



The Forests Dialogue

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The Forests Dialogue

The Forests Dialogue

First Dialogue on REDD Readiness

26–29 October, 2009 | Belém, Brazil

Co-Chairs' Summary Report

by James Griffiths, WBCSD; Jorge Pinheiro Machado, Amazon Solutions;
and Robert Smeraldi, Amigos da Terra—Amazônia Brasileira

INTRODUCTION

On 26–29 October, 2009, The Forests Dialogue (TFD) organized the first of three field dialogues on REDD readiness. The meeting was held in Belém, the capital of the state of Pará in the Brazilian Amazon. A total of 43 stakeholders participated, representing business, environmental, social and human rights NGOs, indigenous peoples and government organizations, including participants from Guatemala. The field dialogue, officially hosted by the Governor of the State of Pará, was co-organized by Amigos da Terra—Amazônia Brasileira, the Roberto Marinho Foundation, Orsa Florestal and Amazon Solutions. NORAD, International Union for the Conservation of Nature (IUCN) and the World Business Council for Sustainable Development (WBCSD) provided logistical, organizational and financial support. The key objective of the dialogue in Belém was to catalyze and streamline a focused stakeholder interaction towards REDD readiness processes in Brazil, and to develop an informed and useful direction for the next dialogues in this stream in Ghana (November 2009) and Guatemala (January 2010).

BACKGROUND OF THE REDD-READINESS DIALOGUE

The REDD Readiness Dialogue is the third stream of dialogues under TFD's Initiative on Forests and Climate Change, the seventh and largest initiative since the inception of TFD in 1999. The first dialogue on forests and climate change took place in 2007 and 2008. A total of 275 forest stakeholders participated in this process, which concluded with the publication of the document "Beyond REDD: The Role of Forests in Climate Change".¹ The second dialogue stream focused on REDD-plus finance and included three dialogues in New York City, Montreux and Gland (Switzerland). These meetings resulted in the publication of "Investing in REDD-plus, recommendations on financial mechanisms for REDD-plus." As the third dialogue stream under the Initiative on Forests and Climate, TFD is organizing three REDD readiness field dialogues. These meetings are held in tropical countries that have different approaches towards their readiness phases and aim to promote discussions and build agreements on issues that stakeholders define as priorities. The REDD-readiness dialogue



Roberto Smeraldi

stream is organized as part of the implementation of the project “Scaling up Voices for influencing a post 2012 climate change regime: Shaping pro-poor REDD options.” This project is implemented in partnership with IUCN and financially supported by NORAD.

While many forest nations around the tropical region are preparing to participate in future REDD mechanisms, the monetary and technical resources for the planning and implementation of readiness processes are still limited. Although some issues that decision makers find themselves confronted with while defining national REDD strategies are country-specific, other issues show strong similarities between different countries and regions. There is a real danger that opportunities for the exchange of thinking between different countries are going to be limited and that vital input from stakeholders on key issues will be lost. TFD tries to fill this void with the field dialogues on REDD readiness and seeks to ensure that the voices of different stakeholders are better heard. The meetings have two main objectives:

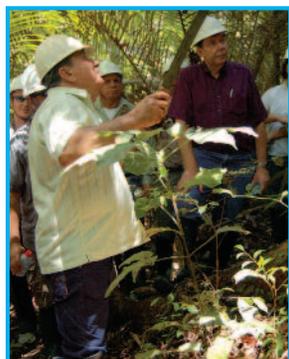
- Raise awareness and promote exploration of REDD readiness challenges among a wide spectrum of local stakeholders;
- Provide well-targeted recommendations to overcome challenges experienced in the REDD readiness phase at the local, national and international levels including the UNFCCC processes.



Julia Dias

In addition, it is hoped that the following additional objectives will be met:

- Catalyze stakeholder engagement processes and, where necessary, create and support on-going mechanisms for REDD readiness discussions at a national and local level;
- Educate a group of locally-rooted, well-connected REDD protagonists that can continue to engage and make progress on in-country REDD readiness initiatives;
- Establish a feedback loop between international and local REDD and REDD readiness processes.



