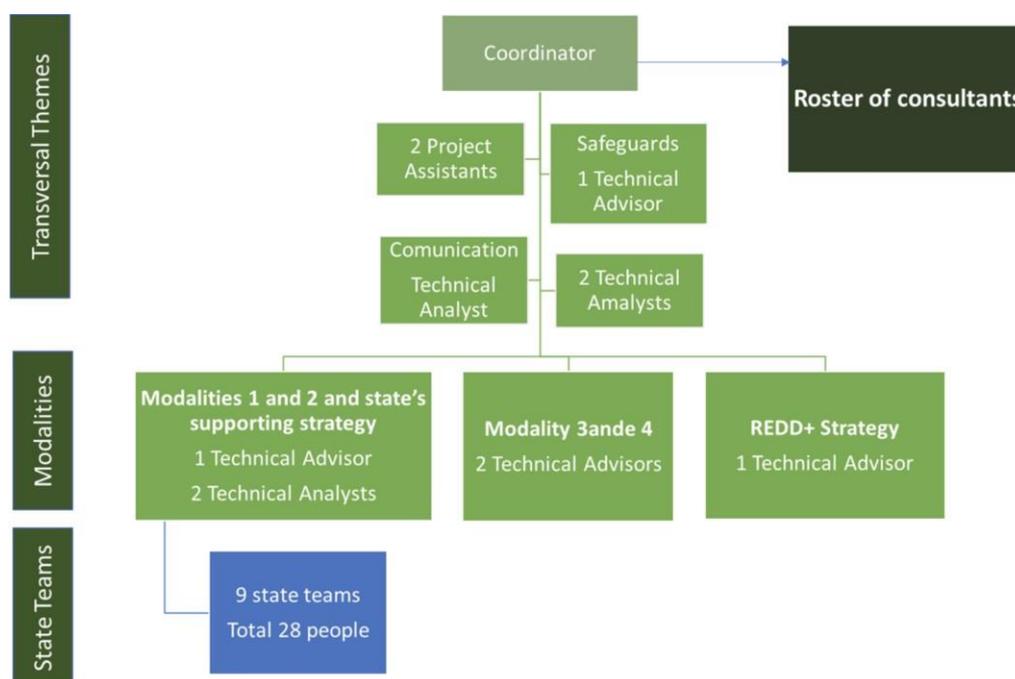


Figure 2-3 Management structure of the Floresta+ Amazônia Pilot Project.

### 3. FRAMEWORK OF THE MANAGEMENT PLAN

This chapter begins with the presentation of the general structure of the Environmental and Social Management Plan (ESMP) followed by a description of the methodological approach used to assess the environmental and social impacts of the Pilot Project. There are two sub-chapters that present the baseline data characterizing the baseline regarding the themes of Gender and Indigenous Peoples and

Traditional Peoples and Communities, with the components of gender and indigenous peoples now being transversally integrated into the Plan of Environmental and Social Management (ESMP) and not as two separate plans as explained below.

### 3.1 STRUCTURE OF THE MANAGEMENT PLAN

The assessment of environmental and social impacts, and in sequence this Environmental and Social Management Plan, were developed and structured in accordance with the financing approach of the Floresta+ Pilot Project action plan, that is, by Modality. Considering the great similarities between Modality 1: Conservation and Modality 2: Recovery, these two Modalities are treated together. The similarities concern both the objectives of each Modality and the beneficiaries they target.

The elaboration of the Environmental and Social Management Plan for the Floresta+ Amazônia Pilot Project began by following the structure of the Management Plan suggested in the ESMF, which presupposed the existence of a Gender Action Plan and a Plan for Indigenous Peoples separated from the main body of the ESMP and that they could function as independent and autonomous documents.

This work option proved to be less suitable for the present case due to several particularities of the object under evaluation and its environmental and social consequences:

- The ESMP, to be operational, is subdivided into four sub-themes: measures applicable to the entire Pilot Project, those relating to Modalities 1 and 2, dealt with jointly, the management measures of Modality 3 and, finally, Modality 4.
- The additional subdivision of the ESMP into General Plan, Gender Action Plan and Indigenous Peoples Plan would turn the ESMP into a confusing instrument and would promote systematic repetition of content, since gender issues and indigenous peoples and traditional peoples and communities are transversal to practically all management activities for Project implementation;
- A very important part of the ESMP focuses precisely on gender action and on Indigenous peoples. By segmenting these contents into specific Thematic Plans, it made them accessory rather than central themes, preventing an overall vision of the ESMP and would lead to a loss of integration between the various themes that are intended to be safeguarded in the structure of the Management Plan.
- This methodological option does not in any way reduce the detail and relevance given to these two themes throughout the ESMP; quite the contrary. It is considered that in this specific case, the emphasis on issues of gender and indigenous peoples and traditional peoples and communities is maximized, seeking integration into a single ESMP, thus continuing the evaluation strategy followed in the ESIA.

Thus, the Environmental Management Plan includes measures organized into three major topics (Figure 3-3):

- Mitigation and Improvement;
- Monitoring;
- Capacity Building and Training.

The organization of the Environmental and Social Management Plan by Modality allows an easy reading for managers of each Modality.

The Stakeholders Engagement Plan (PEPI) resulting from the Environmental and Social Impact Assessment process is also proposed (see Annex I).

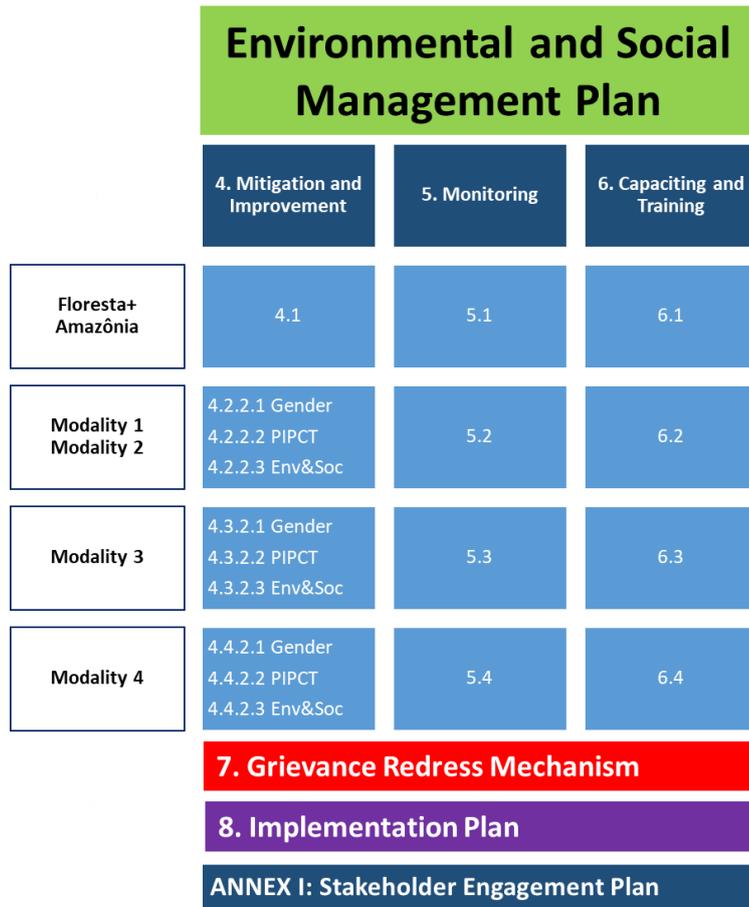


Figure 3-1 Conceptual model of the Environmental and Social Management Plan. The numbering presented corresponds to the chapter of this report.

### 3.2 METHODOLOGICAL APPROACH

The assessment regarding the implementation and operationalization of the Floresta+ Pilot Project resulted from an expert analysis supported by an in-depth knowledge of the applicable institutional and legal framework as well as dialogue with stakeholders.

In order to ensure a strong focus on decision-making issues rather than a vague set of environmental issues, it is essential to integrate the relevant biophysical, social, institutional and economic issues, keeping the strategic focus on a few but critical issues.

Based on principles of good methodological practices in environmental assessment, namely considering an effort to synthesize and identify holistic, integrated and focused dimensions of assessment, based on specific knowledge of the potential impacts of the Floresta+ Pilot Project, resulting from an analysis with a detailed breakdown of its risks and benefits, the impact assessment was structured into five broad dimensions of analysis reflected in Figure 3-1.

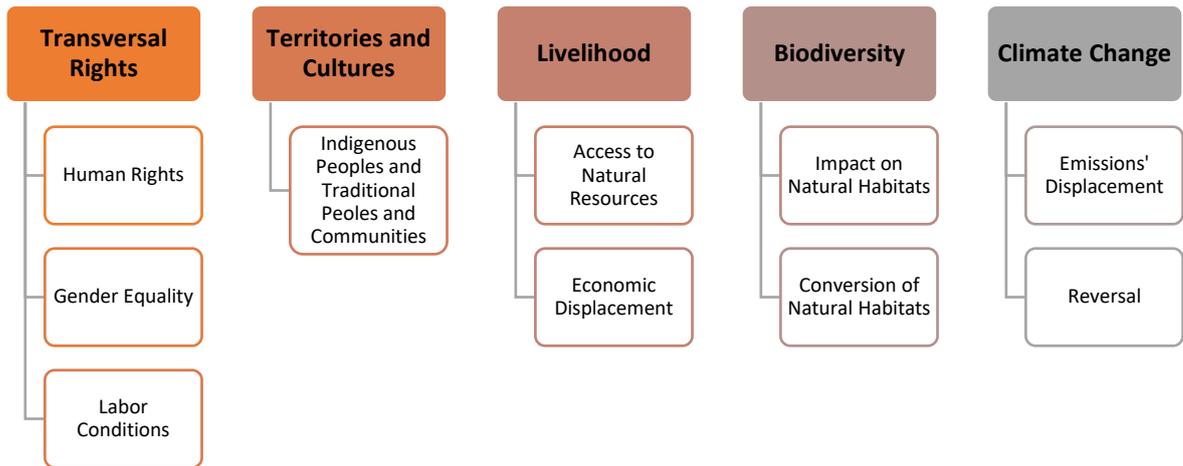


Figure 3-2 Dimensions of assessment.

Underneath each of the five analytical dimensions are environmental and social risks that were identified in the Environmental and Social Management Framework (ESMF) prepared in 2018 and updated at the beginning of this consultancy.

After evaluating the environmental and social impacts, it is possible to state with some certainty that some of these risks are irrelevant. This statement is supported not only because these themes were not mentioned as concerns in the broad process of dialogue with stakeholders that accompanied the ESIA, but also because the expert assessment concluded that they were of little importance. And so it is with regard to the risks of economic displacement and the displacement of carbon emissions. It is considered that, despite being relevant at the family and community scale, the implementation of the Pilot Project does not present sufficient dimension/scale to be able to cause, or catalyze, the displacement of populations, economic activities on an interstate scale in Brazil, let alone on an international scale, with an occasional emphasis on Peru or Bolivia.

Regarding working conditions, it is an important problem, but which, in the Amazon case, is intrinsically presented as a context problem. It is believed that the implementation of the Pilot Project will not bring any changes, neither positive nor negative, to pre-existing practices in the Legal Amazon.

The methodological approach adopted structures a conceptual model that helps a socio-ecological reading. The IAIA – International Association for Impact Assessment has published a reflection paper on how Impact Assessment can contribute to creating links between people's well-being and biodiversity (IAIA, 2021). Consideration of these links is important because:

1. "The direct, indirect, induced and cumulative impacts on ecosystems and biodiversity, pollution, habitat destruction resulting from the unsustainable use of resources and climate change affect people's livelihoods, health, safety, food and water security, well-being and human rights.
2. Explicit consideration of the values of affected parties, their rights, the levels of dependence on ecosystems and biodiversity, and the willingness to accept alternatives or substitute projects is essential in the Impact Assessment."
3. A socio-ecological approach, with clearly defined objectives for biodiversity and people, can provide a common framework to guide project development. It will also encourage collaboration and synergies between experts.
2. It is critical to develop integrated livelihoods and biodiversity plans, with sufficient time and duration to ensure sustainability of outcomes for people and biodiversity, and contingencies in place to deal with unanticipated outcomes.

- To achieve effective implementation and stakeholder accountability it is essential to make tangible commitments to adaptive and corrective management to achieve explicit results, independent monitoring and auditing of biodiversity and ecosystem services in support of well-being and the means of people's livelihood.”

The five dimensions of assessment are interconnected, have functional relationships with each other, and even have some overlaps. Figure 3-2 outlines a simple socio-ecological model which served as a conceptual basis to avoid the methodological compartmentalization of the ESIA and the Environmental and Social Management Plan.

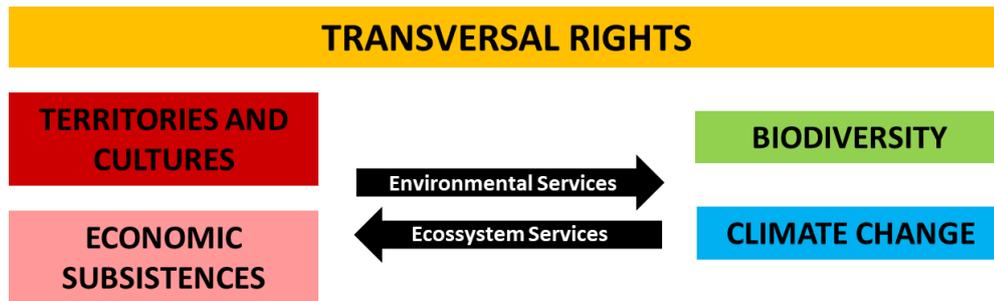


Figure 3-3 Conceptual socio-ecological impact assessment model (based on IAIA (2021)).

The conceptual model distinguishes on the left side the mostly social analytical dimensions and on the right side the environmental or ecological components. Considering the objective of the study, environmental services, as well as ecosystem services, are a central part of the conceptual model and establish explicit relationships between the social and environmental components of the model. In this model, transversal rights should be interpreted as a big hat with a broader scope that crosses the various analytical dimensions. As mentioned above, the intention of the conceptual model is to avoid compartmentalization between the various dimensions of analysis: although not portrayed, there are functional relationships between all dimensions.

The Floresta+ Pilot Project has unique characteristics that distinguish it from most of the projects that are subject to environmental and social impact assessment. This commentary considers the Project's conservation goals, its' almost immaterial character, focused on financing diverse activities, developed by a wide range of individual and collective actors, referred to as the Project's “beneficiaries”. Thus, instead of an impact assessment structured on a classic positive/negative dichotomy, based on the application of significance criteria, the analysis of project effects followed a broader classification. The effects resulting from project implementation were classified as shown in Table 3-1.

Table 3-1 Classification of project effects.

Positive effects		
Positive impact	The project promotes a direct benefit	P
Opportunity	The project fosters favorable circumstances for the realization of a possible benefit	O
Negative effects		
Negative impact	The project promotes the occurrence of damage	N
Risk	The project fosters circumstances favorable to the occurrence of possible damage	R
Context problem	Pre-existing situation that affects project implementation and/or achievement of its objectives/targets	C

This classification grid of the effects resulting from the implementation of the Floresta+ Pilot Project is particularly appropriate in the discussion of the potentially negative effects, given that, more than

negative impacts, the implementation of this project has risks and context problems that will have to be managed in a proper way.

The process of identifying the environmental and social effects began with the analysis of stakeholder perceptions about the entire Floresta+ Amazônia Pilot Project and about each of its Modalities. With this objective in mind, an engagement strategy was implemented, which began with the establishment of a network of contacts and information from governmental and non-governmental institutions, associations and cooperatives from all states in the Legal Amazon and their representatives. This network was organized from the definition of interest groups for the Project considering:

- Organizations or representatives of small farmers (Family Farmers);
- Associations, groups or representatives of Traditional and Indigenous Populations and,
- Representatives of Research and Innovation Institutions.

For the engagement of interest groups with the Floresta+ Amazônia Pilot Project, the strategy used was the design of four phases of interaction:

- Initial Dialogues with prior invitation to participate – 12 online meetings on virtual platforms (due to the worsening of the COVID-19 pandemic) involving 72 people (58% men and 42% women);
- Preparatory Webinars with participation open to the general public – 4 round tables with the following structure: 1) presentation/exhibition of the Pilot Project; 2) interventions by invited debaters; 3) questions between debaters; 4) reading the audience's questions via chat; 5) comments from debaters; 6) comments by the mediator (main points) and 7) closing;
- Participatory Impact Assessment Workshops that were held in a restricted manner to previously contacted interest groups - around 150 people participated, distributed as 43% of women and 57% of men;
- Participatory workshops related to the Environmental and Social Management Plan for the presentation and discussion of mitigation and improvement measures, the monitoring program and the training and capacity building program. These workshops took place on the 24th and 25<sup>th</sup> of September 2021.

The activities developed to promote public participation are presented in detail in Products 7 (ESIA) and 11 (ESMP) of this consultancy.

The analyzes performed by this study were based on version 1.2 of the Project Operating Manual (July 2021). It is important to point out that the process of improving the Project Operating Manual took place in parallel with the Study of Social and Environmental Impacts and this Management Plan. Thus, considerations and measures listed in the documents under the Study may eventually not fully encompass the maturity stage of the MOP. Considering the dynamism of this process, as much as possible mention will be made of the current stage of development or implementation of mitigation measures in subsequent sections.

### 3.3 GENDER

The Green Climate Fund (GCF) recognizes the central importance of gender considerations in terms of impact and access to climate finance and requires a Gender Assessment and Gender Action component under the Environmental and Social Management Plan submitted as part of the funding proposals it evaluates. The Environmental and Social Management Framework (ESMF), in its version dated September 13, 2018, had a Preliminary Gender Action Plan (PAG) that presented a general contextual view of the topic and points considered important in the topic.

The Environmental and Social Impact Study (ESIA) that precedes this ESMP deepened the study and assessment of gender issues essential to the implementation of the Floresta+ Amazônia Pilot Project, with a view to ensuring compliance with the GCF gender policy and with the UNFCCC REDD+ safeguards and the 2018-2021 Gender Equality Strategy, developed by UNDP to expand and integrate gender equality to reduce poverty, build resilience and achieve peace in communities and territories, helping to accelerate sustainable development.

The data presented is based on the preliminary gender assessment carried out in the Gender Assessment under the Environmental and Social Management Framework (ESMF) and the Environmental and Social Impact Study (ESIA) of the Floresta+ Amazônia Pilot Project. They provide a context diagnosis and a general assessment, resulting from the participatory process of dialogues, workshops and webinars promoted by the consultancy and enhanced by expert analysis on gender dynamics, inequalities in the Amazon context and the efforts of the Floresta+ Amazônia Pilot Project to date.

By choosing to integrate gender issues across the ESMP, it is intended to ensure a cross-cutting gender perspective and the effective incorporation of gender equity strategies in order to maximize the co-benefits of the Floresta+ Amazônia Pilot Project as well as manage and mitigate potential pre-existing context issues over the life of the Pilot Project. It is evident that the ESMP contains specific elements such as mitigation measures and gender enhancements. This option seeks to emphasize that the theme is considered as much as possible in the entire Floresta+ Project implementation process and not in a segmented and separated way. In addition, this ESMP establishes a monitoring and evaluation framework that helps to track the implementation of gender-specific actions and general actions from a perspective of promoting and respecting gender equity to assess their effectiveness. It is intended to ensure a contribution so that there is no maintenance or reproduction of structural gender inequalities present in the Brazilian Amazon region, promoting female protagonism in decision-making in matters that affect women of any age and sociocultural condition, driving positive changes and gender dynamics.

For the Floresta+ Pilot Project to be implemented in accordance with a gender approach, this ESMP presents aspects aimed at ensuring: 1) equitable governance; 2) monitoring and evaluation from a gender perspective; 3) equitable participation by women; 4) gender equity in beneficiary communities; and 5) gender equity in innovation and technology.

The ESMP intentionally presents practical, strategic and operational actions, related to gender, ranging from strengthening the presence of women in the technology and innovation ecosystems to adapting the Project's adherence forms so that concrete information is collected about the benefited women or those who compete for the benefits and local projects. In this sense, it is also emphasized the importance of the Project management team in the field to internally adopt a culture of respect and promotion of gender equity.

The ESIA process ensured stakeholder consultation and engagement using a gender approach, with equitable involvement of representatives of the most vulnerable and marginalized groups, including women, enabling their active and equitable participation and their interests, concerns and perspectives were taken into account. In the 12 initial dialogues about the Floresta+ Amazônia Pilot Project, carried out by IDAD/IA in the Legal Amazon States, between March 8 and April 13, 2021, 42% of the participants were women. In turn, during the Preparatory Webinars of the Floresta+ Amazônia Pilot Project, held between April 27 and 30, 2021, of the 16 debaters present, 8 were women and 8 were men. Finally, in

the 5 Participatory Workshops with mobilizing organizations in the States of the Legal Amazon, between May 11 and 26, 2021, around 150 people participated, distributed as 43% of women and 57% of men.

### 3.3.1 Summary of Gender Assessment

Over the past two decades, Brazil has made important strides in promoting gender equality by taking concrete steps to promote and more comprehensively integrate gender equality into the public policy-making agenda and have made substantial advances particularly in areas such as education and health, as well as on the condition of equality before the law. Progress has been weaker, however, in other areas (see Figure 3-4) and hide many racial and territorial disparities<sup>2</sup>.

	Participação na Força de Trabalho	Horas diárias Trabalho não remunerado	Vereadores eleitos	Cargos gerenciais	Estabelecimentos Agropecuários	Produtores Cooperados
M	55%	11,8	16%	37%	19%	8%
H	74%	5,3	84%	63%	81%	92%

Figure 3-4. Synthesis of gender indicators in Brazil. Source: the authors, based on: IBGE (2017, 2019 and 2021).

In general, it is considered that the Floresta+ Pilot Project can generate economic, social, cultural and environmental benefits for women by improving their quality of life, by valuing their economic activities and increasing available income, enabling and supporting women's access to public notices and strengthening women's movements (all Modalities), as well as including specific criteria to contemplate women's participation and the engagement of women's organizations (Modalities 3 and 4).

It is considered that the project will have difficulty accounting for the entire diversity of gender context problems, which may increase the risks identified in the ESMF (Risk 2), associated with the reproduction of discrimination against women, in relation to access to opportunities and benefits arising from the Project. But, globally, the implementation of the Floresta+ Pilot Project is perceived as potentially positive for the promotion of a distribution of social and economic benefits, with regard to the participation of women, as long as some assumptions are assured and actions are taken that reduce the context problems identified in the territory. So that the Floresta+ Pilot Project does not potentially limit the ability of women to use, develop and protect natural resources, this ESMP outlines actions and measures that undertake efforts to mitigate these risks and maximize the benefits.

The gender assessment, carried out through document analysis and the ESIA process, resulted, in summary, in the concerns that are highlighted below:

- Identification of gender inequalities and the challenges and risks faced by women and other marginalized groups in Brazil, around thematic areas of relevance for an effective implementation of the Floresta+ Amazônia Pilot Project. Inequalities have been felt in the **areas of acting and decision making** (the ability to make decisions and take control of life projects) and **political empowerment** (low percentage in managerial positions (37.4%) or in public life as councilors ( 16%)), **economic opportunities and participation in the labor force** (with a lower rate of participation of women in the labor force and with a greater number of daily hours in unpaid work dedicated to caring for people and/or household chores), in **access to banking services** (notoriously more vulnerable and marginalized strata of the population, such as

<sup>2</sup> Data taken from the Agricultural Census (IBGW, 2017); Ongoing Household Sample Survey. Special Disclosure Women in the Labor Market (IBGE, 2019) and Gender Statistics Women's social indicators in Brazil, 2nd Edition (IBGE, 2021).

women, youth, indigenous and traditional populations, have less access and greater barriers), **land tenure** (as seen above), **participation in science and research and development activities** (where the presence of women in the innovation and information technology sectors is still small). Furthermore, advances often mask racial or geographical disparities in all dimensions of gender equality;

- Identification of gender gaps and inequalities in the **land tenure system** in Brazil (female land tenure remains very low), in the **management of rural Family Farming establishments**, and in specialized **technical assistance** and **incentives for environmental services**, where the role of women in the management and conservation of natural resources, in the social organization of the territory and in the transmission of ancestral knowledge is fundamental;
- Identification of gaps and entry points and opportunities to be strengthened to integrate more broadly a gender perspective in the **Project Operating Manual** (MOP1.2-July 2021). It is positive that the MOP (MOP1.2-July 2021), in **Modalities 1 and 2**, considers as a criterion for prioritizing beneficiaries to be the female owner or squatter of a rural property. However, it is to be noted, that the ESMP proposes to reduce the target from 40% (as established in the Preliminary Gender Action Plan, document “annex 6b” that integrates the ESMF version September 13, 2018) to 30% of balance of payment distribution among women and men, female owners or squatters to be benefited. This is due to the findings of the ESIA and ESMP process around land ownership and baseline conditions. The challenge of repairing gender inequality in the Amazon region is understood, as it is throughout the world, but the importance of having objectives and targets closer to the real proportion of women and men in the total population of the territories is reaffirmed when implementing a project with socio-environmental ambitions as innovative as Floresta+ Amazônia, even more in its pilot experience. For **Modality 3**, the MOP (MOP1.2-July 2021) considers as a prioritization criterion the communities, organizations or associations that represent the PIPCT which have women and youth in leadership and decision-making positions and/or as direct beneficiaries, referring to the adoption of strategies to identify, engage and benefit women residing in the project's priority regions. Finally, in **Modality 4**, the MOP (MOP 1.2-July 2021) does not define any gender-related eligibility criteria for the selection of Implementing Partners and only defines a gender eligibility criteria for participants in innovation challenges and Floresta+ programming marathons, Axis 1 (commit to providing the information necessary for the monitoring and accountability of the supported initiatives, considering demonstrating evidence in the implementation of actions to promote gender equality), leaving out the remaining Axis 2 and Axis 3, which do not have any specific criteria associated with gender;
- Identification of sectors and thematic areas of particular relevance in which gender-sensitive actions can catalyze **positive transformational change** for marginalized groups, such as women and youth, namely in land ownership and in the **CAR registration process** or **participation in the steps of the Public Call Notice** (Modalities 1 and 2), in guaranteeing the **participation of women** and in **the definition of clear criteria** (Modality 3), in accessing areas of knowledge related to the exact sciences, engineering or computing and information technologies, for example, as well as in supporting **entrepreneurship, business training** and **participation in the institutional environment of technology and innovation** (Modality 4).

### 3.3.2 Gender-Specific Legislation and Political-Institutional Framework

From a normative point of view, both international and national, the main documents that constitute the normative basis, international and national, for the promotion of gender equality are listed (Table 3-2), main national policies, plans and programs (Table 3-3) and key national institutions for promoting gender equality (Table 3-4).

Table 3-2. Main documents that constitute the normative basis, international and national, for the promotion of gender equality

<b>MAIN INTERNATIONAL PROTOCOLS AND LANDMARKS RATIFIED BY BRAZIL</b>	
Universal Declaration of Human Rights International Covenant on Civil and Political Rights and optional protocols International Covenant on Economic, Social and Cultural Rights and optional protocol Convention on the Elimination of All Forms of Discrimination against Women and Optional Protocol Inter-American Convention to Prevent, Punish and Eradicate Violence against Women "Convention of Belém do Pará" International Convention on the Elimination of All Forms of Racial Discrimination 2030 Agenda, with its Sustainable Development Goal SDG5 – Gender Equality	
<b>FEDERAL CONSTITUTION AND NATIONAL LEGISLATION</b>	
Brazilian constitution	Article 3 of the Brazilian Constitution declares that the fundamental objectives of the Federative Republic of Brazil are: 1) to build a free, fair and solidary society; 2) ensure national development; 3) eradicate poverty and marginalization and reduce social and regional inequalities; and 4) promote the good of all, without prejudice based on origin, race, sex, color, age and any other forms of discrimination. Articles 5, 225 and 231
Labor laws	Article 1 of the Consolidation of Labor Laws (CLT) of Brazil establishes that it is prohibited to adopt discriminatory practices and with the objective of limiting access to the employment relationship or its maintenance based on sex, origin, race, color, marital status, status family or age, except in cases of child protection provided for in paragraph XXXIII of art. 7 of the Federal Constitution.
Law No. 13,112/2015, of March 30, 2015.	Allows the woman, under equal conditions, to register the birth of her child.
"Femicide Law" - Law No. 13,104/2015, of March 9, 2015.	Imposes harsher penalties for those who attack or kill women or girls because of their gender.
"Maria da Penha Law" – Law No. 11,340/2006, of August 7, 20)	Aims to reduce domestic violence against women. The law speeds up court orders in cases of domestic violence, in addition to imposing more severe penalties on aggressors.

Source: prepared by the authors.

Table 3-3. Main national policies, plans and programs for the promotion of gender equality in Brazil.

<b>NATIONAL POLICIES, PLANS AND PROGRAMS</b>	
National Plan to Combat Femicide - PNEF	Set of actions and goals intended to implement integrated and articulated public policies throughout the national territory.
Safe and Protected Women Program (Instituted by Decree No. 8,086, of August 30, 2013, and amended by Decree No. 10,112 of November 12, 2019)	To integrate and expand existing public services aimed at women in situations of violence, through the articulation of specialized care in the areas of health, justice, the social assistance network and the promotion of financial autonomy.
Pilot Project Qualifica Mulher (established by Ordinance No. 3175, of December 10, 2020, and amended by Ordinance No. 595, of February 19, 2021)	Purpose of encouraging actions that promote women's economic autonomy in contributing to the country's economic and social development. The project aims to form a network of partnerships with federal, state, district and municipal public authorities, private entities and institutions, to promote actions of professional qualification, work and entrepreneurship, to generate employment and income for women in situations of social vulnerability.

NATIONAL POLICIES, PLANS AND PROGRAMS	
Project More Women in Power (Instituted by Ordinance 2027, of August 26, 2020)	Awareness strategy on the political participation of women in elective, power and decision-making positions, as well as the full exercise of representative and participatory democracy, whose target audience is pre-candidate women and women interested in knowing and participating more actively in the Brazilian political environment
The "Girls in Exact Sciences, Engineering and Computing" Program	Results from a partnership signed between the National Secretariat for Policies for Women, the Secretariat of Basic Education of the Ministry of Education and the Ministry of Science, Technology, Innovation and Communications, to combat dropout, which occurs mainly in the early years, of female students of undergraduate courses in these areas.
Permanent National Forum to Combat Violence against Rural and Forest Women and State Forums	Discusses, formulates and implements public policies to combat violence against women living in the countryside and in the forest. Composed of government and civil society representatives, the State Forums to Combat Violence against Women in the Countryside and Forest, created in 2013, promote joint action in the fight against violence against women, in light of national guidelines, considering local and regional specificities.

Fonte: elaborado pelos autores.

Table 3-4. Main national institutions for the promotion of gender equality in Brazil.

MAIN INSTITUTIONS	
National Secretariat of Policies for Women (SNPM) of the Ministry of Women, Family and Human Rights (MMFDH)	Responsible for the formulation, coordination and articulation of national public policies for women.
The National Council for Women's Rights (CNDM)	Integrates the structure of the MMFDH and has as one of its important duties to support the SNPM. It formulates guidelines for the promotion of women's rights and implements gender-related policies, in articulation with various institutions of the Federal Public Administration and with civil society.

Source: elaborated by the authors.

### 3.4 INDIGENOUS PEOPLES AND TRADITIONAL PEOPLES AND COMMUNITIES

The Environmental and Social Management Plan must meet the demands of Indigenous Peoples and Traditional Peoples and Communities (PIPCT), recognizing their cultural and traditional diversity to implement Payment for Environmental Services.

The diversity of indigenous peoples and traditional peoples and communities is represented through their multiple identities, traditions, languages, ethnicities, cultures, productive organizations, social organizations, territorialities, among others. On the one hand, this diversity of PIPCT poses a great challenge for public management to implement and consolidate specific and differentiated policies that can meet the different realities of this segment (Cerqueira, 2015). On the other hand, it reaffirms its importance in providing what is currently called environmental or ecosystem services, and while its forms of conservation and management of resources have historically been undervalued.

In this context, the recognition of indigenous peoples as providers of environmental services is explained in the text of the National Policy for Environmental and Territorial Management in Indigenous Lands (PNGATI): "Guideline XII - recognition of indigenous peoples related to environmental services in terms of protection, conservation, recovery and sustainable use of the natural resources they promote on their lands" (FUNAI, 2015)<sup>3</sup>.

Traditional peoples and communities, on the other hand, were officially recognized by the Federal Government by the National Policy for the Sustainable Development of Traditional Peoples and

<sup>3</sup> FUNDAÇÃO NACIONAL DO ÍNDIO; DIRETORIA DE PROTEÇÃO TERRITORIAL; COORDENAÇÃO GERAL DE MONITORAMENTO TERRITORIAL; GIZ (Orgs.). Serviços ambientais: o papel das terras indígenas: Programa de Capacitação em Proteção Territorial. – Brasília:FUNAI/GIZ, 2015.

Communities (PNPCT), instituted in 2007 with 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 in the territorial, social, environmental, economic and cultural spheres, as well as their recognition, with respect and appreciation of their identities, forms of organization and institutions. This is the main policy guiding the recognition and respect for safeguards relevant to the territories of traditional peoples and communities, thus contributing to the implementation of the Floresta+ pilot program and to the continuation of ENREDD+ activities.

In fact, any discussion about payment for environmental services in the Legal Amazon places PIPCT as beneficiaries of such payments. It has been proven that indigenous lands are providers of environmental services and, in this way, the Floresta+ Amazônia Pilot Project will fund collective projects for PIPCT to preserve their forests for providing the environmental services that are used by all.

Thinking about ways and alternatives for managing indigenous lands and collective territories of traditional peoples and communities is of fundamental importance for the PIPCT to achieve autonomy. In this perspective, the Floresta+ Amazônia Pilot Project is perceived as promoting the strengthening of traditional communities, with the recognition of cultural diversity and specific forms of cultural, social, religious, ancestral and economic reproduction, occupying and using their traditional territories.

In this sense, the Environmental and Social Management Plan intends to be an instrument that prevents possible risks arising from the implementation of the Floresta+ Amazônia Pilot Project in Indigenous Lands and other collective territories of traditional peoples and communities.

