Final Project Report

Facilitating REDD+ benefit sharing in Peru

As part of the REDD+: supporting countries and communities in the design of benefit-sharing schemes global initiative

Karen Podvin, Milagros Sandoval, Cecilia Gutiérrez and Claudio Schneider

IUCN

CONSERVATION INTERNATIONAL Peru

Bosque Manejado: AIDER ¡Futuro Asegurado!

Supported by:

Federal Ministry for the Environment, Nature Conservation, Building and Nuclear Safety

based on a decision of the German Bundestag

Final Project Report

Facilitating REDD+ benefit sharing in Peru

About IUCN

IUCN is a membership Union uniquely composed of both government and civil society organisations. It provides public, private and non-governmental organisations with the knowledge and tools that enable human progress, economic development and nature conservation to take place together.

Created in 1948, IUCN is now the world's largest and most diverse environmental network, harnessing the knowledge, resources and reach of more than 1,300 Member organisations and some 16,000 experts. It is a leading provider of conservation data, assessments and analysis. Its broad membership enables IUCN to fill the role of incubator and trusted repository of best practices, tools and international standards.

IUCN provides a neutral space in which diverse stakeholders including governments, NGOs, scientists, businesses, local communities, indigenous peoples organisations and others can work together to forge and implement solutions to environmental challenges and achieve sustainable development.

Working with many partners and supporters, IUCN implements a large and diverse portfolio of conservation projects worldwide. Combining the latest science with the traditional knowledge of local communities, these projects work to reverse habitat loss, restore ecosystems and improve people's well-being.

www.iucn.org
https://twitter.com/IUCN/

About Conservation International

Conservation International (CI) established in 1987 is a non-profit organization working in over 30 countries around the world and in Peru since 1989. We believe people depend on nature for a stable climate, clean air and water, food security, cultural resources, and other benefits that nature provides. Building upon a strong foundation of science, partnership and field demonstration, CI empowers societies to responsibly and sustainably care for nature and our global biodiversity, for the well-being of humanity.

CI works on three levels. With the support from local partners, we implement projects and activities related to conservation and development. At the sub-national level, we work with Regional governments on the design and implementation of policies and legislation that promote sustainable development of natural resources and reduce deforestation. CI also works directly with the Ministry of Environment supporting the development of initiatives at the national level.

CI focuses its efforts in the upper reaches of the Mayo River basin. Since 2012, we have the responsibility for the administration (Administration Contract) of the Alto Mayo Protected Forest (BPAM), a natural protected area known for its high level of endemism and watershed protection. Through the singing of conservation agreements, this work has helped improve the quality of life of over 960 families.

Other initiatives complement our work in Alto Mayo, which we hope will be recognized soon as an example of a sustainable landscape where authorities, farmers, indigenous communities, the private sector, and the public work together towards a model that promotes economic growth and human well-being while caring for and valuing nature.

www.conservation.org/peru
www.facebook.com/ciperu/

About AIDER

AIDER is a Peruvian non-governmental organization founded in 1986 whose mission is to harmonize environmental conservation with sustainable development in forest ecosystems, through initiatives for the sustainable use of forests with gender equality, interculturality, social inclusion and participation.

In order to fulfil its institutional mission, AIDER has a multidisciplinary staff of professionals that designs and implements projects to validate inclusive models of forest management for the conservation and sustainable use of forests, the enhancement of ecosystem services, The promotion of sustainable businesses, the strengthening of social capital and the restoration of forest landscapes.

AIDER works directly with populations living in and in the forest, mainly with native communities, peasant communities and small rural producers in the Peruvian Amazon and tropical dry forests.

During its 30 years of institutional life, AIDER has actively promoted collaborative work among key forest management actors at the national and subnational levels and has established synergies with indigenous organizations, producer associations, local governments, private companies, organizations The central government and international cooperation organizations.

www.aider.com.pe
https://www.facebook.com/aiderperu

Final Project Report

Facilitating REDD+ benefit sharing in Peru

As part of the REDD+: supporting countries and communities in the design of benefit-sharing schemes global initiative

Karen Podvin, Milagros Sandoval, Cecilia Gutiérrez and Claudio Schneider

Supported by:

Federal Ministry for the Environment, Nature Conservation, Building and Nuclear Safety

based on a decision of the German Bundestag

This publication was made possible thanks to the generosity of the Federal Ministry for the Environment, Nature Protection, Building and Nuclear Safety, by virtue of a resolution of the Federal Parliament of Germany.

Published by: Regional Office for South America of the International Union for Conservation of Nature, Quito, Ecuador in collaboration with Conservation International Peru (CI-Peru) and the Association for Research and Integral Development (AIDER).

Citation: Podvin, K., Sandoval, M., Gutiérrez, C., and Schneider, C. (2017). *Final project report: Facilitating REDD+ benefit sharing in Peru*, implemented by IUCN, CI-Peru and AIDER. Quito, Ecuador: IUCN. xxii+86pp.

ISBN: 978-2-8317-1852-1
DOI: 10.2305/IUCN.CH.2017.05.en

Translation: Diana Amores, Karen Podvin and Martín Calisto

Cover photo: © CI-Peru / Freddy Guillén

Copy editing, design, layout and printing:
Manthra Comunicación • www.manthra.ec • info@manthra.ec

Available in: https://portals.iucn.org/library

International Union for Conservation of Nature	**Conservation International - Peru**	**Association for Research and Integral Development (AIDER)**
Av. República de El Salvador N34-127 y Suiza. Edificio Murano Plaza, piso 12; 170515 Quito, Ecuador	Av. Benavides 1238 of. 202-203 Miraflores. Lima. Perú	Calle Las Camelias 174. Piso 6. San Isidro. Lima 27. Perú
Telf. (+593 2) 3330 684 www.iucn.org/sur www.portalces.org	Telf. (51) 1 6100300 www.conservation.org/peru	Telf. (+51) 1 4258531 Mob.: (+51) 998071197 www.aider.com.pe
Twitter: @UICN_SUR Facebook UICN-Sur: facebook.com/UICN.SUR	Facebook: Conservación Internacional Peru	Facebook: Asociación para la Investigación y Desarrollo Integral
www.iucn.org karen.podvin@iucn.org	cschneider@conservation.org msandoval@conservation.org	lima@aider.com.pe

The text of this book was printed on paper bookcell 80 grs.

Contents

List of tables

List of figures

© CI-Perú / Freddy Guillén

Preface

About 20% of the world's forests are in South America and the Amazon rainforest covers almost one third of the region. Forests store carbon naturally and contribute to reduce deforestation – second leading cause of emissions that contribute to climate change. In addition, forests provide a variety of ecosystems services and thousands of people depend on them for their livelihoods; tropical forests are the most biologically diverse areas in the world, providing habitat for a great variety of species. Deforestation and degradation pose a serious threat to forest ecosystems increasing climate change impacts and risks to biodiversity, local economies and human welfare.

In this context, the International Union for Conservation of Nature's (IUCN) work in South America emphasizes in the management, conservation and restoration of forests and other ecosystems promoting nature-based solutions (1) for climate change such as Ecosystem-based Adaptation (EbA) and Reducing Emissions from Deforestation and Forest Degradation, and the role of conservation, sustainable management and enhancement of forest carbon stocks in developing countries (REDD+). REDD+ is a mitigation alternative that contributes to the protection of forests and biodiversity and which also provides e socio-economic benefits.

Regarding climate change, IUCN focuses on strengthening ecosystem-based mitigation and adaptation capacities; integration of climate change in local, national and regional policies; the development and implementation of adaptation strategies integrating rights-based and sustainability approaches; and the promotion of REDD+. It also promotes improved forests governance mechanisms to encourage sustainable and equitable forest management, conservation and restoration. It's important to take into account the fact that these processes are determined by socio-political decisions and that governance reforms can only be achieved with the support of an informed society, effective participation of stakeholders and negotiation of different interests.

Additionally, REDD+ aims at integrating rights-based approaches as the basis for the design and implementation of strategies to mitigate climate change and forest management at landscape level, with sub-national and national approaches which in turn generate environmental, economic, social and cultural benefits. IUCN works with partners and REDD+ stakeholders in tropical countries to ensure that by 2020 policies to mitigate climate change have incorporated and are implementing the principles of rights-based approaches.

International Union for Conservation of Nature (IUCN)

(1) According to its third global result of its 2017-2020 Programme: "Societies recognise and enhance the ability of healthy and restored ecosystems to make effective contributions to meeting societal challenges of climate change, food security and economic and social development."

With a total of 73'280,424 ha of forests, Peru has the second largest forested area in Latin America, the fourth country with the largest tropical forest in the world, and the ninth in forested area in general. It is also the world's fifth country with the highest percentage of primary forests (4%) in relation to the area of its national territory. 53.9% of these forests belong to Amazon humid forests (PNCB, 2016) ([2]).

In this scenario, Conservation International-Peru's (CI-Peru) work, currently concentrates its activities in the department of San Martín, specifically, in the upper basin of the Mayo River. This region has undergone an important migratory process, mainly, of peasants coming from neighbouring Andean regions, like Cajamarca and La Libertad, in search of lands for agriculture. As a result, the rate of deforestation in the department has increased and therefore the capacity of forests has been reduced to provide services such as the provision and regulation of water, carbon dioxide capture, among others. In order to mitigate the impacts of this situation and provide other opportunities to these families, CI-Peru, jointly with its partners, implements various initiatives that also include working with indigenous peoples.

Conservation International Peru (CI-Peru)

Peru is a country with 57% of its territory covered by forests ecosystems and has the second largest forest extension in Latin America after Brazil. Also, 20% of all forests in the country are located in lands titled to indigenous and rural communities. The relationship between forests and indigenous peoples is ancestral and has changed over time in response to changes in the environment, mainly those related to legal frameworks, infrastructure development and activities of exploitation of natural resources.

Livelihoods and indigenous peoples' identity depend on forests. Also, conservation of about 10 million hectares of forests depends directly on the territorial management done by native communities. Illegal natural resources extraction activities and an increased demand of land for agricultural purposes are serious threats to the conservation of forest ecosystems and the welfare and development of Amazonian indigenous peoples. This scenario becomes even more serious with climate change since the loss of forests decreases resilience of these communities to climatic changes and natural disasters.

Faced with this problem, the Association for Research and Integral Development (AIDER, for its Spanish acronym) develops capacities in populations living in and of forests for a sustainable use of resources and ecosystem services associated with forests as its main strategy to prevent deforestation and to promote sustainable development in forest landscapes. This way, AIDER promotes communal forest management in the Amazon with an ecosystem and comprehensive approach aligned with an indigenous perspective whose proposal seeks to increase the economic value of standing forests through sustainable ventures led by men and women of native communities that, in turn encourage land management and forest governance in these spaces.

---

(2) *See*: http://www.bosques.gob.pe/

As part of its proposal, AIDER develops projects for REDD+ in order to value one of the ecosystem services provided by forests while generating evidence on the contribution of indigenous peoples and rural communities in mitigating climate change. AIDER emphasizes in its proposal for REDD+ the co-benefits generated by this mechanism, mainly in its ability to strengthen land management under a view of low carbon development.

AIDER's work strategies are based on gender equity and rights approaches. Its proposal for a communal forest management allows indigenous peoples, farmers and small producers to exercise their right to manage their own development and to preserve their cultural identity. It also promotes the recognition and exercise of women's rights to promote equal participation of men and women in the management and use of resources and forest services and encourages decision-making on forest management based on interests and needs by gender.

It's worthwhile mentioning that in Madre de Dios, AIDER develops a REDD+ initiative in the area of Tambopata National Reserve and Bahuaja Sonene National Park whose buffer zones are inhabited by small farmers and native communities who live and depend on forests and biodiversity. AIDER proposes that these actors manage their land in harmony with forest conservation and improve their economic activities linked to the forest, especially agriculture through agroforestry and associativity for production and trading.

Association for Research and Integral Development (AIDER)

Acknowledgements

The project implementers and authors of this report would like to thank all those who participated in the various phases of the project for their valuable inputs, commitment and active participation, including:

- In particular, children, youths, adults, women and men of the Shampuyacu Awajun native community, for their time, active participation and commitment to the various activities implemented jointly over these years, for sharing their traditional and local knowledge with the project staff in this joint learning process, and for their interest in continuing the activities of sustainable management, conservation and restoration of their ecosystems.

- To the technical staff and authorities of the Environmental Regional Authority of the San Martín Regional Government and the Ministry of the Environment as political counterparts for their support throughout the project implementation.

- The technical team that supported the project implementation in several phases: Wagner Achayap Sejekam, George Akwah, Alonso Castro Revilla, Doris Cordero, Edward Island Ramirez, Norith López Sandoval, Vanja Westeberg, and the technical teams of Ecoyungas and Pronaturaleza.

- To the consultants: Sebastián Cabrera, Zorobabel Cancino, Leandro Castaño, Sara Mateo, Niskar Peña, Patricia Porras, Andrea Quesada, Saraswati Rodríguez and Gill Shepherd.

- To Martín Calisto, Arturo Mora, Efrén Icaza and Carolina Díaz for their valuable contributions to this document.

Acronyms

AIDER	Association for Research and Integral Development (*Asociación para la Investigación y el Desarrollo Integral*)
AIDESEP	Interethnic Association of Peruvian Amazonia (*Asociación Interétnica de Desarrollo de la Selva Peruana*)
ARA	Environmental Regional Authority (*Autoridad Regional Ambiental*)
BMUB	Federal Ministry for the Environment, Nature Conservation, Building and Nuclear Safety of the German Government
BPAM	Alto Mayo Protection Forest (*Bosque de Protección Alto Mayo*)
BRC	Communal Forest Reserve (*Bosque de Reserva Comunal*)
CA	Conservation Agreements
CI-Peru	Conservation International Peru
COP	Conference of Parties
EbA	Ecosystem based Adaptation to Climate Change
ENBCC	National Strategy on Forests and Climate Change (*Estrategia Nacional sobre Bosques y Cambio Climático*)
ENCC	National Strategy on Climate Change (*Estrategia Nacional ante el Cambio Climático*)
ER-PIN	Emissions Reductions Programme Idea Note (*Nota de Propuesta para contar con un Programa de Reducción de Emisiones*)
FAO	Food and Agriculture Organization of the United Nations
FCPF	Forest Carbon Partnership Facility
FERIAAM	Awajun Regional Federation of Alto Mayo (*Federación Regional Awajún del Alto Mayo*)
FPIF	Free Prior and Informed Consent
FPTK	Forest Poverty Tool Kit
GHG	Greenhouse gases
GORESAM	Regional Government of San Martín (*Gobierno Regional de San Martín*)

IIED	International Institute for Environment and Development
IUCN	International Union for Conservation of Nature
MINAM	Ministry of Environment of Peru (*Ministerio del Ambiente del Perú*)
NDC	Nationally Determined Contributions
ORDEPISAM	Indigenous Peoples Regional Development Office (*Oficina Regional de Desarrollo de los Pueblos Indígenas de San Martín*)
PES	Payment for Environmental Services
PNCB	National Forest Conservation Programme for Mitigation against Climate Change (*Programa Nacional de Conservación de Bosques para la Mitigación al Cambio Climático del MINAM*)
RBA	Rights-based Approach
REDD+	Reducing emissions from deforestation and forest degradation, and the role of conservation, sustainable management and enhancement of forest carbon stocks in developing countries
REDD+ SES	REDD+ Social and Environmental and Standards Initiative
RIA	Amazonian Indigenous REDD+ (*REDD Indígena Amazónico*)
R-PP	Readiness Preparation Proposal (*Propuesta para las Fases de Preparación*)
SERFOR	National Forest and Wildlife Service (Peru) (*Servicio Nacional Forestal y de Fauna Silvestre del Peru*)
SIS	Safeguards Information System
UNDP	United Nations Development Programme
UNEP	United Nations Environment Programme
UNFCCC	United Nations Framework Convention on Climate Change
UN-REDD+	United Nations Programme on REDD+
TDC	Conditional Direct Transfers (*Transferencias Directas Condicionadas*)
TFD	The Forests Dialogue

Summary

The project: *Facilitating REDD+ benefit sharing in Peru* (2013-2016) was part of the *REDD+: supporting countries and communities in the design of benefit-sharing schemes* global initiative financed by the Germany's Federal Ministry for the Environment, Nature Conservation, Building and Nuclear Safety (BMUB), aimed to implement early REDD+ ([3]) actions enabled by appropriate, efficient and equitable benefit-sharing mechanisms that are sufficiently robust to be mainstreamed into long-term national and international REDD+ frameworks. In Peru, the project was implemented by the International Union for Conservation of Nature (IUCN) in coordination with Conservation International Peru (CI-Peru) and the Association for Research and Integral Development (AIDER) in the Shampuyacu native community, in the San Martín region in the Peruvian Amazon. ([4]).

The Shampuyacu native community located in the Awajun district, province of Rioja, San Martín Department, belongs to the ethno-linguistic group *jíbaro* Awajun people. It has an area of 4,913.9 ha, with 531.97 ha of communal forest reserve, 91.86 ha of forest relict and 2,459.60 ha of agricultural land. It has a population of 591 inhabitants distributed in 221 families.

Deforestation is one of the main challenges that the community has faced especially due to the lease of land to migrants from the Andean region for over a decade. About 90% of natural forest has been lost. Agricultural techniques applied among which the indiscriminate use of herbicides stands out, affect the soil quality and pollute water. There are erosion and landslides problems in the riverbanks due to deforestation, even in the fringes, and poor agricultural practices. Extraction of riverbed hauling material without technical management or appropriate control generates changes in the course of the river which aggravates erosion. Aggravated by the effects of climate change, flooding during the rainy season is more intense causing damages on crops.

(3) Reducing emissions from deforestation and forest degradation, and the role of conservation, sustainable management and enhancement of forest carbon stocks in developing countries.

(4) *See*: https://www.iucn.org/es/regions/américa-del-sur/nuestros-proyectos/proyectos-en-ejecución/redd-apoyando-países-y-comunidades

The implementation process of the project followed this path (Figure 1):

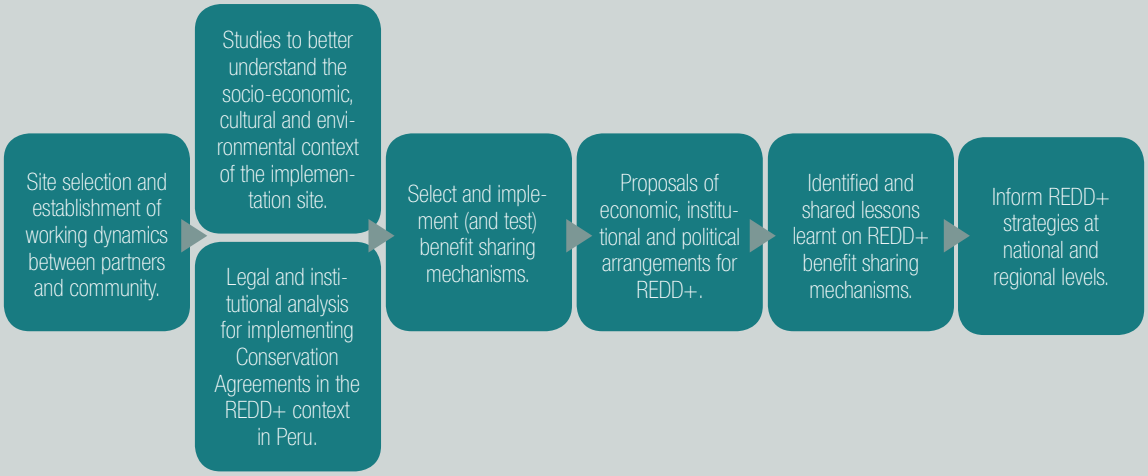


Figure 1. Phases of the project: ***Facilitating REDD+ benefit sharing in Peru.***

Regarding **output 1** – efficient and equitable benefit-sharing mechanisms for performance-based REDD+ "proxy" actions, consistent with national REDD+ strategies, are piloted and assessed – various activities have been implemented in Shampuyacu with the Conservation Agreements model (CAs) ([5]), developed by CI. For this purpose various pilot activities were designed and validated by the community considering:

- Local needs and interests based on participatory processes to validate the various options;
- The legal and institutional framework for benefit sharing for REDD+ in Peru and San Martín and;
- The results of various studies including the forest poverty toolkit, socio-economic surveys, feasibility studies on CAs and economic opportunities.

With this scenario, activities ([6]) implemented in the community under the CAs managed by CI, include (Figure 2):

(5) The methodology for CI's CAs provides direct incentives for conservation through a benefit package negotiated in exchange of an improvement in the use of natural resources by communities (CSP, 2007).

(6) The project contributed with 50% of the actions in Shampuyacu, the rest comes from other sources of funding as part of the landscape initiative managed by CI-Peru in the San Martín Region.

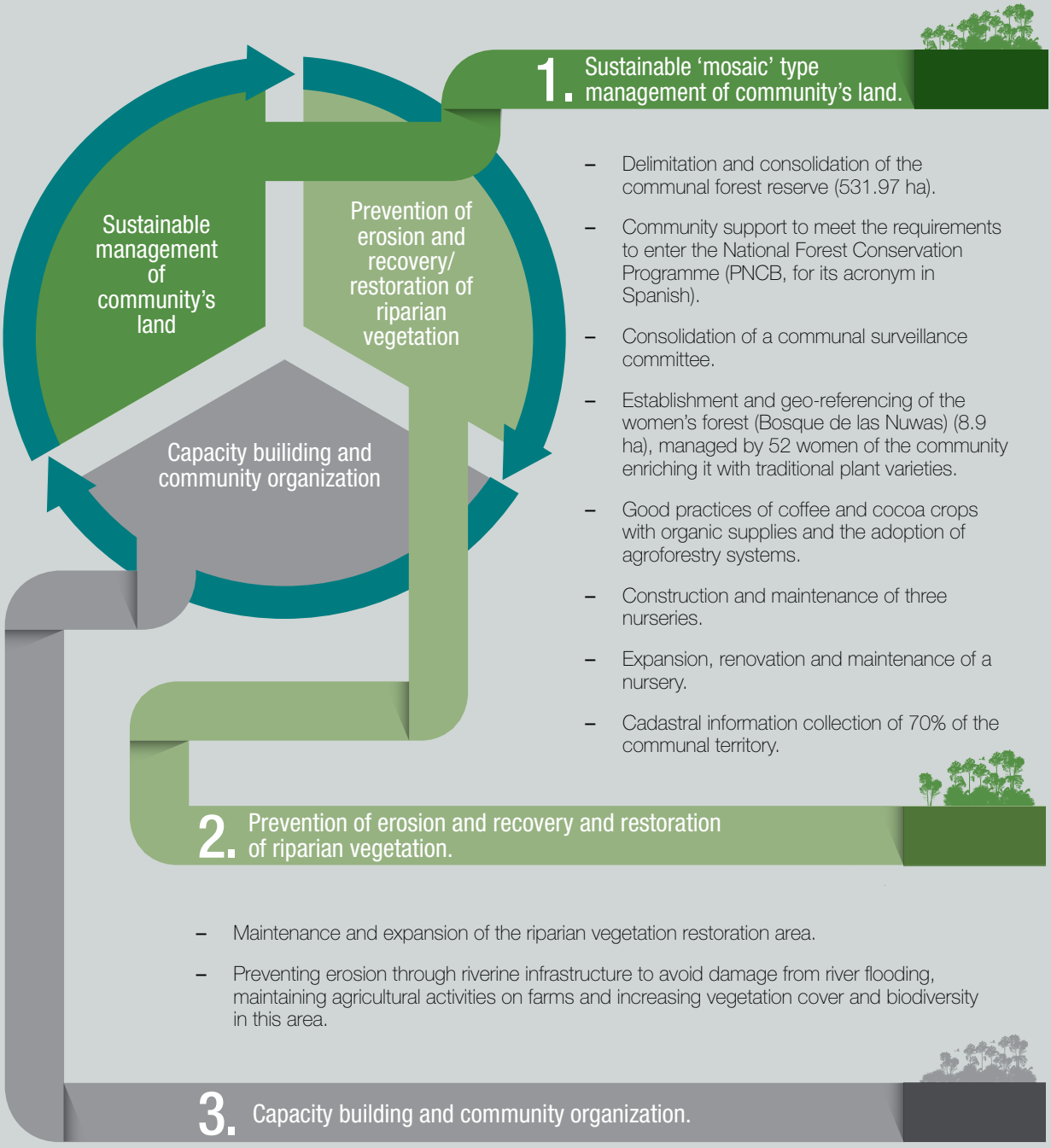


Figure 2. Actions implemented under CAs in the Shampuyacu native community.

