Engaging Local Stakeholders: REDD+ in Peru

Summary Document
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A translated and abridged version of:
Una Aproximación a la Participación Plena y Efectiva en las Iniciativas REDD+ en el Perú (An Approach to Full and Effective Participation in REDD+ Initiatives in Peru). Lima, May 2012

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Regina Harlig
## ACRONYMS

<table>
<thead>
<tr>
<th>Acronym</th>
<th>Description</th>
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<tbody>
<tr>
<td>ACP</td>
<td>Área de Conservación Privada</td>
</tr>
<tr>
<td>ANP</td>
<td>Área Natural Protegida</td>
</tr>
<tr>
<td>AIDER</td>
<td>Asociación para la Investigación y el Desarrollo Integral</td>
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<tr>
<td>AIDESEP</td>
<td>Asociación Interétnica de Desarrollo de la Selva Peruana</td>
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<td>AMPA</td>
<td>Amazónicos por la Amazonía</td>
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<tr>
<td>ARA</td>
<td>Autoridad Regional de Ambiente</td>
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<tr>
<td>BPAM</td>
<td>Bosque de Protección Alto Mayo</td>
</tr>
<tr>
<td>CAR</td>
<td>Comisión de Ambiente Regional</td>
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<tr>
<td>CCAH</td>
<td>Concession de Conservación Alto Huayabamba</td>
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<tr>
<td>CCBA</td>
<td>Climate, Community and Biodiversity Alliance</td>
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<tr>
<td>CCCC</td>
<td>Comunidades Campesinas</td>
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<tr>
<td>CCNN</td>
<td>Comunidades Nativas</td>
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<tr>
<td>CI</td>
<td>Conservation International</td>
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<tr>
<td>CIMA</td>
<td>Centro de Conservación, Investigación y Manejo de Áreas Naturales</td>
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<tr>
<td>UNFCCC</td>
<td>United Nations Framework Convention on Climate Change</td>
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<td>CNI</td>
<td>Comunidad Nativo Infierno</td>
</tr>
<tr>
<td>CONAP</td>
<td>Confederación de Naciones Amazónicas de Peru</td>
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<tr>
<td>COP</td>
<td>Conference of the Parties to the UNFCCC</td>
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<tr>
<td>DIE</td>
<td>Deutsche Institut für Entwicklungspolitik</td>
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<tr>
<td>FCPF</td>
<td>Forest Carbon Partnership Facility</td>
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<tr>
<td>FIP</td>
<td>Forest Investment Programme</td>
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<tr>
<td>Abbreviation</td>
<td>Full Form</td>
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<tr>
<td>GIZ</td>
<td>Deutschen Gesellschaft für Internationale Zusammenarbeit (German International Cooperation Agency)</td>
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<tr>
<td>ICAM</td>
<td>Iniciativa de Conservación Alto Mayo</td>
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<tr>
<td>ILO</td>
<td>International Labor Organization</td>
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<tr>
<td>KiW</td>
<td>Kreditanstalt für Wiederaufbau (German Development Bank)</td>
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<tr>
<td>NGO</td>
<td>Non-Governmental Organization</td>
</tr>
<tr>
<td>MRV</td>
<td>Monitoring, Reporting and Verification</td>
</tr>
<tr>
<td>PNCAZ</td>
<td>Parque Nacional Cordillera Azul</td>
</tr>
<tr>
<td>REDD+</td>
<td>Reduction of Emissions from Deforestation and Degradation</td>
</tr>
<tr>
<td>R-PIN</td>
<td>Readiness Plan Idea Notes</td>
</tr>
<tr>
<td>R-PP</td>
<td>Readiness Preparation Proposal</td>
</tr>
<tr>
<td>RRNN</td>
<td>Recursos Naturales (Natural Resources)</td>
</tr>
<tr>
<td>SEA</td>
<td>First step of the CI methodology: Stakeholder engagement analysis</td>
</tr>
<tr>
<td>SEM</td>
<td>Third step of the CI methodology: Measure and monitor the effectiveness of the stakeholder engagement action plan.</td>
</tr>
<tr>
<td>SEP</td>
<td>Second step of the CI methodology: Stakeholder engagement practices</td>
</tr>
<tr>
<td>SERNANP</td>
<td>Protected Areas National Service</td>
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<tr>
<td>UN-REDD</td>
<td>United Nations Collaborative Programme on Reducing Emissions from Deforestation and Forest Degradation in Developing Countries</td>
</tr>
<tr>
<td>VCS</td>
<td>Verified Carbon Standard</td>
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<tr>
<td>WWF</td>
<td>World Wildlife Fund</td>
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</table>
Peru is among the top ten mega-diverse countries on the planet. At the same time, it has the fourth fastest deforestation rate in Latin America. The primary cause of deforestation and source of GHG emissions in Peru is the loss of forest to the clearing of land for agricultural purposes. REDD+ is an important emerging mechanism for addressing deforestation and creating sustainable forest management, but the process can only be effective if it is inclusive of all relevant stakeholders and not solely a top-down endeavor.