### 3.4.1 Area of Coverage and Description of Indigenous Peoples and Traditional Peoples and Communities

#### 3.4.1.1 Indigenous Peoples

In the Legal Amazon there are 430 indigenous lands at different stages of the demarcation process. It can be observed 337 indigenous lands that are homologated/regularized and 84 territories that are in the demarcating process of studies, delimitations, declaration of areas not yet finalized and consequently not homologated<sup>4</sup>.

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<sup>4</sup> Available from: <http://www.funai.gov.br/index.php/indios-no-brasil/terras-indigenas>. Accessed on: 01/06/2021. See also <https://www.gov.br/funai/pt-br/atuacao/terras-indigenas/demarcacao-de-terras-indigenas>

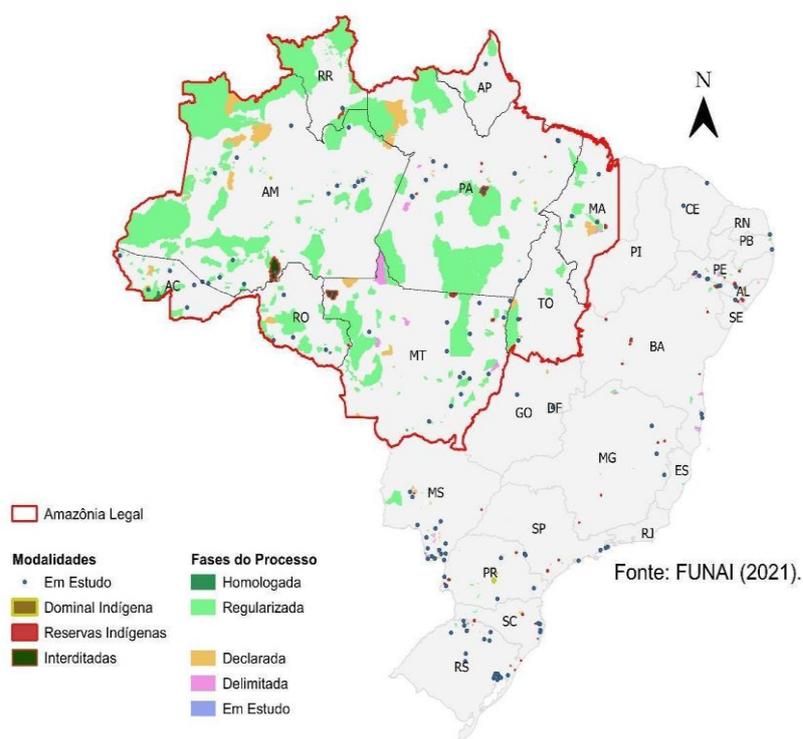


Figure 3-5. Demarcation of Indigenous Lands in the Legal Amazon.

Table 3-5 shows that, for the most part, indigenous lands in the Legal Amazon are homologated and/or regularized, distributed over a total surface of approximately 131 million hectares. It is noteworthy that the largest areas approved and/or regularized are in the states of Amazonas and Pará, distributed in 169 indigenous lands, with 44,531,934 hectares (34%) in Amazonas and 30,414,232 hectares (23%) in Pará.

Table 3-5. Indigenous Land titling processes.

Process Phase	Indigenous Lands	Area (ha)
Under study	47	886,754
Delimited	12	1,375.821
Declared	25	10,333,636
Homologated	12	1,910,407
Regularized	325	128,441,959
Indigenous reserve	9	25,099

Source: FUNAI, 2021.

When evaluating the amount of non-approved indigenous lands, 47 indigenous lands are still under study phase, with no estimate of territorial delimitation. As can be seen in Table 3-6, most are in the states of Amazonas, Mato Grosso and Pará. Some of these indigenous lands are restricted in use because they are territories of isolated indigenous peoples<sup>5</sup>. According to the Oswaldo Cruz Foundation (Fiocruz), on the border between the states of Amazonas, Rondônia, Mato Grosso and Pará, there are traces of the existence of isolated groups who need to have their territories demarcated. Paradoxically, the region is characterized by disorderly occupation of the land, illegal occupation of public lands, intensive deforestation and the incipient presence of the State<sup>6</sup>.

<sup>5</sup> Available from: [http://sii.funai.gov.br/funai\\_sii/informacoes\\_indigenas/visao/visao\\_terras\\_indigenas.wsp](http://sii.funai.gov.br/funai_sii/informacoes_indigenas/visao/visao_terras_indigenas.wsp). Accessed on: 01/06/2021.

<sup>6</sup> Available from: <http://mapadeconflitos.ensp.fiocruz.br/conflito/mt-funai-ministerio-publico-e-policia-federal-dao-bom-exemplo-na-defesa-do-povo-kawashiva-ameacado-de-extincao-pela-acao-de-grileiros-e-madeireiros/>. Accessed on: 01/06/2021.

Table 3-6. Indigenous Land under Study in the Legal Amazon. Source: Funai, 2021

State	Indigenous Lands	Area (ha)
Amazonas	13	453,400
Acre	5	287
Roraima	1	40,095
Rondônia	4	8,070
Mato Grosso	9	242,500
Pará	11	142,402
Maranhão	2	0
Tocantins	2	0

According to Table 3-7, 84 indigenous lands are in the process of studies, delimitation and declaration, totaling more than 11 million hectares. Indigenous lands are known to ensure the permanence of the forest, the protection of biodiversity and climate balance (Nery, 2013). However, as they are not regularized, indigenous lands are invaded to build farms, raise cattle and illegally exploit wood, as well as increasing conflicts and violations of land rights. One of the risks for indigenous peoples concerns the legal frameworks for environmental regularization in the country, which allowed the registration of rural properties in the CAR with dimensions larger than the real ones and the overlapping of areas of properties and possessions, with conservation units, rural settlements and areas of indigenous peoples and traditional communities.

Table 3-7. Delimitation of Indigenous Lands. Source: Funai, 2021.

State	Process Phase	Number	Area (ha)
Amazonas	Delimited	3	41,623.29
	Declared	12	9,465,025.07
Acre	Declared	1	20,534.22
Mato Grosso	Delimited	4	1,179,662-00
	Declared	6	602,052-72
Pará	Delimited	4	54,315.17
	Declared	4	39,558.00
Maranhão	Delimited	1	100,221.00
Tocantins	Declared	2	206,466.00

The Legal Amazon has 383,683 self-declared indigenous people (IBGE, 2010), many of whom live in precarious conditions (see Table 3-8). It is estimated that indigenous peoples living in the Legal Amazon correspond to 46.9% of the country's indigenous population, with the state of Amazonas concentrating 44% of the indigenous population (IBGE, 2010).

Table 3-8. Distribution of Indigenous Population by State (2010). Source: IBGE, Demographic Census 2010.

Legal Amazon	Total Population	%
Amazonas	168,680	44.0%
Roraima	49,637	12.9%
Mato Grosso	42,538	11.1%
Pará	39,081	10.2%
Maranhão	35,272	9.2%
Acre	15,921	4.1%
Tocantins	13,131	3.4%
Rondônia	12,015	3.1%
Amapá	7,408	1.9%

<b>Indigenous peoples in the Legal Amazon</b>	<b>383,683</b>	100.0%
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The 2010 Census revealed that indigenous peoples are present in both rural and urban areas. It is noteworthy that 81% of the indigenous peoples of the Legal Amazon are living in rural areas. Figure I-2 shows that the highest percentage of indigenous peoples living in communities (villages) are in the states of Amazonas and Roraima.

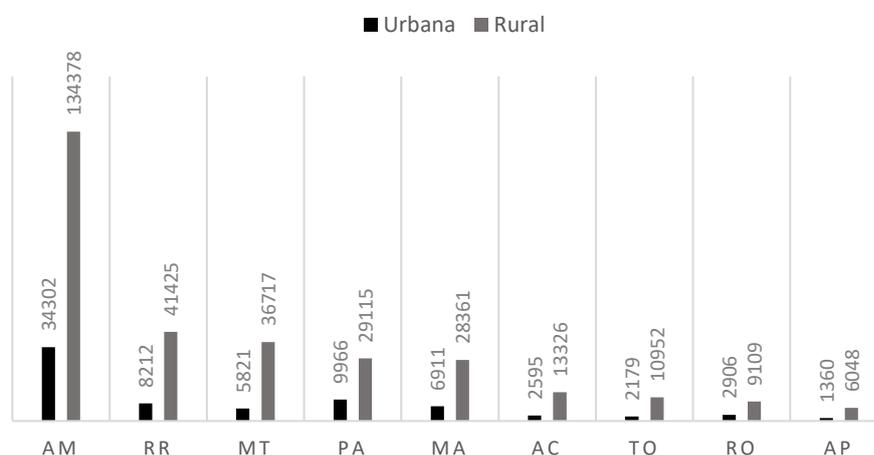


Figure 3-6. Distribution of the indigenous population in rural and urban areas (2010). Source: IBGE, Demographic Census 2010.

In relation to the municipalities with the largest indigenous populations (see Table 3-9), the state of Amazonas stands out with 7 municipalities. In second place, Roraima with 2 municipalities and in third place Mato Grosso, with 1 municipality. The municipalities of São Gabriel da Cachoeira in Amazonas and Uiramutã in Roraima stand out with the largest indigenous population when compared to the general population.

Table 3-9. Municipalities with the largest indigenous populations in the Legal Amazon (2010). Source: IBGE, Demographic Census 2010.

Municipalities with the largest indigenous populations		Rural
Amazonas	São Gabriel da Cachoeira	18,001
	Tabatinga	14,036
	São Paulo de Olivença	12,752
	Benjamin Constant	8,704
	Santa Isabel do Rio Negro	8,584
	Barcelos	6,997
	Atalaia do Norte	5,840
Mato Grosso	Campinápolis	7,589
Roraima	Alto Alegre	7,457
	Uiramutã	6,734

### 3.4.1.2 Traditional Peoples and Communities

It is estimated that about 4.5 million people are part of the Traditional Peoples and Communities of Brazil, representing about 25% of the national territory. In the Legal Amazon, traditional peoples and communities are also highly diverse and have historical ties with territories that are fundamental to their culture and economy, both in terms of social organization and spirituality, as well as their identity. Within traditionally occupied territories, there is a diversity of identities related to forms of social

organization and their different institutions. Indigenous peoples, sertanejos, quilombolas, artisanal fishermen, gypsies and pantaneiros, in addition to several other traditional Brazilian peoples and communities, are living in Quilombola Territories and Conservation Units of Integral Protection and Sustainable Use.

Since 2000, the number and extension of Conservation Units has doubled. Most of the new protected areas have been created in the Legal Amazon biome, resulting from the mobilization of extractivists and the government's strategy to combat the advance of deforestation (Figure 3-7).

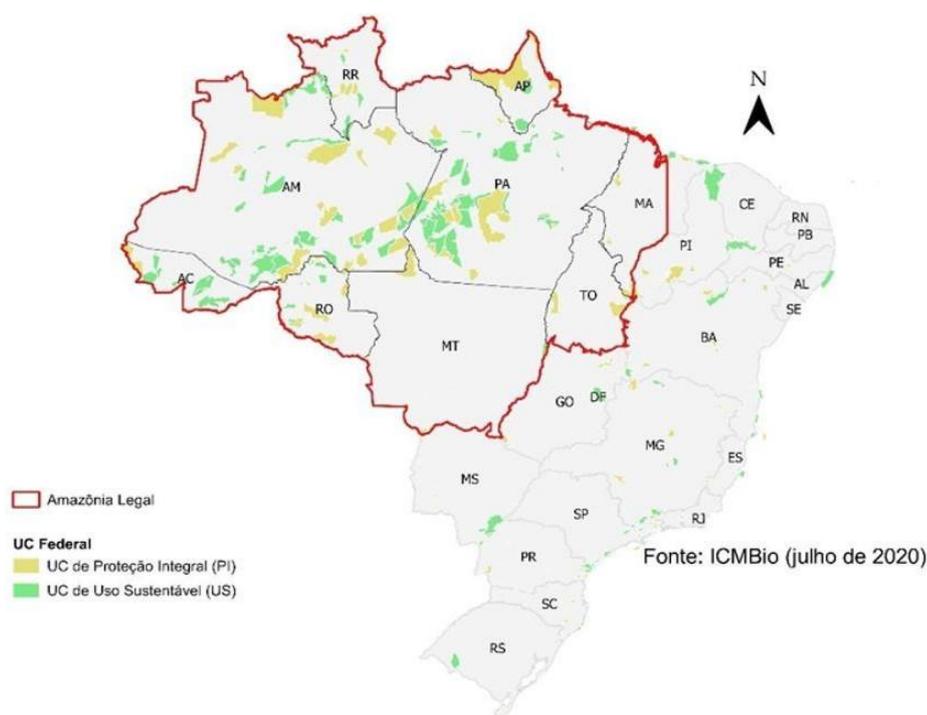


Figure 3-7 Map of Federal Conservation Units for Integral Protection and Sustainable Use.

In 2019, there were 128 Federal Conservation Units in the Legal Amazon, totaling about 64.1 million hectares, corresponding to 15.3% (Table 3-10).

Table 3-10 Categories of (UC) in the Legal Amazon. Source: ICMBio, 2021.

UC Categories in the Amazon Biome	Area (ha)	Number of Federal UC
Environmental Protection Area	2,216,026.34	3
Area of Relevant Ecological Interest	18,931.16	3
Ecological Station	6,124,356.27	10
National Forest	17,717,251.37	34
National Park	21,411,309.46	21
Biological Reserve	3,997,280.72	10
Sustainable Development Reserve	64,442.18	1
Extractivist reserve	12,594,017.75	46

Within conservation units, extractivists are fundamental to forest conservation and federal and state

legislation must guarantee opportunities for local communities to manage natural resources in a sustainable manner. This category includes Extractivist Reserves (RESEX), National Forests (FLONAs), State Forests (FLOTAs) and Sustainable Development Reserves (RDS) (Figure 3-8).

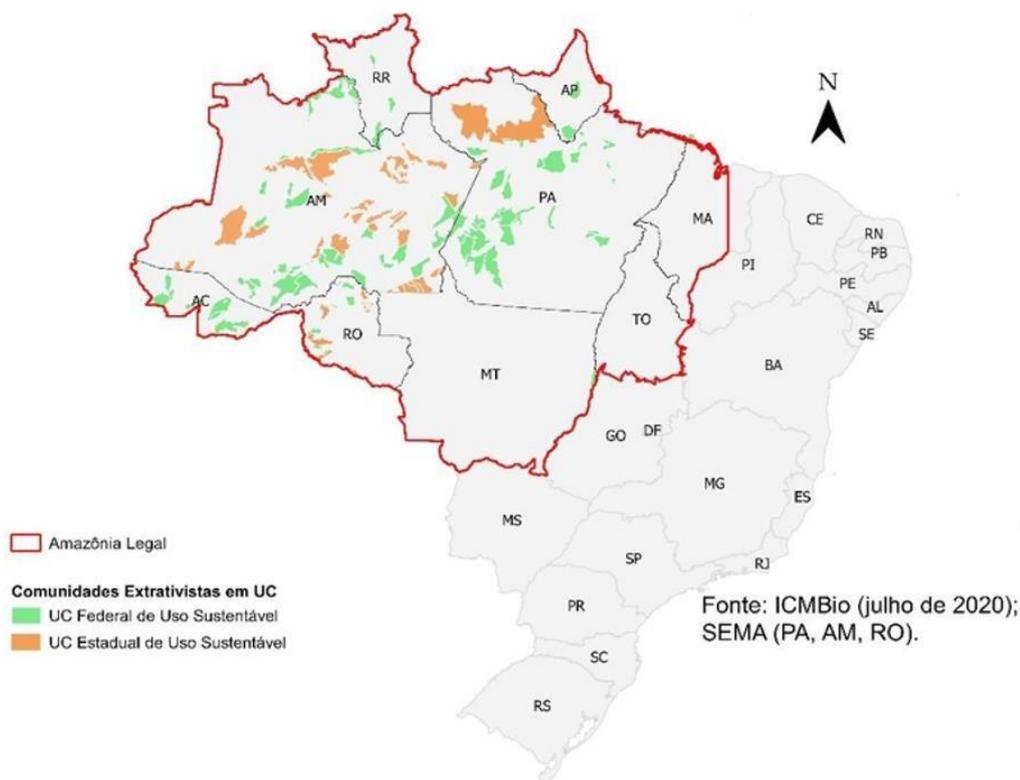


Figure 3-8 Map of Extractivist Communities in Conservation Units in the Legal Amazon

In 2019, ICMBio carried out a census survey of extractivist communities residing in Federal Sustainable Use Conservation Units, in particular Extractivist Reserves (RESEX), National Forests (FLONA) and Sustainable Development Reserves (RDS), in which 56,903 families were registered, totaling 300 thousand people and an area of 21.8 million hectares (Table 3-11).

Table 3-11 Categories of (UC) in relation to extractivist communities in the Legal Amazon, in 2019.

Category by State	UC Area (ha)	Number of families surveyed
Acre	3,129,361.47	4005
FLONA	429,052.05	32
RESEX	2,700,309.42	3973
Amazonas	9,043,920.71	4162
FLONA	5,504,545.71	1811
RESEX	3,539,375.00	2351
Amapá	992,763.65	1412
FLONA	460,359.14	71
RESEX	532,404.51	1341
Maranhão	681,047.78	4580
RESEX	681,047.78	4580
Pará	7,042,483.48	29850
FLONA	2,422,980.91	1532
RDS	64,442.18	305

Category by State	UC Area (ha)	Number of families surveyed
RESEX	4,555,060.40	28013
Rondônia	879,896.74	562
FLONA	443,335.65	181
RESEX	436,561.10	381
Tocantins	9,070.60	235
RESEX	9,070.60	235
<b>Global Total</b>	<b>21.,778,544.45</b>	<b>44,806</b>

Source: ICMBio, July 2019..

Regarding the quilombola territories, the data were obtained from the systematization of official information from three institutions, two of which are governmental and a civil society organization that provide updated data, but in different ways, making it difficult to standardize<sup>7</sup>. In the Legal Amazon, there are 960 quilombola territories in the process of land title regularization by INCRA. Only the states of Maranhão and Pará account for 83% of the total demand (Figure 3-9).

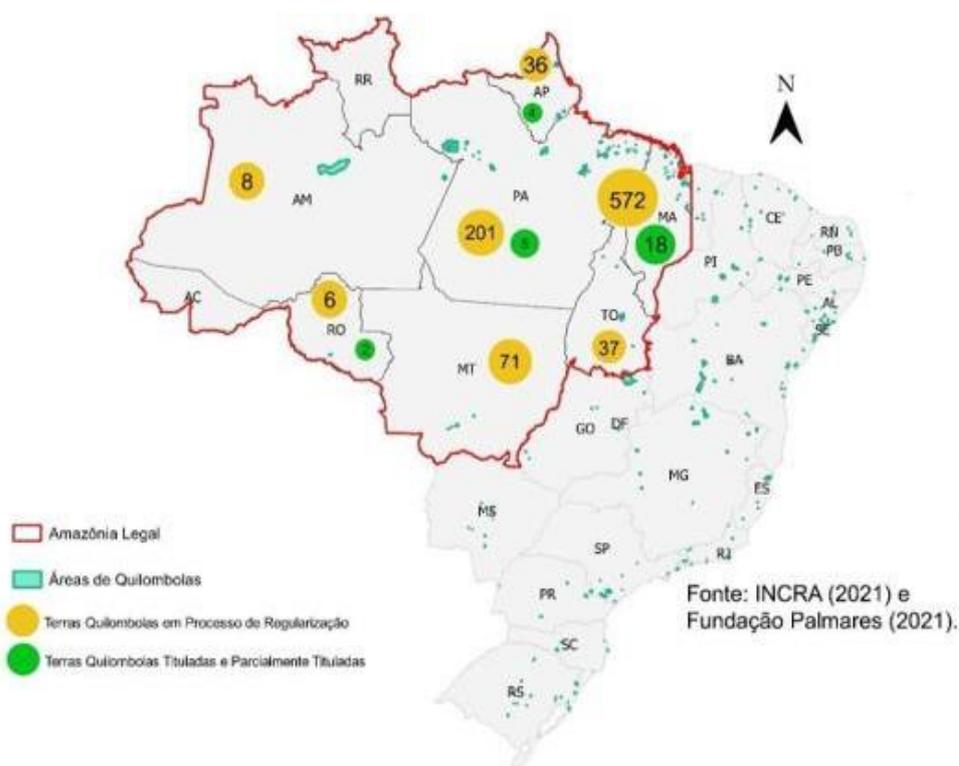


Figure 3-9 Map of Stages of Land Regularization Processes of Quilombola Communities in the Legal Amazon

According to the data collected, the states of Rondônia and Amazonas have the smallest numbers of the total land in the land regularization process. Of the total, 97.3% are in identification and only 2.7% were titled. The titled quilombola territories are found in the states of Maranhão, Pará, Amapá and

<sup>7</sup> The INCRA database provides the data available in xls and shp formats and has a January 2019 update (INCRA-DFQ). In the case of the Fundação Cultural Palmares (FCP), the certificates issued to the remaining quilombo communities (CRQs) have an update published in DOU of 22/04/2021 and in the Observatório Terras Quilombolas, in the database of the Comissão Pró-Índio de São Paulo (CPI-SP) presents the results of the monitoring of the regularization processes of quilombola lands, updated in March 2021.

Rondônia. The states of Acre and Roraima do not have territories in the process of regularization. Most of the processes focus on the certification stage with Fundação Palmares (Table 5-24). It appears that a problematic issue faced by quilombola communities is the slowness in completing their regularization processes, delaying the construction of collective projects and the promotion of ethno-development in these territories.

Table 3-12 Number of quilombola communities by state in the Legal Amazon registered in official government databases.

State	Proc. of Regularization Opened by INCRA	Certificate of Registration of Fund. Palmares	Technical Identification and Delimitation Report (RTID) by INCRA	Recognition Ordinance by INCRA	Decree DOU	Partial Title	Titled	Total	% of Quilombola Lands in Identification
AM		2	6			0	0	8	100.0
AP	6	22	8			0	4	40	90.0
MA		549	14	3	6	3	15	590	97.5
MT		69	1		1	0	0	71	100.0
PA		186	6	4	5	0	5	206	97.6
RO		3	3			0	2	8	75.0
TO	1	25	8	1	2	0	0	37	100.0

Source: [http://www.palmares.gov.br/?page\\_id=37551](http://www.palmares.gov.br/?page_id=37551)

Source: [https://antigo.incra.gov.br/media/docs/quilombolas/andamento\\_processos.pdf](https://antigo.incra.gov.br/media/docs/quilombolas/andamento_processos.pdf)

Source: <https://cpisp.org.br/direitosquilombolas/observatorio-terras-quilombolas/>

Maranhão and Pará have the largest number of quilombola communities that claim land rights over their lands. The largest destined areas in hectares are in cities in the states of Pará and Amazonas. The largest number of families residing in these territories are from Pará and Maranhão. Rondônia reported the lowest number of people residing in these areas. The database for defining the quantity of families and surface area is incomplete, underestimating the data and pointing to a more expressive number than reported by INCRA, updated in January 2019 (Table 3-13).

Table 3-13 Number of quilombola communities by state in the Legal Amazon registered in official government databases.

State	Number of community (n)	Number of families Informed	Area (ha) Informed
PA	206	11,395	1,153,661.44
AM	8	575	747,696.80
MA	590	7805	163,117.27
TO	38	635	130,683.03
RO	8	100	94,902.43
AP	40	366	57,775.45
MT	71	556	20,457.57

Source: [https://antigo.incra.gov.br/media/docs/quilombolas/andamento\\_processos.pdf](https://antigo.incra.gov.br/media/docs/quilombolas/andamento_processos.pdf)

### 3.4.2 Summary of the Assessment on Indigenous Peoples and Traditional Peoples and Communities

In general, it is considered that the project will generate economic, social, cultural and environmental benefits for indigenous peoples and traditional peoples and communities with improved quality of life and opportunities with the promotion of sustainable production (strengthening extractivist activities,

introduction of new technologies and tourism), protection of the forest, reducing the food deficit and territorial conflicts, through the promotion of partnerships among other organizations, the strengthening of PIPCT, as well as the effective protection of their territorial rights.

The implementation of the Floresta+ Pilot Project is perceived as promoting the strengthening of traditional communities, which can generate an equitable distribution of social and economic benefits in a culturally appropriate manner, regarding the participation of women and the sustainable use of natural resources in indigenous lands and other collective territories of PCT.

Another positive impact concerns the strengthening of organizations representing PIPCT with participation and protagonism in all stages of the Floresta+ Amazônia Pilot Project. In this case, participants identified as a positive impact the collaborative participation of institutions representing PIPCT in the design and implementation of local projects.

There was a great diversity of PIPCT, in relation to the candidacies and selection of collective projects. There is a lack of a characterization of the forms of social, political and economic organization of PIPCT, including formally constituted organizations and/or associations.

It is considered that the project may find it difficult to consider the diversity of PIPCT and their representative organizations, which could increase the negative impacts on the Free, Prior and Informed Consultation (FPIC) process, regarding the actions that affect them. The most recent version of the MOP (2.0) considers an option to implement a call for projects, in which indigenous and traditional communities voluntarily present their proposals, which represents a relevant mitigation measure for the aforementioned risk.

PIPCT collective territories are in regions with difficult access and lack of means of communication, such as the internet. Thus, access to information and knowledge about the Floresta+ Amazônia Pilot Project is compromised. As mentioned in the participatory workshops, access to the internet and WhatsApp only works at municipal headquarters, and this fact may make it impossible to access the Call Notice and the mobilization of partner entities of these organizations.

The environmental and social impact assessment identified that a part of the institutions representing PIPCT is in default.

The main risks highlighted in the participatory workshops were the lack of project continuity; there are no clear criteria for women's participation; commodification of forests, low participation of PIPCT in project governance due to the lack of recognition of their role as a protagonist in forest conservation and climate balance.

From the participatory process, it stands out that some consider that the project has a unidirectional and vertical model, implemented by the Brazilian State to persuade and convince indigenous peoples to adopt the ideas and points of view of being just a project with the purpose of commodifying the forests. In the perceptions of representatives of PIPCT institutions, this problem may be accentuated if there is no commitment to carry out FPIC, since Decree No. 5,051/2004 that enacted Convention 169 has provisions that support these instruments.

For the PIPCT, it is important to complete and recognize collective territories that are in the process of land and environmental regularization, this will enable the transfer to community domain of territorial extensions with an interest in the land market, protecting such territories from deforestation.

Another risk that is worth highlighting is the potential lack of commitment in the stages of dialogue with PIPCT about potential PRs, priority areas and support needs, resulting in a great cultural impact due to the diversity of beneficiaries included in Modality 3.

In the dialogues with representatives of indigenous peoples, the concern emerged that the Floresta+ Pilot Project needed to adjust the distribution of financial resources between the modalities, since indigenous peoples as the main providers of environmental services in the Legal Amazon will

consequently receive the lowest value. Initially, attention was tentatively focused on the fact that the total value attributed to Modalities 1 and 2 is significantly higher than the value reserved for Modality 3, which may reveal injustice to the true historical forest caretakers. The focus of the representatives' concern was to discuss the possibility of implementing an alternative proposal for the distribution of value between the modalities in a more equitable manner, which considers the importance of indigenous lands in the conservation of native forest.

In the discussion of representatives of traditional peoples and communities, the concern was similar in relation to the lower value for Modality 3, as it is a broad and diversified audience in terms of the conservation strategy for these territories and the balance of the climate. In this sense, the question raised by the representatives was how the project intends to work more broadly with this audience, since within the project there is only a small percentage of resources for Modality 3.

Regarding the consultation process, representatives of traditional peoples and communities questioned the form of consultation through appropriate procedures at this time of pandemic, as these processes must be clear, their stages well defined and what types of benefits these populations will receive and how to ensure that access to resources does not create differences and conflicts within this Modality 3 audience.

Seeking to continue with the reflection on issues related to the diversity of PIPCT in the Legal Amazon, the concern was raised that this segment has distinct dynamics of environmental and productive knowledge. Thus, the concern of indigenous peoples to be sharing the same resources with the cultural diversity of traditional peoples and communities. This reflection was made in the sense that the entities representing the indigenous peoples have problems with defaults, making their participation as beneficiaries of resources unfeasible.

In this perspective, the Floresta+ Amazon Pilot Project is perceived as promoting the strengthening of indigenous peoples, with the recognition of cultural diversity and specific forms of cultural, social, religious, ancestral and economic reproduction, occupying and using their traditional territories. There should be a Modality specifically dedicated to Indigenous Peoples, separating them from Traditional Peoples and Communities. This situation can be explained by the fact that the project will need to know and discuss the selection criteria for collective projects, with the participation of indigenous peoples. The project will need to have a dialogue and increase participation, including prior consultation with indigenous peoples. These peculiarities make the conditions of indigenous peoples different from traditional peoples and communities.

The possibility of directly paying the communities can cause greater social risks, seen during the first dialogues with the representative organizations in the process of building the ESIA. It also goes against the strategy of PNGATI and PNPCT, weakening the proposals for implementing the Territorial and Environmental Management Plans for Indigenous Lands and the Sustainable Development Plans for Traditional Peoples and Communities.

Upon individual receipt, there would be no guarantee that the resource would be applied for purposes that do not result in deforestation or that result in conservation actions, as individuals would be free to choose where to spend the money. There are previous experiences that individual payment generates conflicts between beneficiaries and non-beneficiaries of the same group/territory, posing a risk to the integrity of these groups. The implementation, control and monitoring of these individual payments would represent greater difficulties and risks, sometimes even insurmountable, for a good part of the potential beneficiaries, this due to situations such as those that result in the very low banking level among indigenous peoples.

For most PIPCT in their territories, distances and precarious means of mobility and access to payment sites represent an individual and collective cost that would cancel out a good part of the pecuniary benefits of payment. Depending on who is the beneficiary of the benefit, whether the male head of the

domestic group or not, women, the elderly and children are at risk of being excluded from the usufruct of this payment.

The need for intermediation with Responsible Parties was questioned, suggesting that projects should be managed directly by the communities. In general, indigenous peoples of different ethnicities live within the same indigenous land. It is important to consider that indigenous peoples have territorial representative entities, according to the customs, beliefs and traditions of each people. It is specific for these organizations to act at the level of indigenous lands in partnerships with public bodies, institutions and civil society entities. Another aspect was the change in attitude of indigenous peoples towards PNGATI, which has contributed to strengthening the territorial and environmental management of indigenous lands. Part of the initiatives originate in representative territorial entities, which bring together different peoples who live within the same indigenous land. The action of organizations, in this way, is at the same time the possibility of implementing the selected projects within the scope of the indigenous land, as it not only supports different ethnic groups, but seeks to do this by strengthening the territorial and environmental issue. Therefore, Modality 3 must be applied to indigenous land, because it brings together a whole set of ethnic groups and socio-political organizations of indigenous peoples. Any other initiative that focuses on individuals living within the indigenous land requires complex monitoring and a relatively high risk as already mentioned in the individual payment.

Another concern of the representatives of traditional peoples and communities was to understand how the activities proposed by the Floresta+ Pilot Project, which basically supports the restoration and conservation of surplus legal reserve, will generate the necessary results to ensure financial sustainability and how it will attract more investments to the REDD agenda in the Amazon.

And again, the representatives of the PIPCTs point out the need to comply with ILO convention 169, which is the main condition for the PES proposal, as this consultation is essential for the PIPCTs to be able to say, if they really agree with what they want or not in their territories if the consultation is actually enforced.

In summary, the main concerns were as follows:

- The total value attributed to Modalities 1 and 2 is significantly higher than the value reserved for Modality 3, which may reveal injustice towards the true historic forest caretakers;
- There should be a Modality specifically dedicated to Indigenous Peoples, separating them from Traditional Peoples and Communities;
- The need for intermediation with Responsible Parties was questioned, suggesting that projects should be managed directly by the communities;
- The question was also raised as to whether Modality 3 applies to indigenous lands or to people living within these territories.

### 3.4.3 Specific Legislation for Indigenous Peoples and Traditional Peoples and Communities

#### 3.4.3.1 Indigenous Peoples

The Federal Constitution of 1988 (CF/88) engendered an important effort in ordering a system of norms that could effectively guarantee the territorial right of indigenous peoples over traditionally occupied lands. The Brazilian State undertakes to “demarcate, protect and ensure respect” for the traditionally occupied lands, through the implementation of various provisions in which they dispose of their territories and cultures.

In this sense, the concept of indigenous land established by the State, through Paragraph 1 of Article 231 (CF/88):

- "Lands traditionally occupied by the Indians, those inhabited by them permanently, those used for their productive activities, those essential to the preservation of environmental

resources necessary for their well-being and those necessary for their physical and cultural reproduction, according to their uses, mores and traditions".

In this way, the CF/88 allowed a move away from the concern with "origin" and "cultural isolation", avoiding the usual confusion between "tradition" and "custom" that linked the sense of traditional to customary law, preventing the freezing of legal practices that would correspond to it (Viegas, 2017, p. 71 apud Almeida, 2006, p. 6). In this sense, the evolutionary precepts of assimilation of indigenous peoples into the dominant society were displaced by the establishment of a new legal relationship between the State and traditional peoples and communities, based on the recognition of cultural and ethnic diversity (Almeida, 2004).

Within this perspective, the issue of the rights of indigenous peoples can be underlined from three important axes: first, the State no longer adopts the purpose of guaranteeing the integration of indigenous peoples into the national community, explicitly recognizing them "their social organization, customs, languages, beliefs and traditions, and the original rights over the lands they traditionally occupy, it being up to the Union to demarcate them, protect and ensure respect for all their assets" (CF/88; Art. 231); second, indigenous people are recognized as having full civil capacity, being able to freely associate in order to represent their interests without the intervention of the indigenous agency; third, the State must guarantee the indigenous peoples permanent possession and exclusive use of the riches of the soil, rivers and lakes of the lands on which they exercise a traditional occupation (Oliveira, 2017).

In this context, the regularization of indigenous lands in Brazil consists of a process coordinated by the National Indian Foundation that includes the identification, delimitation, demarcation, registration and ratification of indigenous lands. This process is regulated by Decree No. 1,755/1996 and Ordinance No. 80, of January 19, 2017, both from the Ministry of Justice and Citizenship.

In relation to the right to use the land and its natural resources, Law 6,001, of December 19, 1973, in what was accepted by the Federal Constitution of 1988, highlights in Art. 24 that:

- "The usufruct guaranteed to Indians or foresters comprises the right to possession, use and perception of natural wealth and all the utilities existing in the occupied lands, as well as the product of the economic exploitation of such natural wealth and utilities".