Regarding **output 2** – specific economic, policy and institutional arrangements required to facilitate equitable and efficient delivery of performance-based payments for REDD+ activities are identified and promoted – a review and analysis of the legal framework for REDD+ benefit sharing was made and specifically for establishing CAs.

The project added technical and financial efforts to the REDD+ process that begun in the San Martín region under the leadership of the Regional Government, supporting capacity building of local stakeholders and the establishment of regulations at regional level including legislation related to safeguards for REDD+. Also, a roadmap has been established for the PNCB regarding a tripartite agreement under this programme to be implemented in the Shampuyacu native community to give continuity to project's activities ensuring that benefits from the programme persist after its closure.

An action-research has been implemented on *Equity and REDD+* aiming to promote the analysis and strengthening of equity for initiatives related with forests and climate change (like REDD+) in Peru. This participatory exercise allowed the improvement of the conceptual framework for the three dimensions of equity – recognition, processes, and distribution – and their principles; and to make proposals on how to implement equitable REDD+ measures in the country's context.

Regarding **output 3** – lessons learnt about the design and implementation of efficient and equitable REDD+ benefit-sharing mechanisms are promoted – a multi-stakeholder Forests Dialogue (TFD) on REDD+ benefit sharing was held that systematized best practices, lessons learnt, challenges, opportunities and recommendations for the development of REDD+ benefit sharing mechanisms in Peru.

This dialogue was added to the activities that were conducted at local, regional and national level in order to position debates related to REDD+ benefit sharing in the San Martín region and countrywide (interacting with the PNCB). Activities implemented in Shampuyacu can even serve as a model and eventually be adopted and adapted by the National Government to work with native communities in the country.

Some publications from the project are highlighted such as the *Country Report: Considerations for REDD+ benefit sharing in Peru* published during the Conference of Parties (COP) 20 of the United Nations Framework Convention on Climate Change (UNFCCC), the inclusion of the subject in a section of the National Strategy on Forests and Climate Change (ENBCC for its acronym in Spanish), progress on the safeguards processes on REDD+ in San Martín, the development of the *Equity and REDD+* action-research initiative and several technical summaries on implemented activities as part of the CAs.

Among the main lessons learnt of the project: The need to establish a clear model of governance between the different actors to potentiate the strengths of sustainable forest management and the need of adaptive management to adjust an initiative at national and local context of the native community are highlighted. Linked to the aforementioned, it is essential to understand the socio-economic, cultural, environmental context of the intervention site and build trust with the community implementing early and tangible activities agreed between all stakeholders to proactively engage the community and keep their interest.

When implementing initiatives on forest and climate change as these ones, gender equity and rights based approaches are transcendental to accomplish local empowerment and ensure legitimacy and sustainability of the project. Even though REDD+ focuses primarily on mitigation, this experience shows how various activities manage to achieve multiple benefits including adaptation, disaster risk reduction, biodiversity recovery, improving conditions and livelihoods, and recovery of traditional knowledge.

The presence of the implementing partner (CI-Peru) was imperative among the key factors ensuring sustainability and project integration in country strategies and public policies in the area of intervention. Vision and scale of a landscape approach and synergies with other initiatives also contributed to this goal. The experience generated by the project will help feed the knowledge and best practices for programmes and policies related to REDD+ at national and international levels especially on benefit sharing issues.

About this report

This document includes one of the final products as part of the third component of the project focused on disseminating the lessons learnt in the design and implementation of mechanisms for an equitable and efficient benefit sharing among multiple stakeholders, including decision makers and conservation managers of both civil society and private sector and research institutions.

This document narrates the experience of the project locally (in the Shampuyacu native community as a pilot site for the project), regionally (mainly supporting the REDD+ safeguards process and the interactions with the PNCB in the San Martín region), and nationally (with emphasis in TFD on benefit sharing and the interactions at national level with the Ministry of Environment of Peru and its PNCB).

This report is based on the contributions of technical teams of the three partners of the project (IUCN, CI-Peru and AIDER), with several inputs generated along the way mainly including the documentation of the project's systematization (CI-Peru, 2016) ([7]), the workshop report on the reflection of achievements for project reporting and closure (June 2016) (Castaño 2016), the learning workshop report (October 2015) (Castaño, 2015) and the annual technical reports (2013-2015).

For this report, the central elements of the systematization as well as a further analysis on the achievements of the implemented actions and the lessons learnt were taken into account.

(7) *See:* Annex 1.

© CI-Perú / Freddy Guillén

Chapter 1

1. Introduction

1.1. About REDD+

REDD+ stands for reducing emissions from deforestation and forest degradation, and the role of conservation, sustainable management of forests and enhancement of forest carbon stocks in developing countries. It is a valuable mechanism in the fight against climate change recognized by the UNFCCC, which seeks to reduce greenhouse gases (GHG) emissions reducing deforestation and forest degradation accounting for 10% of current GHG emissions in the world (IPCC, 2013).

Negotiations related to REDD+ resulted in the Warsaw Framework for REDD+, adopted at COP 19 at the end of 2013, during which the Parties to the UNFCCC established the guidelines to be followed by the countries interested in applying this tool to achieve performance-based payments. Subsequently, at COP 21, at the end of 2015 in Paris, the REDD+ architecture was completed, for countries interested in implementing this mechanism.

In this way, countries must comply with four elements: baseline, reporting and verification system, safeguards information system and a REDD+ strategy, thus demonstrating the establishment of policies and activities related to the reduction of emissions from deforestation and forest degradation. Each country, will then establish the measures and activities necessary to comply with these elements, showing the reduction of emissions and subsequently, achieving payment by results.

REDD+ is a complex tool that must be adapted to each national reality. Part of one of the discussions that generate the most interest: benefit sharing, especially considering that it contemplates the payments or the compensation according to the achievement of objectives of emissions reduction by deforestation and forest degradation. Likewise, discussions on equitable benefit sharing among the different stakeholders involved (central and local governments, communities, the private sector, etc.) are important and should be part of the REDD+ design process in each country.

In these discussions, it is necessary to recognize the importance of indigenous peoples and local communities living in forests, as well as the role of women as custodians of these ecosystems, as they are often closely related to the management of forest resources (water, plant and fruit collection, environmental education,

transfer of knowledge, etc.) and can be empowered through the implementation of REDD+ activities (IUCN & TFD, 2014).

Finally, the participation of all the stakeholders mentioned (local communities, indigenous peoples and women) is essential in the governance of REDD+ initiatives. From the identification of REDD+ activities to their design, implementation and monitoring, it is essential to have an inclusive and participatory governance model that ensures, in a transparent way, the equitable distribution of benefits (IUCN & TFD, 2014).

1.1.1. REDD+ benefit sharing

"Benefit Sharing Mechanisms" refer to a variety of institutional, structures and instrument means that distribute financial and other net profits of REDD+ government programmes. These may include money transfers in payment for environmental services (PES), systems of participatory forest management, conservation planning and integrated development (UICN, 2009), and CAs ([8]). Other benefit sharing mechanisms are associated with policy processes such as governance reforms, tax incentives and policies to address specific causes of deforestation and degradation (Angelsen, *et al*., 2012).

Benefits expected from the implementation of REDD+ mechanisms include: climate change mitigation through reducing emissions from deforestation and forest degradation, increasing carbon stocks and sustainable forest management. There are also co-benefits or multiple benefits that include maintenance of environmental services such as hydrological ones, soil protection and biodiversity conservation; sustainable production of timber and non-timber forest products; and social benefits as the strengthening of social capital and better governance practices, capacity building and conservation of cultural sites.

However, in the context of performance-based funding, REDD+ benefits relate to payments received as compensation by different stakeholders for performing and implementing actions directly in the field to reduce emissions or increase carbon stocks. Finally, benefits can be monetary or non-monetary (Cordero, *et al*. 2014).

(9) *See: for example:* https://www.ecologyandsociety.org/vol18/iss3/art5/

1.1.2. REDD+ safeguards

On the issue of climate change there is always a human rights dimension. Climate change is itself a human rights issue ([9]).

REDD+ goes beyond carbon stocks and the monetary value they have. It is also about how life would change for those whose culture, survival and heritage depend on forests.

REDD+ safeguards were adopted by Parties of the UNFCCC during the COP 16 in Cancun. These safeguards include measures, processes and methodologies adopted by a government to contribute to good social, environmental and economic performance of REDD+ (UNFCCC, 2011). Safeguards ensure that REDD+ is implemented in an inclusive, transparent manner respecting the rights of indigenous peoples and local communities, and considering biodiversity protection. This also includes equitable REDD+ benefit sharing and preventing potential social and environmental risks arising from its implementation (Sandoval, *et al*., 2015).

When undertaking REDD+ activities the following safeguards should be promoted and supported:

(a) That actions complement or are consistent with the objectives of national forest programmes and relevant international conventions and agreements.

(b) Transparent and effective national forest governance structures, taking into account national legislation and sovereignty.

(c) Respect for the knowledge and rights of indigenous peoples and members of local communities, by taking into account relevant international obligations, national circumstances and laws, and noting that the United Nations General Assembly has adopted the United Nations Declaration on the Rights of Indigenous Peoples.

(d) The full and effective participation of relevant stakeholders, in particular indigenous peoples and local communities.

(e) Actions are consistent with the conservation of natural forests and biological diversity, ensuring that actions are not used for the conversion of natural forests, but are instead used to incentivize the protection and conservation of natural forests and their ecosystem services, and to enhance other social and environmental benefits;

(f) Actions to address the risks of reversals;

(g) Actions to reduce displacement of emissions.

Source: UNFCCC (2011).

(8) *See:* Section 2.1.4.


© IUCN / Carolina Díaz

1.2. REDD+ in Peru, initial and current project situation ([10])

During the COP 15 in Copenhagen in December 2009, the Peruvian government pledged to reduce to zero the rate of net deforestation in its tropical forests by 2020. For this purpose Peru created the National Forest Conservation Programme for Mitigation against Climate Change (PNCB) ([11]) ascribed to the Ministry of Environment of Peru (MINAM, for its Spanish acronym) (Sandoval, *et al*., 2015). This initiative is a mitigation measure particularly important in Peru because in 2012 deforestation was the largest source of GHG emissions in the country contributing with 60.95% of total CO^2 emissions, and because the rate of deforestation has grown alarmingly in recent decades (MINAM, 2015).

In 2008, Peru acceded to the World's Bank Forest Carbon Partnership Facility (FCPF) that supports the design and implementation of REDD+ schemes in developing countries (MINAM, 2016b). As part of the FCPF, Peru developed several documents and preparedness strategies including the *Readiness Preparation Proposal* (R-PP) in 2011 and the *Emission Reductions Programme Idea Note* (ER-PIN) in 2014. From this scheme Peru has obtained funds to implement he design phase for REDD+. In addition, its close collaboration with the FCPF has allowed Peru to be one of the seven pilot countries in the world to benefit from funds from the *Forest Investment Programme* of the World Bank thanks to which four REDD+ projects are being prepared in the country.

(10) Section prepared by Martín Calisto and revised by Milagros Sandoval and Karen Podvin.

(11) *See*: http://www.bosques.gob.pe/

Since 2011, Peru has also embarked as observer to the *United Nations Programme on REDD+* (UN-REDD+) and the *REDD+ Partnership* through which the country has cooperated in REDD+ schemes with the Food and Agriculture Organization of the United Nations (FAO), the United Nations Development Programme (UNDP) and the United Nations Environment Programme (UNEP). Also in September 2014, Peru signed a Joint Declaration of Intent with the governments of Norway and Germany for REDD+ results-based payments with a fund up to US$ 300 million (MINAM, 2016c).

On the other hand, the *National Strategy on Climate Change* (ENCC, for its Spanish acronym) was developed and approved in September 2015 (as an update for previous strategy of 2003). One of its main goals is that the population, economic agents and State preserve carbon stocks and contributes reducing GHG emissions through strengthening forest governance in order to reduce GHG emissions from deforestation (MINAM 2015a).

A year later, in July 2016, the *National Strategy on Forests and Climate Change* (ENBCC) was approved which constitutes the REDD+ National Strategy, that presents Peru's vision for 2030 and based on a "sustainable forest landscapes' management" approach it seeks to integrate policies, actions and measures, as well as to integrate mitigation and adaptation in favour of forests. The ENBCC has been developed in articulation with National Determined Contributions (NDC), the ENCC and other national policies and international commitments (ENBCC, 2016).

According to the ENBCC, REDD+ is understood as one of the approaches that will contribute to the achievement of its objectives. In this regard, the ENBCC refers to the National Framework for REDD+ in Peru, the Institutional Framework of REDD+ in Peru, the co-benefits of REDD+ and, in addition, to the preparedness implementation lines for REDD+ and those that constitute part of the REDD+ implementation (REDD+ actions) (ENBCC, 2016).

Additionally in July 2016 the Peruvian Government approved the *Ecosystem Services Retribution Mechanisms Law* which frames and regulates the remuneration for environmental services such as water regulation; biodiversity maintenance; climate regulation; pollination; and carbon storage; among others (MINAM, 2016a).

At the beginning, and during REDD+ negotiation process at the UNFCCC, Peru allowed REDD+ to be developed at the sub-national level driven by early civil society initiatives. This sub-national approach was based on the implementation of various REDD+ pilot projects that have generated lessons and experiences that have contributed to the construction of the national REDD+ framework. However, now the government has a major role in controlling, implementing and regulating REDD+ processes.

1.3. About the project

The *Facilitating REDD+ benefit sharing* project (2013-2016) ([12]), financed by the Federal Ministry for the Environment, Nature Conservation, Building and Nuclear Safety of the German Government (BMUB) aimed to implement early REDD+ ([13]) actions through efficient and equitable benefit sharing mechanisms that are sufficiently robust to be mainstreamed into long-term national and international REDD+ frameworks. This project was part of the *REDD+: supporting countries and communities in the design of benefit-sharing schemes* global initiative implemented in Ghana, Mexico and Peru.

The project included three interlinked components (Figure 3) ([14]):

(12) *See:* https://www.iucn.org/regions/south-america/redd-supporting-countries-and-communities-design-schemes-distributing-benefits

(13) Reducing emissions from Deforestation and Forest Degradation, and the role of conservation, sustainable management and enhancement of forest carbon stocks in developing countries.

(14) *See:* Annex 1

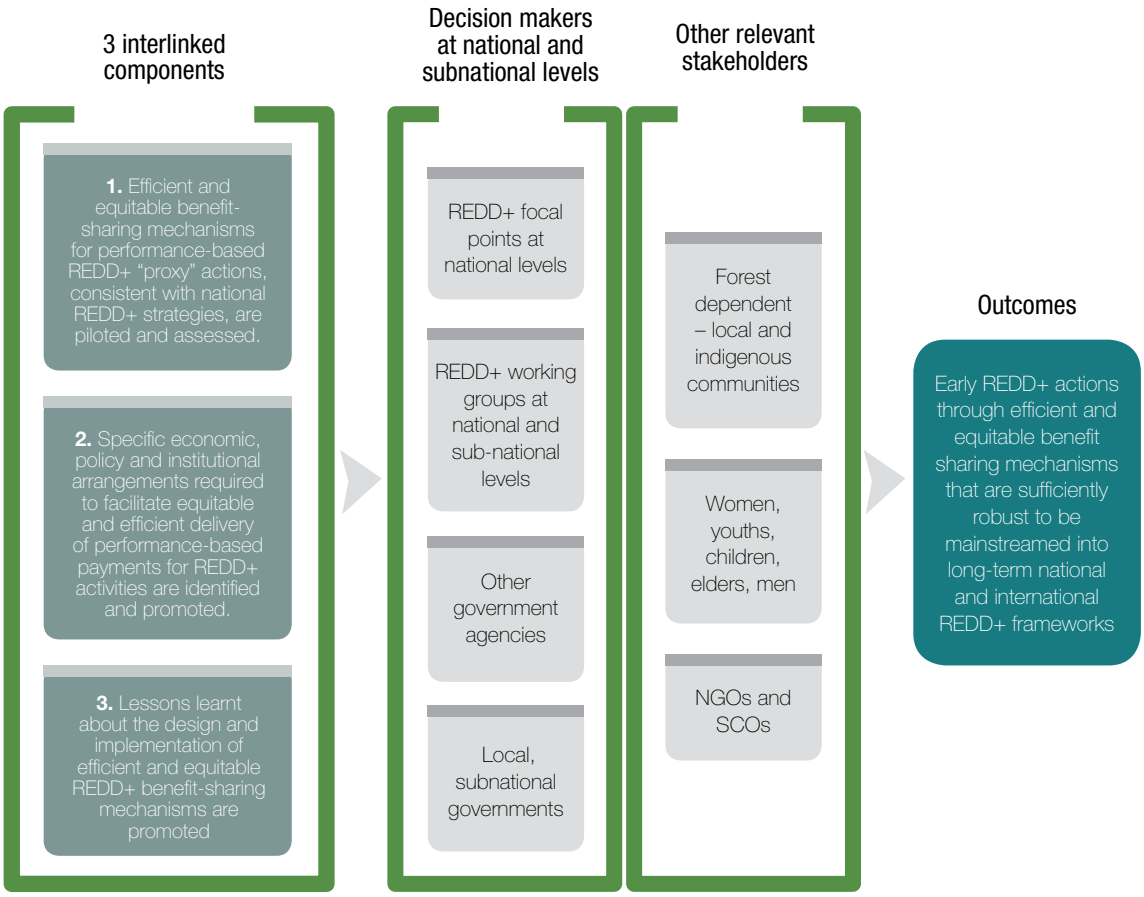


Figure 3. **Results framework of the *Facilitating REDD+ Benefit Sharing* project.**

1.3.1. Partners and site selection

In Peru, the project was implemented by IUCN's Regional Office for South America ([15]) in partnership with AIDER and CI-Peru – the main implementing partner in the field – in the Awajun Shampuyacu native community located in the San Martín region in the Peruvian Amazon. The project also maintained coordination with the Regional Government of San Martín (GORESAM), both with the Environmental Regional Authority (ARA, for its Spanish acronym) and with the Regional Office for the Development of the Indigenous Peoples of San Martín (ORDEPISAM, for its Spanish acronym), in the process of REDD+ safeguards, as well as in close collaboration with MINAM, providing inputs to the PNCB.

IUCN considered the participation of AIDER, who had experience in the development of REDD+ projects in the southern part of Peru, and CI-Peru, for their previous work on REDD+ projects in Alto Mayo. The trajectory of partners in REDD+ issues was

(15) As part of its initiatives related to forests and climate change: https://www.iucn.org/regions/washington-dc-office/our-work/forests-and-climate-change

fundamental in the intervention proposal and in the assignment of the diverse roles (CI-Peru, 2016).

From the beginning, the indigenous people proposed were the Awajun because it was a group with which neither the Regional Government nor the National Government had had successful experiences in terms of forest management, although San Martín is one of the most deforested Amazon regions of Peru. Taking advantage of the link and trust generated by a previously developed governance and restoration project, CI-Peru involved the Shampuyacu community in this new project.

Also, among the implementing partners at the local level, CI-Peru established collaboration agreements with local NGOs, such as Ecoyungas and Pronaturaleza, for diverse phases of the project (Figure 4).