Field trip instruction

PROGRAM OF THE BELÉM FIELD DIALOGUE

The October 2009 REDD readiness Field Dialogue in Brazil consisted of a field trip and a meeting session. Ahead of the dialogue, a country background report was produced that provided a comprehensive overview of the characteristics of forests and deforestation issues in Brazil, with a focus on the Amazon region. The paper places key social, economic and environmental aspects of deforestation in the political and historical context of the region. The second half of the paper explains the thinking of REDD in Brazil and initiatives that are taking place with regards to REDD readiness and policy making processes. This document gave participants a firm ground on which to build discussions and analysis during the field trip and the dialogue. To download the Brazil background



Peter Gardiner

paper got to <http://environment.yale.edu/tfd/dialogue/forests-and-climate/first-redd-readiness-field-dialogue/>.

THE FIELD TRIP

On 26 and 27 October, 17 participants visited the project site of Orsa Florestal in the Vale do Jari region in Pará and Amapá states. The area's history of resource extraction dates back to the late 19th century when an estate was established and the large-scale exploitation of non-timber forest products (NTFP) started. The visionary Daniel K. Ludwig purchased the company in 1967 and turned it into a pulp producing entity. The company bought the Grupo Orsa in 2000. Its subsidiary Orsa Florestal is a packaging company with a business model that is built on the principle of "People, Profit and Planet" and intends to create a sustainable development paradigm that can stand as a model for similar situations in the Amazon region. Orsa Florestal produces FSC-certified timber by practicing Sustainable Forest Management (SFM) in 545,333 hectares of natural forest as part of the 1.4 million hectare estate. The pulp division produces FSC certified Bleached Eucalyptus Kraft Pulp (BEKP), almost exclusively for export markets. Sustainable Forest Management is practiced in parts managed directly by Orsa Florestal and on land designated for community management. Areas without natural forest cover are planted with Eucalyptus and no reforestation with native species is taking place.

SFM is seen as a means to reduce pressure from illegal activities on the natural forests. While Eucalyptus plantations provide the bulk of the income, the SFM unit is expected to become profitable as well. The local community derives income from the sale of timber and NTFPs like Brazil nuts, copaiba, açai and curauá.² Grupo Orsa is committed to the improvement of the social conditions of local communities and to the strengthening of their capacities to generate income. Social programs, technical assistance and training are financed through micro-credit schemes. The company devotes one percent of its annual gross revenues to the Orsa Foundation, which is strategically incorporated in the group and which develops programs in the field of education, health, employment, entrepreneurial activities and human rights. The project exemplifies the belief that the protection of the region's forests outside reserves can best be realized through private sector initiatives that produce added value through a combination of SFM, high-intensity plantations and strong social components. The company sees REDD as a possible means to make social programs economically viable where options for profit making are limited.

The visit to the various operational parts of Grupo Orsa showed what the scales of deforestation and REDD issues are at the landscape level in the Amazon region. The field visit included meetings both with members of the company as well as the local communities. Observations made by participants by the end of the visit included:

- ➔ The Orsa Group in Jari convincingly shows how a private sector entity can contribute to the conservation of forests in the Amazon through SFM while working with local communities to help solve their livelihood problems and to find solutions for their legal status in cooperation with the local authorities.

- ➔ The methods of SFM practiced by Orsa Florestal in Jari appear not to diverge from standard practices that are in compliance with FSC criteria. The level of company costs associated with extensive infrastructure provision and various social programs may impact on overall company profitability over the long term.
- ➔ It is not entirely clear what a REDD project would actually look like at the Jari estate or how its activities could exactly fit in a REDD readiness strategy. The question is to what extent the operation is representative of local initiatives in the Amazon where REDD-plus may be applicable. Key questions that remained include how a private-run profitable plantation can benefit from REDD-funds and whether the baseline should be the provisions of the forest law or the actual situation on the ground at the time of the start of the project.
- ➔ In the context of social and environmental safeguards, concern was expressed about the degree of participation of local communities in resource management, productive activities and outstanding issues such as unresolved land rights. A question is also whether there are potential contradictions between eucalyptus monocultures and co-objectives of biodiversity conservation.
- ➔ With regard to the possibility to replicate the Jari model there were some reservations about the equitable participation of local communities in decision-making processes. Can benefit sharing be guaranteed in the absence of strong government agencies and in a situation where the local communities depend on a private sector agency to provide them with essential services that normally would be the responsibility of the government agencies? The presence or absence of effective government agencies is also relevant for issues such as the resolution of land tenure disputes, the financing of forest management and the enforcement of forest legislation.