It is also worth considering the international conventions ratified by the Brazilian State, with emphasis on Convention 169 of the International Labor Organization - ILO promulgated by Decree No. 5,051, of April 19, 2004. Convention 169 is considered the main binding international instrument on human rights of traditional peoples and communities, to guarantee respect for the different forms of social organization and development of their territories. Article 1 of Convention 169 says that it applies:

- "To tribal peoples in independent countries, whose social, cultural and economic conditions distinguish them from other sectors of the national collectivity, and who are totally or partially governed by their own customs or traditions, or by special legislation."

This Convention recognizes the right of indigenous peoples to control their own institutions and ways of life and their economic development, as well as to maintain and strengthen their identities, languages and religions, within the scope of the States where they live:

- "The coordinated and systematic action of the government with a view to protecting the rights of Indians and ensuring respect for their integrity must promote the full effectiveness of the social, economic and cultural rights of these peoples, respecting their social and cultural identity, their customs and traditions, and their institutions (Art. 2, of Decree No. 5,051, April 19, 2004)."

Convention 169 recognizes that cultural diversity also entails a diversified treatment of subjects with specific rights, rights that are called cultural, and linked to: I) the affirmation of an ethnic or cultural

identity; II) self-determination as a people or community; III) participation and consultation, to the extent of their cultural distinction; and IV) to the traditionally occupied territory (Almeida *et al.*, 2013)

Convention 169 founded a new perception of traditional peoples and communities, viewing them no longer as people capable of integration and assimilation into the national society, but as ethnic groups that have traditional lifestyles and a different culture and way of life. According to Dourado (2013), the term indigenous refers to people who fully and partially preserve their own traditions, institutions or lifestyles that distinguish them from the dominant society and who inhabited a specific area before the arrival of other groups. The meaning of tribal in Convention 169 must be considered in a broader sense of the word, involving all social groups that identify themselves as different and that are recognized as such.

For this reason, Convention 169 has been used and appropriated by traditional peoples and communities as the main legal basis for their demands. Within this line of thought, the Convention states that the criterion for saying whether the members of communities are or are not traditional peoples or communities is self-definition. To some extent, Convention 169 has legitimized the acting rationale of social movements in search of respect for the rights of peoples and traditional communities (Filho, 2015).

From a conceptual point of view, Neto (2010) emphasizes that the occupation and use of land and territory is an aspect that is directly related to identity. With specific regard to the territorial right of traditional peoples and communities, Convention No. 169, in its art. 14, attributes the understanding that the rights of interested peoples to the natural resources existing on their lands should be specially protected. These rights encompass the right of these peoples to participate in the use, administration and conservation of the aforementioned resources:

- Interested peoples should be recognized as having property and tenure rights over the lands they traditionally occupy. In addition, where appropriate, measures should be taken to safeguard the right of interested peoples to use land that is not exclusively occupied by them, but to which they have traditionally had access for their traditional and subsistence activities. In this regard, special attention should be given to the situation of nomadic peoples and itinerant farmers.
- Governments should take the necessary steps to determine the lands that interested peoples traditionally occupy and ensure effective protection of their property and tenure rights.
- Appropriate procedures should be instituted within the national legal system to resolve land claims made by interested peoples.

In addition to Convention 169, Brazil ratified the Convention on Biological Diversity; the Convention on the Protection and Promotion of the Diversity of Cultural Expressions (2007); and, the United Nations Declaration on the Rights of Indigenous Peoples, approved by the United Nations General Assembly on September 13, 2007. These are the most important international mechanisms that aim to address the existing inequality between traditional peoples and communities and other citizens (Filho, 1995).

The United Nations Declaration on the Rights of Indigenous Peoples was a historic landmark for the recognition of the rights of indigenous peoples, as it provides, at a universal level, the minimum standards to ensure survival, dignity, well-being and respect for the rights of indigenous peoples. According to the Instituto Socioambiental (ISA), the declaration contains principles such as equal rights, while recognizing the right of all peoples to be different and the need to make consent the basis of all relationships between indigenous peoples and States.

- Self-determination: Indigenous peoples have the right to freely determine their political status and freely pursue their economic, social and cultural development, including their own education, health, financing and conflict resolution systems, among others. This was

one of the main points of contention between countries; the opponents claimed that this could lead to the founding of indigenous “nations” within a national territory.

- Right to free, prior and informed consent: like Convention 169 of the International Labor Organization (ILO), the UN Declaration guarantees the right of indigenous peoples to be properly consulted before adopting legislative or administrative measures of any kind, including infrastructure works, mining or use of water resources.
- Right to reparation for theft of their property: the declaration requires national states to redress indigenous peoples with respect to any cultural, intellectual, religious or spiritual property taken away without prior informed consent or in violation of their traditional norms. This may include the restitution or repatriation of sacred ceremonial objects.
- Right to maintain their cultures: this right includes among others the right to maintain their traditional names for places and people and to understand and make themselves understood in political, administrative or judicial proceedings including through translation.

The National Policy for Territorial and Environmental Management of Indigenous Lands (PNGATI) was established by Decree No. 7747, of June 5, 2012. PNGATI 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 full conditions of physical and cultural reproduction of current and future generations of indigenous peoples, respecting their sociocultural autonomy, in accordance with current legislation (Almeida *et al.*, 2020).

PNGATI is a law that has its genesis through long articulations between state institutions and the claims of indigenous peoples through their movements, organizations and social struggles. PNGATI is configured in the guarantee of indigenous participation in various instances of governance decision, thus resulting in a change in the legal paradigm of tutelage.

The construction process of PNGATI officially began on September 12, 2008, when Interministerial Ordinance No. 276 was published in the Official Gazette of the Union. In that document an Interministerial Work Group (GTI) was established formed by technicians from Ministry of Justice and the Ministry of the Environment, representatives of indigenous peoples from all regions of Brazil and representatives of civil society organizations, to prepare a proposal for the National Policy for Territorial and Environmental Management for indigenous lands (Bavaresco and Menezes, 2014).

According to information from the PNGATI plan, there was a large participation of indigenous peoples during the formulation of the process, the construction of PNGATI brought together 1,250 indigenous representatives, belonging to 186 peoples from all regions of the country, who were mobilized and appointed by regional indigenous organizations – APOINME, ARPINPAN, ARPINSUL, COIAB – and for national articulation, through APIB. The foundation of PNGATI engenders the following factors: the participation of indigenous peoples and the interaction dynamics of their organizations; the foundation of the dialogue on the objectives and guidelines of PNGATI in proposals discussed and built with the participation of indigenous peoples and organizations for the consolidation of public policies, programs, actions and projects in the area of environmental and territorial management of indigenous lands.

A relevant issue to be highlighted in relation to the rights of indigenous peoples, which is summarized in PNGATI, is that the argument used in its justification was based on Convention 169 and the United Nations Declaration on the rights of indigenous peoples regarding territorial issues. Indigenous peoples have the right to determine and develop priorities and strategies for the development or use of their lands or territories and other resources (Article 32). The rights of people interested in the natural resources existing on their lands must be specially protected. These rights encompass the right of these peoples to participate in the use, administration and conservation of the aforementioned resources (Article 15).

It is observed in PNGATI the use of some terms synthesized in the body of the normative text, such as environmentalism, sustainability and expressions involving ethnomapping (participatory mapping of areas of environmental, sociocultural and productive relevance for indigenous peoples, based on indigenous knowledge and cognizance) ethnozoning (participatory planning instrument aimed at categorizing areas of environmental, sociocultural and productive relevance for indigenous peoples, developed from ethno-mapping), environmental services, governance, environmental education, among others. In addition to other instruments related to territorial and environmental management, rights to autonomy (ability to govern oneself and the possibility of creating laws), to participation, consultation and indigenous protagonism (the act of overseeing the performance of the Work).

PNGATI is organized into seven axes, grouped into specific objectives, according to the themes of interest for the environmental and territorial management of indigenous lands. However, the tools for territorial and environmental management are ethno-mapping and ethno-zoning. The instruments to be used are: territorial and natural resource protection; indigenous governance and participation; protected areas, conservation units and indigenous lands; prevention and recovery of environmental damage; sustainable use of natural resources and indigenous productive initiatives; intellectual property and genetic heritage; capacity building, training, exchange and environmental education (Guimarães, 2014, p. 173).

The process of territorial and environmental management of indigenous lands needs to be reflected on, operationalized and revised through a perception that, in fact, engenders the criteria of differentiation and multiple complexities, according to the organization of indigenous groups, peoples and traditional communities, environment, external factors, interactivity of indigenous relations and communities not identified as indigenous, historical processes of occupation of the territory, economic, social and cultural alternatives, among other factors that can be identified from each specific context.

Guimarães (2014, p. 16) emphasizes that PNGATI revealed important advances regarding the indigenous issue. There is also an integrative and collaborative action between governmental institutions, indigenous organizations and non-governmental organizations for the construction of a public policy for indigenous lands in an intercultural perspective. However, “the implementation challenges are numerous and range from the work of regulating the policy’s structuring axes (which should include the construction of a management plan for each people in its territory) to the process of knowledge and improvement of PNGATI itself, in addition to the governance and budget challenges that encompass the role to be played by the State”.

### 3.4.3.2 Traditional Peoples and Communities

(Public policies for traditional peoples and communities refer to the Commission for the Sustainable Development of Traditional Communities (CNPCT), established by decree on July 13, 2006, with a view to implementing a national policy that reflects such community diversity. The commission enabled the publication of Presidential Decree No. 6040, of February 7, 2000, which institutes the National Policy for Traditional Peoples and Communities, with the objective of “promoting sustainable development with emphasis on the recognition, strengthening and guarantee of their territorial, social, environmental, economic and cultural rights” (ALMEIDA, 2010, p. 17)<sup>8</sup>.

The current structure of the CNCPT is defined in Decree No. 8750, of May 9, 2016. The main objective of the CNPCT is “to coordinate the joint action of representatives of the Direct Public Administration and members of the non-governmental sector for strengthening social, economic, cultural and environmental aspects 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 coordinating and monitoring the implementation of the National

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<sup>8</sup> ALMEIDA, Alfredo Wagner Berno de. Apresentação. In: SHIRAIISHI NETO, Joaquim. Direitos dos povos e das comunidades tradicionais no Brasil. 2. ed. Manaus: PPGAS-UFA/NSCA-CESTU-UEA, 2010.

Policy for the Sustainable Development of Traditional Peoples and Communities.

The National Policy for the Sustainable Development of Traditional Peoples and Communities is structured around four strategic axes: 1) Access to Traditionally Occupied Territories and Natural Resources; 2) Infrastructure; 3) Social Inclusion; and 4) Fostering Sustainable Production. In this sense, the National Policy was fundamental for providing the political and social inclusion of traditional peoples and communities, as well as for establishing obligations to the public authorities for the development of public policies, which ensured continuity in the processes of recognition and protection of the territories of this social segment historically excluded and/or neglected (CERQUEIRA, 2015).

For the Decree, traditional peoples and communities are:

- Culturally differentiated groups that recognize themselves as such, 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 (Item I, of Art. 3, of Decree nº 6,040, February 7, 2007).

The national policy for traditional peoples and communities was divided into three central guidelines: the first one intends to ensure civil rights, through the legal recognition of the inhabitants of the communities, including the provision of identification documents; the second is recognition and respect for ethnic diversification, the right to differentiated education and specific religious practice; and the third seeks to resolve land tenure regularization, as many traditional communities suffer from disrespect to their geographic reference (Menezes, 2020)<sup>9</sup>.

CF/88 also paid special attention to the environment, establishing in its article 225 that a balanced environment is everyone's right. One of the main mechanisms of protection and feasibility of this constitutional guarantee are the Conservation Units (UCs), which are regulated by Law No. 9,985, of July 18, 2000, which institutes the National System of Nature Conservation Units (SNUC).

The conservation units that are part of the SNUC are divided into two groups, with specific characteristics: Integral Protection Units and Sustainable Use Units. The Full Protection Units have nature protection as their main objective, which is why the rules and regulations are more restrictive. In this group, only indirect use of natural resources is allowed, that is, those that do not involve consumption, collection or damage to natural resources. The strict protection categories are: Ecological Station, Biological Reserve, Park, Natural Monument and Wildlife Refuge.

The Sustainable Use Units are areas that aim to reconcile the conservation of nature with the sustainable use of natural resources. In this group, activities involving the collection and use of natural resources are allowed, but provided they are carried out in a way that ensures the sustainability of renewable environmental resources and ecological processes. The sustainable use categories are: Area of Relevant Ecological Interest, National Forest, Fauna Reserve, Sustainable Development Reserve, Extractivist Reserve, Environmental Protection Area (APA) and Private Natural Heritage Reserve (RPPN).

The SNUC defines that the Conservation Unit must have a Management Plan as a technical document, based on the general objectives of a Conservation Unit, that establishes its zoning and the norms that should govern the use of the area and the management of the natural resources; all conservation units must have a Management Plan, which must cover the area of the Conservation Unit, its buffer zone

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<sup>9</sup> MENEZES, Thereza Cristina Cardoso. Povos tradicionais: 20 anos de visibilidade política no Brasil. In: RODRIGUEZ, José Exequiel Basini et al. Povos tradicionais, fronteiras e geopolítica na América Latina—uma proposta para a Amazônia. Manaus: Edua, 2020.

and ecological corridors, including measures to promote its integration into the economic and social life of neighboring communities (Art. 27, §1).

The form of integrated management of the set of protected areas must have a Management Plan. The Management Plan must cover the area of the conservation unit, its buffer zone and ecological corridors, including measures aimed at promoting its integration into the economic and social life of neighboring communities (Art. 27, of Law No. 9,985, of July 18, 2000). Although the Amazon UCs' management efficiency has improved, many protected areas still do not have a management plan, although they are mandatory. Management plans are a prerequisite for the sustainable use of local communities (mainly traditional and indigenous) to continue harvesting, fishing, agriculture.

The Federal Constitution/88 advanced and confirmed the specific rights of quilombola communities, in art. 68 of the Transitory Constitutional Provisions Act (ADCT). It is a legal provision that guaranteed land ownership "to the remnants of quilombo communities that are occupying their lands, definitive ownership is recognized, and the State must issue them the respective titles".

According to Decree No. 4,887/2003, which establishes legal and administrative instruments for the recognition, identification, delimitation and demarcation of quilombola territories. The National Institute for Colonization and Agrarian Reform (INCRA) is responsible for "identifying, recognizing, delimiting, demarcating and titling the lands occupied by the remnants of quilombo communities, without prejudice to the concurrent competence of the States, the Federal District and the Municipalities"<sup>10</sup>. The Federal Heritage Secretariat (SPU) is also responsible for issuing title or Contract for the Concession of Ownership Right of Use (CCDRU) to quilombola communities located in areas under its management. It is also up to the States and Municipalities to issue titles to the quilombola communities located in state and municipal lands, respectively<sup>11</sup>.

Decree No. 4,887/2003 defined quilombo communities as: "ethnic-racial groups, according to criteria of self-attribution, with their own historical trajectory, endowed with specific territorial relations, with a presumption of black ancestry related to resistance to the historical oppression suffered"<sup>12</sup>.

The self-denominated communities of black land, black communities, mocambos, quilombos, among other similar denominations, are entitled to the issuance of a self-definition certificate by FCP Ordinance No. 98, of November 26, 2007, under the following terms<sup>13</sup>:

- Minutes of a specific meeting to address the topic of Self-Declaration, if the community does not have an established association, or Minutes of the meeting, if the association is already formalized, followed by the signature of most of its members.
- Brief Historical Report on the community, telling how it was formed, what are its main family branches, its traditional cultural manifestations, productive activities, festivities, religiosity, etc.
- Certification application addressed to the presidency of this FCP.

The land regularization policy of Quilombola Territories is of paramount importance for the dignity and guarantee of the continuity of these ethnic groups. Territorial issues have been the strongest pillar in the struggle of the quilombolas and their representative organizations. The legitimization of lands, such as the overlapping of military bases, restricted areas of environmental preservation, large state projects on quilombola territories are the most eminent threats in these locations (ECAM/CONAQ, 2020).

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<sup>10</sup> Available from: [http://www.planalto.gov.br/ccivil\\_03/decreto/2003/d4887.htm](http://www.planalto.gov.br/ccivil_03/decreto/2003/d4887.htm). Accessed on: 04/06/2021.

<sup>11</sup> <https://antigo.incra.gov.br/pt/quilombolas.html>

<sup>12</sup> INCRA. Regularização de Território Quilombola. Diretoria de Ordenamento da Estrutura Fundiária, Coordenação Geral de Regularização de Territórios Quilombolas – DFQ, 2017. Available from: [https://antigo.incra.gov.br/media/docs/quilombolas/perguntas\\_respostas.pdf](https://antigo.incra.gov.br/media/docs/quilombolas/perguntas_respostas.pdf). Accessed on: 04/06/2021.

<sup>13</sup> Available from [http://www.planalto.gov.br/ccivil\\_03/decreto/2003/d4887.htm](http://www.planalto.gov.br/ccivil_03/decreto/2003/d4887.htm) Accessed on: 04/06/2021.

The National Secretariat for Policies for the Promotion of Racial Equality (SEPPIR), through the Secretariat for Policies for Traditional Communities, is responsible for implementing the Policy aimed at specific groups: notably traditional peoples and communities with an African diaspora matrix and quilombolas relevant to the Amazon region. Currently, the Council is part of the structure of the Ministry of Women, Family and Human Rights.

The Brazil Quilombola Program (Programa Brasil Quilombola) aims to guarantee land tenure and promote the sustainable development of quilombola communities and among the programs instituted by the Ministry of the Environment is the “National Commission for the Sustainable Development of Traditional Peoples and Communities”, from which emerged Decree No. 5,758, of April 13, 2006, which instituted the "National Strategic Plan for Protected Areas - PNAP", which would have the broad and audacious objective of carrying out the integration of both protected areas and indigenous reserves and quilombola territories, forming large continuums of conservation of nature and socioeconomic development of traditional communities.

In 2016, the government created a Working Group with the purpose of proposing guidelines for the elaboration of the National Quilombola Environmental and Territorial Management Plan and proposing actions for its effective implementation (Ordinance No. 298).

Territorial and environmental management plans are planning instruments built by the community to collectively think about how to organize, use and guarantee the maintenance of each community's territory. These actions define the way each community relates to the land, both in its material and symbolic perspective. The self-management of their own territory is of paramount importance for productivity, for the maintenance of traditions, for social organization, for income generation and for the sustainability of these spaces, avoiding impacts, especially environmental, that could compromise extractivism, family farming and access to water by families living there (N'Golo, 2020).

Although public policies aimed at traditional peoples and communities are recent in the Brazilian national structure, the foundation of these efforts was initially structured by Convention 169 of the International Labor Organization (ILO), which Brazil ratified in 2002. About ILO Convention No. 169 it is important to state that this legal provision attributes the same weight to “indigenous” and “tribal peoples”, as it makes no distinction in the treatment of these social groups. The meaning of tribal here must be understood indistinctly to all social groups: rubber tappers, quilombolas, artisanal fishermen, gypsies and pantaneiros, in addition to various other peoples and traditional communities in the Legal Amazon (ALMEIDA, 2010).

Convention No. 169 provides for the right of traditional peoples and communities to traditionally occupied lands, as it is directly associated with the criterion of self-definition. It is also about guaranteeing the process of participation and consultation involving traditional peoples and communities at all levels in the legislative and administrative scope.

### 3.4.3.3 Application of FPIC in Floresta+ Amazônia Pilot Project

Numerous international and regional instruments have affirmed Free, Prior and Informed Consent (FPIC) as a legal norm imposing clear affirmative duties and obligations on States that should be pursued in a wide range of circumstances. While there is no single internationally agreed definition of FPIC, at a very general level, FPIC may be understood as the right of indigenous peoples to approve or reject certain proposed actions that may affect them and that the process for reaching such a decision must possess certain characteristics.

PNUD *Standard 6 Indigenous Peoples* stipulates that if a project may affect – positively or negatively – indigenous peoples' rights and interests, lands, territories, resources, livelihoods, cultural heritage, then FPIC must be sought.

The elements of FPIC are as follows:

- **FREE** refers to a consent given voluntarily and absent of coercion, intimidation or manipulation. Free refers to a process that is self-directed by the community from whom consent is being sought, unencumbered by coercion, expectations or timelines that are externally imposed.
- **PRIOR** means consent is sought sufficiently in advance of any authorization or commencement of activities. Prior refers to a period in advance of an activity or process when consent should be sought, as well as the period between when consent is sought and when consent is given or withheld. Prior means at the early stages of a development or investment plan, not only when the need arises to obtain approval from the community.
- **INFORMED** refers mainly to the nature of the engagement and type of information that should be provided prior to seeking consent and as part of the ongoing consent process.
- **CONSENT** refers to the collective decision made by the rights-holders and reached through the customary decision-making processes of the affected peoples or communities. Consent must be sought and granted or withheld according to the unique formal or informal political-administrative dynamic of each community.

While the objective of consultation processes shall be to reach an agreement (consent) between the relevant parties, this does not mean that all FPIC processes will lead to the consent of and approval by the rights-holders in question. At the core of FPIC is the right of the peoples concerned to choose to engage, negotiate and decide to grant or withhold consent, as well as the acknowledgement that under certain circumstances, it must be accepted that the project will not proceed and/or that engagement must be ceased if the affected peoples decide that they do not want to commence or continue with negotiations or if they decide to withhold their consent to the project.

The Floresta+ Amazônia Pilot project Modality 3: Communities has the general objective of supporting the implementation of local projects aimed at strengthening environmental and territorial management in the territories of indigenous peoples and traditional peoples and communities (PIPCT). Local projects must be designed in a participatory manner by organizations representing the PIPTC, considering the collective nature of management activities in these territories. The aim is thus to carry out actions to promote environmental conservation, recovery of degraded areas, agro-ecological production, surveillance and territorial protection.

As the project has the objective to positively affect indigenous peoples, as well as their lands, territories, resources, and livelihoods, FPIC, as a good faith and participatory consultation and agreement process, will be applied for the development and implementation of the projects. It should be noted that participation in Floresta+ Modality 3 is voluntary. The aim is for Expressions of interest to be presented by Indigenous Peoples/Traditional Communities themselves and proposals for Modality 3 will be co-designed and co-signed by Indigenous Peoples/Traditional Communities (IP/TC) beneficiaries together with Responsible Parties. As such, no project will be implemented without the collective consent of indigenous beneficiaries, as expressed through their representative organizations.

As illustrated in the ESIA consultations, in the case of Modality 3 (Communities) and Modality 4 (Innovation), the project activities are intended to have positive impacts on IP/TC beneficiaries and for the most part perceived as such by community stakeholders.

The project has every intention to meaningfully consult and take on board the interests and views of IP/TCs (and other project stakeholders) and has started the process through two sets of consultations, one on the ESIA/ESMP and the other on the MOP. IP/TCs have been consulted as part of the ESIA/ESMP process and have shared their concerns, perspectives and interests with regard to the project. It was a very broad participatory process that lasted from March to September 2021 and included initial dialogues to raise concerns, webinars with experts and community representatives and finally

participatory workshops: two sets of participatory workshops were held. The first in May to identify environmental and social impacts, and the second in September to discuss the Environmental and Social Management Plan.

Some of these concerns were directly incorporated into the design of the Floresta+ Amazônia Project Operations Manual. Others served as the basis for the development of the Mitigation and Improvement Program, the Monitoring Plan and the Capacity Building and Training Program. As a result of this consultation process, Modality 3: Communities monitoring plan includes a specific measure to monitor FPIC adoption by Responsible Parties. It is intended that 100% of the approved projects whose beneficiary community are Indigenous Peoples respect the FPIC process. It should be noted that the capacity building and training program of the same modality includes the holding of orientation workshops on ILO 169 and on the application of the FPIC law. These workshops will be directed to PNUD, MMA and SEMA (State Secretaries of Environment) staff.

#### 4. MITIGATION AND IMPROVEMENT PROGRAM

This chapter presents the set of mitigation and enhancement or improvement measures identified during the environmental and social impact assessment process. The presentation of the measures begins with the recommendations that are transversal to all Modalities, gathered under the title of “Floresta+ Amazônia”.

Next, and for each Modality, a summary of the environmental and social consequences of the implementation of the pilot project is presented, taking up the analytical dimensions that served as the basis for the ESIA: transversal rights, territories and cultures, livelihoods, biodiversity and climate change. This contextualization is essential to frame the subsequent proposal for measures. If a detailed characterization is desired, the direct reading of the ESIA is recommended.

Finally, and for each Modality, mitigation measures are presented for the identified problems and recommendations to enhance the opportunities. This presentation highlights, first, the gender issues, followed by indigenous peoples and traditional peoples and communities, and, finally, the remaining issues, gathered under the subtitle “environment and society”.

This Environmental and Social Management Plan develops a broad set of recommendations that must be considered by PNUD and the MMA in implementing the Pilot Project. Some of these recommendations will be easily integrated into the MOP, with minor programming tweaks. Others will require the development of new lines of work that were not initially planned. Finally, it must be admitted that there will be recommendations that may be considered unfeasible or, although relevant, outside the scope of the Pilot Project. Here, it will be important to assess the possibility of sharing these recommendations with government institutions (at the federal or state level) or civil society that can more quickly incorporate these concerns into their policies and the projects they support. The risk of dropping some of the proposed measures should be assessed.

The presentation structure for mitigation measures follows the following scheme:

PROBLEM	Problem description	Description of the Mitigation Measure	Measure impact	Responsibilization
<ul style="list-style-type: none"> <li>• Problem identification (What is the problem?)</li> </ul>	<ul style="list-style-type: none"> <li>• Why and what can happen?</li> </ul>	<ul style="list-style-type: none"> <li>• What can be done to avoid, minimize or compensate?</li> </ul>	<ul style="list-style-type: none"> <li>• How are the results and effects of the mitigating measure expected to be?</li> </ul>	<ul style="list-style-type: none"> <li>• Who should be responsible for implementing the measure?</li> </ul>

Opportunities are presented based on the following rationale:

**Environmental and Social Management Plan**

Opportunity	Recommendation	Recommendation impact	Responsibilization
<ul style="list-style-type: none"><li>•What positive results foreseen for the Project can be leveraged?</li></ul>	<ul style="list-style-type: none"><li>•What to do and how to implement these measures that leverage results?</li></ul>	<ul style="list-style-type: none"><li>•What results to expect when these measures are implemented?</li></ul>	<ul style="list-style-type: none"><li>•Who should be responsible for implementing the measure?</li></ul>

Modalities 1 and 2 are presented together.

4.1 FLORESTA+ AMAZÔNIA

Table 4-1 General recommendations for opportunities identified in the implementation of the Floresta+ Amazônia Pilot Project, transversal to all Modalities.

Opportunity Description	Recommendation Description	Recommendation Impact	Responsibility
Promote institutional gender capacity for Indigenous Peoples and Traditional Peoples and Communities in Project management and implementation	<b>MANAGEMENT:</b> Consider the equitable presence of women and men as well as the presence of women's organizations in the governance structure of the Floresta+ Project.	Decision making is influenced by the perspective of women	PNUD and MMA
	<b>MANAGEMENT:</b> Hire gender specialists to support gender mainstreaming in the management and implementation of each modality of the Floresta+ Project, considering programmatic approaches (steps and target audiences).	Promotes gender mainstreaming in project implementation.	UNDP and MMA
	<b>MANAGEMENT:</b> Carry out capacity building and training activities with the various Project actors, from technicians to beneficiaries.	Expands gender literacy and promotes permanent cultural changes in the organizations involved.	Gender specialist hired by UNDP
Promote institutional capacity on Indigenous Peoples and Traditional Peoples and Communities in Project management and implementation	<b>MANAGEMENT:</b> Hire PIPCT technicians for the operational management teams for local actions of the Floresta+ Amazônia Pilot Project.	Helps to facilitate assertive communication with PIPCT	PNUD
Ensure the continuity of the project or incorporation of its operationalization in the permanent public policy of PES for the region.	<b>MANAGEMENT:</b> The project management must promote annual reflection sessions on the continuity of the project with the governance. Involve organizations/institutions (public or private) that can “adopt” the project after its completion. Reflect on the transformation of the project into a public policy by the MMA.	Promotes the continuity of Payments for Environmental Services beyond the duration of the Floresta+ Amazônia Pilot Project. The absence of perspectives on continuity could generate discredit on the pilot project	PNUD, MMA, Project Governance, (PB and PAC), others
Stimulate the articulation between the various Modalities of the Floresta+ Amazônia Pilot Project.	<b>MANAGEMENT:</b> Articulate Modality 4 notices so that innovation projects can support the implementation of other Modalities and/or enhance their positive impacts and/or minimize negative impacts, in accordance with the lines of action provided for in the MOP. Look at the modalities in a specific way and try to link production chains with possible marketing mechanisms and/or marketing networks.	Promote synergies between the various Modalities of the Floresta+ Amazônia Pilot Project. Allows Modality 4 projects to be useful for the implementation of other Modalities	PNUD, several institutions could collaborate to decentralize. Governmental (federal, state and municipal) and non-governmental. Consultative Council (PAC) and Deliberative Council (Project Board) (Project Floresta+)
	<b>MANAGEMENT:</b> Add scoring criteria for proposals with the potential to leverage results from other modalities.	Scale gain of the modality or support the implementation of public policy.	Federal Government (MMA, MAPA)

### 4.2 MODALITY 1: CONSERVATION AND MODALITY 2: RECOVERY

#### 4.2.1 Environmental and Social Impacts

##### 4.2.1.1 Transversal Rights

The positive effects that can be observed with the implementation of Modalities 1 and 2 of the Project, which influence the panorama of transversal rights, are generic and closely related (transversal) with the dimensions “Territories and Cultures” and “Livelihoods”. In this sense, it is highlighted:

- Possible positive impact on improving the socioeconomic conditions of family farmers, in a region with the lowest Human Development Indexes in Brazil;
- Possible opportunities to reduce conflicts between segments of the local population; and
- Promote family farming.

However, these possible positive effects do not necessarily imply an improvement in the conditions of gender equality and the guarantee of good labor conditions (harmed by the COVID-19 pandemic situation), especially for the youngest and for certain marginalized and more vulnerable groups. Thus, it is important to establish strategies for the Floresta+ Pilot Project aimed at these issues in a particular way in its Management Plan and in its monitoring mechanisms.

In the development of the Floresta+ Pilot Project there is an opportunity to strengthen institutional and governance capacity in the territories where the project will be implemented, which would mean a gain in human rights for the local population, not just the direct beneficiaries in Modalities 1 and 2, as the structure and functioning of institutions facilitate access to public services and rights.

As for the negative effects on transversal rights, the main context problems concern the weak institutional capacity of the state governments to operationalize the CAR and the municipal governments to collaborate with those interested in carrying out the registration. This could trigger inequalities in access to PES by potential beneficiaries of Modalities 1 and 2.

The guarantee of human rights depends on the institutional and governance capacity to enable access to: information, participation, public services and, ultimately, the basic rights for a dignified life and full exercise of citizenship. The aforementioned institutional and governance structure, observing criteria to promote gender equality and good working conditions, will be essential to avoid negative consequences related to these premises.

##### 4.2.1.2 Territories and Cultures

The implementation of Modalities 1 and 2 should have effects on the dimension of analysis called “Territories and Cultures”, since one of the criteria (criterion v) to prioritize these same beneficiaries will be “to have greater proximity to Indigenous Lands”. It is admitted that what is intended by the programmers is to ensure a greater extension of the spatial continuity of the geographical area with native vegetation preserved by these peoples.

Among the context problems, the implementation of the Floresta+ Project may increase the overlapping of areas of properties and possessions, with conservation units, rural settlements and areas of indigenous peoples and traditional communities.

The main aspect of the Floresta+ Amazônia Pilot Project in Modalities 1 and 2 is the requirement of validation of the CAR. Consequently, through a positive reading of this requirement, it is estimated that the Floresta+ Project will be able to collaborate in the anticipation of the environmental regularization of lands, which may reduce the problems of territorial disputes, through the crossing of land-related information, reduce the area overlaps, creating inter-institutional mechanisms in the States to speed up the CAR registration process in rural locations, especially in traditional territories.

### 4.2.1.3 Livelihoods

Among the Project's potentialities in the sphere of "Livelihoods", perhaps the most significant is the promotion of environmental regularization of rural property, which brings with it the possibility of producer access to financing and financial programs to improve the property's productive conditions. This incurs in improving the quality of life of the population, promoting not only the rural owner, but also the entire local economy, through the circulation of money and resources, but at the same time creating a stronger environmental awareness in the locality for current and future generations. It also brings the recovery of native vegetation and strengthens the desire to preserve intact vegetation.

It is recognized that CAR plays an important role in the conservation and restoration of native vegetation, being one of the main tools to ensure the environmental regularization of rural properties. Validation of CAR data is essential for implementing restoration, environmental recovery and offset tools. However, the degree of maturation of CAR differs from state to state. As demonstrated in ESIA (IDAD, 2021), the low number of validations is a challenge for the achievement of Brazilian biodiversity goals, and consequently a challenge for producers who aim to join the Floresta+ project, since having the CAR validated is pre -requirement to participate in the project.

If the issue of who is able to carry out and validate the CAR<sup>14</sup> is not considered, the distribution of project resources for the Payment for Environmental Services could be unfair, which would represent a negative impact of the project, and could even trigger local conflicts for the financial resources made available. Another problem that should be addressed is that the expectation of being a beneficiary of Modalities 1 and 2 can trigger an increase in the search for land acquisition, registration in the CAR and, later, its validation. In some cases, this process may expand the land grabbing process and the payment of bribes to the state bodies for validating the CAR. Hence the importance of aspects of transparency and prevention of corruption by the Floresta+ Project.

The use of CAR by large land developers as a form of subterfuge for land grabbing is illegal and must be guarded against. Large landowners identify areas that do not yet have a record of ownership (land that is under claim or land regularization process), and enter the GPS data in the CAR, as this is self-declaratory. Although the cadastre is still not enough to guarantee the title deed, it is being used as an instrument to expel people and occupy the land. The next step is to obtain an improper title to the area.

The distribution of resources through the PES mechanism must be careful not to be unfair, contributing to the valuation of benefited properties at the expense of the devaluation of small non-benefited properties, as this could favor the purchase of land from small producers by large landowners and incorporated into their large rural property.