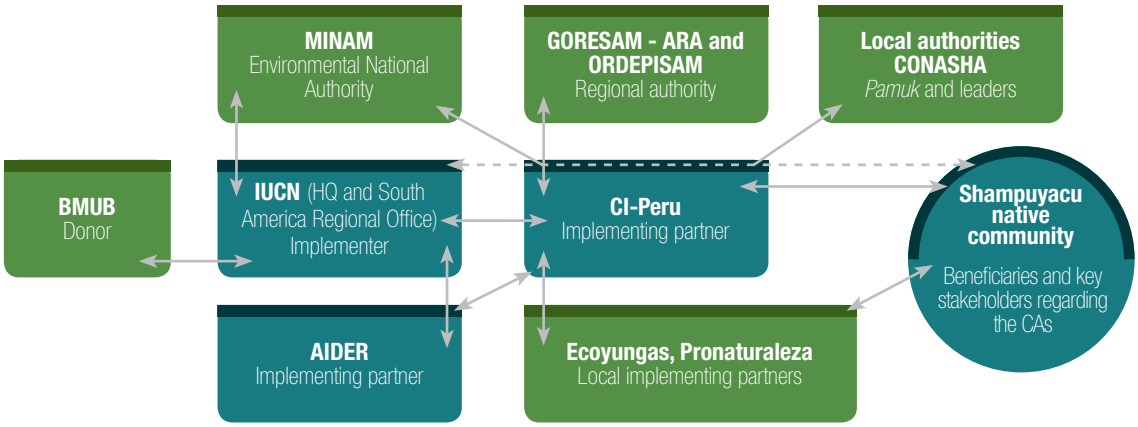


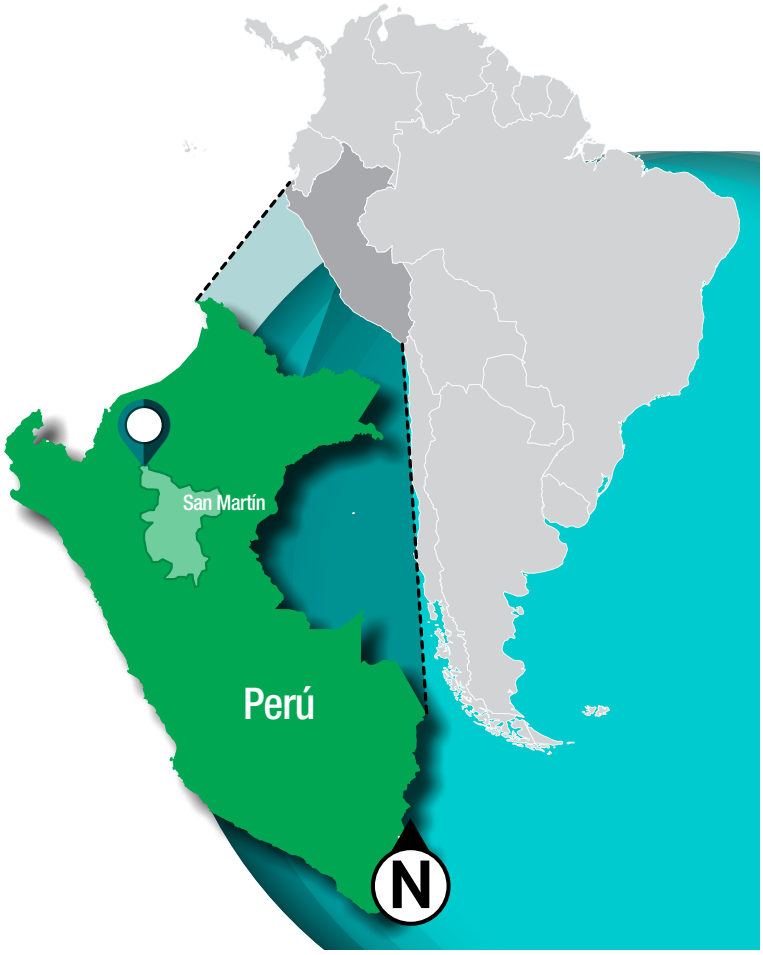
Figure 4. Implementing partners and relevant Project stakeholders.

A key factor in the alliance between IUCN, CI-Peru and AIDER was to link the strengths of each organization and its diverse experiences to design efficient and equitable benefit sharing mechanisms to help reverse the current trend of deforestation and forest degradation, in order to achieve economic, social and environmental sustainability in the Shampuyacu community, and to have inputs and lessons learnt for replication.

1.3.2. Implementation site

1.3.2.1. *San Martín Region*

The San Martín region is located in the northeast of the Peruvian territory, with an area of 5'125,300 ha and a population of around 800,000 inhabitants, with an important presence of Awajun, Kichwa and Shawi indigenous peoples, that add to about



21,000 inhabitants. It also houses 22 types of forests and wetlands of relevance for the ecosystem services provided to the population, especially indigenous peoples (Sandoval, *et al*., 2015)

However, from the 1960s to nowadays, deforestation is one of the major problems this region faces. Factors for this problem included policies whose development approach promoted agricultural expansion, resulting in a land use change. This has led to consequences such as disorderly migration, land trafficking, illegal logging; as well as negative impacts on biodiversity, water resources, soil fertility and stability, loss of the identity of indigenous peoples and malnutrition, among others (Sandoval, *et al*., 2015).

Contact with national society and markets have influenced the Awajun indigenous people, including the Shampuyacu native community, in a way that has changed their productive activities and their traditional consumption habits. While maintaining their subsistence activities, such as hunting, fishing and farming of native crops, they have adopted new market-oriented economic patterns. Although some Awajun communities have an important area of forest cover in their territories, some areas have been deforested, mainly due to the demand of immigrant producers of coffee and rice that rent the land to extend their crops. Deforestation has led to the degradation of water resources in the native communities of the Alto Mayo basin, which has generated high levels of poverty, due to their high dependence on these resources.

1.3.2.2. *Shampuyacu native community*

The Shampuyacu native ([16]) community is located in the upper part of the Mayo River basin, known as Alto Mayo, in the district of Awajun, in the province of Rioja, in the department of San Martín (Figure 5). It limits with the buffer zone of the Alto Mayo Protection Forest (BPAM). 20% of the Alto Mayo basin is titled lands of indigenous peoples, although some estimates indicate that the impact of indigenous people's activities is greater within the basin (CI-Peru & IUCN, 2014).

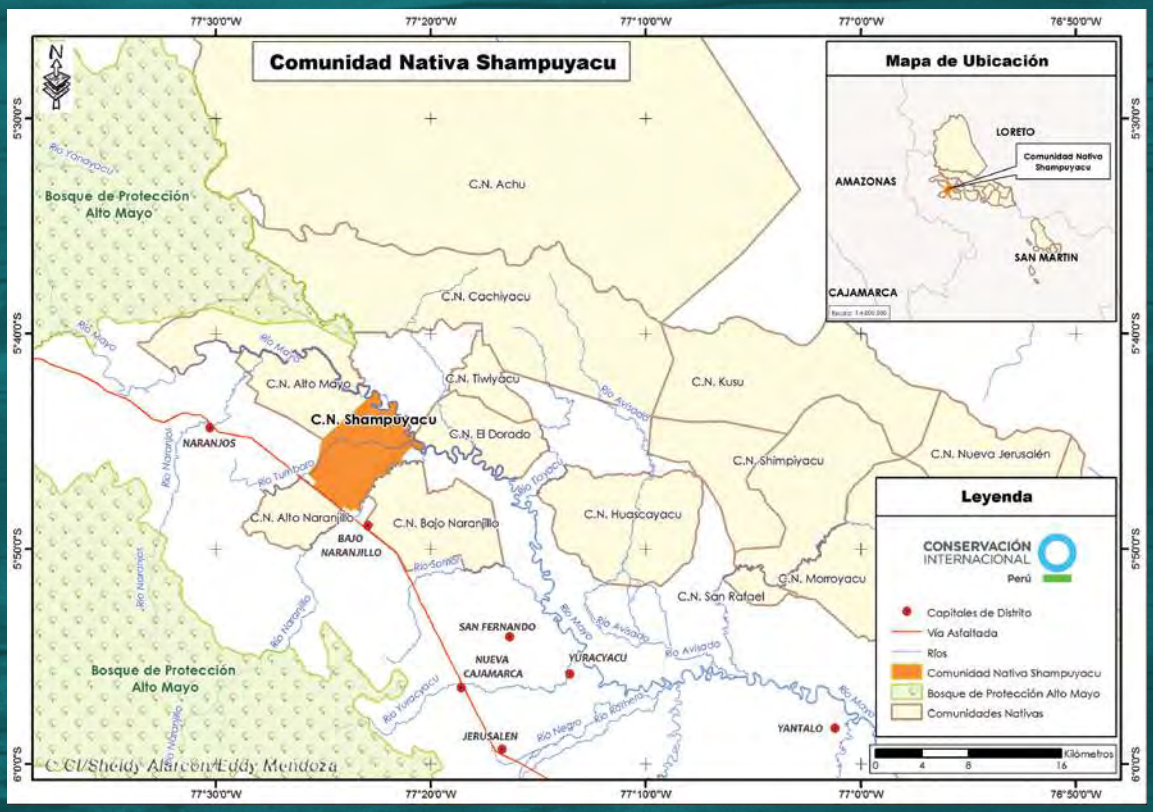


Figure 5. Location of the Shampuyacu native community.

Source: CI-Peru (2015)

The Shampuyacu native community belongs to the Awajun indigenous people and to the jíbaro linguistic family. In Shampuyacu, the mother tongue is Awajun; young people dominate Spanish, which is spoken in lesser numbers by older adults. The highest bilingual percentage is found in men, with women being the least likely to understand this language. On the other hand, men are engaged in planting and hunting to support their family; women, in addition to household work and handicrafts confection, are responsible for planting and harvesting, although to a lesser extent (CI-Peru, 2016). The community faces other challenges in terms of other social variables (Table 1).

(16) "Native community" is the legal name of titled lands which are property of indigenous peoples in the Peruvian Amazonia region.

Table 1. Social situation of the Shampuyacu community.

Social variables	Condition
Education	Early and primary; the community does not have a high school, and the nearest secondary school does not have a bilingual education system, so the educational level is low.
Services	Service of intermittent and poor quality drinking water; they cook with firewood and gas; basic latrines; hygiene is a routine problem.
Nutrition	The *basic food basket* is composed of products that are not traditional, such as chicken and, to a lesser extent, bush meat (wild animals). Vegetables are not part of the daily diet. The nutritional needs of the population are high, there is dependence on a few commercial crops, which means that the habit of consuming ancestral products is being lost, or they are not aware of diversified nutrition.
Health	Restricted, they do not have health centres and normally use natural medicine, which for them is very important. In addition, due to the proximity to the *mestizo* population, traditions are gradually being lost in terms of housing construction and typical clothing.

Source: own elaboration based on CI-Peru (2016).

The community has an area of 4,913.90 ha of titled land and distributed in three zones (Shampuyacu and two annexes: *Kunchum* and *Bajo Túmbaro*, created to protect the territory from invasions of *mestizo* populations, but relegated administratively), including 531.97 ha of communal forest reserve (BRC, for its Spanish acronym), 9,186 ha of forest relict and 2,459.6 ha of agricultural land. It has a population of 591 inhabitants distributed in 221 families. It is bordered by the Alto Mayo and *Naranjillo* rivers, with the Alto Mayo and *Naranjillo* native communities bordering the *Fernando Belaúnde* road, one of the main regional and national transportation routes (CI-Peru, 2016).

Approximately 88.8% of its surface is destined for agricultural use; the initial studies indicate that the use of non-monetary forest products (fruits, *suri,* lianas) represents the main economic income or livelihood of the community members (29%). This is followed by activities derived from monetary agricultural products (21%), subsistence agricultural products (20%), rental of land and remunerated jobs (20%) and monetary forest resources (wood, palm leaves, firewood; with 10%). Agricultural activities are the most important (41% of the population is dedicated to it) followed by forestry (39%). It should be noted that, although only 20% of the population leases their land, practice which is the one that causes the greatest damage in the territory and resource management (CI-Peru, 2016).

The main agricultural crops are coffee, corn, various tubers, bananas, peanuts, fruits and vegetables, which are produced without technical assistance. The community members plant and apply criteria according to their empirical knowledge or that are transmitted from generation to generation. However, it is important to note that, ancestrally, indigenous peoples are not farmers, but collectors who subsist from the forest (CI-Peru, 2016).

Besides the agricultural area, the community maintains 531.97 ha of BRC and 91.86 ha of forest relicts, of which more than 37.75 ha were deforested until 2013, so 623.83 ha remained in good condition. However, despite the fact that there is a communal agreement to avoid deforestation in this area, it suffers constant invasions and remains in the target of agricultural expansions, due to the poor control capacity of the directive and the community surveillance committee.

The feasibility analysis identified two ecological systems as priority conservation objects: high terrace forests and mountain watercourse systems. In the first, priority conservation units are the BRC and the remaining areas of riparian forests; in the second, the lower parts of the *Naranjillo*, *Túmbaro* and *Shuwin Entsa* and Shampuyacu streams (Ecoyungas, 2014).

Deforestation is one of the main challenges that the community has faced especially due to the lease of land to migrants from the Andean region for over a decade. About 90% of natural forest has been lost (Figure 6). As for the tenants, it is important to mention that, although they work the land of the community, they are not considered community members nor are they registered; therefore, they are not taken into account as direct beneficiaries in the projects nor receive information, due to their almost null participation in the training activities, probably due to the lack of ownership, assuming a low responsibility in their actions. Therefore, the management of crops (mainly coffee) is scarce or limited and plots have low productivity and low quality crops are produced, resulting in reduced income from selling these products. Because rent provides the greatest economic income to the population, it is difficult to eliminate this practice, which further undermines the cultural identity of the community (CI-Peru, 2016).

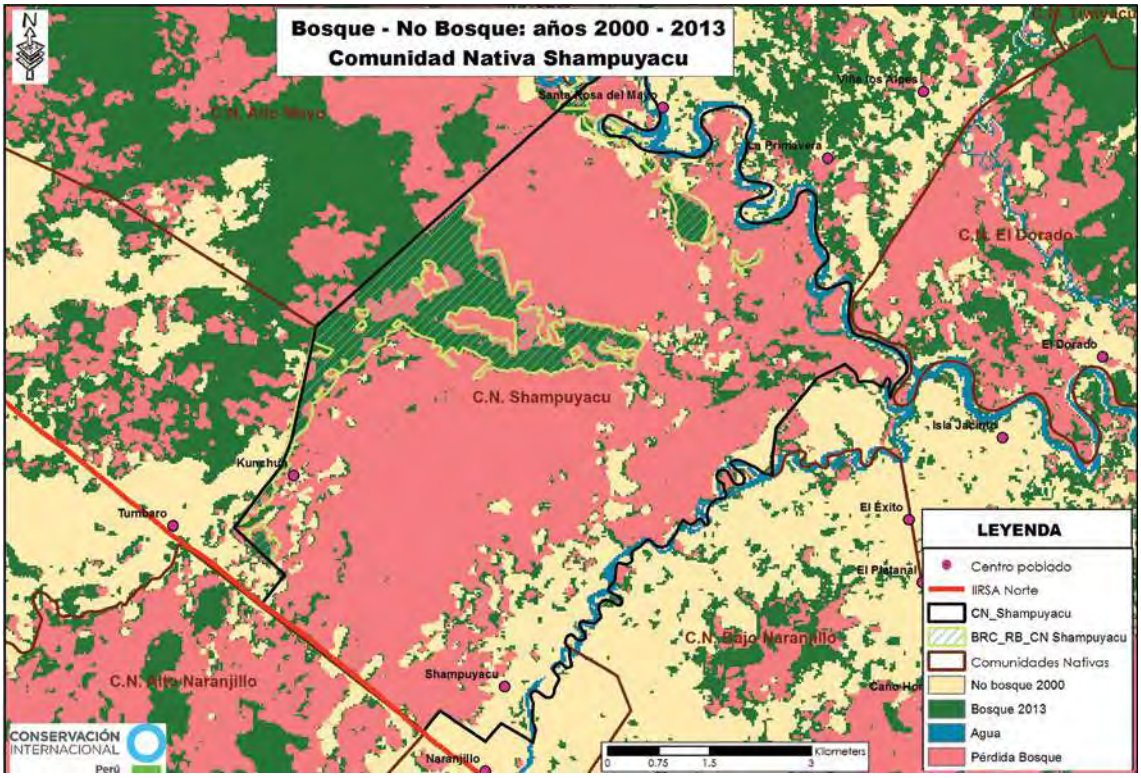


Figure 6. Deforestation in the Shampuyacu native community.
Source: CI-Peru (2013)

On the other hand, the agricultural techniques applied, among them the indiscriminate use of herbicides, affect the quality of the soil and contaminate the waters. In addition, there are erosion and landslides on riverbanks due to deforestation and the intensive use of land adjoining river banks for agricultural purposes. In addition, riverbed hauling material of the *Naranjillo* and Mayo rivers is extracted without technical management or adequate extraction control, which causes changes in its channels that aggravate erosion and, therefore, reduce cultivable areas and cause economic losses. Thus, aggravated by the effects of climate change, floods during the rainy season are more intense, damaging crops.


© CI-Perú / Freddy Guillén

Chapter 2

2. The experience: what was done and how?

2.1. Methodological and conceptual approaches

The project was framed in national and international discussions on the benefits entailed with the implementation of REDD+ mechanisms and their distribution so that they have a real impact in reducing deforestation and ensuring equity in the most vulnerable communities. The aim is to provide input for the debate and to establish, with direct practice, not only the effectiveness of actions, but also the relationship between REDD+ implementation and poverty.

The project proposal was also framed in the progress of the legal and institutional framework for REDD+ in Peru. It focused on the experience in Shampuyacu: contribution to the construction and design of a model scheme for REDD+ benefit sharing of local communities dependent on the forest, with possibilities of scaling at regional and national levels. The logical framework of the project followed during implementation (*See* Annex 1) used in project management planning was oriented as a process. The challenge was to link the activities carried out in the community with the achievement of a regional and national impact, necessary for the generation of policies on REDD+ benefit sharing.

In order to implement early, equitable and efficient REDD+ actions, the project was based on a rights-based approach, which considers social and gender equity.

2.1.1. Rights-based approach

The objective of a rights-based approach applied to the conservation of nature, is to harmonize conservation activities with respect to human rights.

Thomas Greiber, 2009

It is expected that the implementation of the rights-based approach in conservation is a means of ensuring conservation with justice.

Thomas Greiber, 2009

The rights-based approach (RBA) is a conceptual framework oriented to the promotion and protection of human rights in development processes. Its purpose is to analyse inequities at the centre of development problems, as well as to correct discriminatory practices and the unfair distribution of power, which hinder progress in development (Naciones Unidas, 2006).

While linking environmental and human rights issues is not a revolutionary idea, the RBA is relatively new and an evolved way of thinking about how to adjust legal and policy instruments to recognize and strengthen this interrelationship and thus achieve sustainable development (Greiber, 2009). Harmonization of the two dimensions – nature conservation and human rights –and their integration through an RBA into all relevant policies, legislation and project activities could even be perceived as a concretion or "simplification" of the concept of "sustainable development", which encompasses s series of ideas that integrate environmental, social and economic development together (Greiber, 2009).

In 2009 a group of global conservation institutions, including CI, IUCN and the International Institute for Environment and Development (IIED), established the *Human Rights Conservation Initiative* to integrate the rights approach into any conservation efforts being made. The objectives of the initiative are to: (1) Develop and maintain a set of common principles on human rights related to conservation; (2) Identify and test management-related actions for implementation and compliance; (3) Support members in the implementation of rights principles and management practices, especially through shared learning among involved organizations, stakeholders and experts; (4) Promote the integration of human rights principles into conservation initiatives and share relevant experiences in relation to approaches and impacts; (5) Report on activities undertaken by members in managing practices for the implementation and follow-up of their human rights principles (Springer, *et al*., 2011).

2.1.2. Equity in forest and climate change initiatives

In REDD+ initiatives it is important to identify from the beginning the socio-economic and cultural characteristics of the place where is applied REDD+ with equity, considering men and women, the relationships between generations and their context; considering that human beings construct a cultural situation marked by the natural situation. Therefore, in order to achieve this social justice, balance and harmony between socio-cultural and natural should be pursued.

Yolanda Ramírez, Director of Research and Human Development, AIDER

Equity is the basis of the RBA, since both human rights and development are intended to promote well-being and freedom based on the dignity and equality of all people. The proposed human development will not be achieved in the absence of equity and social integration, and only in a just world society can human rights be respected, protected and enforced (Quesada *et al*., 2017).

In the context of nature conservation initiatives, social equity refers to actions aimed at overcoming various forms of exclusion and inequality, through strategies for the redistribution of resources and opportunities, as well as the promotion of a true intercultural and gender balance, in favour of active participation and decision-making at all levels and stages of development of conservation projects and policies (UICN, 2014).

Promoting equity can be an intrinsic part of a forest conservation and sustainable management project. This can be considered equitable if it proposes and implements actions related to the appropriate recognition of the actors, their rights, knowledge and institutions; the processes that promote equity, such as effective participation and free, prior informed consultation processes, and the design of a benefit distribution based on various criteria, which is considered fair by multiple actors (Quesada *et al.*, 2017).

2.1.3. Gender equity

The gender approach often helps to stablish equitable measures that contribute to the diverse goals of the countries with relation to their REDD+ strategies.

Milagros Sandoval, Senior Manager of Environmental Policies, CI-Peru

To ensure the efficiency and effectiveness of REDD+ in forest and climate change initiatives, it is necessary that these include a gender and social equity approach in order to ensure a substantial contribution to poverty reduction, protection of human rights and the achievement of sustainable development.

Gender refers to the attributes and opportunities associated with being male or female and to the socio-cultural relations between both sexes. Gender equity is a fundamental issue in human rights and social justice, and a precondition for sustainable development. Working with a gender approach means analysing and understanding the different roles, responsibilities, relationships, needs and visions of men and women – as well as other relevant differences, such as those between ethnic groups, social class and age. It also means going beyond recognizing these differences and working for more equitable relationships between men and women (IUCN, 1998).

Promoting equal opportunities between men and women is undoubtedly a first step to facilitate gender equity through activities that seek to identify needs, roles and priorities of the area of intervention.

2.1.4. Conservation Agreements

Conservation agreements are a negotiated exchange of benefits in exchange for commitments for more sustainable management of natural resources by local communities.

Conservation Stewardship Programme (CSP), 2007

The methodology of Conservation Agreements (CA), developed by Conservation International (CI), was used as a tool for benefit sharing in the community, which allows reaching consensus on the way in which both benefits and commitments will be distributed at community level.

This model is useful for linking conservation and sustainable management institutions – governments, bilateral agencies, private sector companies, foundations, individuals, etc. – with individuals and communities that depend on natural resources (CSP, 2007). The proposed model offers direct incentives for conservation through a package of negotiated benefits in exchange for commitments, for individuals and communities to use resources sustainably (e.g. through restoration efforts) (*See* Figure 7).

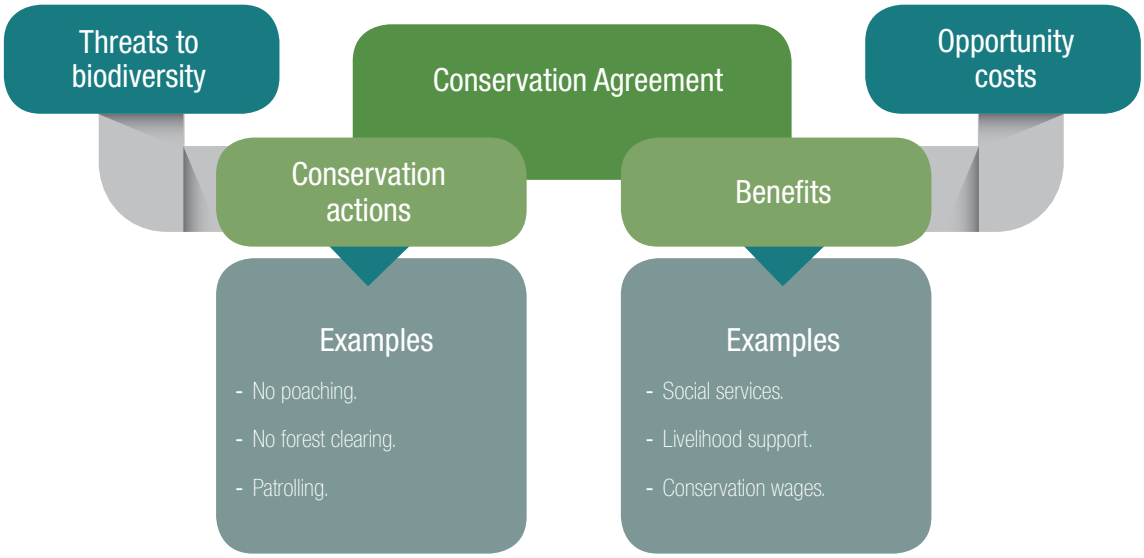


Figure 7. Conservation Agreement model.