While in recent years much progress has been made to ensure participation of key stakeholders at the local, sub-national and national levels in REDD+ readiness, it is now more important than ever to continue to foster collaborative spaces and especially to empower local stakeholders in decision-making and create ownership. Engaging stakeholders who are traditionally at the margins of decision-making is critical to maximizing the social and environmental co-benefits and in addressing deforestation, forest degradation and the role of managing forest carbon stocks.

This document is a summary and translation of the original study in Spanish: *Una Aproximación a la Participación Plena y Efectiva en las Iniciativas REDD+ en el Perú* (An Approach to Full and Effective Participation in REDD+ Initiatives in Peru), carried out by Conservation International and released in May, 2012. This summary presents the results of a REDD+ stakeholder engagement process that took place at three levels of decision-making: local, regional (sub-national) and national. In addition to a literature review and consultations with experts, information used in this study was collected through interviews, workshops and working groups. The full spectrum of stakeholders was surveyed, as well as the land use areas where REDD+ early initiatives were surveyed.

The original study is structured in the following way:

Section 1 presents the objectives of the study, its importance, a summary of the status and progress of REDD+ in Peru and the methodology used. Section 2 presents the main findings on stakeholder engagement at the project, regional and local levels. Section 3 presents guidelines to strengthen local stakeholder engagement based on input from key stakeholders interviewed during the process. Finally, Section 4 concludes by describing recommendations that will allow for the full and effective participation of all relevant stakeholders in the REDD+ process at various levels. This summary document is a synthesis of these four elements.
Peru has made significant progress and in many ways is a front runner in the design and implementation of REDD+ actions and strategies. For instance, Peru has been a participant of the Forest Carbon Partnership Facility (FCPF) since 2008 and its Readiness Preparation Proposal (R-PP) was originally approved in 2011 (updated through 2013). However, such progress needs to be further standardized and written into regional and local policy. While there are multiple dialogue platforms for participation in this process, the engagement of all relevant stakeholders, particularly local ones, remains limited. In order to improve participation, it is critical to employ inclusive dialogue at the local level.

In 2008 at the 14th Session of the Conference of the Parties in Poznan, Poland, Peru made a voluntary commitment to reducing its net deforestation to zero. In 2010, to put this commitment in place throughout the next decade, the Ministry of Environment created the Programa Nacional de Conservación de Bosques para la Mitigación del Cambio Climático (PNCB). Since 2011, Peru has been in the design and preparation phase of its REDD+ National Strategy. The FCPF selected Peru as a partner country to demonstrate how REDD+ can be applied at the country level and generate lessons learned. As a result, Peru has developed its Readiness Preparation Proposal (R-PP) for REDD+, submitting its first draft to the FCPF in April of 2010 and completing an updated version as recently as February, 2014.

The R-PP describes the actions Peru will undertake in terms of developing financing sources, setting important deadlines and designing a strategy for implementation. The funds available from the FCPF are often complemented with funds from the Forest Investment Program (FIP). The Peruvian REDD+ Readiness process has been designed and funded through the Moore Foundation and the German Development Bank, KfW. This process includes the design of stakeholder engagement, consultation activities, monitoring, reporting and verification (MRV) and the development of Reference Levels and Reference Emission Levels.

At the national level, there is a ministerial resolution to create and regulate a REDD+ National Project Registry; however the registry has yet to be completed and remains under discussion in the Ministry of Environment.

By February, 2011 there were 80 projects under implementation, whether through civil society groups or by the government (Che Piu & García, 2011). These projects are at different stages of design and implementation. According to the results of our interviews, 43 percent of these projects are being implemented in territories where the local population has tenure over the project area or depend on the forest in the project area. The remaining 57 percent are located on land that has other tenure categories. Most of these projects make use of the standards from voluntary schemes such as the Climate, Community and Biodiversity Alliance (CCBA) and Voluntary Carbon Standards (VCS).