Eligibility criteria must be clear to ensure project success and legal certainty for beneficiaries. Among the steps required to participate in the project are: having registered in the CAR, having the CAR validated, responding to the Public Call Notice, having excess native vegetation exceeding the requirements of the Legal Reserve (RL) (Modality 1) or being in the process of recovery of the Permanent Preservation Area (Modality 2). The requirement regarding the presence of an area of native vegetation superior to what is determined by the law regarding the Legal Reserve, can make it difficult to understand the participation in the project. The Project Operational Manual states that the beneficiary of Modality 1 must "own, on the date of entry into the project, an area with native vegetation exceeding the requirements of RL and Permanent Preservation Area (APP). These patches of native vegetation must be greater than or equal to 1 ha in total, and at least 0.5 ha of continuous area with native vegetation exceeding the RL on the project entry date". The lack of technical monitoring methodologies for this very detailed requirement is a risk to the project regarding Modality 1).

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<sup>14</sup> "Validate" is understood as the conclusion of the CAR analysis cycles by the competent body.

For Modality 2, and according to version 1.2 of the MOP, the beneficiaries will have to “have, on the date of entry into the project, a minimum area of 0.5 ha of APP liabilities in a continuous area”. Likewise, there are uncertainties regarding monitoring mechanisms.

The unequal distribution between Modalities 1 and 2 can also make the Floresta+ Amazônia Pilot Project less attractive to rural producers. In Modalities 1 and 2, the payment of R\$250/year per hectare of surplus Legal Reserve area or of R\$150/year per hectare of recovered APP is foreseen. The financial value referenced for the payment for environmental services may be insufficient to stimulate the interest of small rural producers and family farmers, especially for the area to be recovered, making Modality 2 less attractive to rural producers, who prefer to use these lands, even if improperly, as it is an environmental liability, which by law should have been protected. The PES should be more attractive to the rural producer, to the point where he prefers to join the project instead of cutting down an area that is still permitted as a legal reserve and/or producing in the area even though it is degraded or in use.

The PES form proposed for Modality 1 provides that in the first year of implementation of the Floresta+ Pilot Project, 20,000 ha will be contemplated at the estimated value of R\$ 250.00 per ha, totaling a payment of 20 million reais in a period of four years; in the second year, an additional 80,000 ha will be contemplated, with a disbursement of 60 million reais in three years; in the third year, payment will be made for an additional 200,000 ha, representing 100 million reais in payment over a 2-year period; and in the fourth year, it is intended to cover another 80,000 ha, totaling 20 million reais.

According to the schedule of disbursements provided for in the project, the total transfers by PES will be 200 million reais, however, for this modality, it is estimated that the available resource is 279 million reais, leaving 79 million reais to be applied, but there is no specific purpose for this financial resource.

In relation to Modality 2, the execution schedule foresees the implementation of 5,000 ha in the first year, with the value of R\$ 150.00 per ha, totaling payment of 3 million reais during the period of 4 years; in the second year it is intended to implement 30,000 ha, totaling 13.5 million in payments over 3 years; in the third year, resources will be allocated for payment of an additional 80,000 ha, whose PES value will be 24 million reais for a period of 2 years; and in the last year of execution, 65,000 ha will be benefited, which means a transfer of 9.75 million reais through a single payment.

In Modality 2 there will be a total of 50.25 million reais in PES, however the resource allocated for this modality is 71 million reais, and it is necessary to clarify the purpose given to the remaining 10.75 million.

The value of the PES for Modality 2 of R\$ 150.00 paid for the recovery of APP per hectare, incurs a high risk of lack of interest on the part of the beneficiaries due to the amount paid, considering the willingness to adhere to the Project and that the recovery of this area should be verified.

### 4.2.1.4 Biodiversity

The impacts of Modalities 1 and 2 on the analytical dimension “Biodiversity” are different from each other. Thus, the assessment is presented in a subdivided way.

**Modality 1: Conservation** has the general objective of promoting the conservation of areas of native vegetation that exceed the legal requirements for rural properties established in the Native Vegetation Protection Law. This objective will be achieved through the attribution of financial incentives to family farmers in the Legal Amazon that conserve areas of native vegetation in addition to the Legal Reserve requirements. This modality will allow maintaining native vegetation beyond what is required by law as a Legal Reserve area. This aspect will have a positive impact on biodiversity as more area of native habitat will be preserved.

An important factor to maximize the positive impact of this modality is the fact that the Pilot Project defines criteria to prioritize eligible payments. These criteria are defined by region and by beneficiary.

At the regional level, one of the relevant criteria for this assessment is that the property is in 'priority areas for biodiversity conservation, sustainable use and benefit-sharing of Brazilian biodiversity or priority areas for biodiversity and native vegetation restoration' (according to Ordinance of MMA No. 463 of December 18, 2018). This criterion focuses on intervention in areas that are important for biodiversity, thus avoiding the dispersion of funds in less relevant areas.

A relevant factor for the success of biodiversity preservation policies is to encourage/preserve the 'continuity of areas'. Global preservation will be more successful the greater the continuous area of native vegetation and its proximity to areas already with some protection status, thus avoiding the fragmentation of the ecosystem.

In addition to the prioritization criteria, there are also eligibility criteria. One of the basic criteria for accessing the PES Pilot Project is that the area is registered in the CAR and that there is environmental regularity in the area's legal reserve. These criteria may serve as an incentive for landowners to regularize their registration status, which indirectly will have positive effects on biodiversity as there will be fewer irregular situations of deforestation and monitoring of a larger area. The pilot project is thus an opportunity at this level, with positive effects on biodiversity.

By using these prioritization and eligibility criteria, a reduction in the rate of deforestation in these areas is expected, so the project will contribute to achieving some of the SNUC's own objectives, namely:

- contribute to the maintenance of biological diversity and genetic resources in the national territory and in jurisdictional waters;
- protect endangered species at the regional and national level;
- contribute to the preservation and restoration of the diversity of natural ecosystems.

However, although the Floresta+ Pilot Project during the period of its implementation (4 years) promotes the preservation of biodiversity through the conservation of areas that exceed the requirements regarding the legal reserve, there is a risk that at the end of this period, if there is no continuity of PES, the situation is reversed. In other words, if there is no longer any obligation to safeguard areas beyond what is legally stipulated, and there is no financial return via PES, the family farmer can proceed with the felling of the forest and thus negatively affect biodiversity.

**Modality 2 Floresta+: Recovery** has the general objective of promoting the recovery of Permanent Preservation Areas (APP), thus promoting the implementation of the Native Vegetation Protection Law.

As mentioned above, based on Brazilian law, vegetation located in a Permanent Preservation Area must be maintained. If the removal of vegetation located in a Permanent Preservation Area has occurred, the owner of the area, possessor or occupant in any capacity is obliged to promote the restoration of the vegetation, except for the authorized uses provided for in the Law.

In this context, the attribution of a financial incentive to the recovery process will facilitate the engagement of the family farmer in promoting such recovery, which has associated costs, not least because this incentive will contribute to the environmental regularization of the beneficiary. There is, however, a risk that there is a reduced adherence to this modality due to the value of the incentive not being sufficient in view of the costs that such recovery may entail.

Through this modality, the recovery of degraded APP areas will have positive impacts on biodiversity, as APPs, among other functions, promote the preservation of biodiversity and facilitate the gene flow of fauna and flora, especially when they correspond to marginal strips of natural water courses.

To strengthen the success of Modality 2, like Modality 1, the Project Operational Manual imposes a set of criteria for prioritizing payments. These criteria are defined by region and by beneficiary, pointing out as relevant in the context of this assessment those already mentioned for the Floresta+ Conservation modality, that is: considering the areas defined by the MMA as 'priorities for biodiversity conservation, sustainable use and distribution of benefits of Brazilian biodiversity or priority areas for biodiversity and

native vegetation restoration<sup>1</sup>, rural property located in the vicinity of Conservation Units, located inside the Conservation Unit (UC) buffer zone, when this is already determined in its instrument creation, specific regulations or Management Plan, or, if the buffer zone has not yet been identified, within a radius of 3 (three) km from the limits of a UC; rural property located predominantly in the interior of APA or RPPN or rural property located in regions with a high concentration of Indigenous Peoples and Traditional Peoples and Communities.

The APPs have a strategic function of connectivity between natural fragments and the protected areas themselves, which are fundamental for the conservation of biodiversity. The prioritization criteria make it possible to leverage the positive impact of the project as they will foster ecological continuity between protected/priority areas, mitigating the fragmentation of ecosystems.

The recovery of APP areas either inside the UCs or in the vicinity of important areas such as Indigenous Lands, in addition to promoting the restoration of important habitats and ecosystems, such as riverine ecosystems, will facilitate gene communication throughout the various areas recognized by the National Strategic Plan for Protected Areas. These expected results are in line with SNUC's own objectives.

In addition to the prioritization criteria, there are also eligibility criteria to join the PES project. These criteria may serve as an incentive for landowners to regularize their registration status, which indirectly will have positive effects on biodiversity as there will be fewer irregular situations of deforestation and monitoring of a larger area. The pilot project is thus an opportunity at this level, with positive effects on biodiversity.

This opportunity can, however, be nullified by the risk that there may be a reduced adherence to this modality because the incentive (amount paid per hectare) is not sufficient to cover the costs inherent to such recovery and so the owner prefers to remain anonymous, preferring not to regularize his situation.

### 4.2.1.5 Climate Change

Both Modality 1: Conservation and Modality 2: Recovery are aimed at “strengthening and promoting the implementation of the Native Vegetation Protection Law”. Although it seems obvious that this wide-ranging strategic objective should coincide with the initiatives needed to mitigate and adapt to climate change, it is advisable to develop a careful assessment exercise. Given the differences between Modality 1 and Modality 2, the assessment exercise will be carried out separately.

**Modality 1: Recovery** will benefit family farmers who have a surplus of native vegetation in relation to what is required by law. Farmers and family farmers who are found to be eligible for this Modality will receive a payment for not clearing a portion of their land area that could be converted without causing any legal non-compliance.

Modality 1 thus works as an incentive to reduce deforestation, contributing to the mitigation of desertification and land degradation in the Amazon. Furthermore, the conservation of native vegetation will have a positive impact on maintaining the evapotranspiration conditions of the forest and will consequently promote the maintenance of the local hydrological balance. It is considered that this initiative will also favor the stabilization of the microclimatic characteristics of the intervention area. However, it is not possible to estimate the magnitude of this impact, which depends on the geographic distribution of beneficiaries. It is known that, in total, 380,000 hectares will be supported over approximately 4 years. Assuming continued support from the same farmers during the entire 4 years, it makes a total of about 95,000 hectares of area that will maintain the native vegetation. The dimension of the climate benefit would be maximized if there is a maximization of the spatial contiguity of the forest area. It should be remembered that, considering the definition of a legal reserve, the absolute contiguity of these forest areas (950 continuous km<sup>2</sup>) can never be guaranteed. If there is a wide geographic dispersion of the benefit, the microclimatic impact, although positive, will have a dimension close to nil.

Another positive impact on climate change arising from the implementation of Modality 1 focuses on the Carbon balance. This impact has two perspectives: ensuring an additional carbon sequestration capacity by preventing the transformation of forest to pasture (for example) and, in the extreme case, preventing the emission to the atmosphere that would occur if deforestation were to take place through slash burning.

Estimating the carbon balance of Amazonian afforestation/deforestation is enormously complex and requires detailed analyses. It is not intended here to develop this detailed study. However, it is interesting to develop a simple estimate of the effect of Modality 1 on CO<sub>2</sub> emissions to be able to relativize the magnitude of the impact. The calculations presented below are based on the following carbon sequestration potential values:

- Potential for native forest sequestration: 1.2 Mg C/ha/year (Higuchi et al., 2004);
- Sequestration potential for pasture 0.27 Mg C/ha/year (Carvalho et al., 2010);
- Forest/pasture conversion by slash burning 100 Mg C/ha/year (Dias-Filho et al., 2001).

So and for a forest area of 95,000 hectares:

- Native forest carbon sequestration supported by Modality 1: Conservation: 114,000 Mg C/year;
- Carbon sequestration of the same forest area if it becomes a pasture area: 25,650 Mg C/year

It results that the implementation of this Modality, by avoiding deforestation, provides an additional capture of 88,350 Mg/year. Over 4 years, the additional carbon sequestration achieved by the implementation of Modality 1 will be 353,400 Mg of carbon, equivalent to 1.296 million tons of CO<sub>2</sub>.

Thus, it is concluded that Modality 1: Conservation, by motivating the change in the behavior of the beneficiaries in relation to the maintenance of an area of native vegetation, has a positive impact on the prevention and consequent reduction of atmospheric CO<sub>2</sub> emissions.

However, if after the end of the Floresta+ Pilot Project, the conservation incentives end, and the process of land use transformation through slash burning resumes, then there would be an emission of:

- Emission from the conversion of forest to pasture: 9,500,000 Mg C/year, equivalent to a CO<sub>2</sub> emission to the atmosphere of 34.8 million tons.

This value would correspond to an increase of about 6% of the average CO<sub>2</sub> emissions in the Legal Amazon (between 2010 and 2019) caused by changes in land use (554.5 million tons (SEEG, 2021)). Additional carbon sequestration achieved over 4 years with the Floresta+ Pilot Project prevents only 4.8% of the CO<sub>2</sub> emissions caused by the slash burning of the same area of forest after 4 years. These figures demonstrate the importance of ensuring the continuity of this initiative beyond the foreseen period for its existence.

**Modality 2: Recovery** will financially benefit owners and possessors of small rural properties that are in the process of recovering Permanent Preservation Areas (APP). As in the case of Modality 1, it is considered that the implementation of this Modality translates into positive impacts, both in terms of the preservation of local microclimatic and hydrological conditions and in the expansion of carbon sequestration.

Regarding microclimatic and hydrological conditions, it is essential to value the fact that the Project's Operational Manual identifies riparian forests and water springs as particularly sensitive areas.

Encouraging the preservation of riparian forests and water springs will contribute to the maintenance of the hydrological cycle in the more upstream areas of the extensive and complex hydrological networks of the Legal Amazon. Assuming, as in Modality 1, that continuous support will be given to the same family farmers, the total geographical area covered by this Modality will be 45,000 hectares (180,000 ha/4 years). Given the particularly sensitive and relevant character for the local hydrology of

the selected areas, the impact is considered positive and significant regardless of the strategy adopted in the geographic distribution of the support: densified or widely distributed in the Legal Amazon.

The recovery of these areas, transforming them from areas with degraded forest to areas with native forest, will increase their carbon sequestration capacity. In estimating this carbon balance, it is considered, in a simplified way, that the degraded forest (capoeira) achieves a carbon sequestration close to 20% of the native forest (primary) (Ribeiro, 2007). Based on this parameterization and for a forest area of 45,000 hectares:

- Carbon sequestration from the native forest supported by Modality 2: 54,000 Mg C/year;
- Carbon sequestration from degraded forest supported by Modality 2: 10,800 Mg C/year.

As a result, the implementation of Modality 2, by promoting the recovery of degraded forest areas, provides an additional sequestration of 43,200 Mg/year. Over 4 years, the additional carbon sequestration achieved by the implementation of Modality 2 will be 172,800 Mg of carbon, equivalent to 0.634 million tons of CO<sub>2</sub>.

Thus, it is concluded that Modality 2: Recovery, by motivating the change in the behavior of the beneficiaries in relation to the maintenance of an area of native vegetation, has a positive impact on increasing the capacity for carbon sequestration.

**4.2.1.5 Summary of Impact Assessment**

From the point of view of what has been called "positive effects", the project presents an opportunity to influence the environmental regularization of properties and promotes positive impacts such as: expanding the areas of environmental preservation and recovery and generating extra income that can be received by the beneficiaries, improving their socioeconomic conditions.

It should be noted, however, that the negative effects understood as “context problems” related to the CAR are critical, highlighting the fragility of registration and consequent delays in validation. The following steps, in response to the public call notice (including disclosure, internet access and monetary value of the payment) and inadequate monitoring, as well as the possible discontinuity of the PES, may represent risks that affect the project's objectives.

Table 4-2 below systematizes this information according to the effects and relates it to the thematic dimensions under analysis.

Table 4-2 Analysis of the effects of the Floresta+ Amazônia Pilot Project according to the actions necessary for the operationalization of Modalities 1 and 2

(DT – Transversal Rights, TC – Territories and Cultures, SE – Livelihood, BIO – Biodiversity and MC – Climate Change). Project effects: Positive impact: P (project promotes a direct benefit); Negative Impact: I (the project promotes the occurrence of damage); opportunity: O (fosters circumstances favorable to the realization of a possible benefit); Risk: R (fosters circumstances favorable to the occurrence of possible damage); Context Problem: C (Pre-existing situation that affects project implementation and/or fulfillment of its objectives/targets).

Modalities 1 and 2	Assessment	Thematic Dimensions of Analysis				
		DT	TC	SE	BIO	MC
<b>C</b>	Be registered in CAR					
	The possibility of receiving a financial benefit through payment for environmental services may encourage abusive registration. There are overlaps with Indigenous Lands and other collective areas. There may be an increase in land disputes due to the interest in receiving PES.	X	X	X		
<b>O</b>	Encourages the environmental regularization of properties			X	X	

	Modalities 1 and 2	Assessment	Thematic Dimensions of Analysis				
			DT	TC	SE	BIO	MC
C	Have CAR validated	The number of validated CARs seems insufficient to implement Floresta+ in the required schedule. The achievement of the objectives of Floresta+ will depend on the capacity and interest of each of the States in accelerating the CAR validation process, as well as guaranteeing access to the CAR for potential project beneficiaries who, in principle, are not able to proceed with their registrations on their own.	X	X	X		
R	Respond to the Public Call Notice	The application process could be interpreted as too complex by a large part of the beneficiaries. Pre-existing discredit. Difficulty accessing the internet and lack of information. Less representation of women.	X		X		
P	Requires having a surplus of native vegetation above the RL (MOD1) or being in the process of recovering a Permanent Preservation Area (MOD2)	Encourages the implementation of LPVN. Promotes the expansion of the Legal Reserve area (MOD1) or the recovery of the Permanent Preservation Area (MOD2) Promotes surveillance and forest protection. Promotes family farming. It contributes to climate stability and enhances carbon sequestration capacity. Promotes the importance and appreciation of Environmental Services. Promotes environmental awareness of beneficiary populations			X	X	X
R	Payment of R\$250/year per hectare of surplus Legal Reserve area or R\$150/year per hectare of recovered APP	There is a risk that the amount paid will not be attractive to potential beneficiaries	X		X		
R	Have access to financial institution	The beneficiary population has low access to banking services.	X		X		
P	Receive payment	Improvement of the socioeconomic conditions of family farmers. Improved quality of life. It financially values the activity of environmental conservation and recovery.	X		X		
R		It can trigger conflicts for the financial resources made available by the project.	X	X	X		
R	Monitoring	Involve the SFB as well as competent state agencies. The organization, implementation and structuring of the monitoring process is unknown.	X			X	X
R	PES Continuity	The continuity of the project or the implementation of a permanent PES public policy for the region is not assured. This situation may encourage discredit on the Pilot Project.			X	X	X

#### 4.2.2 Mitigation and Improvement

The presentation of mitigation measures and improvements is based on the identified problems and opportunities. The mitigation and improvement measures for Modalities 1 and 2 are structured in the following Tables:

- Table 4-3 Gender mitigation measures for the problems identified in modalities 1 and 2;
- Table 4-4 Mitigation measures in matters relating to Indigenous Peoples and Traditional Peoples and Communities for the problems identified in Modalities 1 and 2.
- Table 4-5 Mitigation Measures for the problems identified in the Environment and Society themes in Modality 1: Conservation and Modality 2: Recovery.
- Table 4-6 Recommendations for opportunities identified in the Environment and Society themes in Modalities 1: Conservation and 2: Recovery.

4.2.2.1 Gender Action

Table 4-3 Gender mitigation measures for the problems identified in modalities 1 and 2.

Problem	Problem Description	Mitigation Measure Description	Measure Impact	Responsibility
<p>Exclusion of women from receiving Floresta+ benefits.</p> <p>Less representation of women among the beneficiaries</p>	<p>The distribution of financial incentives may not equitably represent the gender distribution, mainly since there is a lower representation of women among rural landowners and possessors.</p> <p>In the inclusion of beneficiaries, there may be a low participation of women among those who will receive payments and even participate in the Project as a whole, either in their actions or in their decision-making processes.</p>	<p><b>STUDY:</b> Survey of information about women owners or potential beneficiaries and those who actually adhere to Modalities 1 and 2, over the years of the Project, such as: municipalities in which they live, age group, race (ethnicity, if it is the case), type of family (to determine female single parenthood), number of children, profession, main source and amount of monthly income, access to electricity and internet (own or in a public place or from organizations/associations, etc.), if they have cell phone.</p>	<p>Increases knowledge about the context surrounding women's access to Modalities 1 and 2</p> <p>Leverage the project's benefits in promoting gender equity.</p> <p>Strengthens the possibility that at least 30% of the people benefited in these modalities are women.</p>	<p>PNUD and MMA.</p>
		<p><b>STUDY:</b> Map local organizations that work with a gender approach, churches, associations, women's movements and other entities that deal with potential women beneficiaries of the Project so that women can participate in the Project's activities, including clarification regarding documents necessary for adherence.</p>		
		<p><b>MANAGEMENT:</b> In the process of dissemination and adherence to modalities 1 and 2, provide specific strategies to reach as many women as possible, respecting the most appropriate times and places for the participation of women. This specific information can be disseminated with the support of local organizations, schools, churches, associations and other movements and collective meeting places.</p>		
		<p><b>MANAGEMENT:</b> Ensure that potential beneficiary women, including single-parent heads of household, could enroll in modalities 1 and 2. Adopt an active search strategy for adherence to the project by women, through partnerships with local organizations and even, whenever possible, door-to-door visit by project technicians to facilitate registration in the CAR and in the process of responding to the Public Call Notice.</p>		
		<p><b>MANAGEMENT:</b> Ensure that the Floresta+ membership forms always include the name of the woman who resides on the benefited property, whether she is the owner/possessor or not.</p>		
		<p><b>MANAGEMENT:</b> Establish as a gender strategy for finance, that the amounts are transferred to the women's bank account, in the case of married women, even when the beneficiary is a man, following the payment model of other public income transfer policies, such as Bolsa Família. This measure runs the risk of generating intra-family conflicts, which requires participatory evaluation and monitoring</p>		
		<p><b>MANAGEMENT:</b> In activities, whether for dissemination/clarification, community meeting for adherence or capacity building and training, ensure support and care for the children of all women mothers and caregivers, with due attention in the case of female heads of single-parent families.</p>		
		<p><b>COMMUNICATION:</b> Use communication strategies with women that call for the maintenance of the landscape (scenic part of the properties), to value cultural and leisure ecosystem services. Use of messages that women dialogue with the producers themselves, bringing the benefits and essence of the project, informing all processes, potentials and risks.</p>		

#### 4.2.2.2 Indigenous Peoples, Traditional Peoples and Communities

Table 4-4 Mitigation measures in matters relating to Indigenous Peoples and Traditional Peoples and Communities for the problems identified in Modalities 1 and 2.

Problem	Problem Description	Mitigation Measure Description	Measure Impact	Responsibility
The possibility of receiving a financial benefit through payment for environmental services may encourage abusive registration.	Existence of overlapping of individual CAR with Public Lands, Indigenous Lands and other collective areas occupied by family farmers and other PCTs. There may be an increase in land conflicts due to the interest in receiving financial incentives from Floresta+.	<b>STUDY:</b> Define state maps with exclusion areas for the application of Modalities 1 and 2 (PIPCT areas and other collective areas), based on data and information sources that already exist and that have been published prior to the analysis.	Avoid conflicts resulting from overlaps between beneficiaries of Modalities 1 and 2 and PIPCT territories.	PNUD
		<b>MANAGEMENT:</b> Not prioritizing areas with identified agrarian conflicts.	Avoid conflicts resulting from the implementation of Modalities 1 and 2.	PNUD

#### 4.2.2.3 Environment and Society

Table 4-5 Mitigation Measures for the problems identified in the Environment and Society themes in Modality 1: Conservation and Modality 2: Recovery.

Problem	Problem Description	Mitigation Measure Description	Measure Impact	Responsibility
The possibility of receiving a financial benefit through payment for environmental services may encourage abusive registration. There may be an increase in land conflicts due to the interest in receiving financial incentives from Floresta+.	Payment may be made to the wrong beneficiary, i.e. who is not the real squatter or owner.	<b>MANAGEMENT:</b> Strengthen mechanisms for verifying the identity of beneficiaries and their links with ownership or rural property from the pre-selection of candidates and during the monitoring period for the payment of new installments, when applicable.	Reduction of the risk of resource diversion and the discredit of implementing agencies towards society and the beneficiary publics.	PNUD, MMA, involve SEMAs
There is a risk that the amount paid is not attractive to potential beneficiaries.	A low adherence of the beneficiaries of these two Modalities could prevent Floresta+ Amazônia from fulfilling its objectives both in terms of the number of beneficiaries and the forest area.	<b>MANAGEMENT</b> - Map ongoing initiatives for recovery to other projects, federal, state and NGOs, to link the 2 F+ Modality to these areas, as a complement.	Allows the understanding of the suitability of the values provided for PES.	PNUD, MMA

Problem	Problem Description	Mitigation Measure Description	Measure Impact	Responsibility
	<p>It will lead to a devaluation of environmental services as an alternative for financial profitability of land use.</p> <p>Given the high transaction costs and, in certain locations, the high opportunity cost in modality 1 and maintenance costs in modality 2, squatters and owners may be less interested in joining the Project and, mainly, in permanence (following years of payment).</p>	<p><b>STUDY</b> – In the context of monitoring, carry out a sample study of the distribution of the Willingness to Receive – by region and profile of the beneficiary, considering that this is a Pilot Project. Generating subsidies for the revision of the value over the 4 years</p>		
<p>The number of validated CARs is very low and insufficient for a wide implementation of the Pilot Project in the Legal Amazon</p>	<p>The low number of validated CARs could act as a huge bottleneck to the implementation of Modalities 1 and 2. In fact, the number of validated CARs is insufficient to implement Floresta+ in the required schedule. The achievement of the objectives of Floresta+ will depend on the capacity and interest of each of the States in accelerating the CAR validation process, as well as guaranteeing access to the CAR for potential project beneficiaries who, in principle, are not able to proceed with their registrations on their own. This situation may cause a delay in the implementation of Floresta+, leading to an accumulation of the distribution of incentives in the last years of the Pilot Project.</p>	<p><b>PARTNERSHIPS:</b> Engage trade union organizations (FETAGRI, FAEA..) to support/promote registration in the CAR, providing Human Resources and technological means necessary to expand the number of validated CARs, especially in the stages after registration when interested parties must respond to Notifications.</p>	<p>Greater mobilization and participation of potential beneficiaries of Modalities 1 and 2</p>	<p>PNUD, involve union organizations</p>

Problem	Problem Description	Mitigation Measure Description	Measure Impact	Responsibility
	<p>Finally, the existence of a low number of validated CARs may lead to a less rigorous application of the eligibility criteria outlined in the MOP. Difficulty for potential beneficiaries to meet the criteria, notifications. Difficulty answering notifications. Approval of the legal reserve.</p>	<p><b>PARTNERSHIPS:</b> Support the State Secretariats of Environment and ATER to enable the inclusion of beneficiaries in SICAR and equivalent systems. Provide Human Resources and technological means necessary to increase the number of validated CARs; speed up the analysis process by the states for its validation and the communication and response process by the owners and squatters.</p>	<p>Greater registration and validation of CAR</p> <p>Greater mobilization and participation of potential beneficiaries of Modalities 1 and 2.</p>	<p>PNUD, MMA, involve SEMAs and SICAR</p>
<p>Difficulty for some potential beneficiaries to access the resources made available by the Floresta+ Pilot Project</p> <p>Some potential beneficiaries of Modalities 1 and 2 may be excluded from accessing the resources made available by the Floresta+ Pilot Project</p>	<p>The application process could be interpreted as too complex by a large part of the beneficiaries. Owners and squatters with lower levels of literacy (computers, administrative management) may feel incapable and be prevented from participating in Floresta+ Amazônia.</p>	<p><b>MANAGEMENT:</b> ensure that data is collected and recorded disaggregated by gender, age group, race and type of family.</p> <hr/> <p><b>MANAGEMENT:</b> Simplify the Floresta+ application process regarding the form of registration, necessary documentation, etc. Carry out joint efforts in the project's focus areas, for partner institutions to support the candidates. Provide means of analogue membership from the beneficiary's point of view.</p> <hr/> <p><b>MANAGEMENT:</b> Avoid making the application process for Floresta+ more complex. Create support points for registration of potential beneficiaries</p>	<p>Greater participation of potential beneficiaries of Modalities 1 and 2. Increases the equity of these two Modalities.</p> <p>Allows to fully understand the global universe of beneficiaries and develop mechanisms to extend to underrepresented social groups</p>	<p>PNUD, MMA</p>

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Problem	Problem Description	Mitigation Measure Description	Measure Impact	Responsibility
		<p>with the help of technicians. Simplification of forms.</p> <hr/> <p><b>COMMUNICATION:</b> Consider the illiteracy rate of the beneficiary population, including a potential gender focus, so that they have support from specialized technicians and adapt communication materials (podcasts, graphic reports, videos)</p> <hr/> <p><b>COMMUNICATION:</b> Establish periodic meetings to clarify possible doubts about the project's financial transfers.</p>		
	<p>Low internet access may make it difficult, and even prevent, the participation of potentially eligible beneficiaries.</p>	<p><b>STUDY:</b> Conduct a survey of the quality of internet access in the Legal Amazon, through a diagnosis with the Ministry of Communications Using a Registration Platform, having an offline mode helps not to rely completely on internet access. Community meeting that allows the use of the Internet by the Departments of the Environment.</p>	<p>Allows the understanding of the importance of good internet access in the geographic distribution of beneficiaries. Intervention in this issue provides greater participation by potential beneficiaries of Modalities 1 and 2. Increases the equity and geographic breadth of these two Modalities.</p>	<p>PNUD, MMA, involve telecommunications operators</p>
	<p>The beneficiary population has low access to banking services, which makes it difficult to regularize the payment of incentives.</p>	<p><b>STUDY:</b> Evaluate the target audience's adherence to emergency aid, also know about the Bolsa Família and other income distribution programs. <b>MANAGEMENT:</b> Find alternative solutions for direct payments to the farmer (Ex. Electronic Postal Voucher). Advise beneficiaries about the use of bank accounts or electronic postal voucher.</p>	<p>Greater participation of potential beneficiaries of Modalities 1 and 2. Increases equity in relation to the socioeconomic conditions of the beneficiaries of these two Modalities.</p>	<p>PNUD, MMA</p>

Problem	Problem Description	Mitigation Measure Description	Measure Impact	Responsibility
Monitoring the additional Legal Reserve area and the AAP recovered area is technically complex.	<p>The monitoring of Modalities 1 and 2 will involve the SFB as well as other competent state bodies. Need to establish in a clear and detailed way the organization, implementation and structuring of the monitoring process.</p> <p>Monitoring criteria – define the purposes of monitoring (of areas to link payment in the following year or qualify a little more, ecosystem gain, image).</p> <p>Ineffective monitoring of the results achieved with the Floresta+ Amazônia Pilot Project could lead the project into disrepute.</p>	<p><b>PARTNERSHIP:</b> In the initial implementation phase, define the organizations/institutions that will monitor the project and its guidelines.</p> <p><b>MANAGEMENT:</b> Precisely define the role of the competent state bodies.</p>	Ensures monitoring competence.	<p>PNUD, MMA, involve SFB, EMBRAPA and INPE</p>

Table 4-6 Recommendations for opportunities identified in the Environment and Society themes in Modalities 1: Conservation and 2: Recovery.

Opportunity Description	Recommendation Description	Recommendation Impact	Responsibility
<p>The requirement to have the CAR is the fulfillment of a legal requirement. These two Modalities encourage the environmental regularization of properties.</p>	<p><b>COMMUNICATION:</b> Convey to beneficiaries that the search for environmental regularization of their property may have benefits; disseminate Floresta+ among organizations representing small farmers and promote the engagement of young people and women. Awareness raising, information and clarification sessions with potential beneficiaries. Engagement of owners, possessors and entities that support the registry so that they strive to have their forest asset recognized. Mobilization of farmers and their organizations. Establish a wide dissemination system (booklets, folders, banners, sound car, radio) of the benefits of environmental regularization.</p>	<p>Greater mobilization and participation of potential beneficiaries of Modalities 1 and 2.</p>	<p>PNUD, MMA, involve SICAR, ATER and unions</p>
<p>Improvement of the socioeconomic conditions of family farmers. Improved quality of life. Strengthening of family farming.</p>	<p><b>PARTNERSHIPS:</b> Seek integration of the Floresta+ Amazônia Project with existing public policies to promote the strengthening of family farming through joint actions. Involve public agencies in the project to strengthen policies. E.g.: MAP, ATER etc. Inclusion of Rural Workers Unions.</p>	<p>Reciprocal strengthening of associated public policies and resource savings in the implementation of associated policies.</p>	<p>Articulation by the MMA with other government agencies</p>
<p>The implementation of the Floresta+ Amazônia Pilot Project results in a diverse set of benefits that should be publicized: It encourages the implementation of the LPVN; Promotes the conservation of the area of surplus native vegetation (MOD1) or the recovery of the Permanent Preservation Area (MOD2); Promotes forest surveillance and protection; Promotes the importance and appreciation of Environmental Services and their contribution to climate stability.</p>	<p><b>COMMUNICATION:</b> Publicizing project results to beneficiaries. Keep track of successful cases, giving relevance to cases involving women and young people. Promote short online videos, radio, podcasts. Good communication, making it clear that the financial resources that are coming are the result of a historic contribution from the beneficiary groups; Environmental education reinforcing that harmonious action with nature/forest in the future can bring new resources/projects. Throughout the process, make it clear that the reason for payment is environmental services to leverage other initiatives. Throughout the implementation of the entire Project, explain the importance of the forest for local and global climate stability. Good communication, making it clear that the financial resources that are coming are the result of a historic contribution from the beneficiary groups.</p>	<p>Extends the successful implementation of Modalities 1 and 2. Favors the continuity of practices promoted by Conservation and Recovery. Informs beneficiaries of the global relevance of the initiative.</p>	<p>PNUD, MMA</p>

### 4.3. MODALITY 3: COMMUNITIES

#### 4.3.1 Environmental and Social Impacts

##### 4.3.1.1 Transversal Rights

In assessing the impacts of Modality 3 of the Floresta+ Amazônia Project, it is not possible to fully distinguish the effects related to “transversal rights” from the “territories and cultures” and “livelihoods” dimensions. That is why it is important to state that the project must:

- Guarantee collective rights for indigenous peoples and traditional communities;
- Observe gender equality when implementing projects in beneficiary communities;
- Contain strategies to reduce land or other conflicts that disturb the peace and secure life of communities; and
- Not to harm the development and maintenance of traditional cultures and the access of these populations to natural resources, their ecosystem and environmental services, which are directly related to their ways of life.