Source: CSP (2007)

The model proposed for CAs must be adapted to each context. Thus, in the case of the Shampuyacu native community efforts related to work under the framework of CAs were modified to contemplate an intercultural work and based on the identification of conservation actions that are not only designed in response to threats to biodiversity but also take into account the needs and priorities identified by the community, especially during the work related to their Life Plan.

As part of the process of developing a Life Plan community members also identified the benefits based with their needs. While the traditional CA model uses an opportunity cost study to define the benefit package, in the case of Shampuyacu it uses an analysis made in a nearby area – the Alto Mayo Protection Forest – and the analysis of land leasing, which is one of the main economic activities of the community. Also, traditional knowledge recovery – which although it does not have an economic value – was also identified as a priority for this benefit package.

This model proposes monitoring activities through which both conservation results and socio-economic aspects are verified. In Shampuyacu the monitoring is proposed to be carried out by the members of the community as part as one of the commitments under the CA.

This model proposes monitoring activities through which both conservation results and socio-economic aspects are verified. In Shampuyacu the monitoring is proposed to be carried out by the members of the community as part as one of the commitments under the CA.

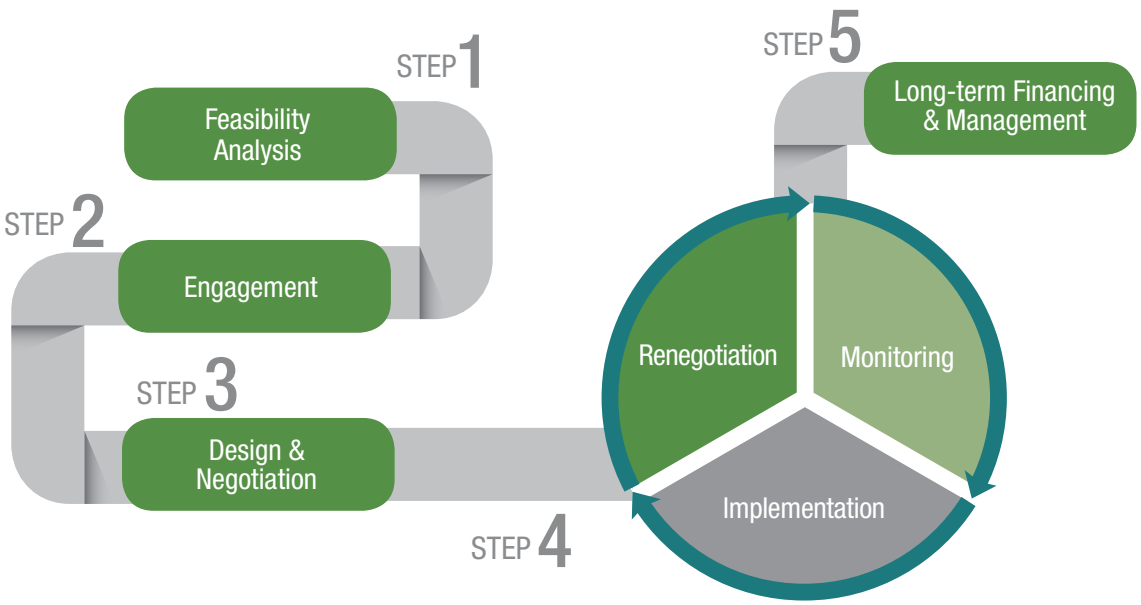


Figure 8. **Project cycle towards sustainability within the CA model.**
Source: CSP (2007)

This process incorporates a RBA and in particular the Free Prior and Informed Consent (FPIC) (steps 1 to 3), attention to marginalized or disadvantaged groups (steps 3 and 4) related to participation, benefit package and monitoring of impacts. The process in the Shampuyacu's case incorporated the discussion related to its development plan through the construction of the community's Life Plan. Also, progress was made in the project with community members actively participating in all stages and steps.

According to the provisions of the model several versions of the agreement were developed in step 4, in which the terms are adjusted by means of iterative renegotiations, and to the extent of learning what works and what does not. Once all parties believe that the agreement is working, it is long-term projected with funding and management commitments (CSP, 2007). It is worth to mention that for the Shampuyacu's case, promoting an iterative process was definitely a wise move; besides it is always important to clarify questions or comments, even more so, when negotiations must be clearly understood by all community members for which simultaneous translation was used.

2.2. Implementation at the local level

The implementation process, as part of the first output of the project, was implemented in three phases:

1. **Site selection and initial agreements**, from September 2013 until early 2014.

2. **Selection and design of pilot activities**, during the first semester of 2014.

3. **Implementation and learning through practice of conservation, restoration and sustainable management actions, plus capacity and communal organization strengthening**, from 2013 until April 2016. It is worth mentioning that activities in the community have continued as CI-Peru continued working in the community with other projects.

4. **A cross-cutting action** which contemplates collecting, systematizing and sharing experiences and lessons learnt, with greater emphasis on these activities from March until September 2016.

Figure 9. Project implementation phases.

2.2.1. Site selection stage and initial agreements

CI-Peru began its work in the Shampuyacu native community in 2012, through its own initiatives focused on ecosystem restoration and strengthening of indigenous governance. In this way, the implementation of this project did not have a stage of site selection, since initiatives were carried out previously with the community, so that a trust relationship existed between CI-Peru and the community.

2.2.2. Pilot activities design and selection phase

In early 2014 there were meetings with the Directive Board of the community to carry out socio-economic assessments and to design a CA according to the particular context of the Awajun native communities. These agreements intended from the beginning to implement activities to improve their livelihoods with an emphasis on recovering their traditional knowledge.

A series of pilot activities were designed and validated by the community considering: the needs and interests of community members based on participatory processes to validate the options; the legal and institutional framework of indigenous peoples and REDD+ benefit sharing in Peru and San Martín; plus the results of several studies ([17]):

- **Application of the Forest Poverty Tool Kit ([18]) by IUCN and CI-Peru (February 2014).** The FPTK is a set of participatory action-research tools ([19]) to gather information on the historical evolution of land use in the area and the main environmental problems, the contribution of forests and agricultural activities to rural livelihoods and the possible solutions and policy options. The study brought together a sample of 40 community members (half men half women) of two different economic classes (higher income and lower income), for two days and led them through a series of steps to collect the abovementioned information (Shepherd & Cabrera, 2014).

- **Household socio-economic questionnaires carried out by IUCN, CI-Peru and local implementing partner Ecoyungas (March 2014).** These questionnaires were made to a representative sample of 97 households, all registered in Shampuyacu. The study provided a detailed explanation of the contribution of forests, agriculture, businesses and other income to the household and community economy, and their distribution within the community. It was based on the CIFOR Poverty Environment Network (PEN) ([20]) methodology and complemented by questions relevant to the situation of land use in Shampuyacu regarding the lease of land and the community's aspirations in these subjects (Westerberg, 2014). This study served to identify in detail the drivers of deforestation and to identify alternative activities to deforestation. It was also used to establish the feasibility of implementing CAs as benefit sharing mechanisms (CI-Peru, 2016).

(17) These socio-economic, preliminary and feasibility assessments generated the necessary knowledge to design pilot incentive packages adapted to native communities.

(18) Translated version (in Spanish) used in Peru of the Forest Poverty Tool Kit (FPTK), according on the country's context and its implementation objectives.

(19) Participatory action-research includes professionals/implementers in the research process from the initial design of a project through the collection and analysis of data to the final conclusions and actions arising from the research (Whyte, ed., 1991).

(20) *See:* http://www1.cifor.org/pen

- **Evaluation of socio-economic opportunities conducted by CI-Peru (July 2014).** It was based on the study of household questionnaires and supplemented by information with detailed interviews from members of the community's farmers, in order to investigate the possibilities of increasing productivity and profitability of existing land use practices (Gil, 2014).

- **Feasibility study carried out by CI-Peru y and local implementing partner Ecoyungas (2014).** It was conducted as part of the first phase of the CAs model. The feasibility analysis served to assess whether there is a favourable environment for the establishment of CAs with the community (Ecoyungas, 2014).

2.2.3. Implementation and learning in practice phase

Pilot activities implemented in the community with the CAs' framework are grouped in three groups of actions:

a. Prevention of erosion and recovery/restoration of riparian vegetation

As one of the initial steps for the establishment of CAs with the community, CI-Peru, with the participation of community members, focused efforts in restoring vegetation in areas with high risk of erosion and flooding, building and gradually strengthening the relationship between the technical staff and the community.

Riparian restoration

CI-Peru maintains among its lines of work the application of technical tools to improve the use of riparian ecosystems. It is intended that communities responsibly manage the riverbed quarries and be capable of preventing risks by restoring vegetation in coastal areas that are susceptible of flooding, erosion and landslides which can affect the community with loss of homes and cultivation areas. So in coordination with the Awajun Regional Federation of Alto Mayo (FERIAAM, for its acronym in Spanish) riparian ecosystem restoration activities were developed in the Shampuyacu native community in 2013, plus training on sustainable water resource management in order to establish a model that can be replicated in other communities of the Alto Mayo basin.

In 2014, based on the work done by CI-Peru in early 2013 on recovery of riverbanks with reforestation and seed production for agro-forestry, trust between the implementer and beneficiaries was strengthen, and according to the funding and technical capacities, about 50 community members were identified to perform actions within this topic (CI-Peru, 2016).

This project supported the maintenance and expansion of the activities that begun in July 2013 (as part of another project), establishing and consolidating a participatory process for restoration of 73.4 ha riverbanks using 44 native species that were selected in participatory workshops – because of the economic and cultural value to the community and their importance for biodiversity. The construction area for the first nursery and the places where the restoration process begun were identified jointly with the population.

A variety of native species were used in this project including herbaceous and fruit trees like *tornillo* (*Cedrelinga catenaeformis*), *shimbillo* (*Inga* sp.), *capirona* (*Calycophyllum spruceanum*), among others; in addition, learning was generated of which plants have worked better in practice and have allowed expanding the use of the best adapted ones according to the need and the local context identified with local population. Large trees and more stable riverbanks can be seen after three years of promoting these activities.

b. 'Mosaic' type sustainable management of the community's land

Delimitation and consolidation of the communal forest reserve (BRC)

The participatory delimitation and geo-referencing of the BRC (531.97 ha), and of the *Nuwas'* Forest which is a part of it, begun in 2014. The community has received the support to meet the requirements to access the direct conditional transferences of the PNCB.

Due to deforestation threats in the few remaining forests, the project also supported the implementation of a communal surveillance committee to control the territory through trainings to community members and supported the process of drafting its regulations. There are ongoing discussions about improving its operating regulations and the definition of internal sources of funding (including funds required in the Investment Plan to enter the PNCB and the community counterpart) and responsibilities of community members. Materials for the functioning of the committee were purchased and delivered; also, four signs with designated areas for conservation and location of nurseries have been installed.

From the beginning, one of the key issues in the project was to ensure participation of the community and its annexes, listening to their needs and working continuously with a RBA and participatory tools. In this sense, the space for women to have a say was strengthened and mixed work groups were formed. Besides, after hearing all points of view, decisions were validated in assemblies.

The *Nuwas'* Forest

Our work with women in Shampuyacu has more than two or three years, and in fact they are very interested in working topics about how to contribute so their community has the forest resources it had before.

Milagros Sandoval, Senior Manager of Environmental Policies, CI-Peru

During 2015 based on the community's land geo-referencing work, the *Nuwas*' Forest reached three hectares. After several community meetings community members decided to increase the area to 8.9 ha due to a request made by women. Currently, the forest is managed 100% by them and led by a working committee which represents them. The project supported the construction of a nursery of traditional plants and later the subdivision of plots of 10 m x 50 m assigned to each participant responsible for its care. Activities such as seed collection, sample and planting of traditional species and reforestation among other initiatives were conducted in the plots.

In this space women perform activities linked to enrichment of forests, conservation, recovery and production of traditional plants (area in which each woman is assigned a lot). They distributed the work into four groups (nursery, timber harvesting, cleaning of trails and lots) and focused on the recovery of the ancestral value of the forest and is becoming an example for other communities.

Improvement of agricultural activities promoting agroforestry systems and the use of agricultural supplies

A diagnosis of the condition of coffee plantations was made by the possible beneficiaries under CAs to establish a baseline of productivity and health of coffee plants. Also, 'field schools' were implemented to build capacities and provide technical assistance related to coffee management (main agricultural activity) developed in 2015; 50 people benefited from different trainings from the field schools (although participation levels have fluctuated during the training sessions). A module of organic fertilizers production was given and implemented in early 2015 and community members prepared the fertilizers using techniques developed and validated in the Alto Mayo Protection Forest.

In addition, two communal nurseries were built for the production of forest seed and seedlings that were used in the riparian restoration of the *Naranjillo* River (affected by erosion). Inter-communal internships were developed to learn the mentioned techniques. Finally, the sites for coffee collection and storage were identified and the first ideas are available on how to improve it. Aside from promoting best practices in the coffee production, training on pruning of cocoa crops was provided (end of 2014) and resulted in an increase on the density of cocoa after one year (results already visible).

Establishment of nurseries

The nurseries project was designed to have a gender component, and although participation fluctuated, there are now 12 women and 12 men working constantly in these activities.

Norith López, Community Development Assistant, CI-Peru.

The existing nurseries were expanded, and one of them was also renovated and given maintenance. Besides, two new nurseries were built to produce seedlings which were planted in coffee plots of the community in order to implement agroforestry systems on the riverbanks of the *Naranjillo* River for stabilization and erosion. There are four nurseries in total: one in Shampuyacu, one in *Kunchum*, one in *Túmbaro* and one in the *Nuwas*' Forest.

Cadastral information collection

In 2015, a cadastral inventory was conducted and a study on current and potential land use following guidelines for land use planning was finalized. At the beginning community members identified and delimited their plots only by 'sight' or with natural landmarks which led to errors when determining the area. The cadastral information was used to quantify the exact area of each community member and plan the intervention area. Nevertheless, 71% of the total communal land (3,500 ha) was mapped, since some community members had distrust to disclose their lands (CI-Peru, 2016).

c. Capacity building and community organization

The project has provided constant training in the community on subjects related to implementing CAs, climate change and REDD+ benefits, many of which were done in Awajun language. Activities of capacity building and organizational strengthening have been key throughout the project and cross-cutting to all the different activities. As mentioned before, constant technical training was given to promote best production practices, and to promote restoration and conservation activities and to further understand the context of these activities in relation to climate change. This was done in order to empower and promote the continuous participation of the community in different activities.

Life Plan of the Shampuyacu native community 2015-2020

The Life Plan is a tool for community management developed by community members of Shampuyacu in a participatory manner which consolidates the mid-term proposals agreed between community members to protect the environment, their native language, models of governance and justice, their educational system, traditional medicine and many other practices. It provides a holistic vision for community development and constitutes a planning instrument that should be considered by both public and private institutions who want to support the community. In this context, processes related to REDD+ among others should consider this tool since it marks clearly the interests and needs of native communities.

The Life Plan was developed in a participatory and inclusive process led by communal authorities and facilitated by CI-Peru. This process started as a self-diagnosis done by Shampuyacu community members and allowed assessing the situation of the community in order to build a communal vision and the necessary planning to achieve the objectives.

Eight workshops with structured groups were planned with communal authorities (eight to fifteen people each), including elderly, tenants, young entrepreneurs, women and Shampuyacu authorities and their annexes *Bajo Túmbaro* and *Kunchum*, so that all of them have equal opportunity to participate with opinions and suggestions and together build a Life Plan.

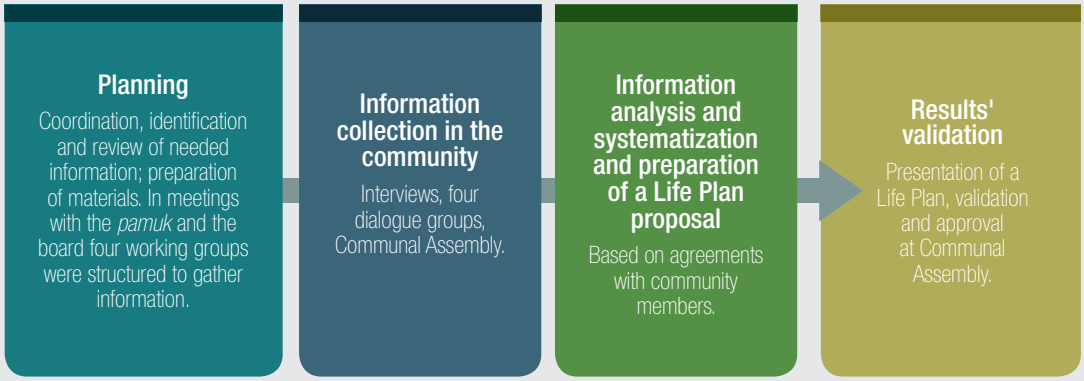


Figure 10. Phases of construction of the community's Life Plan.

Source: CONASHA, 2015

After this stage, an analysis and systematization phase took place to submit a proposal that was validated through work meetings and workshops. Subsequently the Life Plan was approved for 2015-2020, in a general assembly convened by the *pamuk* (chief) of the community, attended by 72 families from Shampuyacu, ten families from *Bajo Túmbaro* and five families from *Kunchum*.

Before preparing the Life Plan, CI-Peru and AIDER teams exchanged experiences on supporting the preparation of life plans in communities, especially in terms of AIDER working experience in the *Madre de Dios* region. Also, the content structure for developing life plans of native communities of the Regional government of San Martín was used and approved through the regional ordinance OR-N° 033-2014-GRSM/CR, in order to follow the agreed process in this region using, in addition, the framework of rights-based and participatory methodologies promoted by CI which characterized the implementation of the project.

The Shampuyacu Life Plan includes four components:

1. Diagnosis of the community in terms of organization, land, environment and natural resources, culture, food security, health, education, housing, basic services and economic activities.

2. Analysis of the current situation in the community.

3. Identifying objectives, strategies, stakeholders, activities and deadlines.

4. Preliminary analysis of the quality of life in the community in the economic, social, political, cultural and environmental fields.

The Life Plan is an instrument that will allow community members to have the necessary information to achieve the agreed objectives in a planned manner, always aiming at the agreed vision: "By the year 2020, Shampuyacu, *Kunchum* and *Bajo Túmbaro* preserve their communal forest, live in harmony with their environment, with water and sewer services, food security, quality bilingual education, supervised and safe community, developing their economy based on agricultural products with integrated farms and coffee through agroforestry systems" (CONASHA, 2015: 4).

2.3. Implementation at regional level (San Martín)

Early in 2014 as part of the second output of the project, an analysis of the existing legal and institutional framework on REDD+ was done applicable to regional and national context. Following the diagnosis, at the end of 2015 a proposal of legal guidelines was made for implementing benefit sharing mechanisms which considers indigenous peoples' aspects and adapting formats of CAs as part or complement of REDD+ mechanisms. The idea is to apply the Shampuyacu model to other native communities (CI-Peru, 2016).

2.3.1. Support to the safeguard process for REDD+ in San Martín

The GORESAM has established policies and measures to face the problem of high deforestation in the region. The REDD+ process in the region that includes the work of safeguards is one of the strategies identified to reduce deforestation: "The work of safeguards for REDD+ would not have been possible without the participation and commitment of stakeholders involved in the process highlighting civil society, indigenous peoples and grassroots organizations" (Sandoval, *et al*., 2015: 15).

The work of safeguards for REDD+ in San Martín dates back to 2011, although it actually begun in 2012. This has been an iterative and participatory process including several stakeholders at regional level to ensure their effective participation. A Facilitator Team was created for this purpose and has been working in two lines of action: (1) dissemination of information and capacity building; and (2) technical contribution to generate inputs that contribute to regional and national work of REDD+ (Sandoval, *et al*., 2015).

The process is summed up in five phases:

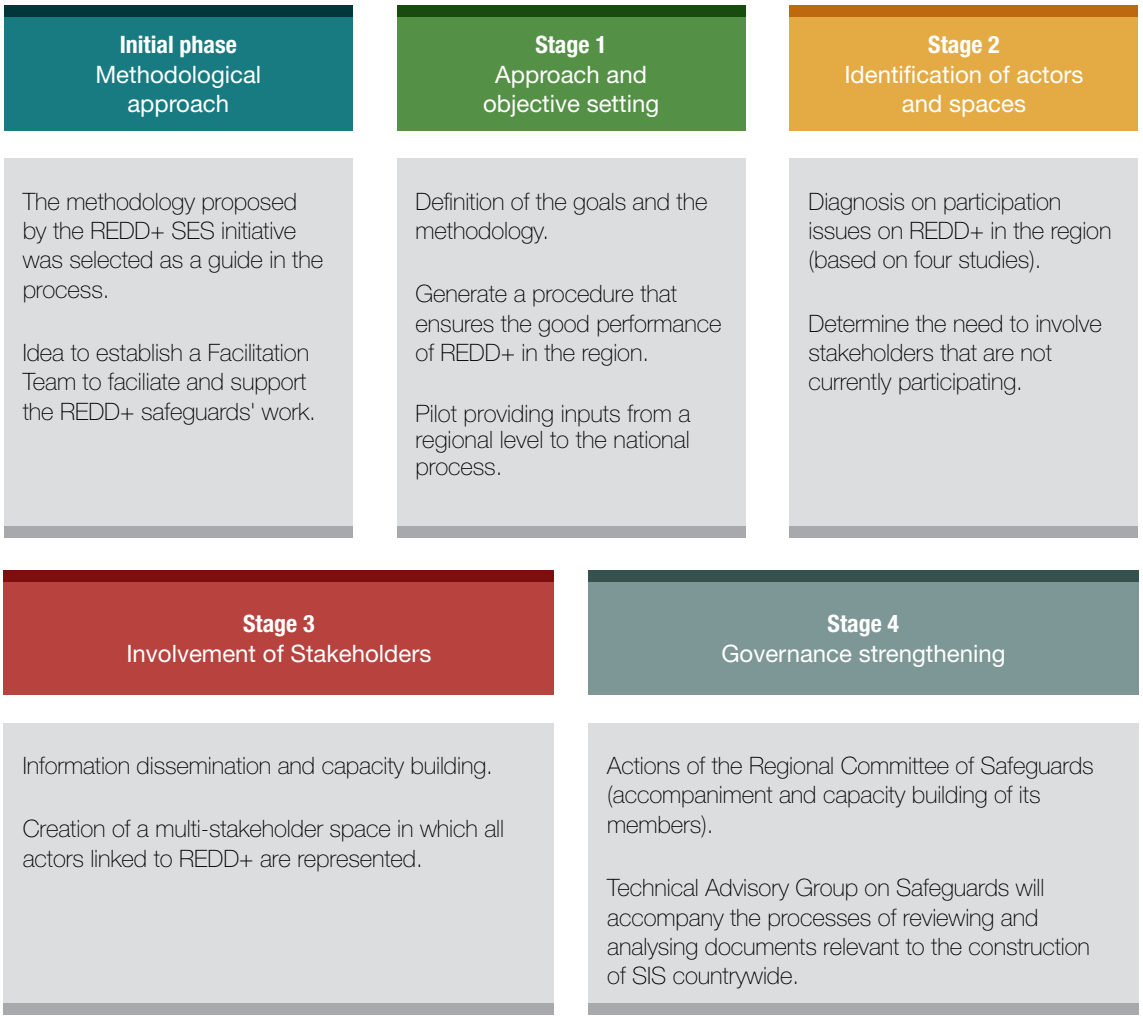


Figure 11. Summary of phases in the process of safeguards for REDD+ in the San Martín region.

