UNITED NATIONS DEVELOPMENT PROGRAMME

High-Integrity Carbon Markets Toolkit



Advancing Social Integrity in Forest Carbon Initiatives

Insights from Brazil

MODULE 2 | CASE STUDY 1

November 2026

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Cover photograph: UN Women

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This publication was developed with support from the UN-REDD Programme. UN-REDD is the United Nations knowledge and advisory platform on forest solutions to the climate crisis. It supports nationally-led REDD+ processes and promotes the informed and meaningful involvement of all stakeholders, including Indigenous Peoples and local communities, to mobilize finance for and implement REDD+ activities agreed under the United Nations Framework Convention on Climate Change (UNFCCC). UN-REDD builds on the convening capacity and technical expertise of FAO, UNDP and UNEP, serving 65 partner countries. UN-REDD is made possible through support from the European Commission and the governments of Denmark, Japan, Luxembourg, Norway, Republic of Korea, Spain, Switzerland and United Kingdom.

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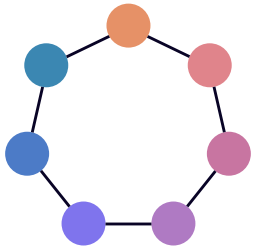
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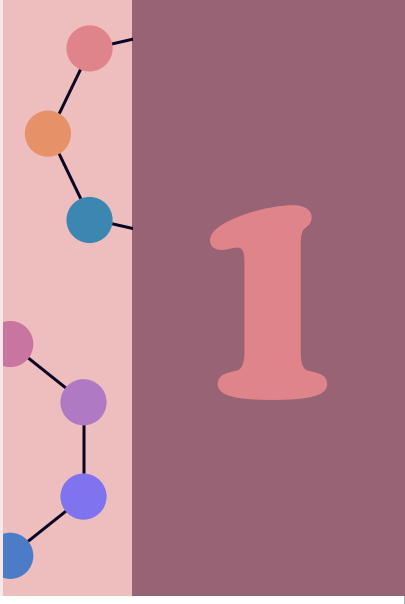
Acronyms

ABEX	*Associação Bebô Xirin do Bacajá*
AIKATUK	*Kaxuyana, Tunayana e Kahyana* Indigenous Peoples Association's
APIB	*Articulação dos Povos Indígenas do Brasil*
COIAB	*Coordenação das Organizações Indígenas da Amazônia Brasileira*
CONAREDD+	Brazil National Commission for REDD+
ENREDD+	Brazil National REDD+ Strategy (*Estratégia Nacional para REDD+*)
ESIA	Environmental and Social Impact Assessment
ESMF	2018 Floresta+ Environmental and Social Management Framework
ESMP	Environmental and Social Management Plan
FEMAPEN	The Federation of Pirarucu Managers of Mamirauá
FPIC	Free, prior and informed consent
FREL	Forest Reference Emission Level
FUNAI	National Indigenous Peoples Foundation (*Fundação Nacional dos Povos Indígenas*)
GCF	Global Climate Fund
ICMBio	Chico Mendes Institute for Biodiversity Conservation
IDSM	Mamirauá Institute for Sustainable Development
MMA	Brazil Ministry of Environment
MPF	Brazilian Public Prosecutor's Office
MRV	Measurement, Reporting and Verification
PES	Payments for Ecosystem Services
PGTAs	Indigenous Territorial and Environmental Management Plans (*Planos de Gestão Territorial e Ambiental*)
PIPCTs	Indigenous Peoples and Traditional Peoples and Communities
PNGATI	National Policy for Territorial and Environmental Management of Indigenous Lands
PPCDAm	Action Plan for the Prevention and Control of Deforestation in the Legal Amazon
PPCerrado	Action Plan for the Prevention and Control of Deforestation and Burning
REDD+	Reducing emissions from deforestation and forest degradation in developing countries (plus conservation, sustainable management of forests, and enhancement of forest carbon stocks)
SISREDD+	National REDD+ Safeguard Information System
TREES	REDD+ Environmental Excellence Standard
TWG	Technical Working Group
TWG-Salv	Safeguards Technical Working Group

1 Introduction

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Introduction



1

This case study examines how social integrity was operationalized within Brazil's jurisdictional Reducing Emissions from Deforestation and Forest Degradation (REDD+) framework through the Floresta+ Amazônia Project, with particular focus on the Floresta+ Communities, or the 'Communities Modality', which provides support for small projects that benefit associations and entities representing Indigenous Peoples and traditional peoples and communities. Social and environmental integrity refers to the systems that protect rights, promote gender equality, enable meaningful participation, ensure access to grievance mechanisms, support equitable benefit sharing and contribute to broader sustainable development objectives.

Brazil provides a relevant example because it combines an established national REDD+ architecture with application of UNDP's Social and Environmental Standards under a results-based finance framework. The case illustrates how human rights due diligence; free, prior and informed consent (FPIC); participatory risk assessment and alignment with international legal obligations influenced programme design and implementation.