The strengthening of indigenous peoples, traditional and extractivist communities and the organizations that represent them could be an important positive impact of the Floresta+ Amazônia Pilot Project.

From the point of view of the possible negative effects arising from the Project in this modality and regarding the dimension of "transversal rights", the context problems of low institutional capacity are again highlighted, in this case verified by the difficulties with the demarcation of land and regularization of the territories in question. The changes observed in the legal frameworks for land and environmental regularization in the country led to 1) the registration of rural properties in the CAR with dimensions larger than the real ones and 2) the overlapping of areas of properties and possessions with conservation units, rural settlements and areas of indigenous peoples and traditional peoples and communities. The possible default or some administrative irregularity on the part of organizations, which do not always have the material and human resources to meet all the bureaucratic requirements for government projects or other public interest projects, represents a difficulty in the context in which the project will be implemented.

Still as a context problem, the lack of security in the lives and territories of indigenous and traditional populations stands out, with difficulties in being “rescued and protected” by governmental bodies. Any type of conflicts and disputes around forest areas may represent pressure and insecurity for indigenous territories and traditional communities.

Uncontrolled forest fires can generate conflicts in these territories. Considering the objective of preservation or even recovery from the project approved for the community, fires started in nearby areas can enter the project's preservation area, which can generate conflict in the community, in addition to loss of environmental and social benefits achieved, and financial resource invested by the project. Other relevant issues are addressed in the assessment of the “Territories and Cultures” dimension of analysis.

The potential to finance projects, through Modality 3 of Floresta+, which promote the best conservation results and which are supported by Territorial and Environmental Management Plans, gives this Modality a unique guarantee (not existing in the other Modalities) of being collectively legitimized. Thus, the project can be the result of a strong involvement and mobilization of the community to think, collectively, about how to organize, use and guarantee the maintenance of the territory. These actions define the way each community relates to the land, both in its material and symbolic perspective. And it is the support for this self-management of its own territory that ensures the maintenance of traditions, social organization, for the generation of income and for the sustainability of these spaces, avoiding

impacts, especially environmental, that could compromise extractivism and family farming (N'Golo, 2020).

However, the invasion of indigenous lands, as well as the increase in conflicts and violations of territorial rights of the PCT are a serious threat to the "Transversal Rights", to the "Territories and Cultures" and to the "Livelihoods" of these communities, as well as to the communities as well as to Biodiversity and Climate Change themselves. The Floresta+ Amazônia Pilot Project can leverage synergies and become a barrier to threats of invasion of TI and quilombola territories or other peoples and communities that are not regularized. Modality 3 can speed up regularization processes, promote the construction of collective projects and promote ethno-development in these territories, as well as strengthen territorial surveillance and attract new investments.

### 4.3.1.2 Territories and Cultures

The Floresta+ Amazônia Pilot Project in Modality 3 has as a positive impact the possibility of implementing local projects in addition to the promotion of Environmental Services, since its implementation is intended to promote a greater portion of protection of collective use forest. The implementation of the Floresta+ Pilot Project in Modality 3 is perceived as promoting the strengthening of traditional communities, with the recognition of cultural diversity and specific forms of cultural, social, religious, ancestral and economic reproduction, occupying and using their traditional territories.

A positive aspect may result from the inclusion of actions aimed at improving the quality of life of PIPCT, with the demand for new agro-ecological production technologies and base for other economic activities, such as tourism in its various modalities (rural, sustainable, of adventure and others) for the promotion of protected areas - for example in Sustainable Use Conservation Units. These actions arising from the implementation of collective projects tend to promote sustainable production and the strengthening of PIPCT social movements, especially the women's movement.

As important as identifying the positive impacts is identifying the opportunities that the Floresta+ Project can favor. In this sense, it is important to consider the potential of partnerships, with the involvement of partner entities with organizations representing the PIPCT. This will enable the presentation of co-built proposals in the selection of projects with the beneficiaries of the Floresta+ Amazônia Pilot Project, promoting a relationship of trust between the community and the partner institution. The process can gradually alleviate the lack of technical capacity in the administrative-financial area, in addition to promoting the cultural diversity of specific territories.

It is important to point out that this is the only Modality of the Floresta+ Amazônia Pilot Project that, within the scope of the consultations carried out, generated more perceptions of the Project's negative impacts, namely on indigenous peoples and on traditional peoples and communities. One of these negative impacts is the perception of the PIPCT that the Project's governance fails to guarantee the comprehensive, autonomous and informed participation with equality of indigenous peoples and traditional communities, who can and should participate without the "tutelage" of third parties. This is a negative impact on the participation and autonomy of the PIPCT in the project, who do not want to be mere "receivers" of these projects.

There is the negative perception that the project has a unidirectional and vertical model, implemented by the Brazilian State to persuade and convince the PIPCT to adopt the ideas and points of view of being just a project with the purpose of commodifying forests. In the perceptions of representatives and leaders of the PIPCT, during the participatory workshops, this problem will be accentuated if there is no commitment to carry out the consultations (Free, Prior and Informed Consent), since Decree No. 5051/2004 that promulgated the ILO Convention 169 has provisions that support these instruments.

As for the negative effects, it is verified in the context problems, that many of these collective territories, for the most part, are in rural areas. These areas are often difficult to access and lack means of communication, such as the internet. Thus, access to information and knowledge about the Floresta+

Amazônia Pilot Project is compromised. As mentioned in the participatory workshops, access to the internet and WhatsApp only works at municipal headquarters, and this fact may make it impossible to access the Call Notice and the mobilization of partner entities of these organizations.

Context problems can compromise the fulfillment of Modality 3's general objective, which is to support the implementation of projects that aim to strengthen environmental and territorial management due to the lack of knowledge on the part of the public authorities of the great diversity of beneficiaries in the Legal Amazon. This great diversity translates into traditional forms of social organization, decision-making and demands.

Another context problem is the lack of land title regularization in the traditionally occupied territories. The problem faced within the Conservation Units is the lack of a Management Plan, an instrument that aims to fulfill the objectives established in its creation, among other actions as a prerequisite for the sustainable use of extractivist communities. It is observed that the problem is aggravated by the lack of environmental registration of the territories of usufructs of traditional peoples and communities. This is because the lack of land and environmental regularization increases the risks of violence, compromising the safety of these populations and violations of their territorial rights.

Another risk that is worth highlighting is the potential lack of commitment in the stages of dialogue with PIPCT about potential PRs, priority areas and support needs, which may result in a great cultural impact due to the diversity of beneficiaries included in Modality 3. Other risks identified were not presenting feasible proposals, since organizations may be poorly prepared for project management: many of these organizations are in default and the probable documental requirement for these organizations' applications with the project can become a complex process.

Finally, it is worth mentioning the risk related to the monitoring mechanisms of the Floresta+ project, guaranteeing the beneficiary communities that they will act in a participatory manner, in addition to the fact that no instrument has guaranteed the continuity of the project in these territories.

### 4.3.1.3 Livelihoods

The Floresta+ Amazônia Pilot Project brings as a positive impact to traditional peoples and communities the possibility of partially meeting the need to implement new technologies that cover both the productive field and the process of preservation and control of deforestation in the territories of traditional and quilombolas communities.

The project will provide the possibility of implementing qualification courses for traditional populations, which can help improve the productive process and the well-being of the community, among which include agroecological and organic production, quality courses in minimal processing agricultural products and plant extraction, forest fire control and monitoring of local deforestation, among the various areas of knowledge and according to the needs of the communities.

However, conflicts may be initiated or even intensified because of what has already been mentioned regarding the overlapping of land owned by rural producers on land belonging to traditional populations, if there is no adequate control in validating the CAR in areas bordering the territories of the traditional populations.

Another aspect to be observed is related to the application of the resource, since within the community, project planning can more significantly benefit some families over others, generating conflict of interests and social divisions.

Finally, an important negative impact is perceived by the Floresta+ Project's low recognition of the role of the PIPCT, promoting an inequality of resources between Modalities. This impact comes from the fact that the Floresta+ Project directs only 10% of the total funding directly to Modality 3.

### 4.3.1.4 Biodiversity

Modality 3: Communities has the general objective of supporting the implementation of local projects aimed at strengthening environmental and territorial management in the territories of indigenous peoples and traditional peoples and communities.

These local projects can cover several domains: environmental conservation actions, recovery of degraded areas, agro-ecological production, surveillance and territorial protection, etc.

Actions for environmental conservation and recovery of degraded areas will promote the conservation/recovery of areas with native vegetation, thus contributing to the Native Vegetation Protection Law. This aspect will have a positive impact on biodiversity as more area of habitat will be preserved/recovered. Projects related to surveillance and territorial protection may also contribute to this objective, as this will prevent/minimize illegal deforestation or even other types of activities that are harmful to the preservation of species, such as illegal hunting and fishing, for example.

Supporting these communities for agroecological production will also benefit the environmental quality of ecosystems and inherently the preservation of biodiversity, as pesticides will not be used in agricultural production, thus reducing the contamination of the food chain.

Similarly, the previous modalities, Modality 3 also defines criteria for prioritizing local projects, and it is worth highlighting in the context of this evaluation the criteria for prioritizing regions. In this case, the criterion of prioritizing projects that, being in recognized collective territories or in sustainable use UCs in which local communities hold an Ownership Right of Use concession contract are in 'priority areas for biodiversity conservation,' sustainable use and benefit-sharing of Brazilian biodiversity or priority areas for biodiversity and restoration of native vegetation' (as per MMA Ordinance No. 463 of December 18, 2018). This criterion focuses on intervention in areas that are important for biodiversity, thus avoiding the dispersion of funds in less relevant areas, promoting a more consistent biodiversity protection policy. However, the fact that the continuity of the PES project is not guaranteed may pose a risk to the maintenance of some of the implemented projects.

### 4.3.1.5 Climate Change

The work areas eligible for support through Modality 3, except for the promotion of environmental conservation and the recovery of degraded areas, do not have a direct relationship with climate change. However, there does not seem to be any contradiction, even if apparent, between the eligible areas and the objectives of preventing climate change, both in terms of mitigation and adaptation.

Unlike Modalities 1 and 2, which have a territorial metric (hectares), Modality 3 aims to support up to 64 local projects, which prevents the development of carbon balance estimates resulting from the implementation of Modality 3.

In these circumstances, the potential impact of Modality 3 on Climate Change is considered of indefinite magnitude, but with a positive trend. It is considered that there is a clear opportunity to enrich the consequences of the implementation of this Modality, incorporating the theme of Climate Change in the scope covered.

### 4.3.1.6 Summary of Impact Assessment

Modality 3 is characterized by presenting a certain balance between positive and negative effects, as can be seen in Table 4-7. The implementation of the Floresta+ Amazônia Pilot Project in Modality 3 is perceived as having a positive impact both for the communities and for the environment of their territories. Furthermore, the project creates opportunities to establish partnerships between organizations, strengthen the PIPCTs and their representative entities, and promote cultural diversity in the territories.

On the other hand, the dialogue with the PIPCT may face problems arising from the lack of knowledge of the great diversity of beneficiaries and the opportunities that exist in the territories, the low institutional capacities and coordination of strategic and operational actions between federated entities to establish priority areas. Another unfavorable risk may arise in the process of submitting proposals by organizations, as they may be poorly prepared for complex applications and may be in default with the rendering of accounts for previous projects and activities. In this modality, a certain negative effect is also observed, as the continuation of the Floresta+ Amazônia Pilot Project is not foreseen.

Table 4-7 Analysis of the effects of the Floresta+ Amazônia Pilot Project according to the actions necessary for the operationalization of Modality 3.

(DT – Transversal Rights, TC – Territories and Cultures, SE – Livelihood, BIO – Biodiversity and MC – Climate Change). Project effects: Positive impact: P (project promotes a direct benefit); Negative Impact: I (the project promotes the occurrence of damage); opportunity: O (fosters circumstances favorable to the realization of a possible benefit); Risk: R (fosters circumstances favorable to the occurrence of possible damage); Context Problem: C (Pre-existing situation that affects project implementation and/or fulfillment of its objectives/targets).

	Modality 3 – Communities (Phases)	Assesment	Thematic Dimensions of Analisis				
			DT	TC	SE	BIO	MC
R	Dialogue with PIPCT on potential PRs, priority areas and support needs	Cultural impact Great diversity of beneficiaries	X	X			
O	Pre-qualification of Responsible Parties (PR)	Promotes the creation of partnerships between organizations	X	X		X	
C	Call Notice	Difficulty accessing the internet Lack of information	X	X			
C	Expression of interest from CSO/NGO	Difficulty accessing the internet Lack of information		X			
O	FPIC process and detailing of local projects and their respective work plans	Strengthening of traditional peoples and communities. Strengthening of indigenous peoples. Strengthening of representative organizations. Strengthening of extractivism	X	X	X		
R	Submission of proposals for local projects	Poorly prepared organizations. Application complexity	X	X			
O	Selection of local projects proposals	Promotes cultural diversity in territories	X	X			
R	Establishment of contractual relationship	Default by organizations.		X	X		
P	Implementation of local projects	Encourages the implementation of LPVN Promotes Environmental Services Promotes forest protection Improved quality of life. Promotes sustainable production Promotes security Strengthening women's movements	X	X		X	X
R	Monitoring	Need to establish in advance the monitoring mechanism of the Floresta+ project, guaranteeing the beneficiary communities the knowledge of how the monitoring will take place.	X	X	X	X	X
R	Project continuity	Project continuity is not assured	X	X		X	X

### 4.3.2 Mitigation and Improvement

The presentation of mitigation measures and improvements is based on the identified problems and opportunities. Mitigation and improvement measures for Modality 3 Communities are structured in the following Tables:

Table 4-8 Gender mitigation measures for the problems identified in Modality 3.

Table 4-9 Mitigation measures in matters relating to Indigenous Peoples and Traditional Peoples and Communities for the problems identified in Modality 3.

Table 4-10 Recommendations for opportunities in matters relating to Indigenous Peoples and Traditional Peoples and Communities for the problems identified in Modality 3.

Table 4-11 Recommendations for opportunities related to the Environment and Society topics identified in Modality 3: Communities.

4.3.2.1 Gender Action

Table 4-8 Gender mitigation measures for the problems identified in Modality 3

Problem	Problem Description	Mitigation Measure Description	Measure Impact	Responsibility
<p>There is a risk that women will be under-represented, and the project will perpetuate rather than address gender inequalities.</p>	<p>Reduced participation of women in decision-making processes in the different spheres of planning and project execution at the local level.                      If there is an under-representation of women, projects supported by Modality 3 may not respond to women's concerns or problems. The fact that they are indigenous women or traditional communities (eg quilombolas) may reveal a double vulnerability that must be taken care of.</p>	<p><b>MANAGEMENT:</b> Having the participation of women in the technical implementation team (management team, consultants, local service providers) as one of the prioritization criteria in the selection of projects.</p> <hr/> <p><b>MANAGEMENT:</b> Having as one of the prioritization criteria in the selection of projects, projects that promote actions for gender equity.</p> <hr/> <p><b>MANAGEMENT:</b> FPIC general and local guidelines and other measures of consultation procedures should ensure the meaningful participation of women in the community and its organizations.</p>	<p>Promotes gender equity in the projects supported by Modality 3.</p>	<p>PNUD, MMA</p>

4.3.2.2 Indigenous Peoples, Traditional Peoples and Communities

Table 4-9 Mitigation measures in matters relating to Indigenous Peoples and Traditional Peoples and Communities for the problems identified in Modality 3.

Problem	Problem Description	Mitigation Measure Description	Measure Impact	Responsibility
Management of this modality can be particularly complex due to the great cultural diversity of beneficiaries.	Cultural impacts may occur between the management of the Pilot Project and the various communities benefiting from Modality 3. The type and magnitude of these potential impacts will vary according to the cultural characteristics and socio-environmental framework of each community. The monetization of Nature (Forest) may conflict with the worldviews of some communities.	<p><b>MANAGEMENT:</b> Execution of consultations in compliance with the General and Local FPIC Guidelines (provide general guidelines and do not create a specific document). Structure the FPIC at all stages to detail these queries, with control and verification. Provide verification measures: Adopt reporting measures for this process and a term of consent by the communities. Need for deeper debate with communities about the Project. Analyze the consultation protocols of traditional and quilombola communities. Ensure that the Responsible Parties and the Project represent the interest of the community. Helping (funding) traditional communities, quilombolas and indigenous peoples without protocols to develop their own consultation protocols. Creation of a study and information group between PIPCT in a network to support the elaboration of consultation protocols.</p>	Responds to the legal requirements of FPIC. Reduction of cultural impacts on PIPCT.	PNUD, MMA, FUNAI and responsible parties
		<p><b>MANAGEMENT:</b> Hiring local/community professionals for specific activities within the PIPCTs (consultation, communication, preparation of proposals, punctual consultancies, etc., for modality 3).  Training of indigenous and quilombola technicians within the community to continue activities.  Training of PIPCT staff in a regionalized network for the training of technicians</p>	Prevents the existence of communication problems with the PIPCT.	PNUD in coordination with the responsible parties.
		<p><b>PARTNERSHIPS:</b> Provide transparency mechanisms for the selection of projects to be supported, defining together with the organizations (co-construction) criteria for project selection and prioritization based on the most important indicators in these locations.</p>	Increase project transparency and good governance, as well as social inclusion	PNUD with organizations representing the PIPCT
		<p><b>MANAGEMENT:</b> Provide for the participation of PIPCT representatives in the committees that will select the proposals</p>	Allows the integration of the worldviews of the communities into the project selection criteria.	PNUD and MMA

Problem	Problem Description	Mitigation Measure Description	Measure Impact	Responsibility
	Poorly prepared organizations. Default by organizations.	<b>PARTNERSHIPS:</b> Support PIPCT representative entities to adapt in administrative terms to be beneficiaries (applies to the entire process). The project can provide for administrative, accounting and legal advisory training, etc. to partner entities (more structured organizations) to support traditional communities).	Expand the number of more experienced, more prepared, more qualified organizations.	PNUD and MMA in coordination with Responsible Parties
		<b>MANAGEMENT:</b> The technical team that monitors administrative and contractual issues of the supported projects must periodically check the degree of default with the organizations so that they are not surprised with problems of this order only in the final rendering of accounts for the projects.	Reduce the incidence of defaulting organizations	PNUD
Difficulties for PIPCT to access Modality 3. Some organizations representing the PIPCT may be excluded from accessing Modality 3	Application complexity	<b>MANAGEMENT:</b> Establish the application process as simplified as possible, so that formal issues do not impede access to the Floresta+ Project in this modality.	Greater participation from communities. Streamlining the application process	PNUD, MMA
		<b>STUDY:</b> Conduct a survey of the quality of internet access by organizations that express interest. Consult the States to see the internet status in the locations of interest.	Allows to foresee the occurrence of problems during the implementation of Modality 3.	PNUD, MMA in articulation with telecommunications operators
	Difficulty accessing the internet	<b>PARTNERSHIPS:</b> Consolidate partnerships with the State Departments of Environment so that in these institutions it may be possible to deposit the organizations' proposal and sent it to the MMA for consideration. Promote local monitoring of FUNAI, MP and ICMBIO.	Promotion and streamlining of the process.	PNUD and MMA, in conjunction with local partners (SEMAs, ICMBio, Funai)
		<b>MANAGEMENT:</b> provide for partnerships with local institutions and use the local infrastructure to carry out this mobilization (school boat, secretariat, etc.). Use the Grievance Mechanism (to clear up queries) that is already operational.	Promotion and streamlining of the process.	UNDP and MMA, in conjunction with local partners (SEMAs, ICMBio, Funai)

Table 4-10 Recommendations for opportunities in matters relating to Indigenous Peoples and Traditional Peoples and Communities for the problems identified in Modality 3.

	<p><b>COMMUNICATION:</b> Dissemination of the call in mass media during business hours, calling organizations to compete for the notice. Use tools such as podcasts, graphic reports, videos to communicate with PIPCT and organizations. Also include this communication on social networks (Instagram, Facebook, YouTube and others), as well as, through WhatsApp, when representatives go to municipal offices, they have access to these disclosures. For areas without internet access (pamphlets and other physical media), distributed in schools and other local posts.</p>	<p>Promotion and greater dissemination of Modality 3. Enlargement of the universe of participating communities.</p>	<p>PNUD and MMA, in articulation with APIB and FUNAI, CONAQ, Quilombola State Organizations, Indigenous Organizations, etc.</p>
<p>Catalyze the participation of PIPCT organizations.</p>	<p><b>COMMUNICATION:</b> Establish a Communication Plan aimed at PIPCT, considering the specificities of these peoples and communities. Use tools such as podcasts, graphic reports, videos to communicate with PIPCT and organizations, websites, illustrative booklets for rural areas with difficult access to the internet, WhatsApp groups and social networks to be broadcast. NOTES: be careful in the preparation (Communication Plan) of this information, establish dialogue channels (e.g., social networks and others), identify local leaders and representatives, individuals (network), ensuring its transfer to communities and establish which communication channels will be used for doubts, recommendations and others, with the PIPCTs Organizations to make the dissemination.</p>	<p>Prevents the existence of communication problems with the PIPCT.</p>	<p>PNUD, MMA, FUNAI, PIPCT Organizations</p>
<p>Need to establish in advance the monitoring mechanism of the Floresta+ project, guaranteeing the beneficiary communities the knowledge of how the monitoring will take place.</p>	<p><b>PARTNERSHIPS:</b> Participation of communities in monitoring activities of local projects (CBM - Community based monitoring)</p>	<p>Empowerment of local groups and youth engagement</p>	<p>PNUD, MMA, ICMBIO</p>

### 4.3.2.3 Environment and Society

Table 4-11 Recommendations for opportunities related to the Environment and Society topics identified in Modality 3: Communities.

Opportunity Description	Recommendation	Recommendation Impact	Responsibility
<p>The Floresta+ Amazônia Pilot Project promotes the creation of partnerships between different organizations. These partnerships must be strengthened for other future projects.</p>	<p><b>MANAGEMENT:</b> Provide technical support for the pre-qualification of responsible parties. <b>STUDY:</b> Linked to the dialogue process, provide for an analytical pre-diagnosis of organizations that can compete for PR, territories covered, thematic areas in which they work, among other information.</p>	<p>Promotion and streamlining of the implementation of Modality 3. Promotion and streamlining of the process.</p>	<p>PNUD  PNUD, FUNAI, ICMBIO</p>

## Environmental and Social Management Plan

Opportunity Description	Recommendation	Recommendation Impact	Responsibility
Promote the importance and appreciation of Environmental Services.	<b>COMMUNICATION:</b> Throughout the process, make it clear that the reason for financing the projects is environmental services to leverage other initiatives.	Enhances the successful implementation of Modality 3. Favors the continuity of the practices promoted by Floresta+ Amazônia.	PNUD, MMA
Strengthening sustainable plant and animal extractivism	<b>PARTNERSHIPS:</b> Study, identify bottlenecks and opportunities to structure sustainable production chains between beneficiary projects. <b>PARTNERSHIPS:</b> Provide support from the Secretariats of Indigenous Peoples and Black Representations and promote racial equality.	Expands the successful implementation of Modality 3. Creates synergies between projects and promotes relationships between communities.	PNUD
	<b>MANAGEMENT:</b> Encourage sustainability projects in traditional communities and agroecology, such as: productive backyards, vegetable gardens, agroforestry systems and artisanal fishing, management of wild animals (turtles, pirarucu and others).	Improve the food and nutrition security and sovereignty of communities and the conservation of agrobiodiversity, as well as the economic part of these communities.	PNUD, MMA, Responsible Parties, in conjunction with IBAMA, SEMAs and State Supervisory bodies
	<b>PARTNERSHIPS:</b> Encourage support from local organizations to follow up, regulations, technical support to assist in the sustainability of these community projects.	Enhances the successful implementation of Modality 3. Favors the continuity of the practices promoted by Floresta+ Amazônia.	PNUD and MMA
As a Project with "Pilot" characteristics, it is important to ensure the conditions that allow the continuity of the Project	<b>PARTNERSHIPS:</b> Promote the engagement of public bodies (SEMA and others) throughout the implementation of the Project so that they can become public policies and guarantee the continuity of the project.	Promotes the continuity of environmental services. Facilitates the transition from Pilot Project to Project and Program in the future	PNUD, MMA, SEMAs
	<b>MANAGEMENT:</b> After the final evaluation of the Floresta+ Pilot Project, prepare a specialized report on the beneficiary projects, in order to establish a bank of good practices that can be replicated.	Expands project results.	PNUD, MMA, others
	<b>MANAGEMENT:</b> Outline a monitoring strategy for supported territories, after the completion of the Project's actions by the MMA.	Expands project results.	PNUD, MMA, others

### 4.4 MODALITY 4: INNOVATION

#### 4.4.1 Environmental and Social Impacts

##### 4.4.1.1 Transversal Rights

The participatory process carried out with this consultancy revealed that Modality 4 Innovation generates significant expectations of positive social impacts on stakeholders. Such expectations must be prevented in the context of communication and other engagement actions, through which society can be broadly enlightened about what results to expect. This analysis applies to the dimensions of “cross-cutting rights”, “territories and cultures” and, to some extent, to “economic livelihoods”.

Concretely, positive impacts are expected as a result of fostering the equal participation of women in activities related to all axes of Modality 4, as members of the financed projects' teams and as beneficiaries of these same projects. This modality may also result in the expansion of the presence of women in the so-called innovation and technology ecosystems, both directly in the financed projects as mentioned, and in capacity building and training activities that can contribute to the qualification of women and girls in the issues involved.

Finally, among the expected results, as indicated in the MOP of this Modality, the one that most relates to the transversal rights analyzed consists of the foreseen “technological solutions to promote basic services are supported, creating opportunities to integrate communities and individuals in situations of greater vulnerability to PES systems” (MOP1.2-July 2021).

##### 4.4.1.2 Territories and Cultures

Another expected result from the implementation of Modality 4 Innovation is the development of innovations aimed at consolidating the market for Payment for Environmental Services. Thus and for the dimension "territories and cultures", Modality 4 Innovation may represent a significant opportunity to integrate communities to PES systems, in order to impact both their quality of life and their income generation possibilities, as they can become environmental service providers.

Furthermore, there is an opportunity to involve these most vulnerable communities in the innovation process. According to MOP 1.2, Modality 4 will be able to aggregate and articulate the population of territories around potential innovations and scalable and replicable technologies given its broad target audience: companies and entrepreneurs, with a focus on innovation and on scalable and replicable business models (Startups); cooperatives and associations of producers and extractivists; private and public research and innovation institutions; NGOs/CSOs focusing on innovation MOP1.2.

##### 4.4.1.3 Livelihoods

Considering the socioeconomic difficulties of a significant portion of the population of the Legal Amazon, as analyzed in the ESIA, Modality 4 Innovation represents an opportunity to boost the local economy by focusing its general objective on creating and consolidating the market for environmental services, developing innovative actions for conservation, recovery and sustainable use of native vegetation. Technological and innovative solutions for the consolidation of the market for Payment for Environmental Services can bring good sustainable business opportunities to the region, attracting potential payers of national and international environmental services that contribute to the monetary valuation, and not only, of the environment and consequently providing, as has been said, a new source of income to the region's population.

Partnerships with public institutions such as universities, to enhance traditional knowledge in the preservation and sustainable use of natural resources and in the improvement of techniques for preservation, control and recovery of vegetation. The Pilot Project tends to create innovative conditions

for the environmental services market to remain and even expand even when the project ends, as it is a strategic project for the experimental implementation of the recent National Law for Payment for Environmental Services (Law No. 14,119, of January 13, 2021).

### 4.4.1.4 Biodiversity

Modality 4 Innovation, through the development of innovative solutions and new businesses related to the conservation, restoration and sustainable use of native vegetation, will generate favorable opportunities for the preservation of Amazonian biodiversity.

Among the four Modalities of Floresta+, this will be the modality with the least interference with biodiversity, with no direct negative or positive impacts being expected.

### 4.4.1.5 Climate Change

Modality 4 aims to promote the creation and consolidation of the environmental services market. This Modality will sponsor 20 projects to support the improvement and adoption of innovative instruments for public policies related to the conservation of native vegetation, through Payments for Environmental Services

As in the case of Modality 3, it is not possible to develop estimates of the carbon balance resulting from the implementation of Modality 4. Also, in this case, there does not seem to be any contradiction, even if apparent, between the objectives and expected results with Modality 4: Innovation with the objectives of preventing climate change, both in terms of mitigation and adaptation.

In these circumstances, the potential impact of Modality 4: Innovation in Climate Change is considered of indefinite magnitude, but with a positive trend.

### 4.4.1.6 Summary of Impact Assessment

It should be noted that, in an integrated analysis of all Modalities of the Floresta+ Amazônia Pilot Project and given the fruitful discussion accumulated throughout the initial process of dialogue with stakeholders, Modality 4 will be able to foster projects that support the implementation and monitoring of the other modalities, at the same time that it can fulfill its previously established objectives, related to the innovative character and promotion of quality of life in the Legal Amazon through technologies, digital or not. It is notoriously a modality with positive potential for opportunities.

Table 4-12 Analysis of the effects of the Floresta+ Amazônia Pilot Project according to the actions necessary for the operationalization of Modality 4.

(DT – Transversal Rights, TC – Territories and Cultures, SE – Livelihood, BIO – Biodiversity and MC – Climate Change). Project effects: Positive impact: P (project promotes a direct benefit); Negative Impact: I (the project promotes the occurrence of damage); opportunity: O (fosters circumstances favorable to the realization of a

possible benefit); Risk: R (fosters circumstances favorable to the occurrence of possible damage); Context Problem: C (Pre-existing situation that affects project implementation and/or fulfillment of its objectives/targets).

	Modality 4 Innovation (Stages)	Assessment	Thematic Dimensions of Analysis				
			DT	TC	SE	BIO	MC
O	Dialogue with potential Specialist Institutions and potential technical partners	Allows to know potential beneficiary organizations and their experiences/good practices.	X	X		X	X
O	Selection of Responsible Parties (PR)	In the Project's governance process, it promotes the participation of organizations.	X				
P	Presentation of proposals for Innovation Projects	It promotes the integration of organizations that own or develop innovations and technologies with the final recipients of their projects. It encourages partnerships between innovative organizations and the local community. Involve a diversified target audience, such as: Entrepreneurial companies (Startups); cooperatives and associations of producers and extractivists; Private and public research and innovation institutions; NGOs/CSOs, with a focus on innovation.	X	X		X	X
O	Selection of proposals for innovation project	Allows assessment of the innovative potential of the proposals. Allows projects of this modality to be useful for the implementation of other Modalities.		X		X	X
O	Implementation/development of innovation projects	Encourages the implementation of technologies for forest conservation and recovery, that is, it relates to modalities 1 and 2. Strengthens technologies that have already been used occasionally for territorial expansion of their use. Improved quality of life. Promotes sustainable production. Strengthening the participation of women in project teams and as project recipients. Encourages multiplication and exchange regarding innovative technologies.	X			X	X
O	Monitoring	It can foresee, among the innovation projects, the development of a monitoring mechanism mediated by digital or non-digital technology. Makes it possible to integrate the different dimensions of risks (transversal rights, territories and cultures, livelihoods, biodiversity and climate change) in the same monitoring tool.	X	X	X	X	X

#### 4.4.2 Mitigation and Improvement

The presentation of mitigation measures and improvements is based on the identified problems and opportunities. The mitigation and improvement measures for Modality Innovation are structured in the following Tables:

- Table 4-13 Gender mitigation measures for the problems identified in Modality 4
- Table 4-14 Recommendations on gender issues for opportunities identified in Modality 4
- Table 4-15 Mitigation measures in matters relating to Indigenous Peoples and Traditional Peoples and Communities for the problems identified in Modality 4

## **Environmental and Social Management Plan**

- Table 4-16 Mitigation Measures for the problems of the Environment and Society themes identified in Modality 4: Innovation.
- Table 4-17 Recommendations for opportunities in the Environment and Society themes identified in Modality 4: Innovation.

4.4.2.1 Gender Action

Table 4-13 Gender mitigation measures for the problems identified in Modality 4: Innovation.

Problem	Problem Description	Mitigation Measure Description	Measure Impact	Responsibility
There is a risk that women are not equally represented among those directly benefiting or involved in other functions of implementing Modality 4.	Given the already recognized low participation of women in processes associated with innovation ecosystems, in the absence of an affirmative measure, the project will be able to reproduce this general trend, thus contributing to widening gender inequalities. If there is an under-representation of women, projects supported by Modality 4 may not respond to women's concerns or problems.	<b>MANAGEMENT:</b> Ensure specific eligibility criteria for selecting implementing partners and specific eligibility criteria for selecting beneficiaries, in all Axes of the Modality Innovation, to promote the participation and leadership of women in the project team and enable women to be direct beneficiaries of equity projects with benefited men, in all Modality Innovation Axes.		
		<b>MANAGEMENT:</b> Encourage the participation of women in innovation programs (ideation, origination, incubation and acceleration – axes 1 to 3). Direct campaign for women to participate in marathons. Include gender criteria (% participation of women in teams and/or leaders) in stakeholder proposals.	Promotes gender equality in Specialist Institutions and in project outcomes.	PNUD, MMA and Specialist Institutions
		<b>MANAGEMENT:</b> Strengthen women as project recipients: 1) Justify in the innovation project proposals the impacts on the ability to solve problems that affect the lives of women and children. 2) Encourage the participation of young people in general in modality 4, adopting actions to involve young women in particular. 3) Establish a minimum percentage to promote the inclusion of women in Modality 4 actions, as well as in the organizations involved in its implementation.		

Table 4-14 Recommendations on gender issues for opportunities identified in Modality 4: Innovation.

Opportunity Description	Recommendation Description	Recommendation Impact	Responsibility
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Encourage partnerships between innovative organizations and the local community.

Promote the integration of organizations that own or develop innovations and technologies with the final recipients of their projects.

Involve a diverse target audience, such as: Entrepreneurs and companies focused on innovation (Startups); Cooperatives and associations of producers and extractivists; Private and public research and innovation institutions; NGOs/CSOs, with a focus on innovation.