Source: own elaboration based on Sandoval, *et al*., 2015

San Martín is the pioneer region in addressing safeguards work for REDD+ under the leadership of the Regional Government. The process has considered seven safeguards approved at COP 16 as a guide, as well as other relevant decisions of the UNFCCC; the methodology proposed by the REDD+ SES ([21]) initiative adapting to the needs of the region; methodological guidelines developed by CI; regional developments related to REDD+, and the approach that the Regional Government has been working with during these years (Sandoval, *et al*., 2015: 14).

CI-Peru has supported this process (and previous stages) since 2010, adding technical and financial resources to the process of REDD+ in the region. CI-Peru's contributions to capacity building at national and sub-national levels in the region have focused on several areas: political (with decision makers); technical and civil society (through the REDD+ working group) and other participation spaces.

(21) *See*: http://www.redd-standards.org/

These processes of capacity building and promotion of participatory processes have focused on laying the foundation of the safeguard process in the region. The project has contributed to this process that after promoting and building capacities of local actors has focused on supporting the adoption of regional regulations that lay the basic rules and policies to conduct the safeguards process (Sandoval, *et al*. 2015).

At the end of 2014 the Regional Ordinance 023-204-GRSM/CR was enacted and created the safeguards regional committee with representation of relevant stakeholders in the region and declares the regional interest in the REDD+ process. Later, at the end of 2015 and after a participatory process with various stakeholders a regulation related to the ordinance that supports the regional committee is promulgated. At the closure of the project progress was made with the process in which each relevant stakeholder identified his/her representative and the committee is composed by 11 stakeholders.

2.4. Implementation at the national level

2.4.1. The Forests Dialogue on benefit sharing

In March 2014 a multi-stakeholder dialogue on REDD+ benefit sharing was organized by the Forests Dialogue (TFD) ([22]) and IUCN in collaboration with AIDER and CI-Peru. The event aimed to systematize best practices, lessons learnt, challenges, opportunities and recommendations for developing REDD+ benefit sharing mechanisms in Peru. There was also a field trip to the San Martín region in which a REDD+ flagship project was implemented. This dialogue was developed within the framework of this project.

It is worth mentioning that although at that time the country showed significant progress in the preparation process for REDD+, the implementation of REDD+ initiatives was quite decentralized causing difficulties and challenges in coordination and linkage between local projects and the national regulatory technical framework; and especially the harmonization of methodologies to consolidate and compare results. Therefore, this dialogue was particularly useful to strengthen the technical and institutional links between REDD+ experiences in the country and to establish a community of practice to share experiences on REDD+ benefit sharing.

(22) The Forests Dialogue (TFD) provides a permanent platform for a multi-stakeholders dialogue aimed at developing mutual trust, shared understanding and identifying collaborative solutions to the challenges posed by the management and conservation of forests worldwide. For more information: http://theforestsdialogue.org/

2.4.2. Scaling-up experiences to other levels

The CA that is being negotiated with the community includes a series of activities that are already underway as commitments by the community to continue with these activities and the technical support and inputs by CI-Peru. Aside from the CA with the community CI-Peru has supported the process to meet the requirements for the TDC from the PNCB. This meant supporting the community to collect several documents that are necessary for admission including the development of an investment plan as one of the requirements.

This way in 2015 a roadmap for a tripartite agreement between the community, the PNCB and CI-Peru was discussed (*see* section 3.2.3) to continue supporting activities implemented in Shampuyacu based on the support of both CI-Peru and the PNCB.

2.4.3. Action-research initiative on *Equity and REDD+* in Peru

During 2015 and 2016, IUCN, the International Institute for Environment and Development (IIED) and CI-Peru in collaboration with AIDER and MINAM (in the 2015 phase), implemented a joint *Equity and REDD+* initiative whose objective was to promote the analysis and strengthening of equity in experiences related to forests and climate change (like REDD+) in Peru through an action-research ([23]).

In order to implement this initiative and better understand what equity means in relation to forests and climate change in Peru, an action-research was implemented at national scale emphasizing in the San Martín region. The conceptual framework of this initiative proposed three dimensions to address equity in REDD+:

- Recognition, of rights, knowledge and institutions;
- Participatory processes, access to information, capacity building and
- Costs and benefit sharing (Figure 10; Quesada, *et al*., 2017).

In this context, an action-research was conducted with the participation of multiple stakeholders involved with forests and climate change initiatives in the research process from the collection and analysis of information to the validation of its results.

(23) An action-research is an investigation that seeks to provide solutions to existing problems. In the case of IIED, its action-research seeks not only to collect and analyse information in a rigorous and reliable way, but also to promote processes that use this information to solve problems, in order to improve equity in decision-making, contribute to sustainability of livelihoods and ecosystems and promote a fair distribution of benefits.

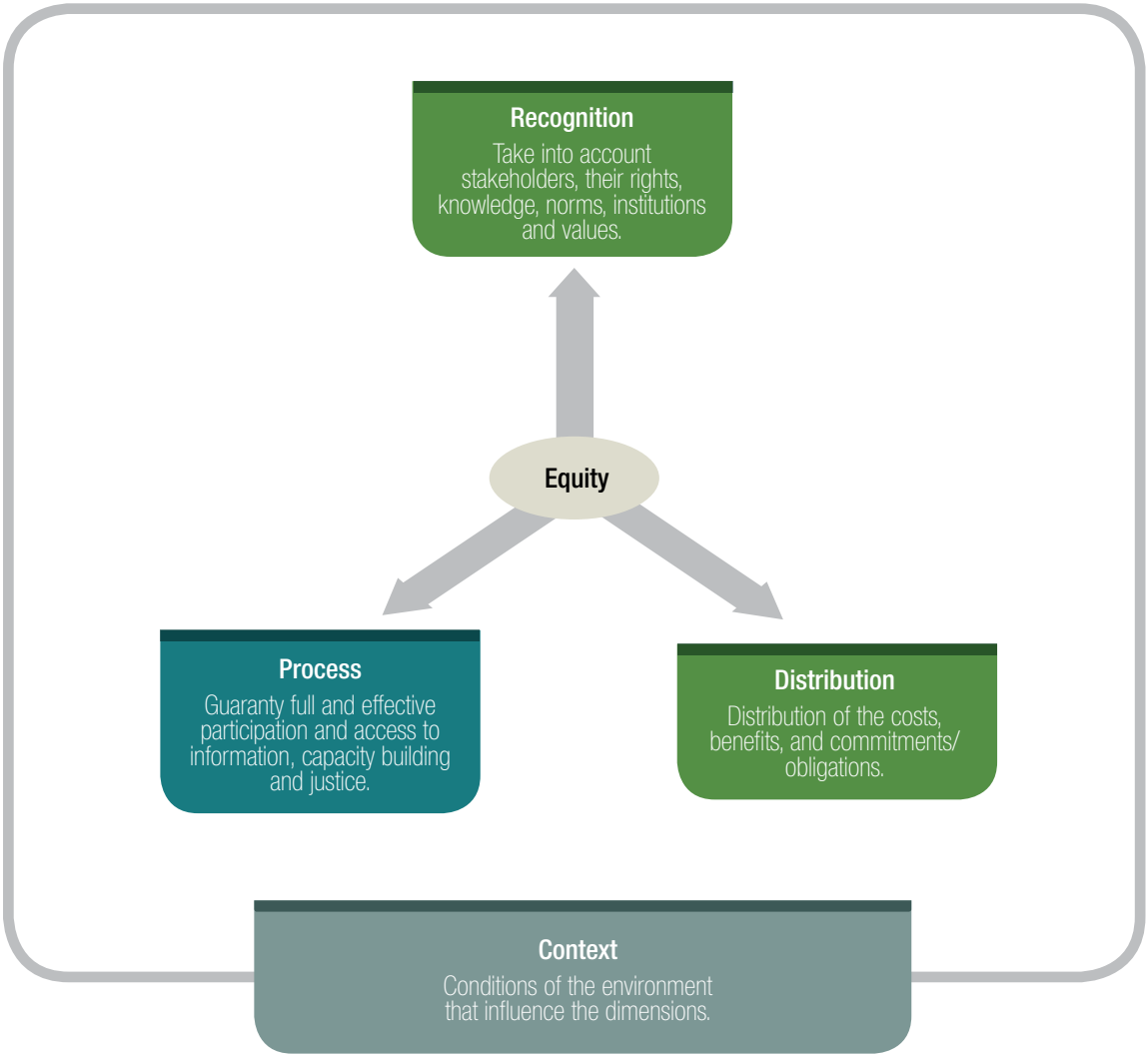


Figure12. Dimensions of equity.

Source: own elaboration based on Pascual *et al.* (2014).

The initiative did not only focus on REDD+ but also and more widely on forests and climate change initiatives to generate findings and recommendations that could later be adapted to the characteristics of REDD+ defined by a national strategy. As part of this research at regional and national level, the main questions of the analysis process were:

- What does equity mean and how is it related to forests and climate change initiatives as REDD+?
- How is equity addressed in processes of forests and climate change initiatives as REDD+?
- How can equity be strengthened in REDD+ processes at national and regional level (sub-national)?

© Andrea Quesada-Aguilar

To answer these questions different methods and actions were used:

- To understand how equity is defined legally, a preliminary review was done of international conventions on rights and environment and of national policies (a total of 14 agreements, five laws and three national plans were reviewed);

- Interviews with key stakeholders on issues of forests and climate change in Peru to understand their perspectives and recommendations on the subject (14 people were interviewed);

- Participatory focus groups to understand perceptions on the concept of equity; identify processes or equitable measures that have been or can be incorporated in forests and climate change projects or programmes as REDD+; an analyse how forest management activities can reduce deforestation and degradation while promoting and strengthening the three dimensions in equity. Two workshops took place, one in Lima and another one in San Martín organized by IUCN and CI-Peru, in collaboration with AIDER and MINAM ([24]);

- A process of information validation through two participatory focus groups. One took place in Lima and the other one in San Martín, organized by IUCN CI-Peru, in collaboration with AIDER ([25]).

---

(24) The first one was held in Lima on July 6, 2015 and was attended by 16 participants, including representatives from MINAM, SERFOR, NGOs associated with the generation of the REDD+ Strategy and who work on REDD+ projects at national level. The second one was held in Moyobamba, San Martín on July 2nd and 3rd, 2015 and was attended by 19 participants, including representatives from Regional Government and a municipality of the region and representatives of indigenous federations of the region and several NGOs and forests initiatives.

(25) The first one was held in Lima on April 19, 2016 and was attended by 14 participants, government representatives (Ministry of Culture), indigenous federations (AIDESEP, COICA), NGOs and international organizations (CIFOR, Eco-REDD, UNDP, AIDER, CI-Peru and IUCN), and other independent participants concerned with REDD+ and/or equity. The second one was held in Moyobamba on April 22, 2016 and was attended by 11 participants, Regional government representatives (ARA-GORESAM, ARA-DEGEA), indigenous federations and communities (FEPIKRESAM, FERIAAM/CODEPISAM, FEPIQUECHA/CODEPISAM) and NGOs (CEDISA, CI-Peru and IUCN).


© Andrea Quesada-Aguilar

Chapter 3

3. What was accomplished with the experience?

3.1. Results and achievements in relation to project indicators

The achievements associated to output 1 – **efficient and equitable benefit-sharing mechanisms for performance-based REDD+ "proxy" actions, consistent with national REDD+ strategies, are piloted and assessed** – based on studies and activities implemented in the field were:

- A better understanding of the socio-economic and environmental context of the pilot site;
- The dissemination of results of various studies with the community;
- The commitment of the native community and their sense of ownership of project activities in the implementation process;
- The preparation of a community Life Plan and;
- The leveraging of resources for the implementation of the activities identified and validated by the implementing partner (CI-Peru).

With regard to outcome 2 – **specific economic, policy and institutional arrangements required to facilitate equitable and efficient delivery of performance-based payments for REDD+ activities are identified and promoted** – the following are the most relevant achievements:

- The review and analysis of the legal framework for the distribution of REDD+ benefits and specifically for the establishment of CA;
- The support to the process of implementation of REDD+ SES safeguards in San Martín;
- Some publications generated (e.g., regarding benefit sharing from TFD, REDD safeguards+) and;
- Obtaining an agreed roadmap with the PNCB relative to a tripartite agreement under the framework of this programme to be implemented in the Shampuyacu native community in order to give continuity to project activities.

For output 3 – **lessons learnt about the design and implementation of efficient and equitable REDD+ benefit-sharing mechanisms are promoted** – achievements include:

- The positioning and advocacy at a political level on the issue of benefit sharing for REDD+, both in the region of San Martín and in the country, through the interaction with the PNCB.

- It is important to highlight the benefit sharing publication launched during the COP 20 of the UNFCCC and the inclusion of the issue in a section of the National Strategy for Forests and Climate Change (ENBCC), as well as the design of a REDD+ fund.

As part of the reflections ([26]), achievements associated with different indicators were identified. However, achievements not associated with project indicators, but with added-value also appeared, which stemmed from the perspective of adaptive management with which the project was implemented (Table 2).

Table 2. Achievements of the three outputs and indicators of the *Facilitating benefit sharing for REDD+* project.

Outcome: Early REDD+ actions are made possible through appropriate, efficient and equitable benefit-sharing mechanisms, which are sufficiently robust to be integrated in the long-term within the national and international REDD+ frameworks.	
Process achievements	– Contextualize and align the project with the country's priorities. – Concerted and agreed planning.
1. Efficient and equitable benefit-sharing mechanisms for performance-based REDD+ "proxy" actions, consistent with national REDD+ strategies, are piloted and assessed.	
Indicators	**Achievements**
Indicator 1.1. Each pilot has a list of REDD+ activities that tackle drivers of deforestation and forest degradation, and a set of proxy indicators agreed as result of participatory and negotiation processes.	– The list of pilot REDD+ activities was developed on the basis of studies conducted to better understand the links of the community with the forest as well as the socio-economic context. These studies included the FPTK, household socio-economic information questionnaires, a feasibility study and a study of economic opportunities. In addition to these studies, the list of activities was constructed on the basis of the identification of priorities and needs as part of the community Life Plan. Many of these activities are currently being implemented. – A continuous participatory process of community involvement was key, gaining their trust. It is worth mentioning the consensuses constructed within the framework of the participatory processes with the community throughout the project implementation. – The Life Plan of the community was developed. It generated a more comprehensive perspective regarding the pilot site. – Detailed information of land use was collected and consolidated for around 70% of the territory.

(26) As part of the process of reflection done by the team for reporting and closure, the project implementers conducted a two-day workshop in which the main actions carried out throughout the three years of implementation were summarized. There were also group and individual reflections about the main achievements, co-benefits, impacts and lessons learnt from the process.

Indicator 1.2: Each pilot has a benefit sharing proposal built and agreed in a participatory manner, that reflects the principles of FPIC, and the proposal is considered within the portfolio of payment mechanisms at each REDD+ National or Regional Strategy.	– The implementing partner, CI-Peru, has leveraged financial resources for the implementation of a CA in the community that are established within the framework of the project (around 50% of the costs of the activities in the field). – All activities, documents and studies have been discussed and validated by the community and its two annexes. – The structure of the CA is being discussed with the community.
Indicator 1.3: Fair and transparent payments based on progress measured over REDD+ proxy indicators include women, indigenous peoples and forest dependent communities at each pilot.	This is still in a process which will be consolidated once the CA between the Shampuyacu native community and CI-Peru is signed. Nevertheless, work is being conducted with indigenous peoples and women, who are most dependent on the forest. It is worth mentioning that in these activities cash payments are not contemplated, but there are benefits based on commitments assumed by both parties.
2. Specific economic, policy and institutional arrangements required to facilitate equitable and efficient delivery of performance-based payments for REDD+ activities are identified and promoted.	
Indicator 2.1: Country-specific analytical reports on legal and institutional frameworks of existing experiences of benefit sharing mechanisms and PES within the forest sector highlighting opportunities and lessons learnt for the project.	– Review of the legal and institutional framework related to REDD+ in Peru. – Publication of the *Country Report: Considerations for REDD+ benefit sharing in Peru.* – Legal analysis on the legal framework for the signing of the CA with indigenous peoples.
Indicator 2.2: Proposals (one per country) for changes, improvements or extension on existing legal and institutional frameworks presented to and negotiated with local and national authorities for the implementation of the benefit sharing proposals.	– Support in designing regulations for the regional ordinance for the creation of a safeguards committee in the San Martín region. – Publication of the *Guidelines for the use of information of projects for REDD+ Information Systems. Case study from Peru and the San Martín region.*
Indicator 2.3: Institutional arrangements and monitoring processes in each pilot for the management of the funds for REDD+ benefit sharing agreed and in place.	– Conversations and a roadmap agreed upon by the office from the PNCB of San Martín.

Indicator 2.4: Added value achievements.	– Comparative analysis of legislation related to the issue of REDD+ and benefit sharing in the three countries (Ghana, Mexico and Peru). – Progress in the process of safeguards in the San Martín region that serve as an input to the National Strategy on Forest and Climate Change (ENBCC). – TFD discussions contributed to the definition of benefits generated by REDD+ within the framework of the ENBCC.
3. Lessons learnt about the design and implementation of efficient and equitable REDD+ benefit-sharing mechanisms are promoted.	
Indicator 3.1: Four international multi-stakeholder dialogues to share experiences on benefit sharing mechanisms for REDD+ organized in REDD+ countries.	– TFD was held in San Martín and Lima, generating the following results: o Initial discussion of REDD+ benefit sharing at a national level. o More knowledge and awareness about the issue of distribution of benefits was generated. o Knowledge about the importance of equitable, transparent and effective benefit sharing mechanisms.
Indicator 3.2: Knowledge management and communication objectives, tools and products agreed for the project.	– Inclusion of the subject (chapter on benefit sharing) in the ENBCC. – The principles of distribution of benefits to be integrated into the design of the REDD+ fund.
Indicator 3.3: Members of forest communities, local/national authorities and members of the civil society including the private sector have received training allowing their active participation on consultation processes supported by the project.	– Capacity building on safeguards for REDD+: Indigenous peoples, private sector, governments, local stakeholders. – The Regional Government enacted the ordinance to establish the Regional Safeguards Committee. – Establishing the entry point for the PNCB to work with indigenous communities that do not qualify for the conditional direct transfers (*) of the PNCB.
Process achievements	– *Equity and REDD+* research-action initiative. – Various communication materials such as a video of the project, interviews, factsheet, infographics, testimonials, among other products.

Source: Castaño (2016).

Note (*) Conditional Direct Transfers (TDC) consist of forest conservation agreements between the communities and the PNCB for a period of five years, and these are based on the fulfilment of two commitments: that there is no deforestation or illegal logging in community forests and the implementation of an investment plan. By virtue of these agreements, each partner community receives economic incentives equivalent to PEN 10 (soles) per hectare of preserved forest per year, as well as non-financial incentives such as technical assistance and training for the implementation of an investment plan. For more information, *see*: http://www.bosques.gob.pe/boletin8/boletin-8-accion5.html.

3.2. Outcomes, contributions and impacts

In addition, the implementers of the project, identified achievements associated to the three scopes of impact of the project: at **community, regional** (San Martín) and **national** levels. For each level, achievements were identified in three categories: overall **outcomes** of the project; contributions to economic social and environmental development and even biodiversity (**co-benefits**); and **impacts** of the project, the latter associated with climate change.

3.2.1. Outcomes, contributions and impacts at a local level

The application of the model of CA in Shampuyacu implies several commitments (conservation actions) by the community in order address environmental issues that threaten biodiversity in exchange for multiple benefits (Figure 13).

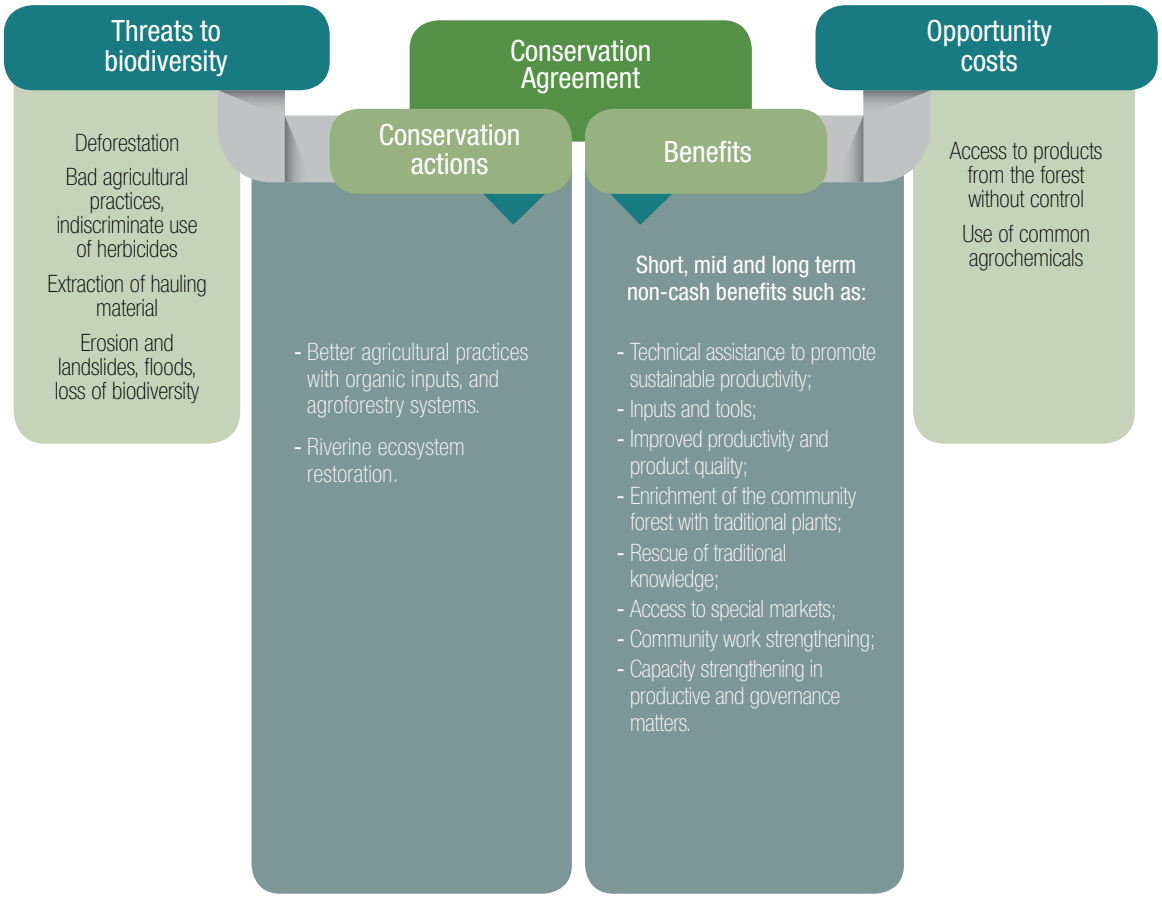


Figure 13. Conservation Agreement model implemented in the Shampuyacu native community.