Consistent with the key insights identified in the Module 2 Introduction, the Brazil experience demonstrates several structural elements of social integrity in practice, such as:

- How grounding participation in existing territorial instruments, including Indigenous Territorial and Environmental Management Plans (*Planos de Gestão Territorial e Ambiental*, PGTAs) and community-developed FPIC Protocols, and engaging representative institutions across multiple levels, can translate safeguards requirements into genuine governance outcomes.
- How broader structural conditions, including land tenure insecurity and illegal encroachment, shape the outer limits of what programme-level safeguards can achieve.

The Floresta+ Communities Modality did not operate in isolation. Its implementation was shaped by Brazil's national safeguards system, institutional arrangements and territorial realities. **This case therefore illustrates the central argument of the publication: jurisdictional forest carbon programmes must be grounded in embedded rights-based systems if they are to function credibly and at scale.**

The sections that follow describe the methodological approach, institutional context and lessons learned from implementation, highlighting both enabling factors and areas for strengthening future initiatives.



2 Case study methodology

Case study methodology

2

The case study involved desk-based reviews of UNDP, government and Indigenous Peoples and Traditional Peoples' documentation of REDD+ in Brazil.[1] A series of on-line interviews were conducted with the UNDP Project Management Unit responsible for implementing the Floresta+ project, and with UNDP staff involved in aspects of the design and initial implementation stage in 2022 and 2023. The consultants responsible for the design and conduct of the Environmental and Social Impact Assessment (ESIA) were also interviewed. These interviews provided background information on the context in which Floresta+ was designed, the challenges faced in developing its initial implementation approach given the pandemic and a complex political environment, and progress to date in terms of implementation. Three local project proposals to the "Communities Modality" were reviewed and related interview questions developed. Short in-person interviews were held with representatives of the Indigenous Peoples and traditional communities that developed the three project proposals in 2023.



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3 Evolution of REDD+ in Brazil

Evolution of REDD+ in Brazil

3

Brazil started implementing REDD+ before the international architecture had been established under the United Nations Framework Convention on Climate Change (UNFCCC). In addition to public policies that enabled the achievement of REDD+ results, Brazil established the Amazon Fund (2008), one of the first large-scale demonstrations of performance-based payments for forest carbon emission reductions.

Brazil has been monitoring the Amazon rainforest through satellite images since 1988. From 1994-2004, the Legal Amazon[2] accrued high rates of deforestation, peaking in 1995 and 2004, with almost 30,000 km2/year lost.[3] In 2004, the federal government created the Action Plan for the Prevention and Control of Deforestation in the Legal Amazon (PPCDAm), which was developed to address deforestation drivers in an integrated and intensive way, with four focus areas: (i) land tenure and territorial planning, (ii) environmental monitoring and control, (iii) promotion of sustainable productive activities, and (iv) normative and economic instruments. Throughout five execution phases (2004-2008; 2009-2011; 2012-2015; 2016-2020; 2023-2027), PPCDAm has played a significant role in dramatically reducing deforestation in the Amazon.



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Created in 2008, the Amazon Fund provides funds for activities that aim to reduce greenhouse gas emissions from deforestation and forest degradation. It is an instrument that receives results-based payments and uses them in actions to prevent, monitor and combat deforestation, promote conservation and sustainable forest use in the Legal Amazon.

The combined experience and results from PPCDAm, the Amazon Fund, the Action Plan for the Prevention and Control of Deforestation and Burning (PPCerrado) and the Jurisdictional REDD+ Program of Acre (in implementation since 2012), laid the foundation for Brazil to develop the National REDD+ Strategy (*Estratégia Nacional para REDD+*, ENREDD+) in 2015. Brazil's National Commission for REDD+ (CONAREDD+) is responsible for coordinating, overseeing and monitoring the implementation of ENREDD+, with support, advice and guidance from the Executive Secretary (Ministry of Environment, MMA) and its Technical Working Groups (TWG). Currently, there are three TWG on 1) safeguards, 2) benefit sharing, and 3) measurement, reporting and verification (MRV). The Safeguards Technical Working Group (TWG - Salv) provides inputs to support CONAREDD+ decision-making on how the Cancun Safeguards have been addressed and respected throughout REDD+ implementation in Brazil.

Since 2015, there was significant progress towards the implementation and consolidation of ENREDD+ and the national REDD+ Safeguard Information System (SISREDD+).

Brazil national REDD+ programme
Key milestones

1988 — **PRODES satellite monitoring begins; Brazilian Constitution recognizes Indigenous rights**

National Institute for Space Research (INPE) begins annual satellite monitoring of Amazon deforestation. Constitution enshrines Indigenous land rights (Articles 231–232) and affirms the legal standing of Indigenous Peoples.