THE MEETING SESSIONS

The first day of the meeting was spent in plenary after introductions from the TFD secretariat and steering committee and the presentation of the background paper. The Secretary for Environment of the State of Pará gave an overview of recent forest-related developments and policies in the state. Participants that had taken part in the field visit shared their experiences. In the afternoon, Governor Ana Julia de Vasconcelos Carepa of Pará State joined the dialogue and shared the vision of the state government on sustainable development, the conservation and expansion of forests in the state and the prospects for REDD. On the second day of the dialogue participants broke up in discussion groups that explored questions such as what the readiness phase in Brazil should look like and what the optimal roles could be for the government, civil society and the private sector.

The outcomes of the dialogue lay the foundation on which REDD-readiness processes can be built in order to further enhance in-country dialogues. They can also inform preparatory and readiness processes in other countries, notably in Ghana and Guatemala, where the second and third REDD-readiness field dialogues will take place. Participants generally endorsed the broad scope of REDD-plus and the phased approach model. The following section summarizes the outcomes of the Belém readiness dialogue.



Joseph Lawson

CREATION OF A FAVORABLE POLICY ENVIRONMENT FOR REDD

The forests of the Amazon could well be destroyed in the coming decades if not managed properly. Policies required for the successful implementation of REDD in the Brazilian Amazon have to balance the conservation of forests and the tackling of the drivers of deforestation with attention to forest governance and the interests and rights of indigenous peoples and local communities. Existing legislation and federal policies on improved forest management must be integrated and implemented. Examples of favorable policy environments created in the past decade include the launching of the Action Plan for the Prevention and Control of Deforestation in the Legal Amazon (PPCDAM), the expansion of federal conservation units and a new public forest management law.



James Griffiths

A major problem in Brazil currently is the existence of contradictory policies that contribute to perverse incentives, particularly with regard to credit incentives, land tenure policies and large infrastructure projects in the energy and transportation sectors. The conservation needs of the Amazon and other biomes in Brazil are framed as a sustainable development issue but policy makers often use the term in an abstract form void of concrete implications for policy formation and frequently substitute it with the term “sustainable growth.” Policy makers and those that drive economic development, such as rangers, must be convinced that economic growth is an integral part of a sustainable development paradigm for the region.



Ana Cristina Barros

- ➔ REDD-plus could be developed as a “scale model” for the entire Amazon, generating the financial resources to support practical solutions that prevent the destruction of forests while supporting livelihoods of forest-dependent communities that are based on the sustainable use of forest goods and services. Scale however can only be achieved if objectives for REDD-plus are internalized into mainstream development policies such as credit programs. Instead of being a victim of contradictory policies, REDD-plus should scale-up beyond isolated pilot projects and help catalyze changes in public policy, through participatory planning and through the solid analysis of the drivers of deforestation.
- ➔ Brazil is seen to be quickly developing REDD thinking and is ready for piloting according to many. Pilot initiatives are already emerging, especially in the states of Pará, Mato Grosso, Acre and Rondônia. Key partnerships must be developed between government agencies, the private sector and civil society at all levels.
- ➔ Brazil has good forest policy laws on the books, but government capacity to effectively implement, monitor and verify is limited. An example is the implementation of the Forestry Code Law on private landholdings where interesting initiatives have emerged, but that are still at an incipient stage.
- ➔ Promising initiatives to create a favourable policy environment for REDD-plus such as the PPCDAM and the Amazon fund have not substantially impacted upon mainstream development policies that are closely linked to the underlying



Local worker at tree plantation

causes of deforestation. Especially within the agribusiness, infrastructure, transportation and energy sectors, policies continue to be centrally controlled and are highly influenced by political and economic elites. The voices of important stakeholder groups, including the rural poor continue to be excluded.

Brazil can build on strengths and experiences in improved land use practices but it is too early to confirm impacts from recent initiatives such as the moratorium on trading soy from newly deforested areas in the Amazon and attempts by Greenpeace to develop a "zero deforestation" approach with the cattle sector. There is an urgent need for improved monitoring of CO₂ emissions.