Source: own elaboration.

The outcomes, contributions, co-benefits and impacts of eight actions presented in sequential order, taking into account their relevance in the project and the interaction with one another are as follow:

- Community Life Plan;
- Capacity building;
- Delimitation and consolidation of the community forest reserve;
- Enriching the forest assigned to women (*Bosque de las Nuwas*);
- Cadastral information;
- Establishment of nurseries;
- Riparian restoration;
- Improving agricultural activities (agroforestry and agricultural inputs)

Action 1. Community Life Plan	
Outcomes	– Empowerment from the community of the concept of "tajimar" (organize themselves, in order to move forward).
Contributions/ co-benefits	– Activities related to traditional knowledge, such as the use of medicinal plants. – The inclusion of the voice of women in the process of community planning. – Strengthening confidence in their model of government and local authorities; a space was also given to clarify the roles, responsibilities, rights and duties of authorities and community members, and to recognize the level of authority of the community assembly. An additional relevant fact is that the neighbouring community recognized the communal authority over the territory. – Facilitate the articulation with second-level organizations (federation and national organisations); having life plan is even a condition that validates the process of working in REDD+ and articulates with *REDD Indígena Amazónico* (RIA, for its acronym in Spanish).
Impacts	– Impact for replication: the life plan provides a holistic vision for the development of the community and is an instrument of community planning that provides the framework for including REDD+ in the communal actions and in the context of indigenous governance. – Impact for replication: instrument for environmental management and development which provides guidance in decisions related to mitigation and adaptation to climate change.

Action 2. Capacity building	
Outcomes	– Community members have acquired new knowledge (concepts and techniques) and skills in different topics: organization, conservation, forest management, sustainable production technologies. – A surveillance committee has been formed for the community forest reserve (*See* delimitation and consolidation of communal forest).
Contributions/ co-benefits	– Recovery of ancestral knowledge (reinforcing cultural identity). – Inclusion of other communities and federations in the process of capacity building.
Impacts	– The training techniques taught contribute both to mitigation (e.g. reduction of deforestation and conservation through the community forest reserve, increased carbon stocks and sustainable land management with agroforestry systems and riparian restoration) and adaptation (e.g. more resilient healthy ecosystem and strengthened community capacities) to climate change.

Action 3. Delimitation and consolidation of community forest reserve	
Outcomes	– Delimitation and consolidation of the BRC (531.97 hectares which represents 11% of the territory); strategies for conservation. – Community monitoring plan and a surveillance committee with clear functions and equipped with materials. – Signalisation with four signs indicating the areas designated for conservation and the location of the nurseries.
Contributions/ co-benefits	– Creation of the *Bosque de las Nuwas* managed by women; recognition and legitimization of this forest as part of the BRC by community authorities and families (*See Bosque de las Nuwas*). – Conservation of biodiversity.
Impacts	– Both the BRC and the *Bosque de las Nuwas* are identified and recognized as a mechanism to mitigate climate change; as are the adaptation measures, both for the recovery of knowledge and the technical and organizational training contributing to both purposes. – Support provided to the community to meet the requirements to enter the PNCB; the requirements to apply for entry into the PNCB are ready to be fulfilled, ensuring the sustainability of the BRC and the operation of the surveillance committee.

Action 4. *Bosque de las Nuwas*: enriching the forest assigned to women	
Outcomes	– The *Bosque de las Nuwas* of 8.9 hectares is being protected and enriched with more than 100 varieties of traditional plants. – Plots of 10 x 50 m assigned to each woman responsible for its care. Open rows to sow seedlings of traditional species produced by women in the nursery, following the pattern of indigenous planting that mimics the structure of the forest. – One nursery for the production of traditional plants built inside the forest (*See* also construction and implementation of nurseries).
Contributions/ co-benefits	– Identifying needs and interests of community members, recognizing the specific role of women in the management of the community forest and their leading participation consisting of almost 10% of the population of the community (52 women). – Promoting the intergenerational transmission of traditional knowledge (as women participate with their children). The participation of men is also promoted in activities such as cleaning the undergrowth. – Establishment of a women's committee created with the purpose of organizing the necessary work and lead the process. – Creation and recognition of the *Bosque de las Nuwas* on the part of authorities and families (in community assemblies).
Impacts	– Recovery of ancestral knowledge and recognition of the value of traditional knowledge and the role that women play in its transmission. – Effective conservation of primary forest; it is expected that biodiversity and forest cover increase.

Action 5. Cadastral Information (*)	
Outcomes	– Collecting cadastral information constituting 70% of the communal territory, identifying land use (this activity turned out to be more complex than expected, since more information was collected than initially planned).
Contributions/ co-benefits	– This exercise improved spatial perception; and the distribution of land uses and stakeholders. – Facilitates decision-making for community governance.
Impacts	– Facilitates the development of strategies for climate change adaptation and mitigation.

Note (*) This activity is not considered a benefit derived from CAs, but rather as a necessary condition that contributed to the work.

Action 6. Establishment of nurseries	
Outcomes	– Construction and maintenance of three nurseries to produce seedlings for various activities. – Involvement of families in seedling production. – Use of native species (fruit and medicinal).
Contributions/ co-benefits	– The means (infrastructure) and technical expertise to restore the community territory are available. – The community has infrastructure for revegetation both for riparian restoration activities as well as for plots of coffee. – A participatory system of the community has been established to work in various activities.
Impacts	– Recovery of ancestral knowledge.

Action 7. Riparian restoration	
Outcomes	– Restoration of 73 ha of riparian ecosystems with 44 native species (76 beneficiaries). – Rescue of the practice of *minga* or community work for the management and recovery of natural resources of the community (76 beneficiaries). – Process of intergenerational transmission of knowledge (boys and girls accompanied their parents). – Tangible benefits: riverbank stabilization, reduction of erosion (and soil loss) and generation of fruit for both the community, as well as for increasing biodiversity and habitats for fish and birds.
Contributions/ co-benefits	– Thanks to the constant presence of the field team and the generation of tangible benefits, this activity supported the establishment of relations of trust with the community and stimulated their interest in conservation. – The community generated the technical expertise on stabilizing riverbanks and the potential to maintain and replicate these actions in other communities.
Impacts	– Creating a 'laboratory' where appropriate species for restoration were tested.

Impacts	– Mitigation (increases the forest cover and carbon stocks) and adaptation to climate change (reduces community vulnerability when facing extreme weather events with more resilient ecosystems, with grey-green infrastructure and with greater adaptive capacities). It also helps reduce the risk of flood disasters due to river floods which affected agricultural activities in other years. – This experience and lessons, coupled with the diversity of initiatives in the rest of the landscape of the Alto Mayo are models implemented which can be adopted and promoted in other communities in the region under the leadership of the Regional Environmental Authority (ARA) of the Regional government of San Martín (GORESAM).

Action 8. Improving agricultural activities promoting agroforestry systems and the use of agricultural inputs.	
Outcomes	– Establishing good agroforestry practices (35 ha and 35 families), with 5,000 plants (both timber and fruit trees). – Overall, production practices and performance of coffee have improved, with an improvement in harvest and post-production techniques. – A collection and storage site has been identified and there are already a few first ideas of how to improve it. – The training on pruning of cocoa crops (end of 2014) resulted in an increase in the density of cocoa after a year (results already visible).
Contributions/ co-benefits	– Raising awareness about agrochemicals and its negative effects. – Technical tools to negotiate future practices with landowners who lease land.
Impacts	– Reducing soil pollution and water by reducing the use of agrochemicals. This also aided in the reduction of the risk of health problems due to pollution. – Ecosystem services such as soil recovery and erosion reduction. – Increased vegetation cover in coffee plots, increasing biodiversity and increasing the carbon stock as a mitigation measure.

It's worth mentioning that a relevant topic that was mainstreamed throughout all these activities is the gender approach, thus promoting equal opportunities. The inclusion of women and valuing them as a bridge of family integration, in addition to their empowerment turns them into points of articulation and generates sustainability. In addition, building on the perspective and interests of male and female community members (both from experience and practice) also nurtures the processes of the indigenous federations.

3.2.2. Outcomes, contributions and impacts of supporting the REDD+ safeguards process in San Martín

In Peru, San Martín is the first region to start the process and it also pioneered the development of safeguards for REDD+

Sandoval, *et al*, 2015: 9

San Martín is the first region in the country working successfully in this process, having attained several achievements as an opportunity to also share this experience with other regions and in other scales, as the basis for REDD+ processes at a national level. The results, contributions and impacts of this process are detailed below:

Support to the safeguards process in San Martín	
Outcomes	– Pioneer region in the field: it was the first region that formed its committee and the first to systematize its experience (*See* Sandoval *et al*, 2015.) – There has been a greater emphasis on safeguards related to full and effective participation, which contributed to dissemination and communication (dissemination of the products among different stakeholders).
Contributions/ co-benefits	– The project made it possible to continue with the dissemination and validation of the products generated by CI-Peru since 2010. – Generating experiences and lessons as models for the Environmental Regional Authority on how to implement REDD+ and on how to apply safeguards to the process. – As for the interest and impact on governance in the region, there is a Technical Advisory Group on safeguards, which offers advice to the Regional government and includes the participation of different institutions. – Rules were enacted which are a clear indicator of the technical and political commitment from the legislature, the executive, and the Regional government. Similarly, the participation of different stakeholder groups, represented by indigenous peoples, civil society and the private sector, demonstrate the commitment of the region to advancing in this process.

Impacts	– The GORESAM strengthened its climate change team and promoted the discussion of the issue within the context of its Regional Environmental Committee, where the regional REDD+ working group meets. Thus, San Martín is the first region to use public funds (from the region) in order to consolidate its leadership in REDD+ related topics, water resources and biodiversity, with the objective of complying with the commitments of the region and provide input at a national level. – The progress in the process in San Martín provides lessons learnt and inputs for other regions as well as at a national level. Thus, they contribute to fulfilling the bilateral and multilateral commitments made by the Peruvian State (for example, the Joint Declaration of Intent signed by the governments of Peru, Norway and Germany).

3.2.3. Results, contributions, and impacts at the national level

Three milestones of this project are included in this analysis: TFD on benefit sharing; lessons learnt from implementing activities at the local and regional level and expanded at the national level; and knowledge obtained from the *Equity and REDD+* action-research initiative.

a. *TFD on REDD+ benefit sharing*

The project contributed to increase people's awareness about what benefit sharing means. Also, people who see successful forest management experiences think about REDD+ as something good that generates results.

Claudio Schneider, Senior Technical Director, CI-Peru

In the dialogues in Lima and San Martín, 53 people participated: government representatives of both regional and national level, indigenous federations and representatives of indigenous communities, and national and international NGOs. Several experiences were presented in the event highlighting the value of CAs as an effective tool for REDD+ benefit sharing. However, it was agreed that conservation agreements should go together with long-term stable financing solutions and should be monitored continuously to ensure compliance. Also, it was recognized that the design of REDD+ benefit sharing mechanisms can enrich from lessons from the incentives programme (TDC) of the PNCB.

On the other hand, the need to demystify and properly size the expectation that REDD+ will bring large amounts of money in order to avoid future disappointments

was highlighted. In addition, it is important to clarify the different kind of benefits of REDD+ (multiple benefits, monetary and non-monetary, direct and indirect) and the costs of REDD+ to improve the system understanding and to achieve a more equitable and transparent distribution.

Another remarkable recommendation was the importance of considering different types of tenure and rights over land and resources including indigenous, community and traditional forms of tenure. This is an important aspect because it can be used as a criterion for distinguishing beneficiaries and the different types of REDD+ benefits. Another important achievement was the demonstration that broad benefits of REDD+ can be a strong catalyst for sustainable development and a new vision in forest management and conservation. The role of different stakeholders and their level of empowerment in the process were widely considered (including national and local governments, communities, indigenous peoples, women, NGOs, civil society, international organizations, private sector, etc.).

This debate contributed to the definition of benefits generated by REDD+ under the ENBCC; it allowed starting a debate on REDD+ benefit sharing at the national level. It also generated more knowledge and awareness about the benefit sharing issue and the importance of having equitable, transparent and effective benefit sharing mechanisms. Finally TFD helped to include the subject in a chapter of benefit sharing in the National Strategy on Forests and Climate Change.


© Andrea Quesada-Aguilar

b. *Scaling-up the experiences to other levels*

It is good to have a model with the community that allows them to be prepared to implement a REDD+ benefit sharing programme and where work is taken as a lesson to work a REDD+ programme with other communities.

Claudio Schneider, Senior Technical Director, CI-Peru.

In addition to the CA between the Shampuyacu community and CI-Peru, a roadmap has been established as a model of a tripartite agreement between the community, the government (PNCB) and CI-Peru. This agreement will allow strengthening and complementing capacities from the parties: community, PNCB and CI-Peru (Figure 14). The tripartite agreement would allow the community to receive funds from conditional downloads for the area that corresponds to the communal reserve forest. CAs by CI-Peru encompasses the community's landscape including many production and conservation activities.

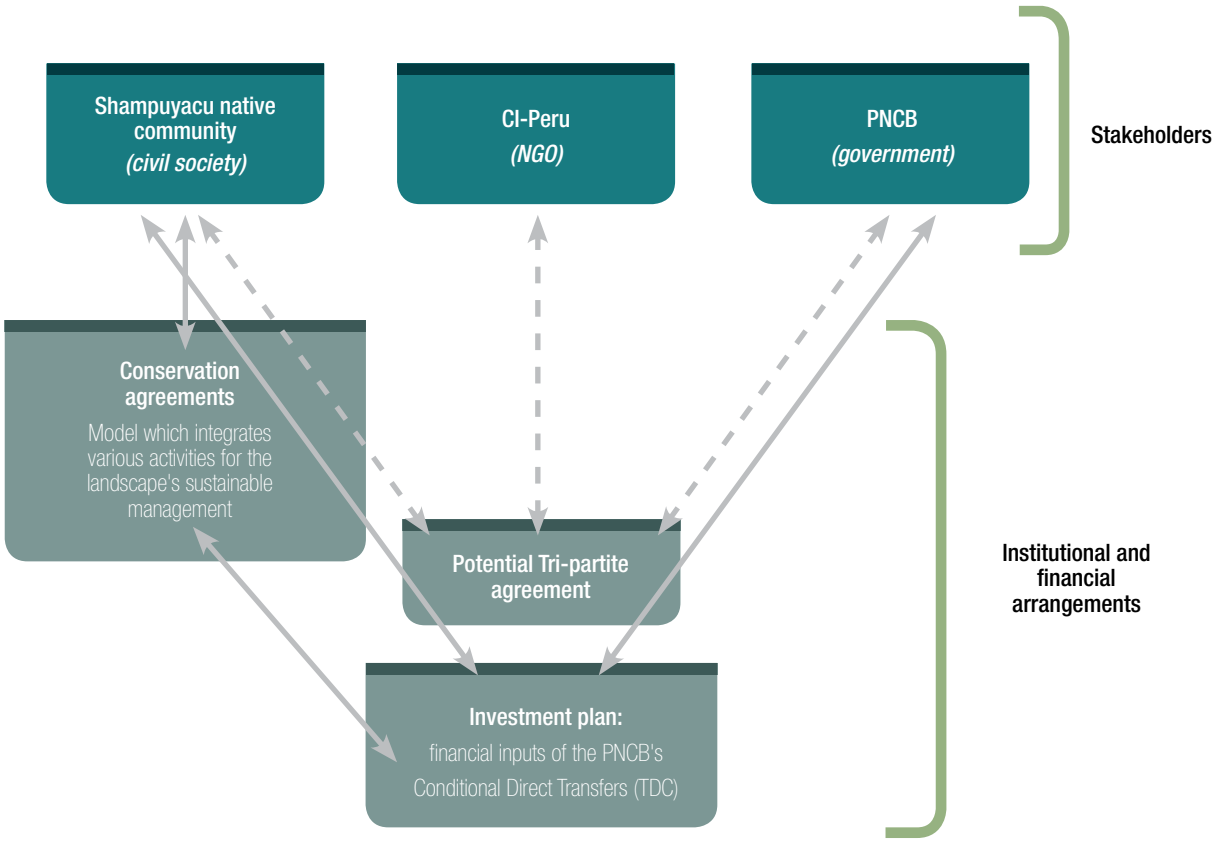


Figure 14. Institutional and financial agreements for implementing activities for the community's sustainable management of forests.

The file related to supporting to the community to access the PNCB is complete, and many activities and requirements were already developed before knowing that they would be part of the agreement with the PNCB. This plan has four components: environmental, economic, social and management, each one with activities that the community is performing and which have been supported by this project (Figure 15).

Environmental component	– Forests surveillance and monitoring
Economic component	– Improving agricultural productivity – Recovery of knowledge on medicinal plants and sources of raw materials (*Bosque de las Nuwas*)
Social component	– Food security (recovery of yucca varieties)
Management component	– Capacity building

Figure 15. Components of the investment plan of the Shampuyacu community to enter the PNCB.

CI-Peru will continue to support activities under the CA with the community, which combined with financial contributions of the PNCB directed to implementing the investment plan of the community, complement community commitments and technical and financial support for sustainable development of the community. This model can eventually be adopted by the National Government to work with native communities.

Activities of the CAs with Shampuyacu are part of the model, that aside from contributing to the sustainable management of the community, it also contributes to efforts so Peru is one of the first to consider REDD+ projects as a catalyst for sustainable development and prioritize the several mechanisms of benefit sharing with activities developed under the CA in Shampuyacu, and the rest of the landscape of Alto Mayo where CI-Peru operates.

Among results and contributions of CAs that are expanding to other levels:

Conservation Agreements experiences	
Outcomes	– Model for other native communities in how to prepare REDD+ benefits. – Capacity building of civil society especially with the implementing partners at local level – Ecoyungas y Pronaturaleza. – This model could be adopted by the National Government to work with native communities related to national REDD+ processes, including benefit sharing.
Contributions/ co-benefits	– The CAs constitute an incentive package for sustainable management; it is a tool for benefit sharing that can be used by other organisations (e.g. it has been adopted by AIDER). – The work experience with native communities is a model of interest for the Interethnic Association of Peruvian Amazonia (AIDESEP, for its acronym in Spanish), as a starting point to generate links with governmental processes.

As for activities supporting the safeguards process in San Martín, results and contributions were also identified and are expanding to other levels:

Supporting the safeguards process	
Outcomes	– Contributions to the national process providing inputs, especially on how it has been implemented and on spaces that were designed for dialogue and consultation.
Contributions/ co-benefits	– Contributions to capacity building in other regional governments.

c. *Action-research initiative on* Equity and REDD+ *in Peru*

The *Equity and REDD+* initiative had interesting achievements; on one hand the interest and participation of several stakeholders in the process, and on the other hand a series of inputs to the conceptual framework on equity and its three dimensions.

Table 3. Equitable principles for each dimension relevant to climate change identified by the action-research.

Recognition	Process	Distribution
• Rights recognition and respect. • Respect for knowledge and institutions that relevant stakeholders have and use.	• Effective participation • Access to information and capacity building • Access to justice	• Identify and assess the costs, benefits and risks, distribution and trade-offs. • Effective mitigation of the costs incurred by the indigenous and local communities. • Benefits are shared among the relevant stakeholders according to one or more of the following criteria: o Equally among stakeholders. o According to the contribution to conservation, incurred costs, recognized rights and/or priorities of the poorest. • The benefits that the current generations receive, don't compromise the ones of the future ones.

Principles of recognition and process are based on Quesada-Aguilar y Franks (2015) and the principles of distribution are based on Franks *et al.* (2016).

Some of the major achievements of this process are (*See* Quesada *et al*. 2017):

– The action-research allowed the proposal of solutions to real problems, since the conceptual framework on equity was contrasted through participatory methodologies and completed with perspectives and experience of multiple stakeholders and lessons learnt on forestry initiatives or early actions on REDD+ that have been implemented.

– Results from the process allowed the proposal of how to promote forest conservation or sustainable management while promoting equity at the national, regional and local level. For example, theories of change allowed participants to propose how to develop forestry in San Martín to promote both forest conservation or sustainable management and equity.

– Conducting a research at national and regional level allowed contextualizing more practically abstract concepts (such as dimensions and equity principles and theories of change) and issues related to equity according to the country's reality.

– Interviews and participatory workshops were crucial in action-research, enriching the process by capturing a variety of perceptions, experiences and lessons learnt during the implementation of other programmes and projects related to forests and climate change.

– In order to promote equity it is important that recommendations are based on a country's reality and that they consider the social landscape (mainly the inequities that prevail).

– Interviews and participatory workshops allowed sharing lesson learnt from other processes and examples that can serve as case studies aside from enriching the research related to equity.


© CI-Perú / Freddy Guillén

Capítulo 4

4. Reflecting on the experience

4.1. Factors, challenges and strategies ([27])

During the project's implementation there were several factors that determined the abovementioned accomplishments. At the local level, the interest and willingness of the community with activities, experience and previous presence of CI-Peru in the area stand out, and the fact that REDD+ is a familiar programme in the San Martín region – with important presence and involvement in the regional REDD+ working group. At the national level the main factor was the immersion and leadership of the Peruvian State in REDD+, and the involvement of the PNCB in several stages of the project. International factors include the development and participation of some stakeholders in several global events such as TFD and COP (Peru hosted COP 20) that helped to position the topic; and the exchange with colleagues from Mexico and Ghana regarding the implementation of project's activities according to each context.