**PARTNERSHIPS:** Maintain a process of permanent dialogue with women's organizations and social movements so that they have knowledge, protagonism and can benefit from innovations facilitated by this Modality.

Promote the continuity of projects and the involvement of women in the sector.

PNUD

#### 4.4.2.2 Indigenous Peoples, Traditional Peoples and Communities

Table 4-15 Mitigation measures in matters relating to Indigenous Peoples and Traditional Peoples and Communities for the problems identified in Modality 4: Innovation.

Problem	Problem Description	Mitigation/Improvement Measure Description	Measure Impact	Responsibility
There is a risk that PIPCT will not be properly represented.	If there is an under-representation of the PIPCT, the projects supported by Modality 4 may not respond to the concerns or problems of these communities. The innovation ecosystems to be benefited by the project may not promote inclusion and dialogue with the knowledge of the PIPCT, or even not be focused on the development of solutions aimed at meeting the demands of the PIPCTs	<b>PARTNERSHIPS:</b> Engage the organizations representing the PIPCTs so that they become more and more partners in innovation. In cases where the Innovation Projects have influence within collective territories, the participation of the target audience must be guaranteed and the communities must be worked with, guaranteeing the FPIC process,  Effectively work on communication for the participation of these communities. Consult before implementing local projects.	Promotes PIPCT participation and involvement.	PNUD, MMA, FUNAI, ICMBIO

#### 4.4.2.3 Environment and Society

Table 4-16 Mitigation Measures for the problems of the Environment and Society themes identified in Modality 4: Innovation.

Problem	Problem Description	Mitigation/Improvement Measure Description	Measure Impact	Responsibility
The innovation cluster in the North region may be smaller in relation to the innovation capabilities of other regions in Brazil.	The implementation strategy may be out of step with the reality of the innovation of research institutions, universities and technological development companies in the Legal Amazon. Given the greater concentration of CT&I groups and resources outside the region, the project may reinforce regional and intra-regional inequalities if the proposals are not designed based on regional specificities and affirmative measures and incentives for the participation of local proponents are not adopted.	<b>STUDY:</b> Map the region's innovation organizations, as well as those from other states that may be partners in a regional exchange mechanism provided for in the MOP. Create a database of all organizations involved in Modality 4 activities since the beginning of the Dialogues. Pay attention to the aforementioned database to collect strategic information such as whether the partner organization has its own gender policy, whether it includes PIPCTs, etc.  <b>PARTNERSHIPS:</b> Provide a strategy for the participation of regional organizations in the governance process. Score organizations that are based in the region - criteria. Prioritize projects that have impacts on the Legal Amazon in terms of PES and standing forest economy. Promote a space for dialogue between institutions, which can constitute a permanent forum for the exchange of knowledge.	Maximize the local impact of Modality 4.  Maximize the local impact of Modality 4.	PNUD  PNUD, MMA

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Problem	Problem Description	Mitigation/Improvement Measure Description	Measure Impact	Responsibility
		<b>MANAGEMENT:</b> Support the development of innovations in technologies and monitoring systems that support the regional economy and promote PES mechanisms, in accordance with the MOP action lines to strengthen the regional PES market.	Maximize the local impact of Modality 4.	PNUD, MMA

Table 4-17 Recommendations for opportunities in the Environment and Society themes identified in Modality 4: Innovation.

Opportunity Description	Recommendation	Recommendation impact	Responsibility
Stimulate the articulation between the various Modalities of the Floresta+ Amazônia Pilot Project.	<p><b>MANAGEMENT:</b> Supported projects develop an integrated monitoring mechanism for the various Modalities in a single tool. In the future, think about bringing (input from future projects) innovation to beneficiaries of other modalities that have synergies with these processes.</p>	Promote synergies between the various Modalities of the Floresta+ Amazônia Pilot Project.	PNUD – Advisory Board (Project Floresta+) as facilitator. Federal Government (MMA, MAPA)
<p>Encourage partnerships between innovative organizations and the local community. Promote the integration of organizations that own or develop innovations and technologies with the final recipients of their projects. Involve a diverse target audience, such as: entrepreneurs and companies (startups); cooperatives and associations of producers and extractivists; Private and public research and innovation institutions; NGOs/CSOs, with a focus on innovation. Create a database of lessons learned on different project fronts to be disseminated among the different modalities and the advisory board</p>	<p><b>MANAGEMENT:</b> Provide for the possibility of presenting projects by institutional groups, such as organizations representing sets of State or Municipal Governments. Allow consortium between organizations. Facilitating the formation and formalization of cooperatives and associations to enable business within the project rationale and facilitate the writing of projects</p> <p><b>MANAGEMENT:</b> Incorporate the legal provisions of Law L14119/2021 which establishes the national policy on payments for environmental services</p>	<p>Expand the future sustainability of projects. Promote projects’ continuity.</p>	PNUD, Federal Government (MMA, MAPA)
	<p><b>PARTNERSHIPS:</b> Encourage the participation of young people, involve the region’s school and university community.</p> <p><b>PARTNERSHIPS:</b> Establish partnerships with women’s organizations and social movements so that they have knowledge, protagonism and can benefit from innovations facilitated by this modality.</p>	Promote projects’ continuity.	PNUD, Federal Government (MMA, MAPA)

**5. MONITORING PROGRAM**

The presentation of the Monitoring Program follows a similar structure to the one adopted for the Mitigation and Improvement Measures. Thus, the monitoring actions that are transversal to the various Modalities are gathered in a first table. Subsequently, the monitoring actions are included, subdivided by Modality. Once again Modalities 1 and 2 are presented simultaneously.

The presentation of monitoring activities follows the following scheme:

Monitoring	Objectives	Parameters to monitor	Targets	Frequency	Responsibilization
• What to monitor?	• What to do?	• What is the variable (indicator) to be evaluated over time?	• What is the desired achievement?	• Periodicity	• Who is responsible?

5.1 FLORESTA+ AMAZÔNIA

Table 5-1 Monitoring Measures transversal to all Modalities of the Floresta+ Amazônia Pilot Project.

Monitoring	Objectives	Parameters to monitor	Target	Frequency	Responsibility
Follow the activity of the Grievance Redress Mechanism	Create a management culture for the Floresta+ Pilot Project that is proactive and attentive to stakeholders' reactions.	No. of complaints Complaint Typology Complainant Typology Typology of the solution of the complaint	Respond to 100% of complaints  Publish an annual report of complaints and remedies	Continuously  Annual	PNUD
	"Don't leave anyone behind"	% of complaints resolved			
Effects on biodiversity	Fully, integrated and <i>ex-post</i> assess the project's impacts on biodiversity.	Total area of recovered native forest		End of the project	PNUD
		Total additional area of conserved native forest Contribution to reducing habitat fragmentation Impacts on biodiversity of projects financed through Modalities 3 and 4			
Monitoring gender equity	Integrate a gender perspective into the monitoring system, ensuring that the information collected is disaggregated by gender.	Data collected disaggregated by gender, age group, race and type of family (primarily to verify female single parenthood).	Where appropriate to have this disaggregation	Continuously	PNUD and MMA
		Evidence that the team responsible for the monitoring system of the Floresta+ pilot Project participated in a training workshop on gender and monitoring Prepare qualitative study/workshops/interview, etc. on perceptions, challenges and opportunities as women tend to identify benefits and impacts that were not foreseen by the project.	The entire team responsible for the monitoring system participates in the workshop	Start of project implementation  Annual	

5.2 MODALITY 1: CONSERVATION AND MODALIDALITY 2: RECOVERY

Table 5-2 Monitoring Measures identified for Modalities 1 and 2.

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Monitoring	Objectives	Parameters to monitor	Target	Frequency	Responsibility
Identify the registries included in the Project in areas of public land that have not yet been earmarked that may be occupied by traditional populations.	Avoid the occurrence of possible conflicts	Number of registries Property area Geographic location	Publish a map updated each year with this information	Annual	PNUD
Monitor the results of actions to promote the registration of the CAR promoted by union organizations and by OEMAs and partners	Evaluate the increase in the number of CAR registrations in properties and possessions up to 4 Fiscal Modules in relation to the total of properties in the Priority or Self-elected Areas compared to geographic areas outside the scope of the Floresta+ Amazônia application.	Number of actions to promote registration Number increment of CAR registered in areas served before and after the implementation of project actions compared to adjacent areas not served	Increase by 50% the number of validated CARs per year by state or by priority area of implementation of the Floresta+ Pilot Project.	Annual	PNUD
Identify participation by gender, age group, race, type of family, number of children, occupation of family members and main source of income, access to electricity and internet, if they have a cell phone through the Floresta+ records.	Quantitatively assess the distribution by gender, age group, race, type of family, number of children, occupation and main source of income, access to electricity and internet, if they have a cell phone to access the benefits of Modalities 1 and 2.	Gender, age, race, type of family, number of children, occupation and main source of income, access to electricity and internet, if the beneficiary has a cell phone.	Monitoring System includes all these variables of the beneficiaries of Modalities 1 and 2	Continuously in the act of registration and until the end of the project.	PNUD
Measure changes in the native vegetation areas supported by the project, and use areas that were not covered by the Project as control	Evaluate the environmental impacts achieved with Floresta+.	Native Vegetation Area	X% expansion of native vegetation areas supported by the project and not supported	Annual	PNUD
Assess whether there is a lack of motivation to adhere to Floresta+ by the producer due to the amount to be paid by the PES.	Develop exploratory research through ombudsman/forms in regions with low adherence to the project.	Response pattern by income and size of area and location	Publish an annual report with the information to adjust, if possible, in the following year.	Annual	PNUD
Monitor the project's effect on the beneficiaries' quality of life.	Include theme of impact on quality of life opinion/perception survey with all beneficiaries	Beneficiaries' perception of their quality of life.	Include the information in the annual report referred to in the previous target.	Annual	PNUD
Monitor conflicts between beneficiaries.	Ensure that Floresta+ Amazônia does not incite new land conflicts. Minimization of overlapping areas.	Number and type of conflicts, resolved and unresolved. Average resolution time and its effectiveness	An annual balance report of conflicts, with the percentage of situations resolved and the number of people involved.	Continuously	PNUD and MMA involve State Governments

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Project continuity.	Assess the number of beneficiaries who join the project and those who remain in the project in subsequent years.	Permanence rate Number and percentage of beneficiaries who remain for several years. Typology of reasons that led to project evasion	Achieve 80% permanence of beneficiaries after their first membership.	Annual	PNUD
Monitor women's involvement and satisfaction with the project in Modalities 1 and 2.	Measure the degree of involvement and satisfaction of women in: 1) making decisions about the benefits of the project; and 2) on how the family and community use the benefits (as applicable to the modality used), for example, through the application of a multiple-choice questionnaire to all beneficiary women (quantitative information on satisfaction) and by sampling (suggestion of 5% to 10% of the beneficiaries), conducting a perception survey (qualitative information on satisfaction).	Number and percentage of women beneficiaries who feel involved in making decisions regarding their participation in the project.  Number and percentage of women who agree that the benefits received through the Project were well spent by the family or community.	The monitoring system measures the degree of satisfaction and involvement of women in decision-making about benefits, at least once a year  The monitoring system measures the degree of satisfaction of women regarding benefits received through the Project, at least once a year	Annual	PNUD
Monitor labor conditions in territories benefited by Modalities 1 and 2 of the Project	Curb illegal child labor and forms of degrading labor or exploitation of labor analogous to slavery in lands benefited by Modalities 1 and 2.	When the beneficiary joins and at his/her annual renewal, make a face-to-face visit, by sampling, to benefited lands to, among other issues, qualitatively investigate the labor conditions on the properties, in Modalities 1 and 2.	Carry out a representative presential sample distributed across the various states	Annual	PNUD, involve Ministry of Labor, States

### 5.3 MODALITY 3: COMMUNITIES

Table 5-3 Monitoring Measures identified for Modality 3.

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Monitoring	Objectives	Parameters to monitor	Target	Frequency	Responsibility
<p>Establish frequency/periodicity of dialogue with the PIPCT to monitor the implementation of projects.</p>	<p>Understand the process of participation, autonomy and protagonism of the PIPCT in the construction, implementation and monitoring and evaluation of projects (reports, performance).</p>	<p>Number of dialogue moments with impact description (qualitative, e.g., PIPCTI satisfaction survey)</p> <p>Means of inquiry proposal (PNUD/MMA local visits to communities and verifying the construction of local projects or reporting videos for submission, workshops, dialogues.</p>	<p>Conduct at least 3 moments of dialogue a year with each beneficiary community.</p>	Continuously	PNUD, in connection with Responsible Parties
<p>Follow the capacity development of organizations that have not previously qualified for administrative reasons.</p> <p>Follow the organizations that qualified to participate over the following years.</p> <p>Follow the organizations that express interest to find out if they have all administrative issues settled.</p>	<p>How much the project supported for the strengthening of the organizations of the PIPCTs</p>	<p>Number of qualified organizations that previously did not meet the basic administrative requirements to join the Floresta+ Pilot Project.</p>	<p>Over the initial 3 years, support 128 organizations, equally distributed among States or among priority areas, to regularize themselves in the administrative aspects necessary to compete with the submission of a proposal to the Floresta+ Project.</p>	Continuously	PNUD, in coordination with the Responsible Parties
<p>Monitor the adoption of FPIC by PR.</p>	<p>Ensure compliance with ILO Convention 169 and Cancun Safeguards.</p> <p>Avoid intercultural conflicts.</p>	<p>Number of projects approved with FPIC/Total number of projects approved</p>	<p>100% of approved projects whose beneficiary community is PIPCT must comply with the FPIC process.</p>	Continuously	PNUD

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Monitoring	Objectives	Parameters to monitor	Target	Frequency	Responsibility
Monitor that the notices are prepared with contributions from the PAC	Ensure the participation of PIPCT in the process.	Number of complaints in the Grievance Management Mechanism. Number of moments of consultation of the PIPCT for the elaboration of project notices.	100% of the notices analyzed by the PAC, in particular the members representing the PIPCT.	With each public notice launched	PNUD
Monitor labor conditions in entities benefiting from Modality 3 of the Project	Curb precarious labor conditions for employees of teams involved in projects benefiting from Modality 3.	Include in the accountability reports of the benefited projects a component that checks the labor conditions of the Human Resources of the benefited entities.	All accountability reports for Modality 3 projects must contain this information	During the implementation of the benefited projects	PNUD

5.4 MODALITY 4: INNOVATION

Table 5-4 Monitoring Measures identified for Modality 4: Innovation.

Monitoring	Objectives	Parameters to monitor	Target	Frequency	Responsibility
Periodically follow the organizations involved in the modality and possible beneficiaries of the projects. To maintain a permanent dialogue (form and mechanisms) to monitor the execution of projects and so that social actors can follow the Project's governance process.  Promotion of strategies for effective stakeholder participation.	Ensure stakeholder involvement throughout project implementation.	Number of meetings for implementation assessment with stakeholders linked to clarification meetings.  Number of annual reports on these activities.	100% of the benefited projects undergo an activity/meeting every 6 months.	Monthly to biannual, according to the nature and schedule of the Project	PNUD
Establish efficiency indicators of the benefited Projects quantifiable targets of projects and people to be benefited involved in the process by them.	Evaluate the results and impacts of the modality, according to the expected results in the MOP and other regional socioeconomic indicators	Number of direct and indirect beneficiaries  Environmental and social, economic and technological impacts and results	Those defined in the MOP	At the end of the project	PNUD
Establish, in discussion with partners, general or specific innovation indicators (radical, accidental and other parameters) expected for each of the supported projects according to the financed axes.	Follow project implementation	Number of projects benefited that present innovative products or services that may remain in the community after the end of the Floresta+ Pilot Project.  Reach and level of innovation of the benefited projects.	Target in development	Biannual	PNUD
Identify the participation of women in supported projects throughout the entire implementation.	Quantify the distribution of gender, race and age in the leadership and in the teams of the projects benefited by Modality 4 and in the participation of the different Axes	Number of eligibility criteria targeted at women, by Axis.  Number and % of women participating in the leaders and teams of the supported initiatives  Ethnoracial and age indicators	At least 1 eligibility criterion directed at women, in all 4 Axes  At least 30% of women in the leaders and teams of the supported initiatives.	Biannual	PNUD

Number and % of women participating in innovation challenges and programming marathons and virtual roadshows.	At least 30% women among the participants in innovation challenges and programming marathons and virtual roadshows.
Number of training sessions (mentoring, short courses, lectures and workshops) to develop new business ideas and initiatives or solutions, specifically targeted at women	At least one for each State in the Legal Amazon
Number of women who have undergone training specifically aimed at women.	At least 100 women in total training covering all states in the Legal Amazon.

## 6. TRAINING AND CAPACITY BUILDING

A structure similar to the previous cases was adopted for the presentation of Training and Capacity Building actions. The monitoring actions that are transversal to the various Modalities are gathered in a first table. Subsequently, the monitoring actions are included subdivided by Modalities; Modalities 1 and 2 are presented simultaneously.

The presentation of training and capacity building activities follows the following scheme:

Capacity Building	Target Audience	Time of Implementation
•In what themes and skills will there be capacity building?	•Who will be trained	•In what phase of the project?

### 6.1 FLORESTA+ AMAZÔNIA

Table 6-1 General Capacity Building and Training Measures identified for the Floresta+ Amazônia Pilot Project.

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Capacity Building and Training	Target Audience	Time of Implementation
Conduct a workshop for internal evaluation of the Floresta+ Amazônia Pilot Project, ending with the preparation of an evaluation report entitled: Lessons Learned	PNUD technicians. MMA technicians. State technicians.	End of the project.
Conduct public sessions to present successful cases resulting from the Pilot Project, seeking to promote representative cases of gender equality.	Beneficiaries of Floresta+ Amazônia, in particular women	End of the project.
Promote cross-cultural learning among Indigenous Peoples, Traditional Peoples and Communities and family farmers, with concerns to ensure gender equity.	Indian people Traditional Peoples and Communities.	Throughout the implementation of the Project
Adopt basic training on the Floresta+ Project and gender equality, which can be replicated whenever necessary for the various social actors involved in the Floresta+ Project. Concern to support difficulties arising from the lack of literacy among part of the population.	Family Farmers, in particular women	In the initial phase of the Project
Capacity building for Project Governance on Gender Equity: Conduct capacity building and training for the governance structure on 'why' and 'how' to integrate a gender perspective in all stages of the Project. Extend this training to other cross-cutting themes such as human rights and safeguards.	PNUD technicians. MMA technicians. State technicians.	Project start and annually
Capacity building for the Project Monitoring Team on Gender Equity: Hold a workshop capacity building for the staff responsible for the monitoring system on how a gender perspective can be incorporated into their work. Extend this training to other cross-cutting themes such as human rights and safeguards.	Technicians responsible for monitoring the Floresta+ Amazônia Pilot Project	Project start and annually
Capacity building for the Project Monitoring Team on Safeguards Monitoring and other cross-cutting issues such as human rights.	Technicians responsible for monitoring the Floresta+ Amazônia Pilot Project	Project start and annually

## 6.2 MODALITY 1: CONSERVATION AND MODALITY 2: RECOVERY

Table 6-2 Capacity Building and Training Measures identified for Modalities 1: Conservation and 2: Recovery.

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Capacity building and training	Target audience	Time of implementation
Capacity building at the State level with local technicians responsible for registering the CAR in legislation and procedures for environmental regularization and productive activities in rural properties and possessions and in gender equity and Payment for Environmental Services.	SEMAs State Technicians	In the initial phase of implementation.
Capacity building for professionals who advise farmers to provide a free quality service to access the CAR and ensure the participation of women	Rural Union Technicians	In the initial phase of implementation.
Promote training for the producers to carry out themselves their accreditation in the CAR.	Small rural producers, with special emphasis on women (ensuring that 40% of the participants in these trainings are women).	Annual
Promote training and technical assistance on environmental services to small rural producers, seeking a gender-equitable approach to participation. Include the following themes: gender equity, restricted use of pesticides, agroecological production, native forest recovery techniques, climate change, climate adaptation.	Small rural producers, with special emphasis on women (ensuring that 40% of the participants in these trainings are women).	Annual
Capacity building on the Floresta+ Amazônia pilot project by institutions responsible for satellite monitoring.	Technicians responsible for satellite monitoring and image processing	In the initial phase of implementation.
PNUD and MMA capacity building on satellite monitoring	Technicians responsible for monitoring the Floresta+ Amazônia Pilot Project	In the initial phase of implementation.
Training on how to apply questionnaires/opinion surveys to women benefited by the Project to monitor impacts generated by the Project	Technicians responsible for monitoring the Floresta+ Amazônia Pilot Project	
Create methodologies to encourage youth through communication and dissemination of the entities' actions; involve NGOs working with youth and women.	NGOs that work preferentially with young people and women	In the initial phase of implementation.

### 6.3 MODALITY 3: COMMUNITIES

Table 6-3 Capacity Building Measures identified for Modality 3: Communities.

Capacity building and training	Target audience	Time of implementation
Capacity building and training in administrative, accounting, legal matters on which an organization depends to be able to receive payment. Train employees of organizations as "focal points" for administrative and contractual matters: Education and training in gender and youth issues in the project's decision-making and social control spaces.	Organizations representing the PIPCT	In the initial phase of implementation and for the duration of the Pilot Project
Build capacity and raise awareness of partner entities working in the PIPCT area about the Floresta+ Amazônia Pilot Project, aiming to ensure the active and equitable involvement of women.	Organizations representing the PIPCT, and at least 40% of women must participate in all workshops	In the initial phase of implementation.
Conduct a workshop on the application of FPIC law. Conduct ILO Orientation 169 Workshops.	PNUD, MMA and SEMAs technicians.	In the initial phase of implementation.
Capacity building for women and men (married and single), within the PIPCT involved in Modality 3 of the Floresta+ Project, on the benefits of having women and men involved in decision-making on the use of rewards.	PIPCT	In the initial phase of implementation.
Conduct workshops/orientation sessions for submitting applications.	Organizations representing the PIPCT	In the initial phase of implementation.
Use participatory methods for constructing criteria and indicators to select proposals	Organizations representing the PIPCT	In the initial phase of implementation.
Carry out conversation circles or training with exchange methodology for topics such as: Native Vegetation Protection Law, Environmental Services, forest protection measures, sustainable production, women's issues in the PIPCT, climate change, adaptation to climate change, supply chains of products from the Amazonian socio-diversity.	Beneficiary grassroots organizations	During the project
Train multipliers in the benefited grassroots organizations.	Beneficiary grassroots organizations	During the project
Carry out a participatory workshop to review/build monitoring and evaluation criteria.	Organizations representing the PIPCT	At the end of the 1st year of implementation.
Have formative moments for the exchange of knowledge and experiences between the supported project teams and the managers of Floresta+ Amazônia.	Organizations benefiting from the Modality and PNUD and MMA.	Halfway through the implementation of the Modality.

6.4 MODALITY 4: INNOVATION

Table 6-4 Qualification and Training Measures identified for Modality 4.

Capacity building and training	Target audience	Time of implementation
Hold events to clarify public calls		
Conduct mentoring by intermediary institutions that strengthen local organizations to collaborate in accessing project notices.	Organizations benefiting from the modality	Initial phase of implementation. Halfway through implementation.
Promote capacity building on human rights, PIPCTs, gender equality and environmental sustainability for teams of organizations when these are not their specialties.		
Responsible Parties will undergo training to carry out their responsibilities in accordance with the values and principles espoused in the SES and REDD+ Safeguards.	Responsible Parties	Initial phase of implementation.
Carry out capacity building and training activities for the final recipients of supported projects, when they have direct impacts on the population who are direct beneficiaries in the use of the innovative product, process and/or service	Ultimate beneficiaries of the application of the results of the Modality. Women, as potential beneficiaries of the Modality	End of each project supported by the Modality
Training and capacity building (mentoring, short courses, lectures and workshops), specifically aimed at women, in developing new business ideas and initiatives or solutions in states of premature maturity (ideation, conception and initial prototyping) or intermediate prior to realization of innovation challenges and programming marathons.	Women, as potential beneficiaries of the Modality	Initial phase of implementation, prior to the implementation of the Axes
Training and capacity building, specifically aimed at women, in entrepreneurship, innovation and new businesses aimed at the environmental services market and the conservation, restoration and sustainable use of native vegetation	Women, as potential beneficiaries of the Modality	During the first year of the project
Promote a space for discussion and exchange of ideas between innovative organizations and local communities.	Organizations benefiting from the Modality and communities	Initial phase of implementation Halfway through implementation.
Capacity building for the teams of the benefited projects to produce information that allows the monitoring of innovation levels.	Organizations benefiting from the Modality	Initial phase of implementation of each project.
Have formative moments for the exchange of knowledge and experiences between the supported project teams and the managers of Floresta+ Amazônia.	Organizations benefiting from the Modality and PNUD and MMA	Halfway through the implementation of the Modality.

### 7. GRIEVANCE REDRESS MECHANISMS

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The PNUD (2017) defines Grievance Redress Mechanisms - GRMs as organizational systems and respective resources established by a particular institution to receive and address concerns about the impact of its policies, programs and operations on the external stakeholders. Stakeholder information handled through these systems and procedures may be called “manifestations”, “grievance”, “complaints”, “feedback” or another functionally equivalent term.

GRMs act as a resource for situations where, despite proactive stakeholder involvement, some stakeholders have a concern about the potential impacts of a particular project or program. It is very important to note that not all complaints should be dealt with through the Grievance Redress Mechanism. For example, complaints alleging corruption, coercion or major and systematic violations of rights and/or policies are typically referred to organizational accountability mechanisms or administrative or judicial bodies for formal investigation; GRMs are designed for collaborative problem solving.

GRMs must be accessible, collaborative, responsive, and effective in resolving issues through dialogue, joint fact-finding, negotiation, and problem solving. These mechanisms are generally designed to be the “first line” of response to stakeholder concerns that have not been avoided by proactive stakeholder engagement. GRMs are not intended to replace formal legal channels for grievance management (e.g. the court system, organizational audit mechanisms, etc.). Stakeholders always have the option of using other, more formal alternatives, including legal resources.

The existence of a GRM should not prevent citizens or communities from seeking their rights and interests in any other national or local forum. Additionally, citizens should not be required to use GRMs before seeking redress through courts, administrative law procedures or other formal dispute resolution.

#### 7.1 FUNDAMENTAL PRINCIPLES

In order to provide an effective resolution of stakeholder grievances, the GRM should be designed in accordance with the following fundamental principles (UNHRC, 2011):

- Legitimacy:
  - The GRM must operate independently of stakeholders.
  - The GRM should be understood by local society and stakeholders as an independent mechanism.
- Accessibility:
  - The GRM must be accessible to all interested parties, regardless of their distance, language, education or economic income level, materially guaranteeing access for all.
  - Procedures for filing a grievance should be easily understood by project beneficiaries.
  - Complaints must be able to be filed anonymously.
  - There should be multiple forms of contact for complaints.
  - The existence of a GRM should be widely publicized and communicated to those potential affected by the project.
- Predictability:
  - The GRM should respond to the concerns of all complainants and with standards, as far as possible, set in advance.
  - The GRM should provide a clear procedure with timelines for each step and clarity on the types of results it can (and cannot) produce, preventing unachievable expectations of complainants.
- Justice:
  - Complaints must be treated confidentially, evaluated impartially and managed with transparency.

- Compatibility of rights:
  - GRM results must be consistent with applicable national and international standards.
  - The GRM should not impede access to other remedial mechanisms.
- Transparency:
  - GRM procedures and outcomes must be transparent enough to address the public interest concerns at stake.
- Capacity:
  - GRM technicians must have the technical, human and financial resources, means and autonomy necessary to investigate complaints.
- Staff:
  - Preferably there should be dedicated and properly trained staff to manage the GRM.
  - Learning opportunities should be provided and systematic assessments of the performance of staff assigned to the GRM should be provided.

### 7.2 STANDARD PROCEDURES

According to these regulations, the typical steps of an GRM are:

1. Receive and register the complaint:
  - a. There must be several channels (email, letter, telephone, meeting, active search, etc.) to receive a complaint.
  - b. There should be a system for categorizing, prioritizing and referring grievances to the appropriate entities.
2. Acknowledge the grievance to the complainant, assess the eligibility of the grievance, assign responsibilities for the management of the grievance.
  - a. Ideally the exchange of correspondence should be in writing;
  - b. The first response to the complainant should inform the GRM process that will be followed, provide detailed contacts, and indicate an estimate of the time needed to resolve the complaint.
3. Develop a response proposal.
  - a. Preferably, the merits of each complaint should be objectively judged against previously defined criteria.
  - b. The technicians responsible for investigating the object of the complaint must be impartial.
4. Communicate the proposed response to the complainant and seek agreement on the response.
5. Implement the response to resolve the complaint.
  - a. There should be a system in place to track each grievance and assess progress made in resolving it.
6. Review the answer when it is not possible to obtain the complainant's agreement.
7. Close the grievance when successful or, in cases where the grievance is not resolved, the GRM team must document and communicate all actions taken.
  - a. There should be indicators to measure the effectiveness of the GRM.
  - b. A feedback system should be in place to make policy and/or process changes that minimize the occurrence of similar complaints in the future.

### 7.3 OPERATING STRUCTURES

PNUD regulations (UNDP, 2017) require that, for all projects supported by PNUD, project stakeholders are duly informed about the existence of the PNUD Accountability Mechanism<sup>15</sup>, including the Stakeholder Response Mechanism (SRM<sup>16</sup>) and the Environmental and Social Compliance Unit (SECU<sup>17</sup>), its purpose and the procedure they should follow to raise complaints to the SRM and/or SECU if they are not satisfied with the GRM's response.

The Guide published by PNUD (2017) includes in its Annex 3 a sample of Terms of Reference for building a Grievance Redress Mechanism for a given project.

The direct application of these guidelines in the case of the Floresta+ Amazônia Pilot Project suggests that the respective GRM will be composed by PNUD Brazil, acting as Secretariat, and by:

- a) A permanent GMR subcommittee (composed of members of the Project Steering Committee) and/or
- b) *Ad hoc* GRM task teams in response to specific grievance requests.

The GRM Subcommittee will have a balanced composition (governmental and non-governmental) and shall not include any member of the Project Steering Committee with a direct interest or role in the complaint/dispute.

In its role as the GRM Secretariat, PNUD Brazil will perform the following main functions:

- Publicize the existence of the GRM and the usage procedure;
- Receive and record dispute resolution requests;
- Confirm receipt to the applicant;
- Determine eligibility;
- Forward eligible requests to PB for review and action, and
- Track and document complaints/dispute resolution efforts and their outcomes.

The Project Steering Committee, the GRM Subcommittee and/or the GRM Task Team will perform the following main functions:

- Take direct steps to resolve the complaint/dispute (e.g., bring the relevant parties together to discuss and resolve the issue themselves with oversight by the OP);
- Request more information to clarify the issue and share this information with all relevant parties or ensure that a government agency represented on the Project Steering Committee takes appropriate administrative steps to deal with the complaint;
- Refer the complaint/dispute to independent mediation, maintaining supervision; or
- Determine that the request was outside the scope and mandate of the Project Steering Committee and refer it to another body (e.g. Ministry of Justice and Police or courts).

### 7.4 GRM'S INTERLOCUTION WITH LOCAL PUBLIC INSTITUTIONS

One of the most important critical points to be observed in the construction of the Grievance Redress Mechanism is the dialogue with local public bodies whose competences are correlated with the resolution of certain complaints that go beyond the Project's governance. Necessarily, a list of these bodies and their attributions should be established for when it is necessary to forward complaints by the GRM, considering initially the public institutions already listed throughout the ESIA and this ESMP, which make up the national institutional structure for the defense of diverse panoply of stakeholders of

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<sup>15</sup> UNDP Accountability Mechanism.

<sup>16</sup> Stakeholder Response Mechanism.

<sup>17</sup> Social and Environmental Compliance Unit.

the Floresta+ Pilot Project. In addition, attention must be given to public institutions with responsibility for the investigation of damages within the scope of the thematic dimensions established in the ESIA.

As mentioned above, when forwarding complaints to public bodies, it will be essential to differentiate between what will be addressed for a solution in the administrative field and what will need to be forwarded to the judicial sphere. In addition to this differentiation, the federal sphere of the respective public agency to be activated is previously determined, recalling that Brazil is constituted as a Federative Republic, with constitutionally differentiated legal competences and responsibilities between Municipalities, States and the Union (Federal Government). In a summarized form, it is indicated that the GRM has interlocution with:

1. State and federal bodies of the Judiciary Power (these, in their state headquarters), with Federal and Labor Public Ministry, State Public Ministry and Public Defenders.

2. Agencies with police power in the environmental sphere, such as: Federal Police, Federal Highway Police, Federal Railway Police, Civil Police, Military Police and Military Fire Brigade, and also, when they exist Municipal Guards.

3. Executive Branches (municipal, state and federal) with powers to promote policies and inspection on environmental issues, land issues, labor conditions, women's rights and other related issues, which have responsibilities in the territory of the Legal Amazon.

4. Public bodies with Ombudsman and Controller functions, which may vary according to their territorial competence, among which the National Human Rights Ombudsman and the Federal General Controller stand out, both federal bodies with powers to receive complaints throughout the national territory.

Finally, it is recommended that the GRM, from its initial implementation, establish a way to compile the institutional paths used for forwarding and resolving complaints, consolidating a database with: lessons learned, good practices and even a flowchart for solving cases.

The final design of the governance structure of the GRM of the Floresta+ Amazônia Pilot Project should be prepared with PNUD Brazil, in close collaboration with the Ministry of the Environment, which may act as an intermediary in whatever necessary with the various public bodies.

## 8. IMPLEMENTATION PLAN

For the preparation of the implementation plan, the actions that were inserted in the Management Plan from the participatory workshops, the contributions of experts and analysts from PNUD and MMA, were organized from the conceptual matrix that identifies the actions in the dimensions of the modalities of the programs (Figure 3-6).

For the preparation of the physical and financial components of the implementation strategy of the ESMP Floresta+, a methodology was established that began with the extraction of systematized data in the previous chapters of this report, based on participatory workshops, contributions from experts and analysts from PNUD and MMA, were organized from the conceptual matrix that identifies the actions in the dimensions of the modalities of the programs (Figure 3-6).

Following the conceptual matrix, actions were divided into three programs and ten subprograms. The actions listed in the programs are technically detailed in the corresponding insert in the Management Plan, also following its nomenclature and modality.