- ➔ Two major issues in the land use sector are how to address the drivers that make land use change the major source of Green House Gas (GHG) emissions in Brazil, and how to further improve Brazil's already advanced monitoring capacity.
- ➔ The law recognizes the illegality of deforestation in certain cases. The Forest Code Law creates limits on how much forest can be cleared on private landholdings by defining Legal Reserves and Areas of Permanent Preservation. It is more flexible than often acknowledged but is under attacks that could lead to modifications that will render it ineffective.

GOVERNANCE ISSUES, STRATEGIC PRIORITIES AND RISKS

Government, civil society and business actors all have active roles to play in addressing key issues and debates on strategic priorities for the implementation of REDD-plus in the Brazilian Amazon. The tackling of the drivers of deforestation is a key component of such a strategy but has not received sufficient attention.³ The funding of collective action through different stakeholder groups at both the local and regional level might be given priority for support. Governments need to build their practical capacities and have basic infrastructures in place to enable REDD readiness and REDD implementation. Apart from issues of compensation and the distribution of REDD credits, an important issue is the need for REDD to support processes of economic transition towards economic activities based on extensive resource use, the sustainable use of forest biodiversity and added value processing. There has been considerable debate internationally about the definition of Sustainable Forest Management (SFM) and whether the sustainable management of forests at an industrial scale should be included in REDD-plus programs. In the Brazilian context challenges would include the monitoring of management, the improving of technical assistance, and support for expanding certification mechanism.⁴

- ➔ Sub-national processes such as the 2009 Macapá letter signed by Brazil's Amazonian states and the 2008 MOU between the governors of Brazilian and US states are critical for the development of REDD in Brazil and are influencing the federal government. The National Plan for Climate Change is also an important development but both at state and federal level attention is needed for the proper consultation of people who should acquire ownership over the process, not *after* but *while* the thinking is done.
- ➔ An important issue is how REDD and the reducing of emissions from land use change will be effectively supported within the framework of the national plan on climate change and relevant

legislation. The institutional spaces for policy dialogue and governance in the national plan are still very limited.

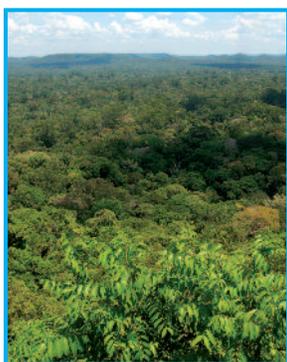
- ➔ Scoping and strategic development of REDD readiness should focus on the different levels of action in strategic planning for REDD-plus: national, state, territory, municipality, and community. Capacity building and the development of coherent strategies have to be integrated in development strategies while addressing root issues at each level.
- ➔ There is a broad consensus that SFM is a constructive strategy that can deal both with the encroachment of agricultural activities as well as invasive activities such as illegal logging without taking a confrontational or exclusionary approach. SFM should institutionalize community participation and should ensure that economic benefits from certification accrue along the supply chain. There is also an urgent need to work on the demand side of certified timber in foreign markets.
- ➔ To avoid leakages, all biomes must be considered for REDD—not just the Amazon—and included in the systematic mapping of the drivers of deforestation, forest cover and deforestation rates. The adaptive capacity of forest ecosystems also needs to be evaluated, such as the watershed services of the Mata Atlantica, on which 70% of the population in Brazil relies.
- ➔ REDD should deliver not only on emissions reductions but also bring social and environmental benefits. This focus on co-benefits should be reflected in safeguards as well as systems for Monitoring, Reporting and Verification (MRV).
- ➔ A Phased approach for REDD—readiness and preparation, then policy and implementation and finally performance payment—could fit the Brazilian context well. It will however require significant resource investments and consultation processes in the preparation stage, to close significant perception gaps that exist and to build a common REDD strategy. Such an approach would need to consider how to incorporate and strengthen existing initiatives such as PPCDAM and the Amazon Fund.
- ➔ Multi-stakeholder working groups should be created to oversee the process of REDD readiness. There needs to be a group of honest brokers, related to the government but not commanded by it. No static visions of local livelihoods should be allowed and local populations need to be given the chance to choose their own path. The right to free, prior and informed consent must be respected in line with the United Nations Declaration on the Rights of Indigenous Peoples (UNDRIP).
- ➔ Clear and secure titles and access rights are fundamental to effective REDD design and implementation. Land tenure is essential to clarify whom credits belong to if local communities are undertaking preservation on federal lands. Brazil is severely challenged on both of these and other key requirements such as the addressing of land grabbing.
- ➔ New mechanisms should be put in place to harmonize different strata of governance, from the local to the state and to the federal level. Local, often very isolated communities have to be



Sarah Price

drawn into discussions. Local civil society representatives almost unanimously identify the insufficiency of existing official forums.