Civil society has contributed to REDD+ Readiness through Grupo REDD+ Peru, a group of civil society, public and private organizations who have a stake in the issue. The effort to prepare and establish REDD+ in Peru is made up of more than 40 organizations from all sectors. Together, these groups have contributed to the development of the R-PP and have promoted REDD+ roundtables in different regions, such as San Martín, Cusco, Madre de Dios, Loreto and Ucayali.

National indigenous organizations such as the “Asociación Interétnica de Descublemento de la Selva Peruana (AIDESEP)” and “Federaciones y Comunidades Nativas de la Amazonía Peruana (FCNAP)” have presented their positions on REDD+. The “REDD+ Indígena” group has come forth with a proposal demanding respect for their cultural perspective and for traditional forest management systems.
2. THE WAY FORWARD

This report identifies seven ways to more effectively advance stakeholder engagement on REDD+ in Peru. This is a synopsis of points described in more detail in Section 4.

1. Map the range of local stakeholders in the preparation process as well as the roles, rights, responsibilities and capabilities of each one.

2. Overcome barriers to inclusion of local stakeholders in national and regional decision-making by recognizing the rights of forest-dependent communities and creating empowerment.

3. REDD+ action must cross sectors between civil society, public and private sectors.

4. Improve communication and outreach for hard-to-reach but important stakeholders.

5. Go beyond REDD+ roundtables to utilize other available platforms for dialogue.

6. Design REDD+ strategies which facilitate family-level involvement.

7. Measure participation in concrete terms: human resource hours and monetary investment.
A high degree of consideration for social and environmental safeguards is required in the REDD+ process, but this requires extensive planning. This study analyzed the degree of planning that will be required to implement a REDD+ process inclusive of all stakeholders in Peru. The project’s objectives:

» Survey the spectrum of stakeholders,
» Analyze the way in which local stakeholders are engaging in REDD+,
» Guide the stakeholder engagement process with simple and reliable criteria,
» Strengthen the engagement process and capacity of multiple stakeholders and build on the need for free, prior and informed consultation in decision-making.

This study was based on three research questions which drove documentation and analysis while defining the methodology.

1. How do project developers as well as regional and national governments incorporate local stakeholders in REDD+ activities?
2. How do local stakeholders contribute to REDD+ activities?
3. What is the impact of local stakeholder engagement on the design and implementation of REDD+?

The methodology to address such questions is based on a standard approach developed by Conservation International in order to contribute to the process of stakeholder engagement in REDD+ and other international cooperation efforts on conservation. Three phases allow for analysis of the relevant actors, define a concrete plan and monitor that plan over time.

Figure 1. The three phases of Conservation International’s methodology for the evaluation of the stakeholder engagement in the REDD+

Step one in the process is concerned with assessing the status of stakeholder engagement in REDD+ throughout the country, step two with the definition of a concrete action plan and best practices for increasing and improving stakeholder engagement and step three—the ongoing monitoring and improvement of stakeholder engagement.4

INTERVIEWED ACTORS BY LEVEL:

» 21 national
» 32 regional (12 San Martin and 20 Madre de Dios)
» 32 projects (16 projects in 2 regions)

THE STEERING COMMITTEE:

» Included 22 people involved in REDD+ actions
» Included public sector representatives, civil society, development agencies and private sector at the national, regional and local level
» A space to reflect on key aspects and the validate information

4This is a brief description of a methodological framework on stakeholder engagement assessment which can be found here.
Three levels of decision-making were taken into consideration with regard to how each is impacting local stakeholder engagement in REDD+:

» **National**—Local stakeholder engagement was analyzed within the R-PP readiness process.

» **Sub-national (regional)**—Local stakeholder engagement was analyzed with regard to the REDD+ regional roundtables in Madre de Dios and San Martin.

» **Project**—Local stakeholder engagement was analyzed through the six REDD+ projects implemented in Madre de Dios and San Martin.

In the summary which follows, it will become clear that different degrees of progress have been made different levels. It is also important to highlight that projects are implemented in a range of land use or land tenure categories: (1) protected areas, (2) conservation concessions, (3) ecotourism concessions and (4) indigenous communities.

The sequence taken in research is detailed in Figure 2. The numbers represent steps in the process.

The first step in the research process was to survey the state of stakeholder engagement at the international, national, regional and project levels. This allowed for the definition of the conceptual framework and subsequent analysis and recommendations.

The next step is participatory analysis, promoting dialogue and exchange of knowledge in order to verify initial findings. As a part of the participatory analysis, a steering committee was formed with the following functions: (1) analysis and interpretation of the compiled information, (2) categorization of stakeholders and their relationships, (3) identification of gaps and (4) recommendations for moving forward.