- Mitigation and Improvement Program:

- a. Communication Subprogram;
- b. Studies Subprogram;
- c. Management Subprogram;
- d. Partnerships Subprogram.
- Monitoring Program and Complementary Initiatives:
  - a. Follow-up Subprogram;
  - b. Assessment Subprogram;
  - c. Monitoring Subprogram.
- Training and Capacity Building Program
  - a. Target Audience Capacity Building Subprogram;
  - b. Technical Capacity Building Subprogram;
  - c. Events Subprogram.

As a result of data extraction, a database of actions was created, containing a total of 157 records (see Table 8-1). It is a very extensive set, a consequence of the breadth of the participatory process that served as the basis for the development of the Management Plan. About half of the actions are part of the Mitigation and Improvement Program; the Training and Capacity Building Program includes 37% of the actions. Finally, 17% of the actions are in the Monitoring and Complementary Initiatives Program.

Table 8-1 Structure of the Environmental and Social Management Plan: subprograms and respective Modalities.

Programs/Subprograms/Modality	No. Actions
<b>4 - Mitigation and Improvement Program</b>	<b>77</b>
<b>Communication Subprogram</b>	<b>12</b>
4.2.1 - M1 and 2 – Gender Action	3
4.2.3 - M1 and 2 – Environment and Society	5
4.3.2 - M3 – Indigenous Peoples	3
4.3.3 - M3 – Environment and Society	1
<b>Studies Subprogram</b>	<b>10</b>
4.2.1 - M1 and 2 – Gender Action	2
4.2.2 - M1 and 2 – Indigenous Peoples	1
4.2.3 - M1 and 2 – Environment and Society	4
4.3.2 - M3 – Indigenous Peoples	1
4.3.3 - M3 - Environment and Society	1
4.4.3 - M4 - Environment and Society	1
<b>Management Subprogram</b>	<b>37</b>
4.1 – Management of Floresta + Amazônia	4
4.2.1 - M1 and 2 – Gender Action	6
4.2.2 - M1 and 2 - Indigenous Peoples	1
4.2.3 - M1 and 2 - Environment and Society	8
4.3.1 - M3 - Gender Action	2
4.3.2 - M3 - Indigenous Peoples	5
4.3.3 - M3 - Environment and Society	4
4.4.1 - M4 - Gender Action	3
4.4.3 - M4 - Environment and Society	4
<b>Partnerships Subprogram</b>	<b>18</b>
4.2.3 - M1 and 2 - Environment and Society	5
4.3.2 - M3 - Indigenous Peoples	5

Programs/Subprograms/Modality	No. Actions
4.3.3 - M3 - Environment and Society	4
4.4.1 - M4 - Gender Action	1
4.4.2 - M4 - Indigenous Peoples	1
4.4.3 - M4 - Environment and Society	2
<b>5 - Monitoring Program and Complementary Initiatives</b>	<b>26</b>
<b>Follow-up Subprogram</b>	<b>5</b>
5.3 - M3 Communities	4
5.4 - M4 Innovation	1
<b>Assessment Subprogram</b>	<b>10</b>
5.2 - M1 Conservation - M2 Recovery	5
5.3 - M3 Communities	1
5.4 - M4 Innovation	4
<b>Monitoring Subprogram</b>	<b>11</b>
5.1 - Floresta + Amazônia	4
5.2 - M1 Conservation - M2 Recovery	5
5.3 - M3 Communities	2
<b>6 - Training and Capacity Building Program</b>	<b>54</b>
<b>Target Audience Capacity Building Subprogram</b>	<b>28</b>
6.2 - M1 Conservation - M2 Recovery	6
6.3 - M3 Communities	16
6.4 - M4 Innovation	6
<b>Technical Capacity Building Subprogram</b>	<b>18</b>
6.1 - Floresta + Amazônia	3
6.2 - M1 Conservation - M2 Recovery	9
6.3 - M3 Communities	4
6.4 - M4 Innovation	2
<b>Events Subprogram</b>	<b>8</b>
6.1 - Floresta + Amazônia	2
6.3 - M3 Communities	2
6.4 - M4 Innovation	4
<b>Grand total</b>	<b>157</b>

These actions can be subgrouped into two types of actions:

- “Non-disbursable” actions, which are configured as recommendations that managing and executing entities are expected to incorporate into their practices and protocols during project implementation and execution. This group contains 51 actions.
- “Disbursable” actions are the actions that make up the financial calculation memory of the Management Plan. This group contains 106 actions.

From this subdivision, it can be concluded that practically a third (32.5%) of the actions in the Environmental and Social Management Plan have no cost: in practice they correspond to measures or suggestions for management options that do not imply additional costs. As shown in Figure 8-1, most of these actions are mitigation and improvement measures. This set of activities is distributed evenly between the various Modalities; Modalities 1 and 2 represent almost 40% of the total non-disbursable actions.

## Environmental and Social Management Plan

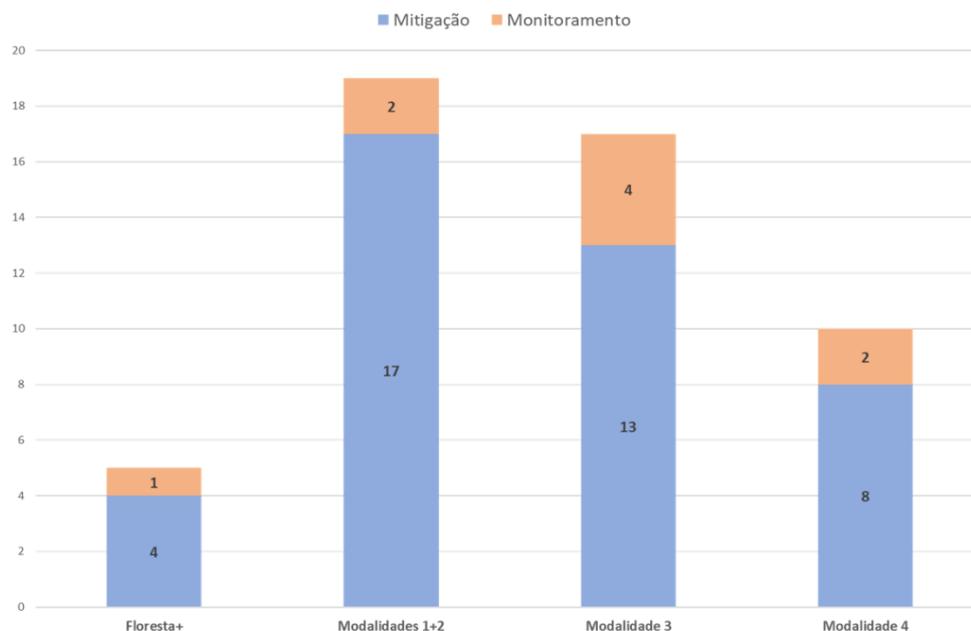


Figure 8-1 Distribution by Modalities of non-disbursable actions included in the Environmental and Social Management Plan of the Floresta+ Amazônia Pilot Project.

For calculation memory, the weight metric was adopted, where the actions were then evaluated and classified in an execution effort scale, containing five levels assigned in reference values in US dollars (USD).

Table 8-2 Weight metrics to determine the effort of each action.

Weight	Level	Reference Value (USD)	Justification
5	Very High	\$100,000.00	Activities that require great work efforts to be carried out (Activities that involve a large audience; Activities that involve community awareness raising or mobilization; Activities that require an active search for a target audience; Activities that require large infrastructure)
4	High	\$70,000.00	Activities that require significant effort to be carried out (Activities that involve a significant audience; Activities that involve awareness raising or mobilization of strategic social actors; Activities that require moderate infrastructure)
3	Intermediate	\$50,000.00	Activities that require moderate work effort to be carried out (Activities that involve organizations, or agents or social actors strategic for the project)
2	Low	\$25,000.00	Activities that need some effort to be carried out
1	Very Low	\$15,000.00	Activities that require low effort to be carried out

With the metrics properly applied, the execution of the dynamic transposition of the base of actions began, and the parameterization of the layout formatting rules, generating three distinct applications:

- Analytical structure
- Synthetic structure

- Summary structure

Table 8-3 and Table 8-4 present, respectively, the summarized and synthetic structure of the Physical-Financial Matrix of Disbursable Actions, containing the detailed levels of Program/SubProgram.

Based on this calculation exercise, the full implementation of the actions listed in the ESMP would represent an overall cost of approximately USD 5.44 million. This is a significant amount that represents 5.7% of the total value of the Floresta+ Amazônia Pilot Project. It is considered that the application of a fraction of this dimension to the environmental and social management of this project is reasonable considering the socio-ecological complexity of Floresta+ Amazônia, the nature of the Project's managing organizations (PNUD and MMA) and, above all, the pilot nature of the project.

A careful analysis of the distribution of the estimated value for each of the Programs shows that the Training and Capacity Building Program represents the main portion of the Plan, with a total value of approximately USD 3.1 million, that is, 58% of the total. The Mitigation and Improvement Program may represent a third of the total (1.74 million US dollars) and finally, the smallest share will be applied to the Monitoring and Complementary Initiatives Program in an amount of USD 485,000. It should be noted (see Figure 8-2) that about 42% of this budget is dedicated to training the target audience: there is room in this section for optimization by online training techniques, allowing for a substantial reduction in the total cost of these initiatives. It will also be important to consider that, in the case of capacity building, the creation of partnerships with other initiatives and with other institutions should be reflected in a more cost-effective model.

In second place comes the Partnerships subprogram with USD 720,000, while the Technical Training will represent around USD 620,000. Noteworthy, the Communication subprogram, which could reach USD 385,000.

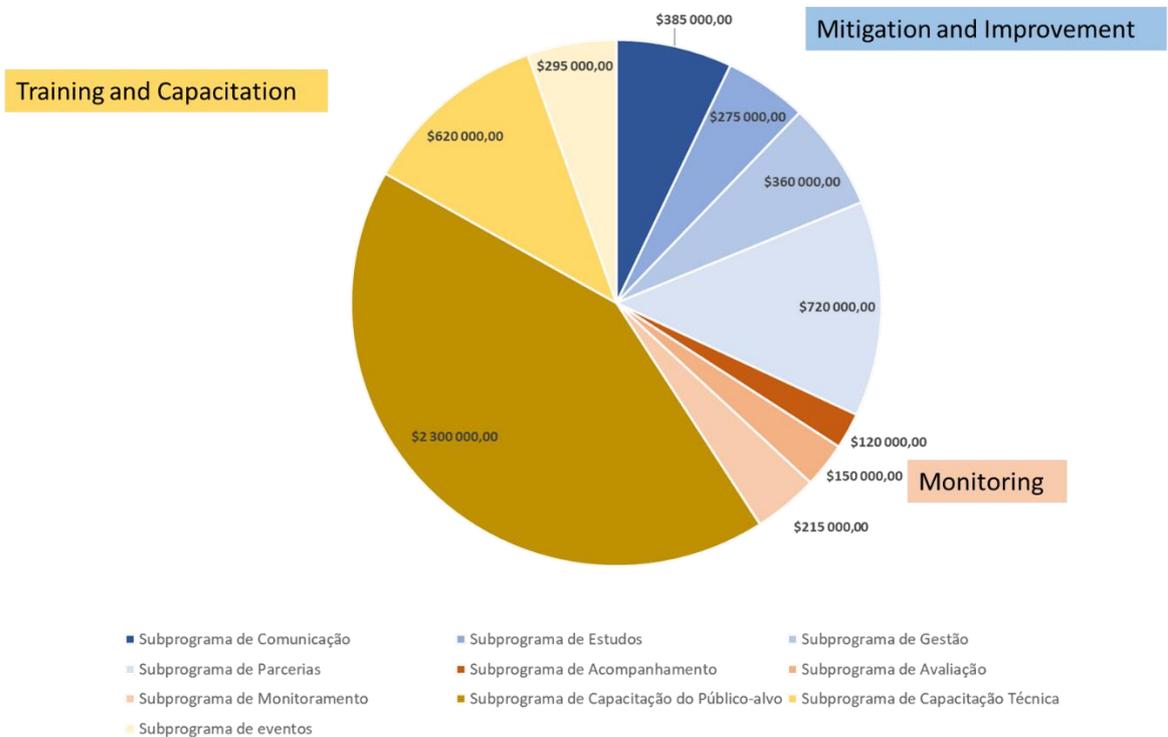


Figure 8-2 Budget distribution of the various subprograms of the Environmental and Social Management Plan of the Floresta+ Amazônia Pilot Project.

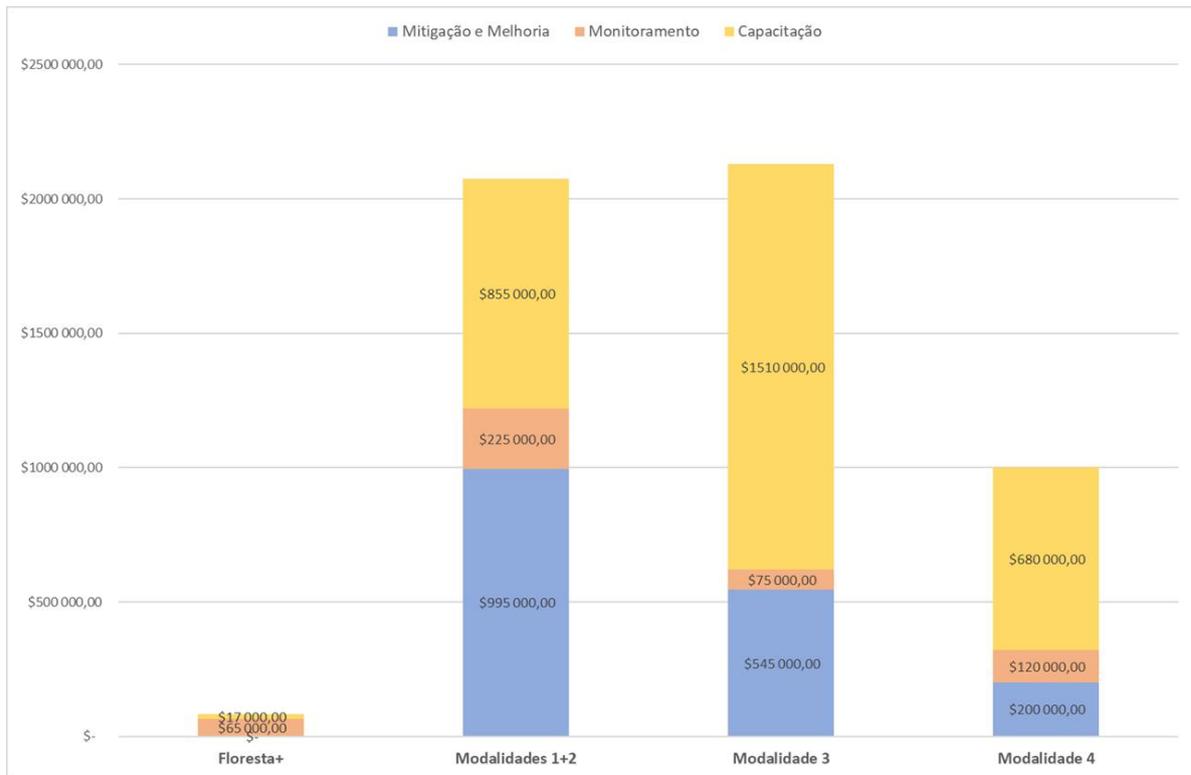


Figure 8-3 Budget distribution by the various Modalities of the Environmental and Social Management Plan of the Floresta+ Amazônia Pilot Project.

Figure 8-3 allows the visualization of the distribution by the various Modalities of the estimated costs for the implementation of the Environmental and Social Management Plan. It is observed that the costs allocated to the set of Modalities 1 and 2, and to Modality 3 are of equivalent value (approximately 2 million US dollars). However, there is a very relevant differentiation in the Programs in which these funds are applied. In Modalities 1 and 2, there is a similar distribution of costs between the Mitigation and Improvement Program and the Training and Capacity Building Program and a much smaller representation of the Monitoring Program. In the case of Modality 3, almost 70% will be allocated to Training and Capacity Building actions; the cost of monitoring actions is estimated as vestigial.

With the establishment of the global values for each action, the execution of the actions schedule began, defined on an annual scale, the Management Plan has a management cycle of four years. The resource allocation planning was defined based on the application of the annual deployment priority scale, ranging from 25% to 100% of the application of the global amount defined in the previous step.

## Environmental and Social Management Plan

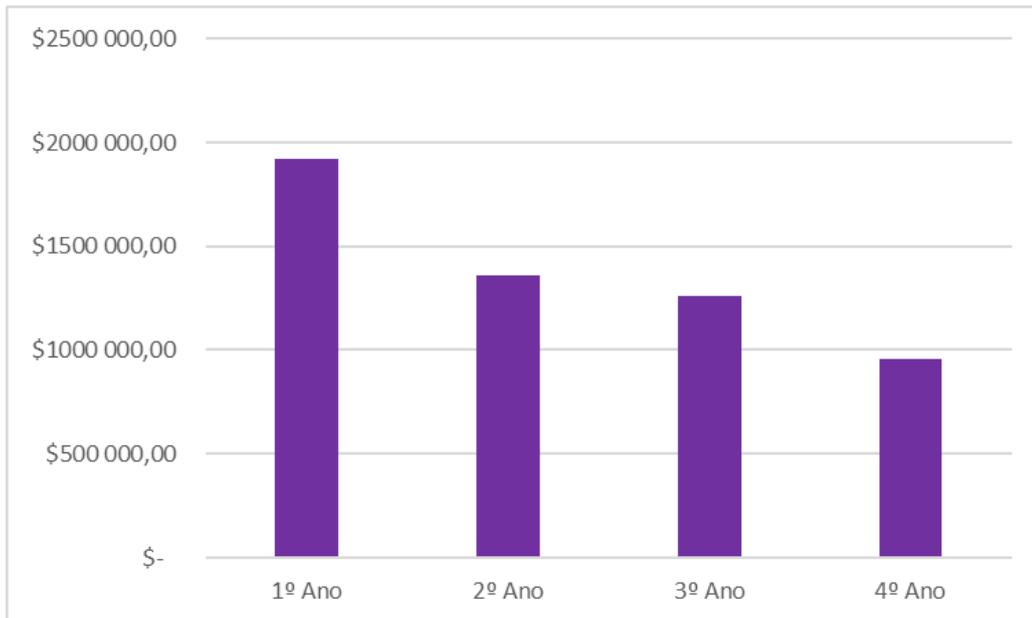


Figure 8-4 Multi-year evolution of the budget required to implement the Environmental and Social Management Plan for the Floresta+ Amazônia Pilot Project.

This multi-year budget exercise revealed (see Figure 8-4) that the investment in the Environmental and Social Management Plan is expected to have a greater weight in the first year of implementation of the Pilot Project which is expected to represent around 40% of the total amount.

It will now be up to the managing entities to develop a fine programming exercise with a view to optimizing the future Management Plan. **It should be noted that adequate, attentive and intervening environmental and social management will be essential to transfer to other projects the lessons learned from the Floresta+ Amazônia Pilot Project.**

## Environmental and Social Management Plan

Table 8-3 Summary structure of the Physical-financial Matrix of disbursable actions, containing the detailed levels of Program/Subprogram.

Programa/Subprograma	Quantidade de Ações	Cronograma Físico				Cronograma Financeiro				Total
		Ano 1	Ano 2	Ano 3	Ano 4	1º Ano	2º Ano	3º Ano	4º Ano	
<b>4 - Programa de Mitigação e Melhoria</b>	<b>35</b>					\$ 818 750,00	\$ 347 500,00	\$ 353 750,00	\$ 270 000,00	\$ 1 740 000,00
Subprograma de Comunicação	9					\$ 132 500,00	\$ 90 000,00	\$ 90 000,00	\$ 72 500,00	\$ 385 000,00
Subprograma de Estudos	9					\$ 268 750,00	\$ -	\$ 6 250,00	\$ -	\$ 275 000,00
Subprograma de Gestão	6					\$ 112 500,00	\$ 77 500,00	\$ 77 500,00	\$ 92 500,00	\$ 360 000,00
Subprograma de Parcerias	11					\$ 305 000,00	\$ 180 000,00	\$ 180 000,00	\$ 105 000,00	\$ 720 000,00
<b>5 - Programa de Monitoramento e Iniciativas Complementares</b>	<b>17</b>					\$ 55 000,00	\$ 216 250,00	\$ 121 250,00	\$ 108 750,00	\$ 485 000,00
Subprograma de Acompanhamento	3					\$ 17 500,00	\$ 42 500,00	\$ 30 000,00	\$ 30 000,00	\$ 120 000,00
Subprograma de Avaliação	5					\$ 25 000,00	\$ 56 250,00	\$ 37 500,00	\$ 31 250,00	\$ 150 000,00
Subprograma de Monitoramento	9					\$ 12 500,00	\$ 117 500,00	\$ 53 750,00	\$ 47 500,00	\$ 215 000,00
<b>6 - Programa de Treinamento e Capacitação</b>	<b>54</b>					\$ 1 048 750,00	\$ 793 750,00	\$ 787 500,00	\$ 578 750,00	\$ 3 215 000,00
Subprograma de Capacitação do Público-alvo	28					\$ 727 500,00	\$ 575 000,00	\$ 575 000,00	\$ 422 500,00	\$ 2 300 000,00
Subprograma de Capacitação Técnica	18					\$ 265 000,00	\$ 145 000,00	\$ 138 750,00	\$ 65 000,00	\$ 620 000,00
Subprograma de eventos	8					\$ 56 250,00	\$ 73 750,00	\$ 73 750,00	\$ 91 250,00	\$ 295 000,00
<b>Total Geral</b>	<b>106</b>					\$ 1 922 500,00	\$ 1 357 500,00	\$ 1 262 500,00	\$ 957 500,00	\$ 5 440 000,00

Table 8-4 Synthetic structure of the Physical-financial Matrix of disbursable actions, containing the detailed levels of Program/Subprogram.

## Environmental and Social Management Plan

Programa/Subprograma/Modalidade	Cronograma Físico				Cronograma Financeiro				
	Ano 1	Ano 2	Ano 3	Ano 4	1º Ano	2º Ano	3º Ano	4º Ano	Total
<b>4 - Programa de Mitigação e Melhoria</b>					\$ 818 750,00	\$ 347 500,00	\$ 353 750,00	\$ 270 000,00	\$ 1 740 000,00
<b>Subprograma de Comunicação</b>					\$ 132 500,00	\$ 90 000,00	\$ 90 000,00	\$ 72 500,00	\$ 385 000,00
4.2.1 - M1 e 2 - Ação de Gênero					\$ 52 500,00	\$ 35 000,00	\$ 35 000,00	\$ 17 500,00	\$ 140 000,00
4.2.3 - M1 e 2 - Ambiente e Sociedade					\$ 47 500,00	\$ 47 500,00	\$ 47 500,00	\$ 47 500,00	\$ 190 000,00
4.3.2 - M3 - Povos Indígenas					\$ 32 500,00	\$ 7 500,00	\$ 7 500,00	\$ 7 500,00	\$ 55 000,00
<b>Subprograma de Estudos</b>					\$ 268 750,00	\$ -	\$ 6 250,00	\$ -	\$ 275 000,00
4.2.1 - M1 e 2 - Ação de Gênero					\$ 100 000,00	\$ -	\$ -	\$ -	\$ 100 000,00
4.2.2 - M1 e 2 - Povos Indígenas					\$ 25 000,00	\$ -	\$ -	\$ -	\$ 25 000,00
4.2.3 - M1 e 2 - Ambiente e Sociedade					\$ 93 750,00	\$ -	\$ 6 250,00	\$ -	\$ 100 000,00
4.3.2 - M3 - Povos Indígenas					\$ 25 000,00	\$ -	\$ -	\$ -	\$ 25 000,00
4.3.3 - M3 - Ambiente e Sociedade					\$ 25 000,00	\$ -	\$ -	\$ -	\$ 25 000,00
<b>Subprograma de Gestão</b>					\$ 112 500,00	\$ 77 500,00	\$ 77 500,00	\$ 92 500,00	\$ 360 000,00
4.2.1 - M1 e 2 - Ação de Gênero					\$ 35 000,00	\$ 17 500,00	\$ 17 500,00	\$ -	\$ 70 000,00
4.2.3 - M1 e 2 - Ambiente e Sociedade					\$ 17 500,00	\$ 17 500,00	\$ 17 500,00	\$ 17 500,00	\$ 70 000,00
4.3.2 - M3 - Povos Indígenas					\$ 47 500,00	\$ 30 000,00	\$ 30 000,00	\$ 12 500,00	\$ 120 000,00
4.3.3 - M3 - Ambiente e Sociedade					\$ -	\$ -	\$ -	\$ 50 000,00	\$ 50 000,00
4.4.1 - M4 - Ação de Gênero					\$ 12 500,00	\$ 12 500,00	\$ 12 500,00	\$ 12 500,00	\$ 50 000,00
<b>Subprograma de Parcerias</b>					\$ 305 000,00	\$ 180 000,00	\$ 180 000,00	\$ 105 000,00	\$ 720 000,00
4.2.3 - M1 e 2 - Ambiente e Sociedade					\$ 200 000,00	\$ 75 000,00	\$ 75 000,00	\$ -	\$ 300 000,00
4.3.2 - M3 - Povos Indígenas					\$ 30 000,00	\$ 30 000,00	\$ 30 000,00	\$ 30 000,00	\$ 120 000,00
4.3.3 - M3 - Ambiente e Sociedade					\$ 37 500,00	\$ 37 500,00	\$ 37 500,00	\$ 37 500,00	\$ 150 000,00
4.4.1 - M4 - Ação de Gênero					\$ 12 500,00	\$ 12 500,00	\$ 12 500,00	\$ 12 500,00	\$ 50 000,00
4.4.2 - M4 - Povos Indígenas					\$ 12 500,00	\$ 12 500,00	\$ 12 500,00	\$ 12 500,00	\$ 50 000,00
4.4.3 - M4 - Ambiente e Sociedade					\$ 12 500,00	\$ 12 500,00	\$ 12 500,00	\$ 12 500,00	\$ 50 000,00
<b>5 - Programa de Monitoramento e Iniciativas Complementares</b>					\$ 55 000,00	\$ 216 250,00	\$ 121 250,00	\$ 108 750,00	\$ 485 000,00
<b>Subprograma de Acompanhamento</b>					\$ 17 500,00	\$ 42 500,00	\$ 30 000,00	\$ 30 000,00	\$ 120 000,00
5.3 - M3 Comunidades					\$ -	\$ 25 000,00	\$ 12 500,00	\$ 12 500,00	\$ 50 000,00
5.4 - M4 Inovação					\$ 17 500,00	\$ 17 500,00	\$ 17 500,00	\$ 17 500,00	\$ 70 000,00
<b>Subprograma de Avaliação</b>					\$ 25 000,00	\$ 56 250,00	\$ 37 500,00	\$ 31 250,00	\$ 150 000,00
5.2 - M1 Conservação - M2 Recuperação					\$ 12 500,00	\$ 43 750,00	\$ 25 000,00	\$ 18 750,00	\$ 100 000,00
5.4 - M4 Inovação					\$ 12 500,00	\$ 12 500,00	\$ 12 500,00	\$ 12 500,00	\$ 50 000,00
<b>Subprograma de Monitoramento</b>					\$ 12 500,00	\$ 117 500,00	\$ 53 750,00	\$ 47 500,00	\$ 215 000,00
5.1 - Floresta + Amazônia					\$ -	\$ 48 750,00	\$ 16 250,00	\$ 16 250,00	\$ 65 000,00
5.2 - M1 Conservação - M2 Recuperação					\$ 12 500,00	\$ 56 250,00	\$ 31 250,00	\$ 25 000,00	\$ 125 000,00
5.3 - M3 Comunidades					\$ -	\$ 12 500,00	\$ 6 250,00	\$ 6 250,00	\$ 25 000,00
<b>6 - Programa de Treinamento e Capacitação</b>					\$ 1 048 750,00	\$ 793 750,00	\$ 787 500,00	\$ 578 750,00	\$ 3 215 000,00
<b>Subprograma de Capacitação do Público-alvo</b>					\$ 727 500,00	\$ 575 000,00	\$ 575 000,00	\$ 422 500,00	\$ 2 300 000,00
6.2 - M1 Conservação - M2 Recuperação					\$ 147 500,00	\$ 112 500,00	\$ 112 500,00	\$ 77 500,00	\$ 450 000,00
6.3 - M3 Comunidades					\$ 460 000,00	\$ 342 500,00	\$ 342 500,00	\$ 225 000,00	\$ 1 370 000,00
6.4 - M4 Inovação					\$ 120 000,00	\$ 120 000,00	\$ 120 000,00	\$ 120 000,00	\$ 480 000,00
<b>Subprograma de Capacitação Técnica</b>					\$ 265 000,00	\$ 145 000,00	\$ 138 750,00	\$ 65 000,00	\$ 620 000,00
6.1 - Floresta + Amazônia					\$ 31 250,00	\$ 18 750,00	\$ 18 750,00	\$ 6 250,00	\$ 75 000,00
6.2 - M1 Conservação - M2 Recuperação					\$ 192 500,00	\$ 91 250,00	\$ 85 000,00	\$ 30 000,00	\$ 405 000,00
6.3 - M3 Comunidades					\$ 28 750,00	\$ 22 500,00	\$ 22 500,00	\$ 16 250,00	\$ 90 000,00
6.4 - M4 Inovação					\$ 12 500,00	\$ 12 500,00	\$ 12 500,00	\$ 12 500,00	\$ 50 000,00
<b>Subprograma de eventos</b>					\$ 56 250,00	\$ 73 750,00	\$ 73 750,00	\$ 91 250,00	\$ 295 000,00
6.1 - Floresta + Amazônia					\$ 6 250,00	\$ 23 750,00	\$ 23 750,00	\$ 41 250,00	\$ 95 000,00
6.3 - M3 Comunidades					\$ 12 500,00	\$ 12 500,00	\$ 12 500,00	\$ 12 500,00	\$ 50 000,00
6.4 - M4 Inovação					\$ 37 500,00	\$ 37 500,00	\$ 37 500,00	\$ 37 500,00	\$ 150 000,00
<b>Total Geral</b>					\$ 1 922 500,00	\$ 1 357 500,00	\$ 1 262 500,00	\$ 957 500,00	\$ 5 440 000,00

## 9. FINAL COMMENTS

The Floresta+ Amazônia Pilot Project, as well as its environmental and social assessment, is considered procedural and dynamic. As a pilot, the Project is primarily characterized by the exploratory aspect that it is endowed with and which could lead to innovative learning in terms of payment for environmental services and protection of Amazonian vegetation, two important interests worldwide.

The environmental and social diversity of the Legal Amazon is amply portrayed in this Social and Environmental Management Plan (ESMP), as well as in the Environmental and Social Impact Study (ESIA) that precedes and underlies it, as provided for by the Environmental and Social Management Framework (ESMF) in its preliminary and revised versions. The cultural diversity of the local population is also reflected in the composition and representativeness of the target audiences who were involved in the participation and engagement activities carried out throughout the evaluation process. Even though the activities were developed amid the restrictions of social distancing imposed by the Covid-19 pandemic, the strategies used to promote participatory workshops, dialogues and preparatory webinars and the relationship center were fully effective. In order to ensure broad participation and strong stakeholder engagement in this process, the strategy of an initial dialogue was adopted from national and regional representative organizations and, with support and by indication of these, then involve the organizations with territorial and state representation. To reach the numerous local grassroots organizations, the team developed the contact center, and direct communication via phone call and e-mail allowed contact with hundreds of associations and other collectives in the nine states of the region.

Relating all these aspects: environmental, social and cultural, plus territorial and institutional specificities was the second biggest challenge conquered to carry out the environmental and social assessment. In this sense, the initial parameters of the ten risks listed in the ESMF, their grouping into analysis dimensions in the ESIA and the matrix strategy adopted for evaluation were essential.

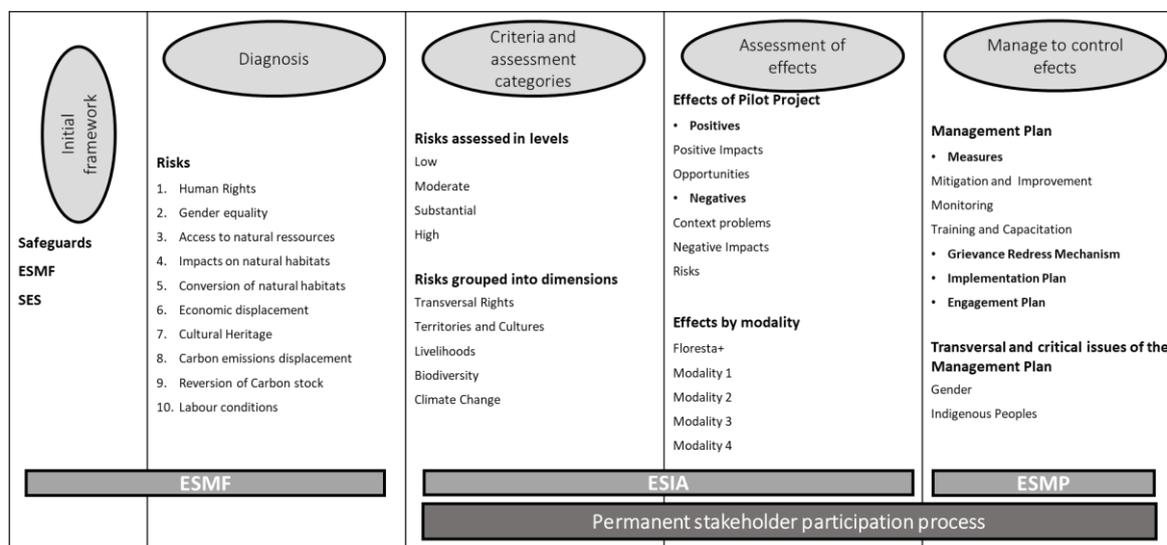


Figure 9-1 Macro elements of the Floresta+ Amazônia Pilot Project assessment process.

Figure 9-1 seeks to synthesize all the macro elements of the environmental and social assessment process that culminates in this Management Plan, not to lose sight of these elements for the success of the Floresta+ Amazônia Pilot Project and its potential to become a public policy that may be adopted by government entities in the region.