- ➔ The Forest governance tool, presented by IMAZON (Instituto do Homem e Meio Ambiente da Amazônia), could be an important tool to ensure legitimate governance for REDD. In addition, public policies must be reviewed, such as incentives for cut and run by public financial institutions.
- ➔ Capacity building requires improvement forest management. The SIVAM (System for Vigilance of the Amazon) and other resources need to be used locally and fines need to be enforced. Public departments are still in the process of computerization, and that needs to be completed for readiness action. This is essential to finish and make transparent proceedings on zoning, and regularization of tenure, as well as monitoring.



Forests in Jari Region

FINANCIAL ARCHITECTURE

REDD enjoys interest as a mechanism that can support the private sector in creating new models for development. A widely expressed concern however is the danger that those who have always destroyed will now be rewarded and will receive payments. This issue is relevant both when looking at the level of land owners as well as the situation where REDD credits are distributed among states. In recognition of the role that various communities have played over the years in conserving forests, resources should be utilized for compensation and benefit sharing, and for the facilitation of adjustments in land use paradigms rather than exclusionary conservation strategies.

With regards to the availability of REDD finance, there were warnings that REDD will only create a temporarily surplus of funds sprung out of the need for industrialized nations to offset emission reduction targets. Many proposals for REDD financing, including that of Brazil, are based on the idea of ex-post compensation in relation to a periodically adjusted reduction target. These funds might dry up once technological solutions to reduce CO₂ emissions are put in place. The development of mechanisms for forest conservation should be based on the long-term value of ecosystems beyond just carbon, such as biodiversity, watersheds and local and regional climate regimes. Observations and points on finance made by participants over the course of the two days include:

- ➔ There needs to be a phased approach, with portfolios for both fund—as well as market-based funding. Whether payments linked to carbon markets will work depends on commitments of Annex-1 countries to substantial CO₂ emission reductions.
- ➔ Governments should provide financial capacity for the collaboration of indigenous and extractivist communities and should identify sources for funding and the creation of rules for financial flows. To help ensure income after REDD and



Juan Carlos Carrasco Rueda



Field trip presentation on forest management

prevent dependency on funds, value has to be generated from forestry products in order to strengthen the subsistence base and income-generating capacity of local communities.

- ➔ The effective operationalisation of the Amazon Fund involves major challenges with regard to the engagement of local communities and the strengthening of local livelihoods through forest-based activities and requires the creation of an institutional culture within the National Bank for Economic and Social Development (BNDES). The BNDES is responsible for the administration of the fund but has little experience in working with local communities and there is a lack of clear guidelines for the choice of projects.
- ➔ The Amazon Fund can be used to fund REDD projects with additional resources and should help catalyze the improved use of several existing, under-utilized sources of funds. The Fund can be expanded in the future in order to administer REDD-plus credits generated through other sources, including carbon markets.
- ➔ It is unclear how social and environmental safeguards should be put in place in the context of funding provided by the international community, and who would have to verify these. Third-party verification is preferred over auditing by sources of bilateral funding.
- ➔ In case of readiness, international donors are generally sensitive to sovereignty issues, but don't want to just sign a blank check. There needs to be clear guidelines and accountability.

ROLES FOR GOVERNMENT, CIVIL SOCIETY AND BUSINESS COMMUNITY

Civil society, business actors and the government can play key roles in Brazil's national REDD-readiness process. The following roles were identified and indicate the importance for synergies between the work and expertise of these three main groups in their contribution to the identification and tackling of the drivers of deforestation, the development of meaningful stakeholder platforms and forest governance reform.