![Figure 2. The research process](image_url)
Figures 3 and 4 show the total number of stakeholders interviewed by level and type of organization.

Topics addressed during these interviews included:

» **Representation** of local stakeholders in regional and national REDD+ process and in the design and implementation of projects

» **Consultation** (free, prior and informed consultation)

» **Dissemination and communication** of relevant information

» Capacity building for local stakeholders

» **Adoption** of regional and national REDD+ processes by local stakeholders

» Consideration of **cultural factors and traditional governance** at the regional and national levels

» Planning for the **distribution of benefits**

Such a wide range of actors at different levels of decision-making makes this research a complex process. The stakeholder engagement assessment methodology, from initial survey, to action plan, to measuring and monitoring, represents a permanent and participatory process taking place at the national, sub-national and project levels.
REDD+ Readiness needs to take place in coordinated ways at the national, regional and project levels. At the national level, decision-making bodies can both lead and learn from their constituents; in the regions examined by this study, Madre de Dios and in San Martín, readiness is taking place in dialogue spaces such as roundtables and public forums; and REDD+ at the local level means involvement and shared benefits reach all the way to the household level.

1. NATIONAL LEVEL

A. Readiness Preparation Proposals

The preparation process for REDD+ under the World Bank’s FCPF consists of four phases (Figure 5), the first of them being the elaboration of the Readiness Plan Idea Notes (R-PINs) and the Readiness Preparation Proposals (R-PPs). The R-PP at the national level represents the first effort made by a country to assess the status of its REDD+ preparedness and define starting points.

The formulation of the R-PP in Peru took place in a collaborative way between public and civil society organizations culminating in the submission of the first draft to the FCPF in April, 2010. The development of the R-PP represents a roadmap for the country’s REDD+ strategy, which is Phase 2 in the process (See Figure 5). The R-PP also describes the actions Peru will undertake and the funding sources needed to carry out activities in the first two phases. For example, funds from the World Bank for the R-PP and matching funds from the FIP.
During the course of this study, between 2010 and 2011, the degree of local stakeholder engagement in the R-PP in Peru was analyzed, taking into account civil society and government involvement in the process.

During the preparation of the R-PP, a series of important elements related to stakeholder engagement were identified including some positive advancements as well as barriers requiring improvement (Table 1).

**Table 1. Advancements & barriers to stakeholder engagement**

<table>
<thead>
<tr>
<th>ADVANCEMENTS</th>
<th>BARRIERS</th>
</tr>
</thead>
<tbody>
<tr>
<td>» A range of different organizations have shared experiences and learned about each other’s visions for REDD+</td>
<td>» The discussion surrounding REDD+ needs to move beyond the environmental sector whose emphasis is: climate change, the valorization of environmental services and the strengthening of forest governance in the country</td>
</tr>
<tr>
<td>» REDD+ is now on the agenda for various groups</td>
<td>» Not all stakeholders are informed or have access to the international discourse on REDD+</td>
</tr>
<tr>
<td>» REDD+ is now commonly recognized as a mechanism to achieve inter-sectoral goals</td>
<td>» All relevant stakeholders need to recognize how market fluctuations will affect the decision-making at different levels</td>
</tr>
<tr>
<td>» Regional discussion forums such as roundtables have been created</td>
<td>» A lack of clarity at the national policy level makes the processes of local and regional engagement more challenging</td>
</tr>
<tr>
<td>» There is a high degree of interest in building national capacity to support already established projects</td>
<td>» Capacity building at the Ministry of Environment is needed</td>
</tr>
</tbody>
</table>

**Figure 5. The REDD+ process in Peru**

*Source: R-PP 2012 (R-PP reviewing process)*

**PHASE 1: READINESS (PREPARATION)**

**PHASE 2: DESIGN OF THE REDD+ NATIONAL STRATEGY**

**PHASE 3: IMPLEMENTATION OF REDD+**

**PHASE 4: CONSOLIDATION OF REDD+**

2011 2014 2021
B. Representation & engagement of local stakeholders in the drafting of the R-PP

The Ministry of the Environment of Peru is leading the R-PP drafting process and has made great effort to include local stakeholders, which is a milestone in the openness of the government to include civil society and the private sector. Still, some key stakeholders were not present in the discussions and preparation process.

As part of the preparation process several events were organized by the Ministry in order to engage local stakeholders. These activities were workshops designed to promote a flow of information on REDD+ and to strengthen stakeholder capacities. Stakeholders participated across six regions of the country (See Figure 6).