Some of the challenges of implementation are having worked in several activities in parallel in three languages (English, Spanish and Awajun), which in many aspects represented major efforts for the team, but in turn they managed to perform activities really based on equity. Also adjusting to time and deadlines of different stakeholders and the complexity of land use and the diverse community activities complicated deadlines compliance.

This way, some of the strategies to develop activities and to face challenges are: communication and capacity building strategies and participation of key stakeholders (local population and authorities) and encouraging sustainability ([28]). For political advocacy, strategic participation of implementing partners in several stages of discussion was key (REDD+ working group and PNCB) and also the use of resources from the project to the accompaniment of the GORESAM ongoing processes, and the safeguards process and the PNCB.

(27) Information based on the project learning workshop (October, 2015) (Castaño, 2015).

(28) Including financial sustainability with additional financial leverage managed by the implementing partner who plans to continue to support the community in the mid-term.

4.2. Reflections, lessons learnt and recommendations

These factors and strategies have enhanced the opportunities and overcome challenges generating several reflections and lessons learnt that resulted in the following recommendations (CI-Peru, 2016; Castaño, 2015 and 2016):

4.2.1. Conceptualization of the initiative, clear governance and adaptive management

For projects with several implementing partners it is important to define clearly from the beginning, roles and areas of intervention of each stakeholder to better enhance their strengths and opportunities. There is a better use of resources when local expertise is added to another organization's management capacity including a combination of strategies and use of tools that contribute and enrich the process.

Even though the project's logical framework was devised for the three countries (Ghana, Mexico and Peru), one of the challenges was how to apply and integrate REDD+ initiatives in the national and local context. Therefore, the adaptive management consistent with the situation in Peru, San Martín and the community, was relevant and possible thanks to the flexibility of the approach and to managers who facilitated the change process. For future initiatives, regional, national and international conceptualization is relevant in debates and dialogues in order to build a link and effectively communicate the history of achievements so these can be scaled-up.

Working with a native community has many challenges and opportunities and means an intercultural work; therefore, adaptive management was also applied when implementing actions at this level. Throughout the project there were delays in some activities given the work's dynamic with local implementing partners and the community. For example, the process of communicating the studies' final results for validation to the community came slowly, and there was fear that local interest would be lost. Therefore, the relevance of implementing tangible and engagement activities like riparian restoration played an important role as a link between building trust and interest in working for their landscape conservation.

Other challenges were increasing the scope of work to more families and maximizing benefits of a short-term project such as this one. It is important that initiatives go along with some activities for a longer period of time. The experience in Shampuyacu is a work model with untraditional or unconventional communities with REDD+ – having small forest areas – where field activities are a priority since they nurture policy proposals.

Articulation of experiences from local, regional and national level is a process that requires a solid foundation – including the appropriate studies and the comprehension of the environmental, socio-economic and cultural context, the relations of trust and

commitment among stakeholders, governance processes strengthened, among others – and concrete experiences, that should go along with political will and regulations to facilitate and understand the difference between several contexts (CI-Peru, 2016). As a result of the TFDs, the need to develop national programmes tailored to different local context is emphasized, for example through: decentralized decision-making that recognizes the differences and links between a project's level and national approaches; a national framework to guide the participatory design of benefit sharing mechanisms in different sub-national contexts; and a governance system that ensures transparency and free access to information (IUCN, 2015).

4.2.2. Understanding the socio-economic, cultural and environmental context of the intervention site

Aside from social and technical issues, there are innovative aspects since ancestral aspects and women's participation have been recovered. These results should be systematized and shared since they can serve as models for other initiatives

Jaime Nalvarte, Technical Director, AIDER.

As in the case of Shampuyacu, CAs should be designed in such a way that they meet local needs through a process made of a bottom-up approach to integrate the aspirations of the community. Actions need to be adapted according to the socio-economic, cultural and environmental situation – knowing the cultural codes and understanding that cultural transformation processes take time; aside from knowing the context of development and process of each activity to recognize challenges and threats that must be overcome in a short, medium and long term.

Studies in early stages of the project were essential when laying the groundwork for other activities, for both field actions and inter-institutional coordination that were effective and extensive. Rigorous socio-economic studies, both at the households and plots' levels – are essential to understand the inequity that prevail and to determine how land use may be more economically and environmentally sustainable; it is necessary to assess the level of compensation required to attract interest from community members to change practices that degrade the ecosystem ([29]). Developing a Life Plan before generating the CA proved to be an innovative solution to link local needs with conservation, restoration and sustainable management efforts that can also be used in other initiatives.

Understanding and incorporating the story when designing and implementing such measures, improves the design of strategies and understanding decisions that were made in the implementation. All stories are important – past and

(29) In this case the rental income for their land for coffee crops.

current – to understand the main causes of deforestation holistically, also considering all stakeholders involved (e.g. migrants). At the time of reaching agreements, it has been essential to interact with the community, get to know part of its internal organization and governance, and align social dynamics. Traditional or customary laws may also be very useful when designing benefit sharing mechanisms locally adapted (IUCN, 2015).

4.2.3. Establish bonds of trust and implement early and tangible activities

The basis for success in any project is to establish a relationship of trust with stakeholders and the community and this is not an easy task, it requires efforts and a lot of will and a real commitment.

Claudio Schneider, Senior Tecnhical Director, CI-Peru

We have learnt to manage the forest, we have thousands of monitored plants and I am happy, my children go to school and I learnt too.

Cristóbal Wajajai, Shampuyacu community member

A previous approach by CI-Peru in 2013 was a determining factor in the creation of working relationships laying the grounds for the project's implementation. Building trust from local needs is essential to develop any community sustainable relationship. Riparian restoration and Life Plans are concrete examples of links between building trust and attracting local interest to work on landscape conservation. Riparian restoration implemented in small scale and in early stages of the project allowed to generate tangible benefits and to expand to other activities – key outcome as an example of a *no-regret* measure ([30]).

For community beneficiaries, restoration and recovery activities – of the *Bosque de las Nuwas*, of nursery management, of riparian restoration and agroforestry systems implementation – have been of greater impact for their tangible and participatory nature, as well as the possibility to recover traditional knowledge.

(30) No-regret actions include "measures taken by communities [and/or facilitated by organisations] which do not worsen vulnerabilities to climate change or which increase adaptive capacities and measures that will always have a positive impact on livelihoods and ecosystems regardless of how the climate changes" (in Rizivi *et al*., 2014: 1).

4.2.4. Participatory approaches on rights, intercultural, and gender equity issues

It is good that communities are taken into account from the beginning and that they are involved in the process and activities, so when the project ends these activities will continue and be sustainable.

Cecilia Gutiérrez, Project Management Coordinator, CI-Peru

During implementation at three levels, the need to promote a dialogue between different stakeholders to ensure their participation and the constant support of the technical team were highlighted. The importance of communicating perspectives on benefit sharing of REDD+ among multiple stakeholders as a result of TFD was highlighted (IUCN, 2015); in this case the REDD+ working groups (as the regionals in Peru) are platforms that facilitate communication of regional perspectives at the national level.

Community participation has been important from the beginning to listen to their needs and expectations and to take interest in activities thus ensuring the project's sustainability. Families of Shampuyacu increased their participation to reduce deforestation when they began doing activities to improve their livelihoods; adding this experience to others that propose that to combat deforestation and degradation it is essential to improve livelihoods from local population and to establish transparent, participatory, and equitable benefit sharing REDD+ mechanisms (IUCN, 2015).

© IUCN / Karen Podvin

Actions with a participatory and comprehensive approach, such as the Life Plan, have a huge potential to establish community governance systems linked to conservation and sustainable forest management. With participatory construction as a basis, community members were engaged with the conceptual proposal and technical activities integrating inter-generational work. When governance in a community is strengthened and conservation seeds are planted, it will bear fruits; the organized community will begin to claim their rights and face illegal actions (CI-Peru, 2016).

Performing activities led by women, such as the *Bosque de las Nuwas*, encourages gender equity demonstrating the innate capacities of women to lead the conservation of their own forest. Women participants feel valued and feel that they contribute not only to forest care but also to the recovery of ancestral knowledge. These experiences show how REDD+ benefits can be distributed even in issues of ancestral knowledge recovery.

Regarding the need to optimize benefit sharing according to efficiency, effectiveness and equity (IUCN, 2015), action-research on *Equity and REDD+* showed that the many laws and policies related to REDD+ in Peru (and more broadly to forests and climate change) include the dimensions and principles of equity, becoming necessary to identify specific tools to support its effective implementation. The three dimensions of equity: recognition, process and costs and benefit sharing, are crucial and interdependent issues to maximize environmental, social and economic impacts of REDD+ strategies. Success of REDD+ projects and programmes is largely the result of successful initiatives promoting equity; they must consider the entire process of sustainable management, conservation and/or forest restoration and the diversity of stakeholders. Equitable costs and benefit sharing of REDD+ is based on the recognition of who should be involved in developing good governance procedures (Quesada *et al*., 2017).

4.2.5. Transcending the impacts of mitigation with multiple benefits

Conservation, yes;
and also food security, health and education...

Erlinda Sejekam, President of the Shampuyacu Women

Multiple benefits mean different things to different stakeholders (monetary or non-monetary, direct or indirect, carbon or non-carbon), but all stakeholders appreciate multiple benefits above and beyond reducing emission and its corresponding cash payments. To encourage stakeholders' participation, projects of REDD+ and communities must identify the set of benefits that can be used to encourage stakeholders to leverage these multiple benefits, for instance: combining and linking short and long-term benefits and the identification and mapping of multiple benefits within the different land uses (IUCN, 2015).

Activities in Shampuyacu are already generating non-monetary benefits and are expected to generate economic profits in the long term including better coffee yields. They also serve several purposes regarding climate change and biodiversity:

- They contribute to mitigation ([31]) by reducing deforestation (BRC) and by increasing forest cover and carbon stocks with restoration activities and agroforestry systems. They also contribute to the development of REDD+ at the national level for the tools used, generated experiences creating a guide of the many activities that promote deforestation, and they contribute to learning how to implement REDD+ in practice.

- They contribute to adaptation to climate change ([32]) by reducing community vulnerability to extreme climate events due to more resilient ecosystems with green-grey infrastructure and greater adaptive capacities. They also reduce the risk of flood disasters due to river floods that affected agricultural activities in past years.

- They contribute to restoring biodiversity by increasing forest cover with a variety of timber, fruit and medicinal species; by enriching women's forest with more than 100 medicinal varieties, 44 native species in riparian restoration and 26 species in agroforestry plots. Recovery of ancestral knowledge played an important role enabling to recover a greater diversity of species of medicinal plants.

(31) Aligned with the specific objective of mitigation of the ENBCC: "Reducing GHG emissions from land use and land use change (LULUCF) in an economically competitive, sustainable, equitable and inclusive way, so it contributes to the national development improving population's welfare and contributing to global efforts on mitigation against climate change".

(32) Aligned with the specific aim of adaptation of the ENBCC: "Reduce vulnerability of forest landscape and the population depending on these ecosystems, especially indigenous peoples and farmers, against climate change, improving their resilience and taking into account their traditional knowledge."

Among the mechanisms to enhance the multiple benefits, the community Life Plan is as a useful tool for local development, to incorporate elements for environmental management and strategies and actions for mitigation and adaptation to climate change. Several of these activities resulted in learning for benefit sharing; for example in riparian restoration the community suggested a rotation of family groups.

4.2.6. Key factors that ensure the sustainability and integration of the project in the country's strategies

Being respectful and having the community's predisposition of wanting to improve has been essential because without that contribution there is no success. The determination to do and learn new things is also important.

Norith López, Community Development Assistant, CI-Peru

a. Community's predisposition

My children did not learn how to climb trees but I want my grandchildren to do it.

***Nuwa* from the Shampuyacu community in relation to eradicating deforestation**

A factor that encourages sustainability is the fact that the native community is interested in improving their landscape management practices and leadership skills; part of it is because the community is informed about the whole process. Women's inclusion and their value as nexus for family integration, aside from empowering them, make them articulator axes that ensure the project's sustainability.

b. Comprehensive long-term vision and enhancing synergies

Proposed activities must fit within the future vision of the community in which activities are links of a community governance model that can be articulated with programmes created by the State (such as the TDC of the PNCB). It is also necessary to identify from the beginning the implementation costs (monetary and non-monetary) of REDD+ (including commitments and benefits), and to understand net benefits derived from each activity and stakeholder. Synergies with frameworks or (pre)existent programmes (as in the case of Peru the PNCB) can facilitate this process and reduce costs of REDD+ (IUCN, 2015), and the use of tools already tested in different contexts such as the CAs.

A community with a Life Plan already developed has better chances to access other regional and national development or conservation programmes since this plan allows them to have diversified activities (with dimensions of sustainable development, conservation and culture) and they can offer them as their strength in negotiations. However, to ensure long-term sustainability in the Shampuyacu community, the design of strategies to reverse the process of land leasing to settlers is still pending, as well as the promotion of the Life Plan to be dynamic, this means periodically being read, reviewed and updated in communal assemblies.

The fact that CI-Peru has a long-term and a landscape-scale vision of the region adds efforts aimed at sustainability. Complementarity of funds and the landscape approach are important; the contribution with counterpart funds by CI-Peru bordering 50% of the total budget for implementing actions in the community. There are many stakeholders involved (including donors and the private sector [33]) and combined efforts enhanced achievements and experiences exchanges.

c. Policy coordination with key stakeholders and institutions

Collaboration of NGOs and REDD+ is essential to generate sustainability because there are many people who are interested in forests and it contributes to mitigation from different perspectives.

George Akwah, REDD+ Programme Officer, IUCN headquarters

(33) In Peru, public-private partnerships such as the Disney Corporation with CI-Peru are an example of private sector's involvement (UICN, 2016).

Even though the project ended its actions in the community in May 2016, several activities are still implemented through the leveraging of funds by CI-Peru, partly as a result of proposals and experiences of the project or sponsored within its framework. These activities will continue under CI-Peru' supervision or under new generated partnerships. This demonstrates that this initiative is a project that 'connects' processes, activities and policies for community's transformation, and therefore, laid a sustainable basis and replicable solid models.

In addition, experiences from the joint work of the project and the government contribute to identifying the sources of the deforestation problem. Some of the solutions are combined efforts to reduce deforestation from its structural causes even with public resources.

d. Technical impact through institutional presence

The good relationship of CI-Peru as implementing partner in the region with the GORESAM is undoubtedly a factor that has ensured promising results that also aim at sustainability. Over the years it has been shown that working with the GORESAM and communities increase the political impact of the project and can catalyse processes and potentiate its continuity. The Regional Government has empowered the capacity building (also supported by this project) in processes and interactions with the National Government and communities, which sustainability was reached by sharing achievements in a dynamic and understandable way, for instance disseminating them publicly so relevant sectors and public institutions can learn from them and they could be replicated (Sandoval, *et al*., 2015).

4.2.7. Future initiatives and multiplying effect

Generating experiences through practice and having a laboratory where activities are carried out every day is important, since then you have a potential for replicability.

Karen Podvin, Programme Officer, IUCN Regional Office for South America

The activities carried out in Shampuyacu have taught us many lessons on trust and enabling conditions in the development of REDD+ benefit sharing models.

Claudio Schneider, Senior Technical Director, CI-Peru

Experiences and lessons learnt from the activities implemented at different levels have the potential to be scaled to other initiatives, as well as to other communities and future projects. For example, the women perceive that their initial goal has been accomplished in the *Bosque de las Nuwas*; they now want to expand their work and trade medicinal plants in order to get an additional income and add value to their traditional knowledge. Even the PNCB is interested in this experience, since it constitutes a significant contribution to work involving gender mainstreaming.

Although the support of CI-Peru to regional level processes with the GORESAM has been focused on safeguard measures, it has also contributed efforts to promote the institutionalization of commitments to reduce deforestation in the region. In this context, the GORESAM, in coordination with the PNCB, has recently announced its intention to join the efforts to reduce deforestation by promoting actions in favour of the Peruvian forest heritage ([34]).

REDD+ policy support projects usually have a more political approach to governance, but during the implementation in Shampuyacu the need for more field actions with a cross-cutting approach that may lead to the proposal of policies was identified. This community-based (bottom-up) approach must become the vision for future proposals. In addition, an expanded working group must be put together in order to discuss the results, assist in the dissemination and appropriation of the proposals, and strengthen decision-making at a higher technical and political level (CI-Peru, 2016).

With regard to the safeguards process, San Martín has shown great progress and potential for replicability of its achievements, which has served as both foundation and guidance on how to work on REDD+ issues. Supporting this safeguards process (as part of the project) has not only caused an impact at a regional level thanks to the support provided to the Regional government, but also at a national level, since it was a pilot project on safeguards issues for the country. The country has capitalized on the implementation of a national safeguards plan, while generating documentation and expertise, which can be shown to donors as a success story to be replicated and mainstreamed (Sandoval, *et al*., 2015).

(34) *See:* https://www.servindi.org/actualidad/11/06/2016/peru-san-Martín-se-suma-reducir-la-deforestacion


© CI-Perú / Freddy Guillén

Chapter 5

5. Conclusions

The comprehensive model of CAs with native communities that depend on the forests in Peru is an ideal tool for improving local livelihoods and increase the participants' commitment in establishing a benefit sharing scheme. Previous experiences and opportunities stemming from the work performed by CI-Peru in the area have been capitalized on, and so have the CAs as a benefit sharing mechanism.

These three years of implementation have shown that it is important to engage the community from the beginning and listen to their needs, thus raising local interest and ensuring sustainability. Pilot activities, such as restoring the riverbank vegetation, are an example of specific actions that promote the building of trust within the community and their interest in conserving their landscape.

Clarifying and validating the causes for deforestation and forest degradation in Shampuyacu (as well as in the region of San Martín) helped to prioritize the different solutions, enabled the local population to recognize their own needs and it also promoted the design of landscape management approaches based on evidence.

Creating synergies with existing government programmes (such as the PNCB) and other donors, and using tools that have already been tested in different contexts – such as the CAs – facilitate an efficient implementation of REDD+. REDD+ funds could also contribute to the fight against poverty and change the socio-economic conditions that deteriorate the forests. Consequently, it is essential to improve the livelihoods of local populations and establish transparent, participatory and equitable REDD+ benefit sharing mechanisms (IUCN, 2015).

It is necessary to define and use multiple benefits in order to encourage the involvement of local stakeholders who value a variety of benefits beyond emissions reduction and the corresponding payments. In this regard, the activities carried out in Shampuyacu fulfil several purposes related to climate change, disaster risks such as floods, and the conservation and recovery of biodiversity.

Furthermore, this experience proved that working on activities concerning conservation, restoration and sustainable management demand the strengthening of local governance in order to ensure their sustainability and legitimacy. This applies to other initiatives on forests and climate change. Based on this initiative, there is

© Andrea Quesada-Aguilar

evidence of the importance of an approach that encompasses multiple aspects: social, economic, cultural, and ecological, for REDD+ initiatives or, more broadly, for those involving forests and climate change.

This experience adds to the discussions taking place in other countries on the need for inclusive participation, from the identification and design of initiatives to their implementation and monitoring. REDD+ allows for more equitable, transparent and effective benefit sharing, since it constitutes a comprehensive application model of a RBA which involves intercultural and participatory work with indigenous peoples.

Since CAs adapt and mature according to the changing needs of the communities, they can provide valuable case studies in order to propose the design and implementation of benefit sharing mechanisms at regional, national and international levels. Reflections and lessons learnt from this project, as well as the diverse initiatives in the rest of the Alto Mayo landscape, are models put into practice and which can be adopted and promoted in other communities in the region – under the leadership of the GORESAM – in other regions and throughout the country.

Now that Peru has had several REDD+ benefit sharing experiences at the local level, the challenge is to continue systematizing lessons learnt and translate them into equitable, transparent and sustainable benefit sharing mechanisms at the national level, thus confronting the structural causes of deforestation.

© CI-Perú / Freddy Guillén

References

Angelsen, A., Brockhaus, M., Sunderlin, W.D. and Verchot, L.V. (Eds.). (2012). *Analysing REDD+: Challenges and choices.* CIFOR, Bogor, Indonesia. *An empirical analysis using household survey data.* n.p.: IUCN - GFCCP.

Berdagué, J., Ocampo, A., y Escobar, G. (2007). *Sistematización de experiencias locales de desarrollo rural.* Guía metodológica revisada y aumentada. N/d: FIDAMERICA y PREVAL. Available at: http://www.asocam.org/biblioteca/items/show/1754

Castaño, L. (2015). *Memoria del Taller de Aprendizaje del Proyecto REDD+: apoyando el diseño de esquemas para la distribución de beneficios.* Lima: UICN.

Castaño, L. (2016). *Reporte de la consultoría "Facilitación y sistematización del Taller de Reporte y Cierre del Proyecto Facilitando la distribución de beneficios para REDD+".* Lima: UICN.

CI-Peru and IUCN. (2014). *Field Trip Background Information. Peru REDD+ Benefit Sharing Field Dialogue*. Available at: http://theforestsdialogue.org/sites/default/files/alto_mayo_field_site_information_0.pdf

CI-Perú. (2013). Mapa de deforestación de la comunidad nativa Awajún Shampuyacu. Rioja: CI-Perú.

CI-Perú. (2016): *Sistematización de la experiencia de trabajo en la comunidad nativa Shampuyacu.* [Working Paper]. Lima: CI-Peru.

CONASHA. (2015). *Plan de Vida Comunidad Nativa Shampuyacu 2015-2020.* Rioja: Conservación Internacional.

Conservation Stewardship Programme (CSP). (2007). *Conservation Agreements: Model, Design and Implementation. Conservation International.* Available at:http://www.mcatoolkit.org/pdf/CI_Conservation_Agreement_Model_2007.pdf

Cordero, D., Suárez de Freitas, G., Schneider, C., and Che-Piu, H. (2014). *Country report: Considerations for REDD+ benefit sharing in Peru.* Available at: http://theforestsdialogue.org/sites/default/files/peru_country_report_bs_spanish.pdf

Ecoyungas. (2014). *Análisis de factibilidad de los Acuerdos de Conservación. Comunidad Nativa de Shampuyacu.* [Technical Document]. Rioja: CI-Peru.

Franks, P., Marting, A., and Schreckenberg, K. (2016). *From livelihoods to equity for better protected area conservation.* IIED Brief. London: IIED. Available at: http://pubs.iied.org/pdfs/17370IIED.pdf

Gaviria, A., y Sabogal, C. (2013). *Sistematización de seis experiencias de manejo forestal comunitario en la amazonía peruana.* Proyecto FAO-Finlandia/ MINAM-MINAG. Available at: http://www.fao.org/3/a-as084s.pdf

Gil, D. (2014). *Estudio de identificación de oportunidades de negocios sostenibles en las comunidades Awajún y otras comunidades locales de la cuenca del Alto Mayo, Región San Martín, 2014*. [Internal Document]. CI-Peru: Rioja.