2002–2007 — **Key rights frameworks ratified and adopted**

ILO Convention 169 ratified (2002); UNDRIP supported (2007); Decree 6040 establishes National Policy for the Sustainable Development of Traditional Peoples and Communities (2007).

2004 — **PPCDAm launched; Amazon Fund concept developed**

Action Plan for the Prevention and Control of Deforestation in the Legal Amazon (PPCDAm) created in response to deforestation peak of ~30,000 km²/year. PPCDAm has since operated across five phases (2004–2027).

2008 — **Amazon Fund established**

Amazon Fund created as one of the first large-scale results-based payment mechanisms for forest carbon. Provides funds for activities to reduce GHG emissions from deforestation in the Legal Amazon.

2010 — **ENREDD+ development begins; multi-stakeholder process initiated**

National REDD+ Strategy (ENREDD+) development launched. Multi-stakeholder process includes federal and state governments, civil society, and Indigenous organizations including APIB and COIAB.

2012 — **Jurisdictional REDD+ programme of Acre begins; PNGATI established**

State of Acre launches jurisdictional REDD+ programme. Decree 7747 establishes the National Policy for Territorial and Environmental Management of Indigenous Lands (PNGATI), enabling development of Indigenous Territorial and Environmental Management Plans (PGTAs).

Over the last few years there have been a number of emerging lessons coming from REDD+ implementation at the jurisdictional level, where States of the Legal Amazon are working towards demonstrating compliance with the REDD+ Environmental Excellence Standard (TREES) in order to access performance-based finance. The process and achievements which are progressing rapidly, will be the subject of future HICM Toolkit resources.

The focus of this case study however is the **Floresta+ Amazônia Project (Floresta+)**, launched in 2020 with funding from the Green Climate Fund (GCF) based on REDD+ results achieved in 2014-15. The project is implemented by MMA with support from UNDP. The project's Output 1 is implemented through payments for ecosystem services (PES) schemes, where eligible participants receive incentives for maintaining or restoring native forests on their lands. There are five "Modalities", each based on target stakeholders. The "Communities Modality" supports the implementation of local projects aimed at strengthening environmental and territorial management in the territories of Indigenous Peoples and traditional communities. Output 2 focuses on strengthening the implementation of ENREDD+, its instruments and governance: Forest Reference Emission Level (FREL), a MRV system, and a National REDD+ Information System (SISREDD+), and CONAREDD+.

2015

ENREDD+ completed; CONAREDD+ established

National REDD+ Strategy finalized. CONAREDD+ (National Commission for REDD+) created to coordinate, oversee and monitor ENREDD+ implementation, supported by three Technical Working Groups on safeguards, benefit sharing and MRV.

2018

Brazilian interpretation of Cancun Safeguards, Environmental and Social Management Framework (ESMF) published; GCF proposal submitted

CONAREDD+ Resolution 15/2018 establishes the Brazilian Interpretation of Cancun Safeguards. ESMF published for REDD+ RBP, establishing governance model described as 'one of the most participative structures created by the Brazilian government for forest sector policy implementation.

2020

Floresta+ Amazônia Project launched

GCF-funded project launched, based on REDD+ results achieved in 2014–2015. Implemented by MMA with UNDP support. Five modalities including the Communities Modality for Indigenous Peoples and traditional peoples and communities.

2022-2023

Communities Modality: call for proposals and project selection

First and second calls for proposals under the Communities Modality result in 40 approved local projects across 63 territories covering ~70 million ha, representing 80 Indigenous ethnic groups, *quilombolas*,[4] riverine communities and artisanal fishers.

2023

PPCDAm Phase 5 launched (2023–2027); *Quilombola* policy decree issued

PPCDAm relaunched after a three-year hiatus. Decree 11786 institutes National Policy for *Quilombola* Territorial and Environmental Management. Amazon Fund reinstatement accelerates REDD+ results-based finance.

2025

CONAREDD+ Resolution 19/2025 issued

Established safeguard guidelines for jurisdictional programmes and projects on public lands and collective territories.



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4 Context and enabling conditions for Floresta+

Context and enabling conditions for Floresta+

4

A number of broader contextual conditions have contributed to Floresta+'s success, including:

4.1. An enabling policy environment

Brazil has had a relatively progressive legal and policy framework on the rights of Indigenous Peoples and traditional communities, that proceeded the development of the project. This enabling environment was supported by the existence of the National Indigenous Peoples Foundation (*Fundação Nacional dos Povos Indígenas,* FUNAI), a government agency established in 1973 for the protection of their interests and cultures, and enshrined in the 1988 Brazilian Constitution, which recognized various rights for Indigenous Peoples, including recognition of land rights (see, in particular, Articles 231 and 232).[5] These rights were further confirmed by Brazil's support of international frameworks, including: the ratification of the Convention on Biodiversity (CBD) in 1994; the ratification of the International Labour Organization's (ILO) Convention 169 in 2002 protecting the rights of Indigenous Peoples and traditional communities; its support for the UN Declaration on the Rights of Indigenous Peoples (UNDRIP) in 2007; and the American Declaration on the Rights of Indigenous Peoples (ADRIP) in 2016.