## Environmental and Social Management Plan

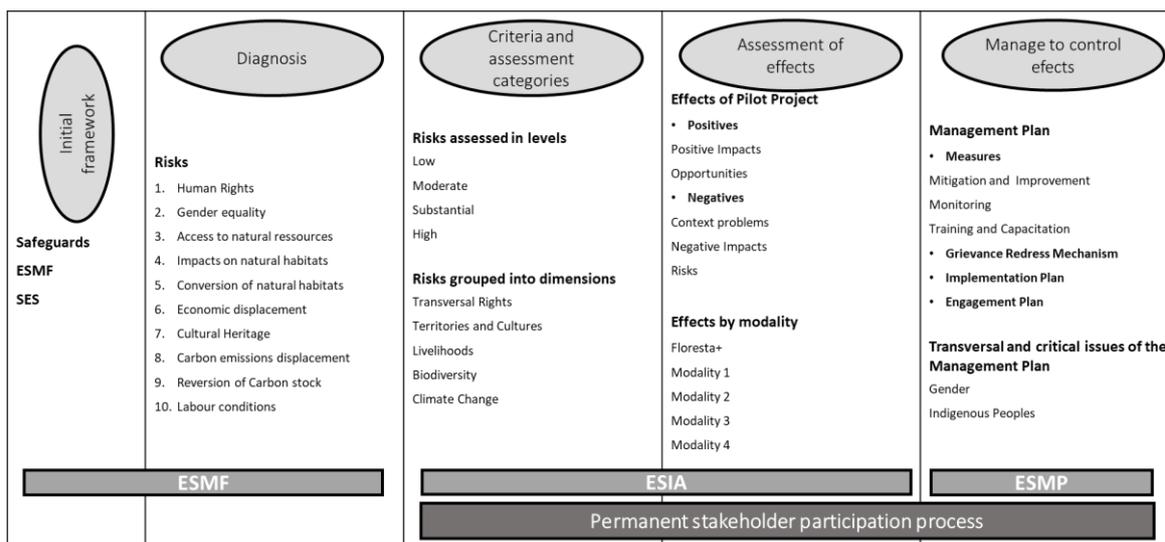


Figure 9-1 Macro elements of the Floresta+ Amazônia Pilot Project assessment process.

It is important to highlight that the Study of Social and Environmental Impacts and this Management Plan were prepared in parallel with the improvement process of the Project Operating Manual (MOP). The weightings and measures listed in the documents within the scope of this Study were based on version 1.2 of the MOP and may eventually not fully encompass the final stage of maturity of the MOP.

More than conclusions, the ESMP proposes measures to manage and control, as far as possible, the effects foreseen for the implementation of the Floresta+ Pilot Project, enhancing positive impacts and opportunities and mitigating negative impacts, these fundamentally caused by context problems.

Adequate monitoring and capacity building and training activities complement the Project's implementation strategy, guaranteeing the possibility of adjustments during implementation and in gathering information to consolidate learning and good practices in each of the modalities. It is highlighted once again that an adequate, attentive and intervening environmental and social management will be essential to transfer to other projects the learning gained from the Floresta+ Amazônia Pilot Project.

This Environmental and Social Management Plan develops a broad set of recommendations that must be considered by PNUD and the MMA in implementing the Pilot Project. Some of these recommendations will be easily integrated into the MOP, with minor programming tweaks. Others will require the development of new lines of work that were not initially planned. Finally, it must be admitted that there will be recommendations that may be considered unfeasible or, although relevant, outside the scope of the Pilot Project. Here, it will be important to assess the possibility of sharing these recommendations with government institutions (at the federal or state level) or civil society that can more quickly incorporate these concerns into their policies and the projects they support. The risk of dropping some of the proposed measures should be assessed.

Finally, and not least, two critical and transversal themes to the Management Plan presented here stand out: gender issues and indigenous peoples and traditional peoples and communities. It is noted that for the conservation and recovery of the native forest, women and PIPCTs are essential actors, due to their daily practices in favor of the environment and in the organization of local society. Not leaving anyone behind implies strengthening social actors who do not always have their role socially recognized.

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**ANNEX I - STAKEHOLDER ENGAGEMENT PLAN**

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# Use of Brazil's REDD+ Payments for Results funds for the Floresta+ Pilot Program and ENREDD+ Implementation

## Environmental and Social Management Plan

### ANNEX I

### STAKEHOLDERS ENGAGEMENT PLAN

20.October.2021

### 1. INTRODUCTION

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The Floresta+ Amazon Pilot Project, financed by the Green Climate Fund, is a partnership between the Ministry of the Environment and the PNUD. Brazil received funds for results achieved by reducing deforestation in the Amazon. These resources are fundamentally aimed at fostering experiences of payments for environmental services, which in turn may extend to the conservation and restoration of native vegetation, as well as strengthen the implementation of the national strategy for REDD+ in Brazil through improvements in its structure and governance system.

Thus, the objective is to develop in Brazil, specifically in the Amazon biome, a Pilot Environmental Services program and strengthen the implementation of REDD to be developed in 4 modalities, differentiated as follows: Modality 1 - Conservation, with financial incentives for family farmers in Amazon for the conservation of vegetation areas in addition to the legal reserve requirements, the target audience is small producers, such as family farmers; and the eligibility criteria are to be the owner or possessor of a rural property with an area of up to 4 fiscal modules, the rural property must have environmental regularization through registration in the rural area and the owner cannot have an environmental infraction on the property; Modality 2 – Recovery, aims to promote the restoration and recovery of APPs through the conformity of properties, considering criteria similar to those presented in Modality 1; Modality 3 – Communities, aims to support the implementation of projects that strengthen environmental and territorial management in the territories of indigenous peoples and traditional peoples and communities (PIPCTs), recognized as fundamental actors for the preservation of the forest; and Modality 4 – Innovation, which in turn aims to create and consolidate the market for environmental services in the region, through the development of business solutions that contribute to the conservation and recovery and sustainable use of native vegetation to generate income for providers of environmental services, this modality has, in particular, research institutions, academia, NGOs, individual entrepreneurs, micro and small companies, cooperatives, organizations and extractivist associations and producers.

The engagement of interested parties is premised on expanding the participation of local social actors in the Floresta+ Pilot Project, in its different Modalities. To do so, it needs to initially establish information bases on local institutions and organizations, obtained from specialized research sites, public institutions and non-governmental organizations that work with family farmers, indigenous peoples, traditional peoples and communities and with technology and innovation; to thus have a consolidated mapping seeking to integrate as many people and territories as possible to benefit from the Project's implementation. This makes it necessary for the stakeholder engagement process to establish mechanisms for identifying and selecting the institutions, organizations and actors who are direct beneficiaries of the Project.

The Stakeholder Engagement Plan that is presented is based on the Environmental and Social Impact Study (ESIA) of the Floresta+ Amazônia Pilot Project, prepared previously, which assessed the potential impacts of the Project in the phase of social, cultural, environmental and economic diversity of the Legal Amazon. The Plan is closely aligned and articulated with the Environmental and Social Management Plan (ESMP).

Thus, this Plan was developed aimed at convening and encouraging stakeholders as structuring social actors for the successful implementation of the Pilot Project. Recognizing the importance of effective stakeholder engagement as a form of transparency, responsibility, integrity, effectiveness and sustainability, in addition to promoting partnerships between civil society, family farmers, indigenous peoples and traditional peoples and communities, the private sector and academic and innovation and technology development institutions.

### 2. THE FLORESTA+ PILOT PROJECT

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The Floresta+ Pilot Project will promote the sharing of financial resources received from the reduction of deforestation in 2014 and 2015 in the Amazon biome. The Project will also contribute to the creation of innovative technologies and innovation in the forestry sector. This type of investment is critical to maintaining and expanding the REDD+ results achieved in the Amazon region, improving monitoring systems and promoting the engagement of subnational governments, indigenous peoples and traditional peoples and communities, and small farmers, such as family farmers, in the implementation of the National Policy on Payments for Environmental Services and ENREDD+ in Brazil.

As summarized previously in ESMPO, the Floresta+ Pilot Project will work through **four modalities of resource distribution**:

- Modality 1- Floresta+ Conservation: direct payments to owners and squatters of rural properties according to the classification of item V, of article 3, of the Native Vegetation Protection Law (Law nº 12,651/2012), with the objective of conserving remnants of native vegetation in addition to legal requirements;
- Modality 2- Floresta+ Recovery: direct payments to owners and squatters of rural properties according to the classification of item V, of article 3, of the Native Vegetation Protection Law (Law nº 12,651/2012), with the objective of recovering Permanent Preservation Areas (e.g. riparian forests, mountain tops and steep slopes);
- Modality 3- Floresta+ Communities: support, through project financing, to associations and entities representing indigenous peoples and traditional peoples and communities; and
- Modality 4- Floresta+ Innovation: support, through the financing of innovative actions and measures, to develop, implement and leverage public policies for the conservation and recovery of native vegetation.

The **target audience** of the Floresta+ Amazônia Pilot Project is composed of:

- Small farmers of up to 4 fiscal modules and family farmers, pursuant to art. 3, V, of the Forest Code (Law No. 12,651/2012);
- Indigenous peoples;
- Traditional peoples and communities according to art. 3 of Decree No. 6,040/2007 (which collectively use their territory); and
- Startups; public and private research and innovation institutions; cooperatives and associations of producers and extractivists; and NGOs/CSOs, with a focus on innovation.

The **quantitative targets** of the Floresta+ Amazônia pilot project are:

- Up to 380,000 hectares of forests supported by incentives for environmental conservation services;
- Up to 180 000 hectares supported by incentives for restoration environmental services;
- Up to 64 projects to support indigenous peoples and traditional peoples and communities;
- Up to 20 projects to support the improvement and adoption of innovative instruments for public policies related to the conservation and recovery of forests.

### 3. SUMMARY OF PREVIOUS ENGAGEMENT ACTIVITIES

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To ensure compliance with the requirements of international donor institutions, Brazilian legislation and involve all the safeguards to improve and adapt the design of the Project, from its refinement, operational mechanism to implementation at the local level, a communication strategy was developed

aimed at serving the beneficiaries, those people who have the right to this payment for environmental services, as well as identify the social and environmental risks and impacts of the Project.

Thus, as a first stage of stakeholder engagement, the impact assessment process began, which considered respect for the principle of "leave no one behind" (UNDP, 2021) for the identification and selection of institutions and organizations, especially those that work with the most vulnerable parts of local society, such as women and indigenous peoples and traditional peoples and communities, in addition to those that concern the Project's broader target audience. This information enabled the creation of a database, useful for the mobilization and engagement of participating institutions, organizations and actors to collaborate with the Environmental and Social Impact Assessment (ESIA) of the Floresta+ Amazônia Pilot Project, thus forming the Contact Network, following PNUD Social and Environmental Standards, ensuring meaningful, effective and informed stakeholder participation. 2246 possible institutions or groups in the different interest groups were identified. The network of contacts organized from the definition of interest groups with the Floresta+ Amazônia Project were:

- 1) Organizations or representatives of small farmers (Family Farming);
- 2) Associations, groups or representatives of Traditional and Indigenous Populations and,
- 3) Representatives of Research and Innovation Institutions.

Through the established network of contacts, invitations were sent to their representations through institutional e-mails. In general, institutions or organizations that have not identified active institutional e-mails were called through the Call Center, for instructions on participation in the events. The states with the highest number of institutions/organizations that confirmed their participation in the events through the Call Center were Mato Grosso, Pará, Amazonas and Maranhão (Figure 1).

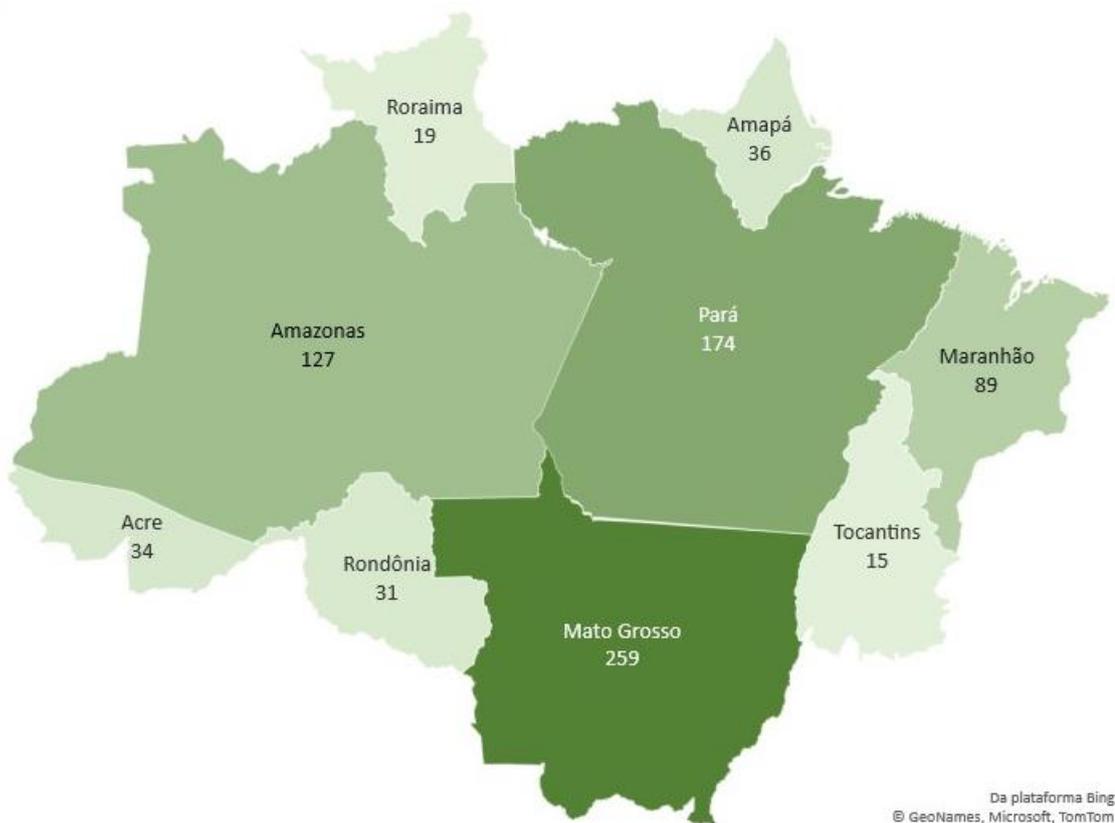


Figure 1. Number of institutions/organizations confirmed to participate in the events of the Floresta+ Amazônia Pilot Project.

For the engagement of interest groups in the scope of the Environmental and Social Impact Study and the Environmental and Social Management Plan of the Floresta+ Amazônia Pilot Project, the strategy used was the design of four phases and interaction typology, as described below:

- 1) Initial Dialogues with prior sending of an invitation to the representative organizations to participate;
- 2) Preparatory webinars with participation open to the general public;
- 3) Participatory Impact Assessment Workshops that were held restricted to previously contacted interest groups;
- 4) Participatory workshops on the Environmental and Social Management Plan for the presentation and discussion of mitigation and improvement measures, the monitoring program and the training and capacity building program.

The **Initial Dialogues** were held between March and April 2021. In this phase, twelve (12) were held online, on virtual platforms, due to the worsening of the COVID-19 pandemic in Brazil at the beginning of 2021. These meetings lasted 1 hour, where initially the participants introduced themselves and/or interacted in the chat with their name, institution and contacts. The moderator then introduced the analyst from the Ministry of the Environment (MMA), who was responsible for the technical presentation of the Floresta+ Amazônia Pilot Project, and then the guests made their reflections and questions. It mobilized seven (07) states in the Legal Amazon, with representations from Acre, Amapá, Amazonas, Maranhão, Pará, Rondônia and Roraima, involving 72 people, with the participation of 58% men and 42% women. The invited interest groups were representatives of family farmers (CNS and CONTAG), traditional peoples and communities (CONAQ, COIAB, GCF Regional Committee and APOIANP) and third sector organizations (RIPAP, PAM, IMAZON, ISA, IDESAM, CIFOR/ ICRAF, Fundação Amazônia Sustentável and Memorial Chico Mendes), operating in the states of the Legal Amazon, which fall under the modalities of the Floresta+ Amazônia Pilot Project. Maranhão and Amazonas with 45% and Amapá (18%) had the highest number of participants in these meetings; Pará had 10%; and, Roraima, Rondônia and Acre had a 9% share in each state. At this stage, the most relevant questions were related to the planning, elaboration and execution of the Project, mainly to the criteria adopted by PNUD/MMA to select the beneficiary public.

The **Webinars** took place between April 27 and 30, 2021, with the participation of representatives from the 9 (nine) states of the Legal Amazon. In this engagement phase, debaters representing family farmers, small farmers, communities and traditional peoples, researchers from Research Institutions, professors from Federal Universities, representatives of governmental and non-governmental organizations and associations of traditional communities were invited to debate about the Floresta+ Amazônia Pilot Project. For the editions of the Webinars, 16 guests attended, 8 women and 8 men. Of these, there was a higher percentage of women debaters present in Preparatory Webinars in Acre and Rondônia (67%), Mato Grosso and Tocantins (67%). The highest percentage of male debaters occurred in the Webinars of Amazonas and Roraima (67%), Amapá, Pará and Maranhão with 75%. One of the main reasons for the absence of confirmed debaters in the Webinars was the instability of the internet signal in places with greater access difficulties. The Preparatory Webinars were carried out on the StreamYard platform and broadcast live on Instituto Acariquara's Youtube and Facebook channels. In the first Webinar, intense calls were made on social networks and registration from the external public, guaranteeing a 50% audience on the first day. However, as Webinars were disabled from virtual platforms (Youtube and Facebook), after they were held, audience participation and frequency dropped, to the point that, in the fourth and last Webinar, there was only 8% of the audience that had been following the live discussions. The results achieved with the realization of the Webinars brought relevant considerations, exposing problem situations faced by social organizations and potential beneficiaries, in a large part of the Legal Amazon. All the questions raised served as the basis for listing a series of possible risks and impacts that were explored in the elaboration of the ESIA. In addition to disseminating information on the Floresta+ Amazônia Pilot Project at the state level.

The **Participatory Workshops** involved interest groups (Family Farmers, Indigenous Peoples, Traditional Peoples and Communities) and institutions in the innovation process to improve decision-making, based on an assessment of risks, impacts and impact management. Mobilizing organizations were nominated by their respective national and state grassroots organizations. Initially, 07 workshops were planned with specific interest groups with exclusive programming for guests using the ZOOM application and without live broadcasting. Around 150 people participated in the Workshops, distributed among 43% women and 57% men. Four participatory workshops were organized to discuss the Environmental and Social Management Plan on 23 and 24 September 2021.

The stakeholder engagement process for evaluating the impacts of the Floresta+ Amazônia Pilot Project took place in a broad and satisfactory manner, regarding the phase of contact with the grassroots organizations that represent the target audience of this project. Three main factors were fundamentally decisive in the quantitative expression of participants present in the events of the engagement phase of this project.

The first factor is related to internet connectivity for participation in web conferences by representatives of grassroots organizations. Despite the participation of grassroots organizations being diversified and representative. The first factor is related to internet connectivity for participation in web conferences by representatives of grassroots organizations. Although the participation of grassroots organizations is diverse and representative as the target audiences included in the pilot project modalities, other representatives of grassroots organizations contacted by e-mail and mainly by phone calls, could not be present due to local difficulties of quality access to the internet or even not having access to the internet.

The second factor included the communication process, specifically the wide prior disclosure to the base public of each modality of the Floresta+ Amazônia Pilot Project, considering that the main means of disseminating the project is a web page on a Federal Government website. Most of the beneficiary public of this project is limited by access to quality internet, coupled with the lack of knowledge of government projects that may benefit them, which meant that when in the communication phase, during the stakeholder engagement process, a lot of mistrust was generated among the people contacted.

The third factor refers to the lack of confidence in the continuity of the projects, when considering the discontinuity or even the benefit of people outside the bases of the projects, to the detriment of the real beneficiaries of other projects already experienced by grassroots organizations, more specifically those concerning modalities 1 and 2 of the Floresta+ Amazônia Pilot Project. The lack of participation of social organizations representing the target audiences in the construction of the pilot project, generated a lack of knowledge of the project's objectives, coupled with the need for greater dissemination of the project's actions and stages, leading to distrust on the part of these organizations, resulting in a greater engagement effort for the mobilization stage to assess socioeconomic and cultural impacts.

Assessing these factors, it is understood that the broad and early dissemination of the stages of the Floresta+ Amazônia Pilot Project through all mass media, which may be present in the daily lives of farmers, quilombolas, social groups and representatives of innovation institutions, can generate greater interest of the base public, strengthening the participation and engagement of this public in the events to be held within the scope of the project. The timely dissemination of phases consequently facilitates the programming of grassroots organizations to mobilize their participants to be present at the events and to plan to overcome communication problems, especially those related to internet connectivity to participate in the project's events.

Further details of the process can be found in the specific documents:

- Environmental and Social Impact Assessment. **Public Participation Report for the elaboration of the Environmental and Social Impact Study.**, IDAD, August, 2021. Edition in Portuguese.
- Environmental and Social Impact Assessment. **Public Participation Report for the elaboration of the ESMP.**, IDAD, October, 2021. Edition in Portuguese.

4. STAKEHOLDERS

A critical factor for the success of the Floresta+ Pilot Project will be the full and effective participation of stakeholders in the project's implementation. This involves a process of communication and engagement that is very dependent on the active involvement of the **main government bodies**, as also mentioned in the Chapter on Grievance Redress Mechanism of this report, and on the establishment of partnerships with a wide and diverse network of entities, governmental and non governmental agencies.

It is reaffirmed that the main beneficiaries of the project are **small farmers, including family farmers, indigenous peoples and traditional peoples and communities (modalities 1, 2 and 3)**. In addition to these, Modality 4 presents activities related to innovation for the conservation, restoration and sustainable use of forests, with the main focus on the development of solutions that contribute to the establishment of a market for payment for environmental services in this region of Brazil, consequently benefiting the entire regional society. **Organizations specialized in fostering innovative ventures, including teaching and research institutes, companies, startups and private associations will be the main partners for the implementation of modality 4.**

Table 1 - Initial mapping of stakeholders and their activities and functions

Stakeholders	Representatives	Activities and Roles	Modalities
Executing and Controlling Agencies	PNUD	Integrates the Project Steering Committee, being the project execution and implementation agency	1, 2, 3 and 4
	MMA	Integrates the project's Steering Committee. The MMA is the main entity involved and technical coordinator of the project. It is also responsible for coordinating efforts to promote consistency and complementarity with other forestry and biodiversity conservation programs and policies.	1, 2, 3 and 4
State Governments	State Secretariats for the Environment (SEMAs)	State governments are responsible for assessing and confirming the environmental compliance of each rural property in their jurisdiction. They are also responsible for territorial, environmental and agricultural policies that have an important relation with the project. These policies are important for defining priority areas and activities. States also play an important role in involving farmers and traditional communities in the project, especially by their decentralized infrastructure and physical presence.	1, 2 and 3
Project Beneficiaries	Universities, foundations, centers and research groups	Development of solutions for structuring and enabling a market for PES in Brazil.	4
	Private sector and civil society institutions that work with innovation for the conservation and recovery of native vegetation.		4

## Environmental and Social Management Plan

	Small Farmer Organizations or Representatives: Cooperatives, Unions and Small Farmer Associations	Farmers unions and associations are important actors to represent local demands and involve landowners in the project, especially in modalities 1 and 2. They can be vehicles to provide information about Floresta+, as well as act as an entry point for receiving registrations. There are several representations of farmers in the Amazon states that can be involved to multiply Floresta+ information.	1 and 2
	Associations, groups or representatives of Traditional and Indigenous Populations	These organizations, as representatives of the beneficiary civil society, are represented on the Project Advisory Committee to debate priorities, procedures and provide recommendations to the Project Steering Committee, in addition to helping to identify priorities, engage beneficiaries and support local projects design and implementation.	3

### 5. STAKEHOLDERS ENGAGEMENT PLAN

The Stakeholders Engagement Plan is based on the premise that the participation of society in the public sphere, to debate and deliberate on collective issues that concern their lives, is one of the essential elements to guarantee transparency and participation.

The participation and commitment of governments, small farmers and women farmers, indigenous peoples and traditional peoples and communities are fundamental to achieving the project's expected results, which include the strengthening of Brazil's National REDD+ Strategy (ENREDD+) and the development of Floresta+ Amazônia pilot project.

The dialogue and communication process for stakeholder engagement is therefore of utmost importance for the project's success.

The **strategic objectives** of the engagement plan aim, among other things, to:

- Widely publicize the MOP of each of the modalities and clarify its details to society,
- Publicize the Environmental and Social Management Plan, as a strategic part of the project's governance;
- Ensure broad participation by the Project's beneficiaries, strengthening the equal participation of women and men;
- Articulate between organizations/institutions, their strategic role and guidelines for monitoring the Project;
- Promote the continuity of Payments for Environmental Services beyond the duration of the Floresta+ Amazônia Pilot Project;
- Safeguard the gender and indigenous peoples and traditional communities policy in the Project's engagement and implementation process.

## Environmental and Social Management Plan

Activities	Methods Description	Modality	Indicators	Stakeholders	Responsibility
<p>Transmitting to the nine Legal Amazon States publicity about the Floresta+ Amazônia Project, its objectives, potentials and criteria for accessing the benefit.</p> <ul style="list-style-type: none"> <li>▪ Dissemination of the Floresta+ Project to organizations representing small farmers.</li> <li>▪ Raising awareness/information/clarification among potential beneficiaries.</li> <li>▪ Engagement of owners, possessors and entities that support the registry so that they strive to have their forest asset recognized.</li> <li>▪ Involve union organizations to support/promote registration in the CAR.</li> </ul>	<p>Mobilization of potential beneficiaries with a wide dissemination of the benefits of environmental regularization (booklets, folders, banners, sound car, radio).</p> <p>Use as a means of disseminating information: short online videos, radio, podcasts.</p> <p>For the PIPCT to use instruments such as podcasts, graphic reports, videos to communicate.</p> <p>Make good communication, making it clear that the financial resources that are coming are the result of a historical contribution from the beneficiary groups.</p>	<p>1, 2 and 3</p>	<p>Number of dissemination and publicity actions in each of the states, by phase: before the notices, within the application deadline, after the deadline, in the disclosure of beneficiaries and in the contracting of those selected.</p>	<p>Project Beneficiaries</p>	<p>PNUD, MMA, SEMAs</p>
<p>Favor the continuity of practices promoted by Conservation and Recovery until the end of the Project.</p> <ul style="list-style-type: none"> <li>▪ Carry out Environmental Education actions, reinforcing that harmonious action with nature/forest in the future can bring new resources/projects.</li> </ul>	<p>Holding meetings/workshops to:</p> <ul style="list-style-type: none"> <li>▪ Explain the importance of the forest for local and global climate stability;</li> <li>▪ Make good communication, making it clear that the financial resources that are coming are the result of a historical contribution from the beneficiary groups;</li> <li>▪ Explain that the reason for payment is environmental services to leverage other initiatives</li> </ul>	<p>1 and 2</p>	<p>Number of annual training activities by State.</p>	<p>Small Farmer Organizations or Representatives: Cooperatives, Unions and Small Farmer Associations)</p>	<p>PNUD, MMA</p>
<p>Expand equity of participation by strengthening women's participation in the PES, reducing gender inequality.</p> <ul style="list-style-type: none"> <li>▪ Mobilize a network of local organizations that deal with potential beneficiary women</li> <li>▪ Directly approach women</li> <li>▪ Mobilization of women in PIPCT</li> <li>▪ Active search for gender equality in organizations targeting modality 4</li> <li>▪ Encourage women, e.g. widows, to update the CAR</li> </ul>	<p>Directly approach the potential beneficiaries of the Floresta+ Project through local organizations that already work with women, churches and other movements and collective meeting places.</p> <p>Meetings/workshops aimed at women to inform and build capacity on access to the Floresta+ project (accession to the PES) in particular for clarification regarding documents required for accession, respecting the most appropriate times and places for the participation of women.</p>	<p>1 and 2</p>	<p>Number of women contacted via local organizations.</p> <p>Number of women gathered for capacity building and training.</p> <p>Number of activities developed with local organizations, churches, associations, women's movements and other</p>	<p>Small Farmers' Organizations or Representatives: Cooperatives, Unions and Small Farmers' Associations)</p>	

## Environmental and Social Management Plan

Activities	Methods Description	Modality	Indicators	Stakeholders	Responsibility
<ul style="list-style-type: none"> <li>▪ Adopt an active search strategy for adhesion to the project, in modalities 1 and 2, by female heads of single-parent families.</li> </ul>			entities that deal with potential women beneficiaries of the Project.		
	Organize awareness-raising workshops on the Floresta+ project with associations and entities representing indigenous peoples and traditional communities, to ensure the active and equitable involvement of women	3	Number of participants in awareness workshops on the Floresta+ Pilot Project for PIPCTs, by gender.	Associations, groups or representatives of Traditional and Indigenous Populations	
	Adopt partnerships with Modality 4 Target Organizations and Implementing Partners to bring women to develop Innovation and Technology projects for the conservation and recovery of native vegetation.	4	Number of partnerships with Modality 4 Target Organizations and Implementing Partners aimed at training and building capacity for women in companies, cooperatives and associations of producers and extractivists, private and public research and innovation institutions, NGOs/CSOs, with a focus on innovation	Universities, foundations, centers and research groups; Private sector and civil society institutions working with innovation	
	Carry out joint efforts (task forces) for registration in the CAR, inviting women owners and owners	1 and 2	Number of joint efforts for registration in the CAR.		
<p>For PIPCT beneficiaries, adopt FPIC measures (Free, Prior and Informed Consultation) at all stages of the project.</p> <ul style="list-style-type: none"> <li>▪ Elaboration of guidelines for dialogue, participation and agreement.</li> <li>▪ Monitoring the public consultation phases.</li> <li>▪ Hire indigenous technicians for the operational management team of the Floresta+ Pilot Project.</li> </ul>	<p>Responds to the legal requirements of FPIC, expanding the participation and autonomy of the populations involved.</p> <p>Check the PPI, specific to mitigate cultural impacts on PI.</p>	3		Communities of Indigenous Peoples and Traditional Communities and Peoples.	PNUD, MMA
<p>Establish the roles of the organizations/institutions that will monitor the project and its guidelines.</p> <ul style="list-style-type: none"> <li>▪ Define the organizations/institutions that will monitor the project</li> </ul>	<p>Hold meetings/workshops in the initial implementation phase to define the guidelines and the organizations/institutions that will monitor the project</p> <p>Involve union organizations to support/promote registration in the CAR</p>	1, 2, 3 and 4		MMA, SEMAs, Small Farmer Representatives (FETAGRI, FAEA and others)	PNUD, MMA and SEMAs

## Environmental and Social Management Plan

Activities	Methods Description	Modality	Indicators	Stakeholders	Responsibility
Conduct annual reflection sessions on the continuity of Floresta+ Amazônia. <ul style="list-style-type: none"> <li>▪ Present Project Results</li> <li>▪ Promote the exchange of experiences and lessons learned that promote the qualification and increase the efficiency of the teams responsible for implementing the project</li> <li>▪ Involve public bodies in the definition of public policies that guarantee the continuity of the project</li> </ul>	Conduct workshops to present project results; Publication of brochures that publicize the results achieved	1, 2, 3 and 4	Number of project result workshops held.  Number of printed brochure publications distributed.	All	PNUD, MMA
	Conduct workshops to exchange experiences and lessons learned	1, 2, 3 and 4	Number of workshops for exchanging experiences and lessons learned carried out.	All	PNUD, MMA
	Involve organizations/institutions that will adopt the project after its completion and reflect on the transformation of the project into a public policy.	1, 2, 3 and 4	Number of projects that, in the last accountability report, indicate that there are organizations or institutions that intend to adopt the project after the end of the financing period by Floresta+.	PNUD/MMA and SEMAs.	PNUD, MMA and States

6. SCHEDULE OF THE ENGAGEMENT PLAN

It is considered essential that the Stakeholders Engagement Plan be permanent, with periodic activities to collaborate in the dissemination and implementation of the Modalities from year to year, as shown in the table below.

Table 3 - Schedule for implementing the Stakeholders Engagement Plan

Activities	Year 1	Year 2	Year 3	Year 4	Periodicity
<p>Transmitting to the nine Legal Amazon States publicity about the Floresta+ Amazônia Project, its objectives, potentials and criteria for accessing the benefit.</p> <ul style="list-style-type: none"> <li>Dissemination of the Floresta+ Project to organizations representing small farmers.</li> <li>Raising awareness/information/clarification among potential beneficiaries.</li> <li>Engagement of owners, possessors and entities that support the registry so that they strive to have their forest asset recognized.</li> <li>Involve union organizations to support/promote registration in the CAR.</li> </ul>					1 month before the start of PES Implementation (Year 1) and at the end of Year 2
<p>Favor the continuity of practices promoted by Conservation and Recovery until the end of the Project.</p> <ul style="list-style-type: none"> <li>Carry out Environmental Education actions, reinforcing that harmonious action with nature/forest in the future can bring new resources/projects.</li> </ul>					1 month during the PES process, in strategic areas, in each year of application of the Project.
<p>Expand equity of participation by strengthening women's participation in the PES, reducing gender inequality.</p> <ul style="list-style-type: none"> <li>Mobilize a network of local organizations that deal with potential beneficiary women</li> <li>Directly approach women</li> <li>Mobilization of women in PIPCT</li> <li>Active search for gender equality in target organizations for modality 4</li> <li>Encourage women, e.g., widows, to update the CAR</li> <li>Adopt an active search strategy for adhesion to the project, in modalities 1 and 2, by female heads of single-parent families.</li> </ul>					
<p>For PIPCT beneficiaries, adopt FPIC measures (Free, Prior and Informed Consultation) at all stages of the project.</p> <ul style="list-style-type: none"> <li>Elaboration of guidelines for dialogue, participation and agreement.</li> <li>Monitoring the public consultation phases.</li> <li>Hire indigenous technicians for the operational management team of the Floresta+ Pilot Project.</li> </ul>					
<p>Establish the roles of the organizations/institutions that will monitor the project and its guidelines.</p> <ul style="list-style-type: none"> <li>Define the organizations/institutions that will monitor the project</li> </ul>					In the initial phase of the project
<p>Conduct annual reflection sessions on the continuity of Floresta+ Amazônia.</p> <ul style="list-style-type: none"> <li>Present Project Results</li> <li>Promote the exchange of experiences and lessons learned that promote the qualification and increase the efficiency of the teams responsible for implementing the project</li> <li>Involve public bodies in the definition of public policies that guarantee the continuity of the project</li> </ul>					1 month at the end of each year of Project implementation