Greiber, T. (Ed.). (2009). *Conservation with Justice. A Rights-based Approach.* Available at: https://cmsdata.iucn.org/downloads/eplp_071.pdf

IPCC. (2013). *The Physical Science Basis. Contribution of Working Group I to the Fifth Assessment Report of the Intergovernmental Panel on Climate Change.* Available at: https://www.ipcc.ch/report/ar5/wg1/

IUCN. (1998). IUCN's Gender Policy Statement. Available at: https://www.iucn.org/sites/dev/files/import/downloads/gender_policy.pdf

IUCN. (2015). How to translate REDD+ benefit sharing practice into policy. Gland: IUCN. Available at: https://www.iucn.org/content/how-translate-redd-benefit-sharing-practice-policy

IUCN and TFD. (2014). Country Options for REDD+ Benefit Sharing: *insights from a TFD initiative.* New Haven: TFD and IUCN. Available at: http://theforestsdialogue.org/sites/default/files/bs_handbook_e_final_0.pdf

MINAM. (2015). *Presentación de Perú de un Nivel de Referencia de Emisiones Forestales (NREF) para reducir las emisiones por deforestación en la Amazonía Peruana.* Available at: http://redd.unfccc.int/files/2015_submission_frel_peru_es.pdf

MINAM. (2015a). *Estrategia Nacional Ante el Cambio Climático.* Available at: http://www.minam.gob.pe/wp-content/uploads/2015/09/ENCC-FINAL-250915-web.pdf

MINAM. (2016a). *Aprueban Reglamento de la Ley de Mecanismos de Retribución por Servicios Ecosistémicos.* Available at: http://www.minam.gob.pe/notas-de-prensa/hoy-fue-aprobado-el-reglamento-de-la-ley-de-mecanismos-de-retribucion-por-servicios-ecosistemicos/

MINAM. (2016b). *Procesos REDD+ en el Perú.* Available at: http://cambioclimatico.minam.gob.pe/mitigacion-del-cc/avances-en-la-mitigacion/a-nivel-de-mecanismos-de-mitigacion/redd/contexto-nacional-e-internacional/

MINAM. (2016c). *Estrategia Nacional Sobre Bosques y Cambio Climático.* Gobierno del Perú: Lima. Available at: http://www.bosques.gob.pe/archivo/enbcc-ds-007-2016-minam.pdf

Naciones Unidas. (2006). *Preguntas frecuentes sobre el Enfoque de Derechos Humanos en la cooperación para el desarrollo: Oficina del Alto Comisionado de las Naciones Unidas para los Derechos Humanos.* Nueva York y Ginebra: Naciones Unidas. Available at: http://www.ohchr.org/Documents/Publications/FAQsp.pdf.

Pascual, U., Phelps, J., Garmendia, E., Brown, K., Corbera, E., Martin, A., Gomez-Baggethun, E. and Muradian, R. (2014). *Social equity matters in payments for ecosystem services.* Bioscience: 64 (11): 1027-1036. https://doi.org/10.1093/biosci/biu146 Available at: https://academic.oup.com/bioscience/article/64/11/1027/2754206/Social-Equity-Matters-in-Payments-for-Ecosystem

Podvin, K. (2014). *Ayuda Memoria Taller: Siguientes pasos para definir los Acuerdos de Conservación para Shampuyacu.* Lima: UICN, CI-Perú y AIDER.

Quesada, A., Podvin, K., Sandoval, M., y Franks., P. (2017). *Informe de resultados de la investigación-acción Equidad y REDD+ en Perú En el marco del Proyecto "Facilitando la distribución de beneficios para REDD+"*. Quito y Lima: UICN.

Quesada-Aguilar, A. and P. Franks (2015). *Applying three dimensions of equity to REDD+.* Brief Paper IIED. London: IIED. Available at: http://pubs.iied.org/pdfs/17321IIED.pdf

Rizivi, A., Barrow, E., Zapata, F., Cordero, D., Podvin, K., Kutegeka, S. Gafabusa, R., Khanal, R., and Adhikari, A. (2014). *Ecosystem based Adaptation: Building on No Regret Adaptation Measures.* [Technical Document]. Available at: http://cmsdata.iucn.org/downloads/iucn_eba_technical_paper_no_regret_actions_lima_cop_20.pdf.

Sandoval, M., Porras P. y Schneider, C. (2015). *Avances en el Desarrollo de salvaguardas para REDD+ en la región de San Martín.* Available at: http://www.conservation.org/global/peru/publicaciones/Documents/Libro_memoria_Salvaguardas_final.pdf.

Shepherd, G. and Cabrera, S. (2014). *REDD+ Benefit Sharing Project: Understanding the implications of forest Dependence for REDD+: A case study from the Shampuyacu native community of the San Martin region in Peru*. Gland: IUCN.

Springer, J, Campese, J. and Painter, M. (2011). *Conservation and Human Rights: Key Issues and Contexts. Scoping Paper for the Conservation Initiative on Human Rights.* Washington DC: Conservation Initiative on Human Rights. Available at: https://cmsdata.iucn.org/downloads/scoping_paper__final_22_jan_1_.pdf

Turriate, K. (2014). *Análisis de la situación legal e institucional de REDD+ en el Perú.* Consultoría para CI-Perú. 51. [Internal Document]. Lima: CI-Peru.

The World Bank. (2004). *Sustaining forests. A development strategy.* https://doi.org/10.1596/0-8213-5755-7. Available at: http://theredddesk.org/sites/default/files/resources/pdf/2012/sustainingforests.pdf

UICN. (2009). *REDD+ y la distribución de los beneficios: Experiencias en la conservación de bosques y el manejo de recursos en otros sectores. Available at:* https://www.iucn.org/sites/dev/files/content/documents/iucn_redd_benefit_sharing_spanish.pdf

UICN. (2015). *El enfoque de equidad: factor crucial en las estrategias REDD+.* Quito: UICN. Available at: https://www.iucn.org/node/18318.

UICN. (2014). Equidad social. Quito: UICN. Available at: http://www.portalces.org/biblioteca/equidad-social

UICN. (2016). *Reporte anual 2015.* Disponible en: https://portals.iucn.org/library/sites/library/files/documents/2016-027-Es.pdf

UNFCCC. (2011). Decision 1/CP.16, paragraph 2 of Appendix I of the UNFCCC.

Westerberg, V. (2014). *Informing the design of efficient and equitable REDD+ benefit sharing mechanisms within the native Shampuyacu community in the San Martín region of Peru.* Gland: IUCN.

Whyte, W. (Ed). (1991). *Participatory action research.* Newburry, London and New Delhi: Sage publication Inc. https://doi.org/10.4135/9781412985383. Available at: http://www.upv.es/i.grup/repositorio/White%201991%20participatory%20action%20research.pdf


© CI-Perú / Freddy Guillén

Annexes

Annex 1. Summary of the systematization methodology [35]

The specific objectives of the construction of the document (CI-Peru, 2016) included the systematization of:

- The project process, with emphasis on the main experiences developed and making visible the factors that facilitated the achievement of results and the difficulties encountered and / or faced during their development, as well as the strategies used to deal with them;
- The main challenges, problems or constraints during project implementation and how they were addressed, and
- The lessons learnt from project implementation.

The systematization was based on a participative methodology of three phases of analysis: the initial situation, the current situation (or at the end of the project) and the experience's process. It also considered how the context influenced the execution, in order to understand what was learnt from the project (Figure A).

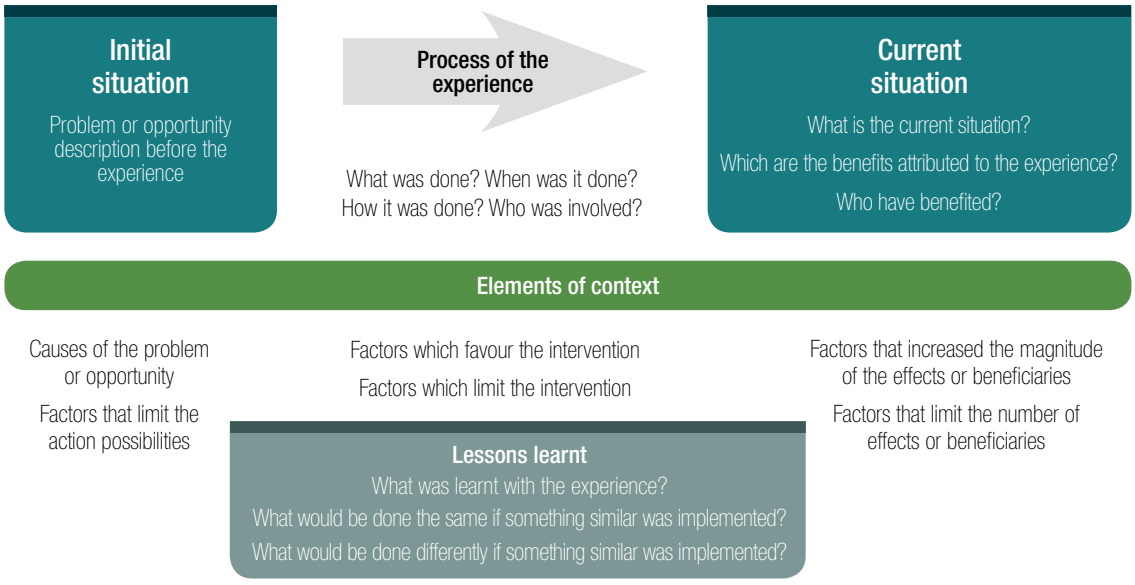


Figure A. Model for the systematization of the project experiences.

Source: Fidamerica y Preval (2007).

(35) *See* chapter 1.3.1 of CI-Peru (2016).

In addition, based on Gaviria and Sabogal (2013), the following axes of analysis and systematization elements were taken into account:

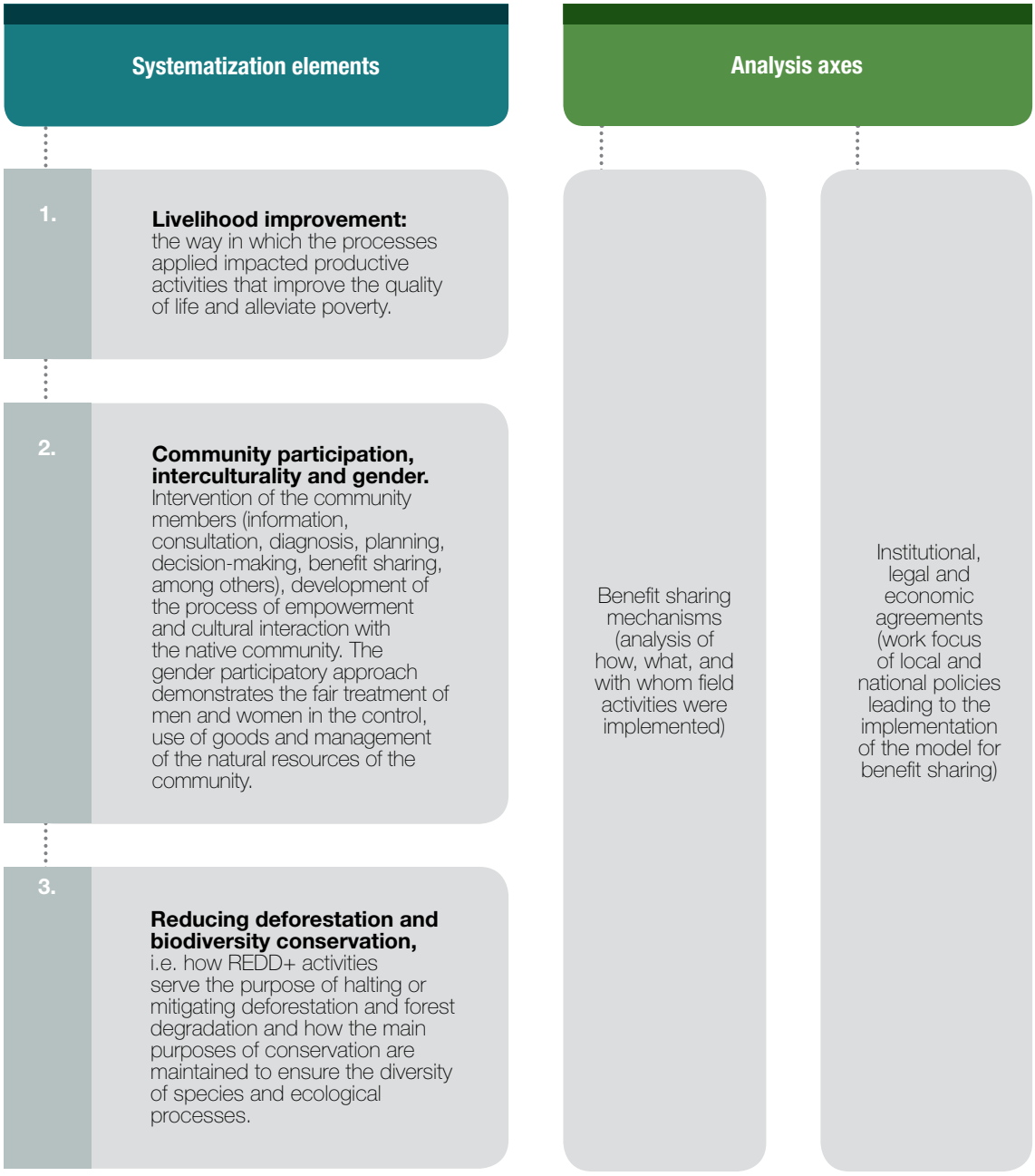


Figure B. Analysis axes and elements of the systematization.

Source: adapted from Gaviria y Sabogal (2013).

The work phases developed during the systematization process were:

- **Phase 1.** Identification of stakeholders involved in the project.
- **Phase 2.** Information compilation on the initial situation, problems, causes, opportunities, etc.
- **Phase 3.** Analysis of the intervention process, activities carried out, times, resources, factors, etc.
- **Phase 4.** Analysis of the final situation, results in relation to the initial situation, drawbacks, benefit sharing, impacts, etc.
- **Phase 5.** Lessons learnt and guidelines for improvement in decision-making among others.

The activities that accompanied the systematization phases were:

- Planning and coordination meetings.
- People contacted through visits, telephone, Skype and email.
- Bibliographic and documentary request for revision.
- Field visit to the native community to interview the direct stakeholders, and observation.
- Field visit to regional and national stakeholders.

The identification of stakeholders was carried out with the project implementers. Table A summarizes the groups identified by type and the intervention model used with each one. Table B, on the other hand, shows the direct contacts established during the application of the questionnaire and interviews.

Table A. Project stakeholders and intervention format for systematization.

Type	Implementers	Direct beneficiaries	Indirect beneficiaries
Stakeholder	IUCN CI-Peru AIDER	Shampuyacu native community GORESAM - ARA MINAM - PNCB	Indigenous federation GORESAM - ORDEPISAM
Intervention format	1. Structured questionnaire 2. In-depth interview to people in charge	1. Field visit 2. Structured questionnaire 3. In-depth interviews to leaders and specialists	1. Guided interviews

Source: CI-Peru (2016)

Table B. Project stakeholders identified for the systematization.

Implementers	CI-Peru staff in the field	Shampuyacu native community	Authorities	
			GORESAM - ARA and ORDEPISAM	MINAM - PNCB
IUCN AIDER CI-Peru	Ecosystem service coordinator Sustainable development coordinator Community development assistant	*Pamuk* (chief) Leaders Women Coffee production beneficiaries	Environmental management director Safeguards support staff Indigenous specialist	PNCB coordinator in San Martín

Source: CI-Peru (2016)

Annex 2. Logical framework of the *Facilitating REDD+ benefit sharing* project.

Outcome (overarching project goal): Early REDD+ actions are enabled by appropriate, efficient and equitable benefit-sharing mechanisms that are sufficiently robust to be mainstreamed into long-term national and international REDD+ frameworks.	
Outcome Indicators:	
1. Livelihoods of forest dependent people in the pilots have strengthened, or at least have not been negatively affected, by the implementation of REDD+ activities proposed under the project.	
2. Number of local community beneficiaries of the REDD+ benefit sharing mechanism in each pilot.	
3. Payments for REDD+ activities result in reduction of deforestation and forest degradation.	
Output 1. Efficient and equitable benefit-sharing mechanisms for performance-based REDD+ "proxy" actions, consistent with national REDD+ strategies, are piloted and assessed in Peru, Ghana and Mexico.	
Indicators	**Activities**
1.1. Each pilot has a list of REDD+ activities that tackle drivers of deforestation and forest degradation, and a set of proxy indicators agreed as result of participatory and negotiation processes.	**1.1.1.** Engagement of local actors at the pilot with the activities of the project.
	1.1.2. Identification and agreement of REDD+ pilot activities that directly tackle deforestation and/or forest degradation.
	1.1.3. Development of the methodology to define proxy REDD+ activities in the pilots.
	1.1.4. Application of methodology at pilot level to identify, negotiate and agree on proxy indicators between local stakeholders, partners and government representatives.
	1.1.5. Undertake socioeconomic assessments using the Forest Poverty toolkit (FPT) and other socioeconomic methods to support preparation of baselines and analysis of drivers of deforestation.
1.2. Each pilot has a benefit sharing proposal built and agreed in a participatory manner, that reflects the principles of FPIC, and the proposal is considered within the portfolio of payment mechanisms at each REDD+ National or Regional Strategy.	**1.2.1.** Establishment of the Advisory Global Group and National Advisory Committees prepare work-plans and define operational and coordination procedures.
	1.2.2. Conduct analytical and comparative studies about country experiences on Payment for Environmental Services (PES), benefit sharing and other economic incentives on the forest sector or in general other natural resource management area.
	1.2.3. Conduct an analytical study in each country to assess existing "pro-poor" gaps and constraints of existing benefit sharing mechanisms or PES within the forest sector.

	1.2.4. Build proposals of benefit sharing mechanisms for each pilot.
	1.2.5. Organize bottom-up processes around the definition and validation of benefit sharing mechanism proposals in each pilot.
1.3. Fair and transparent payments based on progress measured over REDD+ proxy indicators include women, indigenous peoples and forest dependent communities at each pilot.	**1.3.1.** Support communities at the pilots to build, implement and monitor management plans for the implementation of REDD+ (proxy) activities.
	1.3.2. Define and agree on the structure of payments to test performance-based benefit sharing mechanism in each of the pilots.
	1.3.3. Build a monitor system for the benefit sharing mechanism in each pilot.
	1.3.4. Support process for including environmental and social safeguards around the implementation of REDD+ activities in the pilot.
	1.3.5. Support the inclusion of proxy indicators developed in project pilot sites into the national MRV systems through identification of synergies and linkages.
Output 2. Specific economic, policy and institutional arrangements required to facilitate equitable and efficient delivery of performance-based payments for REDD+ activities are identified and promoted in Peru, Mexico and Ghana.	
Indicators	**Activities**
2.1. Country-specific analytical reports on legal and institutional frameworks of existing experiences of benefit sharing mechanisms and PES within the forest sector highlighting opportunities and lessons learned for the project	**2.1.1.** Carry out analytical and comparative studies of national / local policy, legal and institutional frameworks, including the opportunity costs of various PES (and carbon) options, to better understand the opportunities and needs around PES and the benefit sharing proposal of the project in each pilot.
	2.1.2. Undertake participatory identification of PES (including carbon) options and assessment of their costs, benefits and risks for communities and households to support definition of benefits and benefit sharing arrangements for pilots.
2.2. Proposals (one per country) for changes, improvements or extension on existing legal and institutional frameworks presented to and negotiated with local and national authorities for the implementation of the benefit sharing proposals.	**2.2.1.** Support and facilitate the preparation, validation and implementation of Actions Plans per pilot to carry out the revision of the legal and institutional frameworks for the adequate implementation of the agreed REDD+ benefit sharing mechanism.
	2.2.2. Support drafting and negotiation of proposals for legal frameworks for the implementation of pro-poor benefit sharing mechanisms on the pilots.

	2.2.3. Support national consultation processes towards securing clarity in land, tree and carbon tenure and rights (including Access and Benefit Sharing) facilitated through collaboration with local partners.
2.3. Institutional arrangements and monitoring processes in each pilot for the management of the funds for REDD+ benefit sharing agreed and in place.	**2.3.1.** Support the definition and negotiation of institutional arrangement for management of fund and operationalization of the REDD+ BS mechanism in each of the pilots.
	2.3.2. Support the development and implementing of external review processes and reporting and accounting procedures for checks and balances to ensure that the benefit sharing schemes are transparently and equitably managed.
Output 3. Lessons learnt about the design and implementation of pro-poor REDD-Plus benefit-sharing mechanisms are promoted by innovative and dynamic multi-stakeholder communities of practice that enhance south-south collaboration and support the work of international initiatives aligned with the REDD+ Partnership.	
Indicators	**Activities**
3.1. Four International multi-stakeholder dialogues to share experiences on benefit sharing mechanisms for REDD+ organized in REDD+ countries.	**3.1.1.** Produce a scoping paper on pro-poor benefit sharing mechanisms that will serve as a background document for multi-stakeholder dialogues around designing of pro-poor benefit sharing frameworks.
	3.1.2. Organize four international and multi-stakeholder dialogues.
	3.1.3. Produce four "Background Documents" and four "Country Reports".
3.2. Knowledge management and communication objectives, tools and products agreed for the project.	**3.2.1.** Define tools and processes to collect information and knowledge produced at pilot.
	3.2.2. Identify mechanisms to feed national processes in preparation of REDD+ national strategies, the international stream of dialogues and other formal and informal national, regional and international forums with learning from the pilots.
	3.2.3. Identify and organize events around UNFCCC negotiations and other international platforms like REDD+ Partnership to present the results of the project.
	3.2.4. A set of publications presenting the tools and methodologies developed by the project, the lessons on the design of benefit sharing mechanisms for REDD+ and on the use of proxies for payment based on performance and the main conclusions from the International Dialogues.

3.3. Member of forest communities, local / national authorities and members of the civil society including the private sector have received training allowing their active participation on consultation processes supported by the project.	**3.3.1.** Build capacities, raise awareness and train local actors on forest and climate change, REDD+ and pro-poor approaches for REDD+ as a base for ensuring free and prior informed consent of local actors in decision-making and negotiation processes promoted by the project.
	3.3.2. Capacity needs assessment for the implementation of REDD+ activities and management of the seed-fund.
	3.3.3. Identify national and local knowledge gaps and develop a strategy to design and produce specific targeted knowledge products.

International Union for Conservation of Nature
Regional Office for South America

Av. República del Salvador N34-127 y Suiza
Quito - Ecuador

Tel: 593 2 3330 684 I Fax: 593 3331668

www.iucn.org/sur