Domestically, a number of decrees outline Brazil's commitment to protecting Indigenous Peoples, including Decree 6040 of 2007, which institutes the National Policy for the Sustainable Development of Traditional Peoples and Communities; Decree 7747 of 2012 establishing the National Policy for Territorial and Environmental Management of Indigenous Lands (PNGATI) (developed through a participatory process and involves the development and implementation of PGTAs); and Decree 11786 of 2023, which institutes the National Policy for *Quilombola* Territorial and Environmental Management.

While this policy framework was weakened during intervening administrations (2016-2019 and 2019-2022), the Brazilian Public Prosecutor's Office (MPF), which works to


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protect the rights of Brazilian Indigenous Peoples and traditional communities, acted as a restraining force on government efforts to roll back Indigenous Peoples' rights. Coupled with strong civil society support for Indigenous and traditional rights, and the fact that the FUNAI continued to be on the Floresta+ project Advisory Committee, the project was able to continue its participatory processes and undertake successful consultations despite political challenges.[6]

4.2. Participatory design and oversight of National REDD+ Strategy

The design of the Floresta+ project as part of the REDD+ Results Based Payment stage was preceded by the development of the National REDD+ Strategy (ENREDD+), which incorporated the Cancun safeguards.



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The development process of ENREDD+ began in 2010, involving a multi-stakeholder approach that included federal and state governments, civil society organizations, and Indigenous Peoples' representatives from national and regional organizations. These included the national Indigenous organization *Articulação dos Povos Indígenas do Brasil* (APIB), the regional Indigenous Amazonian organization *Coordenação das Organizações Indígenas da Amazônia Brasileira* (COIAB), Indigenous networks from the Nordeste, Minas Gerais, and Espírito Santo, and some local organizations such as the Wayana y Aparai Peoples' Association.[7] The discussions involving Indigenous Peoples' organizations covered aspects such as safeguards and, in particular, how to approach FPIC in the context of REDD+ in Brazil.

Representatives from Indigenous Peoples and local communities also form part of CONAREDD+, Brazil's REDD+ National Commission, and its Technical Working Groups. The 2018 Floresta+ Environmental and Social Management Framework (ESMF) described the governance model for REDD+ implementation as "one of the most participative structures created by the Brazilian government for the implementation of policies in the forest sector." It noted that "the strengthening of existing governance structures of Indigenous Peoples and traditional communities has been a key element of REDD+ implementation," and that Brazil's approach to safeguards includes "provision for consulting and free, prior and informed consent in order to respect human rights and avoid conflicts in relation to forest management and forest concessions, especially involving Indigenous Peoples and traditional communities which make up an important part of the targeted beneficiaries."[8]



5 Social integrity as a key success factor for the Floresta+ Project

Social integrity as a key success factor for the Floresta+ Project

5

The Floresta+ project prioritized social integrity in all project stages, resulting in positive outcomes for project participants and for the project's objectives.

5.1. Input into project design

Representatives of Indigenous Peoples and traditional communities were able to input into the project design prior to it being submitted to GCF for approval. The Floresta+ draft proposal was presented to Indigenous representatives on the PNGATI Climate Change Technical Board in 2018, who regarded it as an opportunity for Indigenous Peoples to access funds to cover their climate change adaption and mitigation needs, and to improve the management of their territories. FUNAI, the government agency tasked with supporting Indigenous Peoples' interests and cultures, was also consulted. Following the approval of the Floresta+ project by the GCF, representatives of Indigenous Peoples and traditional communities were appointed to the Project Advisory Committee. As part of their mandate, they were involved in refining the design and developing the implementation strategy, which included the development of the ESIA and the Floresta+ Operational Manual, which included detailed guidance on how the project would be implemented.

5.2. Participatory assessment and management of social and environmental risks

The ESIA for Floresta+ was led by a team of highly qualified environmental and social impact assessment experts, with international, national and local dimensions. The Federal University of Amazonas (UFAM), a highly trusted local partner with a solid social network and connections to the Brazilian system of NGOs, played a key role in connecting international safeguards advisors with local experts and actors, enabling the ESIA to be well-informed and ground-truthed.

The stakeholder consultation and engagement process for the ESIA was comprehensive and dynamic, involving more than 800 stakeholders, potential beneficiaries, and specialists through participatory online meetings and

webinars. Additionally, more than 700 local stakeholder groups were contacted through a call centre to engage and collect information on the ESIA, including a targeted focus on Indigenous Peoples and Traditional Peoples and Communities (PIPCTs) and women. The extent of the stakeholder engagement is even more notable given the Covid-19 context and the associated challenges.