Discussions during these events were based on the following general questions: (1) what needs to be taken into account in the implementation of REDD+ in Peru?, (2) what are the advantages and disadvantages of REDD+ in Peru? and (3) how to best develop the REDD+ Consultation Plan?

**Priority themes in information sharing & capacity building**

- Prioritizing tenure, property and land rights,
- Raise awareness and promote dialogue,
- Understanding of REDD+ as a complex mechanism,
- Identification of the benefits and challenges to REDD+, stakeholder engagement and empowerment being a primary challenge,
- Identification of legal gaps,
- Need to improve the representation of some local stakeholders, such as Andean communities,
- Need to identify the role, rights and responsibilities of every local stakeholder,
- Need to strengthen the bond between the national and regional governments through REDD+ roundtables and other discussion platforms,
- The installation of “Technical Secretaries” whose role would be to bridge the gap between regional and national governments, has been proposed to contribute to reducing the gap between national and regional levels.

**POLICYMAKERS**

Presidents of regional governments, natural resource and environmental management personnel from regional government, decision-makers from national and regional protected areas, directors of conservation organizations, state research institutions, local government officials.

**FOREST DWELLERS**

National indigenous federation leaders (AIDESEP y CONAP). Representatives from community-based organizations, local indigenous federation leaders, presidents of indigenous and other rural communities, leaders of forest reserve and concession areas.

**CIVIL SOCIETY**

Representatives of non-governmental organizations and universities in forest management areas.

*Figure 6. Stakeholders involved in the preparation process of the R-PP*
Free, prior, & informed consultation
In September 2011, Peru enacted a law requiring the right to free, prior and informed consultation of indigenous nations—the “Ley del Derecho a la Consulta Previa a los Pueblos Indígenas y Originarios, reconocido en el Convenio 169 de la Organización Internacional del Trabajo.” This law is currently being applied in regulation and as it becomes more commonly used, REDD+ strategies can be further defined based on lessons learned.

Consequently, any activities arising out of the planning or implementation of REDD+ must go through the process of consultation with indigenous groups to ensure that decisions made are in the interest of such groups. It is critical that the distinction between groups being informed and groups giving their consent is understood and practiced.

Public—Private Sector Engagement
At the national, regional and local levels, dialogue is taking place to promote better communication between public and private stakeholders. The Regional Environmental Commission (CAR) and the Protected Areas Management Committees (CAANP) have generated strategies and defined the management of the natural resources. Rather than creating a new specialized forum for REDD+, these already institutionalized dialogues can be strengthened to address the reduction of deforestation and REDD+.

The National REDD+ Group
The Peruvian REDD+ Roundtable became the main space of engagement for civil society in the R-PP preparation process. However, there is still a lack of clarity about the role this space would have in the implementation of REDD+ policies and activities. It is also necessary to improve representation and effective engagement in the Roundtable for forest dwellers such as indigenous peoples, rural communities and forest concessionaires.

Stages of consultation process (according to the enacted law):
The government entities responsible for the administration of this law should take the following minimum steps in the consultation process:

1. Determination of which legal and administrative measures apply to the consultation,
2. Identification of indigenous nations to be consulted,
3. Dissemination of information regarding the legal measure applicable to the consultation,
4. Evaluation of affected indigenous organizations,
5. Dialogue processes between government officials and representatives of indigenous nations,
6. Decision-making.

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Strengthening relationships at the national level:
The Ministries & other government bodies
There is a need to strengthen coordination between the environmental and forestry sectors in the preparation process of the R-PP in Peru. There is currently no formal communication process between the Ministry of the Environment and the Ministry of Agriculture—the latter being the governing body responsible for forest management. Other national level groups need strengthening, for instance, the REDD+ Technical Group which is part of the National Climate Change Commission—the group responsible for creating and monitoring the National Climate Change Strategy. The National Program for Forest Conservation could also benefit from improved communication with the World Bank’s FIP.

Engagement & consultation as described in the R-PP
Stakeholder engagement as proposed by the R-PP has an emphasis on indigenous peoples, which can have the effect of leaving aside other important local actors whose lives and livelihoods are dependent on forest ecosystems. Other forest-dependent communities such rural communities (referred to throughout as, Comunidades Campesinas—CCCC) should have equal representation in the process.