- ➔ The Government is seen to be responsible for finding ways to guarantee capacity building for society and to overcome conflicting policies. While supporting multi-stakeholder processes the government should give strategic direction on social and environmental goals and allocate mechanisms to safeguard the interests of vulnerable groups. Communication mechanisms between the federal government, foreign investors and local governments should ensure the implementation of national strategic objectives. A Communication plan and new rules for financial flows inventories can be made with the help from civil society and business.
- ➔ Major groups of civil society actors such as NGOs, social movements and community organizations should play key roles in providing technical capacity for governance and monitoring. These actors can help keep up with the highly technical aspects of REDD-plus. Civil society should also help by providing best-practice tools, in safeguarding the interests of stakeholders and audit processes, in advising on legal implementation and in monitoring differences between theory and practice.
- ➔ Businesses should be able to increase the capacity to mobilize resources through their agility and know-how in generating funds. They can create mechanisms to approximate themselves with

other players. Businesses should learn not to be protagonists but initiate voluntary actions with NGOs. Within their strategic planning, many large conglomerates have realized that they will avoid costs by starting to take action on adaptation now; they are doing portfolio products and benchmarking studies to assess costs and opportunities.

CONCLUSIONS AND NEXT STEPS

Brazil's REDD-readiness process should start with a review and harmonization of all existing initiatives and policies in the area and a strengthening of existing policies and institutions. Capacities must be built for existing institutions and the strengthening and implementation of laws so that they can be put into operation to monitor deforestation and tackle specific drivers of deforestation at local levels. There is a need for the creation of a culture of stakeholder participation in Brazil. While some mechanisms such as the Amazon Fund and existing legislation have provisions for stakeholder involvement, these have so far not yet set the parameters right for substantial change and the provision of participatory processes where people are consulted before the thinking is done. REDD mechanisms will only succeed if they are designed to tackle specific drivers of deforestation that affect each local context. As such, they must be based on a solid engagement of all stakeholders, which can only be achieved through continuous and earnest dialogue.

The Belém field dialogue does not stand by itself in isolation. TFD organizes two more field dialogues on REDD-readiness and the outcomes of the Brazil dialogue inform the organization and agenda setting of the dialogues that are organized in Ghana in November 2009 and in Guatemala in January 2010, and will facilitate and encourage further dialogue processes in these countries.

Several groups that took part in the Belém field dialogue showed interest in creating a local network to continue the discussions on REDD readiness issues. TFD will continue to provide guidance and facilitation for these continuing REDD readiness stakeholder processes. The same procedure is aimed for Ghana and Guatemala after completion of the field dialogues there. TFD and its partners will contribute to the connection of local dialogue and consensus building processes that need support and have to feed into the international negotiations and future REDD policy making processes.

FURTHER READING AND INFORMATION

For further information, reading and for referenced documentation on TFD and other dialogues under the Initiative on Forests and Climate Change please visit our website at www.theforestsdialogue.org or contact our office at info@theforestsdialogue.org. For further documentation on the Belém event, visit: <http://environment.yale.edu/tfd/dialogue/forests-and-climate/first-redd-readiness-field-dialogue/>

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Para State governor Ana Julia Carepa

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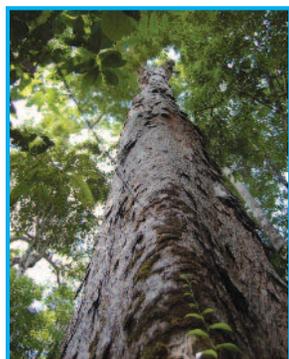
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REDD in Brazil



Dialogue in session

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END NOTES

- 1 [http://research.yale.edu/gisf/tfd/pdf/fcc/TFD Forests and Climate Statement w Briefing Notes.pdf](http://research.yale.edu/gisf/tfd/pdf/fcc/TFD%20Forests%20and%20Climate%20Statement%20w%20Briefing%20Notes.pdf)
- 2 Curauá, is a Bromelia-like plant that produces strong fibers that are used in the production of cloth and construction materials and replaces glass fibers in the automobile industry. In the Jari valley it is cultivated in the shade of eucalyptus plantations.
- 3 Millikan, 2009
- 4 Millikan, 2009

The work of The Forests Dialogue is implemented by a Secretariat hosted by the School of Forestry and Environmental Studies (F&ES) at Yale University in the United States. TFD is an autonomous program composed of individuals and governed by a Steering Committee with representatives from major forest stakeholder groups. The statements, reports, and findings of TFD do not necessarily represent the views of F&ES faculty.

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