The resulting ESMP incorporated the critical focus areas of PIPCTs and gender across all Floresta+ modalities, while also providing detailed recommendations to enhance the quality of Floresta+ operations. Because the Floresta+ Operational Manual was being developed at the same time as the ESIA/ESMP, the project had the unique opportunity of ensuring close coordination and incorporation between the Floresta+ operational design and the social and environmental management measures. A large majority of the ESMP recommendations had already been incorporated into the Floresta+ Operational Manual, strengthening it significantly.

The ESMP outlined specific measures to operationalize FPIC throughout the project's lifecycle, including the requirement that local projects must be designed and implemented collaboratively by organizations representing Indigenous Peoples and traditional communities, via an FPIC process.


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5.3. FPIC principles and Protocols guiding participatory local project development

The Floresta+ Operational Manual stipulated that the principles of FPIC had to be followed at the local project level,[9] by the Indigenous Peoples and traditional communities' own proposals. This was to ensure that proposed projects had been developed and agreed upon through participatory processes at the community level. All proposed projects under the Communities Modality followed FPIC principles, and where they existed, the Consultation and FPIC Protocols of the concerned communities, including the stipulation that traditional forms of decision-making had to be followed in development and implementation of local projects. The Floresta+ FPIC principles emphasized the importance of Indigenous Peoples and traditional communities' FPIC Protocols for the implementation of REDD+ and thus help reinforce the use of these Indigenous self-governance instruments more widely.

FPIC architecture under Floresta+ Amazônia

The application of FPIC under Floresta+ Amazônia operates at two distinct but connected levels: overall project governance and the implementation of local projects under the Communities Modality.

1. Project governance level

At the project-wide level, FPIC is anchored in Brazil's REDD+ safeguards framework and UNDP's Social and Environmental Standards. The design of Floresta+ Amazônia aligns with the Cancun Safeguards and Brazil's national interpretation of those safeguards under CONAREDD Resolution 15.

Participatory platforms involving Indigenous and Traditional Community representatives informed the REDD+ strategy and the project design before implementation began. Safeguards principles shaped the structure of the project, including eligibility criteria, oversight arrangements and grievance mechanisms. In this sense, FPIC is embedded in how the project is governed, not only in how individual activities are carried out.

2. Communities Modality level

Within the Communities Modality, FPIC is applied directly to the development and implementation of local projects.

Consultation processes must occur before proposals are submitted and must follow community-defined decision-making procedures. Where consultation protocols exist, they are respected. Where they do not, project guidelines provide a reference framework. Consultations must be culturally appropriate, inclusive of women, youth and elders, and properly documented. Evidence that local projects reflect the collective demands of the communities must be presented in the proposal selection and approval process.

FPIC continues during implementation through participatory monitoring, information-sharing and accessible grievance mechanisms. Documentation of community agreement is required not only at approval, but throughout the life of each local project.



5.4. Importance of building on existing territorial and resource management plans

In Brazil, PGTAs, and Sustainable Management Plans for Traditional Peoples and Communities (*Planos de Desenvolvimento Sustentável de Povos e Comunidades Tradicionais*) are strategic instruments that have been developed by many Indigenous and traditional communities to guide the sustainable management of their lands. These land management instruments have emerged through the intersection of public policy, Indigenous and Traditional Peoples' political agency, and external technical and financial support. They are carried out in partnership with FUNAI and the agencies responsible for managing Protected Areas (ICMBio and OEMAs), if applicable. All respond to the urgent need to defend Indigenous and Traditional Peoples' lands and promote sustainable livelihoods.

An important contribution to participatory local governance was the fact that during implementation, Floresta+ sought to complement existing Indigenous Peoples and traditional communities Management Plans, or to provide an opportunity to develop them if they did not already exist. Where they existed, these plans provided a framework for future decisions around potential Floresta+ funded projects and allowed communities to focus decisions on implementation rather than strategic direction.

5.5. Promoting the active and equitable involvement of women

Promoting the active and equitable involvement of women has been a central focus of Floresta+ across all modalities. At the Floresta+ Project level, a target was set for participation of at least 40 percent women in the technical selection committee, and gender was included as one of the criteria for prioritising projects. In the first call for proposals for the Communities Modality, communities were asked to include information on the degree to which women, as well as youth and elders, were involved in the project design. In the second round of proposal submission, more detailed information on gender was required, including the degree of gender equity in the project team and consultancies, the prioritization of women as direct beneficiaries, and the extent to which the project addressed actions aimed at ensuring gender equality and women's participation.

Of the 40 approved Communities Modality projects, 70 percent (28) are directly related to enhancing gender equality, with women as the main beneficiaries and/or protagonists in their implementation. In the remaining 30 percent (12), women will benefit and/or participate in the project's activities in some way.

Quantitative and qualitative data on gender-related results of local projects



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have been collected and systematized. To date, approximately 3,200 individuals have received training on topics such as conservation, restoration of degraded areas, agroecology, territorial surveillance and protection, and sustainable production chains—51 percent of whom are women.

A perception survey conducted among members of beneficiary grassroots associations revealed that local projects are effectively promoting women's engagement in the management of collective territories. Key outcomes include:

- women assuming leadership positions within associations;
- the creation of women's groups or networks and the formalization of women-only association;
- the emergence of new women community leaders;
- increased participation of women in productive value chains; and
- the recognition and appreciation of traditional women's knowledge.

In some projects, new governance structures involving women were created, reflecting a longer-term impact of the project, as in the case of Kaxuyana, Tunayana e Kahyana Indigenous Peoples Association's (AIKATUK) new women's department (see Spotlight below).

5.6. Diversity of community projects

The Communities Modality allowed for a large degree of freedom in the content and scope of project proposals, provided these met the key criteria such as the participation of women, elders and youth, and were aligned with the main themes of Floresta+. Local projects could, for example, cover the community or territory level, or integrate more than one Indigenous territory. Communities could also decide who they wanted to partner with, which meant they could take advantage of long-standing relationships to implement projects. In addition, many Indigenous Peoples had already developed PGTAs and could propose projects related to any aspects of these, such as projects related to food security, product commercialisation or territorial protection actions.

As a result, the local projects that have been implemented under the Communities Modality have spanned a wide range of thematic areas, from environmental conservation, recovery of degraded areas, agro-ecological production, strengthening socio-biodiversity chains, and territorial surveillance and protection. Currently, 27 value chains are being supported, including vegetable oils, timber, rubber, cassava, Brazil nuts, pirarucu, biocosmetics, bio-jewelry and ecotourism. These initiatives encompass 31 community-based socio-bioeconomy enterprises.

This diversity is also reflected in the types of collective territories where the projects have been implemented and in the Indigenous Peoples and traditional communities involved. In total, 63 territories have been supported, covering approximately 70 million hectares. These include Indigenous Peoples lands, protected areas or sustainable use, *quilombola* territories, urban settlements, and agro-extractive settlement projects. The social segments represented encompass Indigenous Peoples from 80 different ethnic groups, *quilombolas*, riverine communities and artisanal fishers.

Spotlight

Three local projects supported by the Communities Modality

These three local projects were funded by the Communities Modality, two projects that supported Indigenous Peoples, and one from a Federation of traditional communities. Both Indigenous Peoples had already developed PGTAs, and their projects contributed to the implementation of these local plans. In one of the cases, the *Kaxuyana, Tunayana e Kahyana* Indigenous Peoples Association had developed a Consultation and FPIC Protocol, which was used to help guide their internal participatory process. In the second case, the Xikrin Indigenous Peoples were in the process of developing an FPIC Protocol, having seen the need for this to counter external threats in light of their profoundly negative experience with the Belo Monte Dam. The third case relates to traditional fishing communities, who, in accordance with their rights under Brazilian law, have organised themselves as the Federation of Pirarucu Managers of Mamirauá. Under this Federation, they are seeking recognition for the quality of the arapaima fish they catch, and their role in its conservation as part of their sustainable use practices.

1 The Kaxuyana, Tunayana e Kahyana Indigenous Peoples Association (AIKATUK) project

The project focused on production chains of Brazil nuts, cumaru and handicrafts, sustainable swidden management practices* and community-based Indigenous tourism. They viewed improving access to markets as an opportunity, particularly as a way of avoiding intermediaries and therefore getting better prices for their products. They also regarded the project as a tool to help keep youth in the territory by providing employment opportunities, rather than migrating to towns and cities, where they can find themselves in vulnerable situations. They also hoped the project would help increase the symbolic, as well as material, value of products from their territory.

*Sustainable swidden management, or improved shifting cultivation, is a land-use system that balances agricultural production with forest regeneration.





The *Associação Bebô Xirin do Bacajá* (ABEX) and Xikrin Indigenous Peoples' project

2

The project aims to expand the production and commercialization of Brazil nuts and handicrafts, activities youth were enthusiastic about. Other objectives included increased political participation and empowerment of women as well as strengthening their technical capacity, enhancing the transmission of intergenerational knowledge, and growing networks and exchanges with other Peoples and communities.

3

The Federation of Pirarucu Managers of Mamirauá (FEMAPAM), and the Mamirauá Institute for Sustainable Development (IDSM) project

The project supports traditional fishing communities. It aimed to strengthen the management of arapaima fishing through better access to markets, and by supporting political representation of its federation members. One of its overall objectives was for the Mamirauá region to be recognized as having quality management of arapaima fish though its identification as "Mamirauá IG", IG being the stamp that signifies a location with quality produce. This is expected to help improve the fishing collectives' income as well as the conservation of the arapaima.



The successful engagement of these communities was not incidental. **In all three cases, prior or ongoing development of territorial governance instruments helped anchor participation.** The two Indigenous Peoples' organizations had already developed PGTAs, which provided a strategic framework for identifying priorities and guiding project proposals. In one case, an existing Consultation and FPIC Protocol helped structure internal decision-making, while in another, the process of developing such a protocol was already underway in response to external pressures. These instruments strengthened clarity, legitimacy and collective ownership of decisions related to Floresta+ activities.

At the same time, not all Indigenous Peoples and traditional communities have PGTAs, FPIC Protocols or equivalent governance documents in place. The absence of such instruments can make engagement more time-consuming and may limit the ability of communities to articulate strategic priorities or negotiate on equal footing. **Supporting the development of territorial management plans, FPIC protocols and related governance processes could therefore be considered an integral component of REDD+ activities, rather than a parallel or optional exercise**. Investing in these foundations can enhance the quality of participation, reinforce self-determination and improve the long-term effectiveness of jurisdictional forest programmes.



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6 Challenges and lessons learned

Challenges and lessons learned

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Some lessons can be learned from Floresta+ that will help improve future projects in Brazil and the wider region, including: budgeting adequately for monitoring costs; dealing with illegal activities and land encroachments in Indigenous Peoples and traditional communities' territories; and providing ongoing engagement, capacity-building and adequate information. These lessons, and recommendations for addressing them, are outlined below.

6.1. Budgeting for monitoring costs and the benefit of a costed monitoring plan

As the 40 projects under the Communities Modality are dispersed across the Legal Amazon, and monitoring missions are envisaged in contexts where transport logistics are complex (distances are long and journey times consuming and expensive), the cost of on-going monitoring and support for these local projects, and of addressing future grievances through UNDP staff or consultants, could be significant.

To illustrate this expense, a 2024 project review increased this Modality's budget from $7.5M to $10M to cover such costs. A large portion of the extra $2.5 million is to cover staff time for monitoring of, and capacity support to, local projects. This points to the importance of including such costs in future proposals. As these total costs over the project lifecycle are substantial, an assessment of them for the different stages (design, consultation, implementation and monitoring), broken down by the main areas of spending, would be useful for future budgeting and planning of similar projects in Brazil, or for scaling up this type of initiative.

6.2. Dealing with illegal activities and land encroachments in Indigenous Peoples and traditional communities' territories

Several local projects identified issues that pose a high level of risk to the Floresta+ local projects and to communities, requiring mitigating responses from the relevant State authorities. For example, AIKATUK identified

the growth of unwanted fishing tourism, and illegal activities occurring in a protected area where there is no state presence, as posing risks to their project and communities. The communities had also filed a complaint to the MPF about the conditions of the road access to their territory, and, as part of their risk management, were monitoring the measures being taken by the relevant public bodies.

FEMAPAM and IDSM also detailed several issues in their territories, including encountering people involved in narcotrafficking and illegal mining, illegal fishing, and contamination and ecological changes caused by mining. Like AIKATUK, they classified these as high risks to the projects and their communities and noted that such issues require greater monitoring of the areas by the appropriate law enforcement agencies.

The nature of these risks suggests that communities require legal and political advice and support, either through their partner organizations or the Floresta+ project, or directly from law enforcement agencies and supportive government bodies such as the MPF. For this, it is important to establish partnerships with government agencies responsible for the management of Indigenous Peoples and traditional communities' territories. Under Floresta+ Project, the MMA established a Technical Cooperation Agreement (ACT) with FUNAI and Chico Mendes Institute for Biodiversity Conservation (ICMBio) to support the implementation of the Communities Modality.

6.3. Provide ongoing information and capacity-building

All CONAREDD+ or TWG meetings include a capacity-building component. Additionally, to ensure effective and informed participation, a preparatory meeting is held with the Indigenous Peoples and traditional communities audience to explain the context and discuss the topics to be addressed or decided in the larger meeting. Informational materials are produced and made available on the website and through CONAREDD+'s WhatsApp group, a channel widely used by members. Topic-specific and targeted training were also proven to be effective and efficient.

Under the Communities Modality, several activities related to outreach, communication, and capacity-building for Indigenous Peoples and traditional communities and Responsible Parties (RPs) were implemented to ensure that safeguards are applied during operations, to support the development of high-quality detailed proposals, and to enable smooth implementation of selected local projects. These activities include communication materials tailored to the target audience (printed folders, cards and videos); informative sessions, on-site consultancies to provide training on project design, workshops on gender mainstreaming, an initial workshop on Responsible Party Agreement rules and procedures, guidance on reporting, and quality assurance activities. An exclusive WhatsApp channel for direct access to the Communities Modality team has proven effective and efficient for close monitoring of local projects.



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7 Conclusion

Conclusion

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The Communities Modality of Floresta+, which targeted Indigenous Peoples and traditional communities, shows that incentivizing reforestation and other environmental conservation and protection actions through PES is effective, not only for achieving positive ecosystem outcomes, but also in building community resilience and improving rights for Indigenous Peoples and traditional communities. Building on existing territorial and resource management plans, and adapting to changing political and social environments, encouraged the adoption of flexible and creative solutions, which ultimately improved the project's utility for local communities. Supported by the inclusion of community members from all demographics, Floresta+ was able to facilitate a diverse range of projects, all of which were pertinent to the specific communities in which they were mobilized.



The project points to the importance of building on existing structures to implement new projects, giving agency to communities by providing direct funding, having flexible strategies that can adapt to rapidly changing political and economic environments, and, perhaps most importantly, having ongoing and meaningful consultation and participation mechanisms with Indigenous Peoples and traditional communities (or other marginalized voices) as well as other stakeholders.

The lessons learned from Floresta+ can be summarized to: inclusive and participatory planning at all stages of projects, providing adequate funding and time for these processes, and, critically, genuine efforts from government (at national, regional, and local levels) to deal with encroachment on Indigenous Peoples' and traditional communities' land (both legal and non). Successful environmental and forestry protections will only work if protecting the rights of Indigenous Peoples and traditional communities is addressed hand-in-hand with environmental actions. **The Floresta+ experience demonstrates that when rights-based systems are embedded from the outset, rather than applied as compliance overlays, forest carbon programmes can generate sustainable outcomes for communities and credible results for funders.** The remaining challenges, particularly around territorial security and illegal encroachment, point to the limits of programme-level action alone and underscore the need for sustained state commitment alongside finance mechanisms.



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Endnotes

1 This included the Project Document Proposal, ESIA, ESMF, REDD+ Strategy and Summary of Information reports, project proposals, and UNDP's response to the GCF observations on Floresta+. It also included non-project documents, such as reports of the UN Special Rapporteur on the Rights of Indigenous Peoples, websites of Indigenous organizations such as AIPB and COAIB, and reports of civil society organisations, such as ISA.

2 The Legal Amazon (Amazônia Legal) is a socio-geographic region of Brazil covering approximately 5.2 million km² (roughly 61 percent of national territory). It comprises the states of Acre, Amapá, Amazonas, Mato Grosso, Pará, Rondônia, Roraima and Tocantins, as well as the municipalities of Maranhão. The region's boundaries are defined by the area of jurisdiction of the Superintendence for the Development of the Amazon (SUDAM). *Instituto Brasileiro de Geografia e Estatística* (IBGE), "Legal Amazon," based on Complementary Law No. 124 of January 3, 2007, Art. 2.

3 Instituto Nacional de Pesquisas Espaciais (INPE). PRODES: *Monitoramento do Desmatamento da Floresta Amazônica Brasileira por Satélite* [Amazon Deforestation Monitoring Programme]. Brazilian National Institute for Space Research. Data available via TerraBrasilis.

4 *Quilombolas* are communities of Afro-Brazilian descendants, defined under Brazilian law as self-designated ethno-racial groups with their own historical trajectory and specific territorial relations tied to the legacy of slavery. Their land rights are established under Article 68 of the Brazilian Constitution of 1988 and regulated by Presidential Decree No. 4.887 of November 20, 2003.

5 Article 231 affirms that Indigenous Peoples shall have "their social organization, customs, languages, creeds and traditions recognized, as well as their original rights to the lands they traditionally occupy." Article 232 recognizes the legal standing of Indigenous Peoples and their organization to sue to defend their rights and authorizes the Public Prosecutor to intervene on their behalf in all pertinent cases.

6 Thais Mantovanelli, Cathal Doyle, Chris Ewell, Sofea Dil (2021). Brazil: The dangers of rolling back social and environmental safeguards for indigenous and forest peoples during COVID-19 (Discussion Paper). Federal Ministry for Economic Cooperation and Development.

7 *Instituto de Manejo e Certificação Florestal e Agrícola* (2010). REDD+ Social and Environmental Principles and Criteria, July 2010, Annex B: Overview of Stakeholder Engagement in REDD+ related activities.

8 The 2018 Floresta+ Environmental and Social Management Framework (ESMF), p. 14.

9 The FPIC Guidelines state: "Application of FPIC within the scope of the Forest+ Amazon Project. In the context of the Forest+ Amazon project, the Communities Modality 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 should be designed in a participatory manner by organizations representing the PIPCT, taking into account the collective nature of management activities in these territories.... As the Project aims to positively affect Indigenous Peoples and Traditional Peoples and communities as well as their lands, territories, resources and livelihoods, FPIC, as a process of good faith and participatory consultation and agreement, will be applied to the development and implementation of the projects."



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