STAGES OF CONSULTATION PROCESS (ACCORDING TO THE ENACTED LAW):
The government entities responsible for the administration of this law should take the following minimum steps in the consultation process:

1. Determination of which legal and administrative measures apply to the consultation,
2. Identification of indigenous nations to be consulted,
3. Dissemination of information regarding the legal measure applicable to the consultation,
4. Evaluation of affected indigenous organizations,
5. Dialogue processes between government officials and representatives of indigenous nations,
6. Decision-making.

*This group is a formal working space created with the purpose to lead the development, engagement, consultation and implementation processes of the REDD+ strategy in Peru and it is composed by different public and private institutions. Their main task is to collaborate, in a coordinated way, in the formulation of the Readiness Preparation Phase of REDD+, in order to integrate cross-sectoral approaches and to ensure the inclusion of groups and key stakeholders, geographical regions and ecosystems. However, up to date, this group has done little or no activity.
C. Capacity building through the R-PP

For many stakeholders, the development of the R-PP meant acquiring new knowledge and involvement in an ongoing learning process. However, not all stakeholders have had an equal opportunity to be involved in learning processes.

The capacity of local stakeholders has been strengthened in the following ways: (1) involvement with the Ministry of the Environment, (2) access to information through the internet and by other means, (3) involvement with civil society organizations, (4) an initial shift of roles: from passive observers to active participants. However, despite this progress, it is still necessary to define a strategy for which local stakeholders need ongoing support and in which ways.

D. Communication & information dissemination to local stakeholders

To date there has been no clear strategy for reaching out to local stakeholders in the readiness process. There have been some isolated activities by the Ministry of the Environment and by the institutions that make up the Peruvian REDD+ Roundtable. Transparency and communication with stakeholders in the R-PP process is central to preparing Peru and its forest communities for REDD+ projects.

E. Traditional governance & the cultural context

With forest conservation as the central purpose of REDD+, the activities of this mechanism must be guided by those communities whose lives are based in forests. In fact, the success of REDD+ activities is dependent on the degree to which the traditional livelihoods of the local population are taken into consideration. With the aim of sustainable development of forest dwellers, certain safeguards should be established that favor traditional governance. AIDESEP’s “REDD+ Indígena” proposal document states that all REDD+ implementation should recognize the cultural perspectives and traditional forest management practice of the nation’s different indigenous groups.6

RECOMMENDATIONS FOR IMPROVING COMMUNICATION & INFORMATION DISSEMINATION TO LOCAL STAKEHOLDERS:

» Make use of government communications platforms such as those implemented under the new Forest and Wildlife Law, led by the Ministry of Agriculture.
» Recognize and reinforce existing communication channels within indigenous communities.
» All communication and dissemination of information must include underserved groups such as women and the elderly.
» Evaluation of affected indigenous organizations,
» Promote local research and encourage the flow of information from local actors to the regional, national and international levels. It is important to address the uncertainties that remain in the REDD+ process through communication and information dissemination.

2. REGIONAL LEVEL

The stakeholder engagement process was analyzed in Madre de Dios and San Martín within the framework of the REDD+ regional roundtables. Key information about these dialogue spaces and how they promote stakeholder engagement, is summarized in Table 2.

Table 2. REDD+ regional roundtables in San Martín & Madre de Dios

<table>
<thead>
<tr>
<th>DESCRIPTION</th>
<th>SAN MARTÍN</th>
<th>MADRE DE DIOS</th>
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<tbody>
<tr>
<td>A dialogue composed of public and private stakeholders to formulate REDD+ policies, whose main objective is the construction of the Regional Deforestation Baseline (scenario) in order to guide political decisions on forest conservation through REDD+.</td>
<td>A dialogue composed of public and private organizations promoting environmental services and reduced emissions from deforestation and forest degradation in the of Madre de Dios region.</td>
<td></td>
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<tr>
<td>LEADERSHIP</td>
<td>The San Martín REDD+ Roundtable was established by civil society groups in August, 2009. Through the Regional Environmental Authority, San Martín’s regional government took the lead. The national Ministry of the Environment is in charge of the Guiding Group of the Regional REDD+ Roundtable.</td>
<td>The Regional REDD+ Roundtable was established on December 2009 and is led by the regional government of Madre de Dios. At the end of 2010 the Roundtable began to address related environmental services in addition to REDD+.</td>
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<tr>
<td>OTHER ORGANIZATIONS</td>
<td>The Regional Roundtable is part of the Technical Roundtable of the Climate Change and REDD+ Group which is part of the regional government’s Environmental Commission. One of their activities is to elaborate the roadmap for implementing the Regional Climate Change Strategy.</td>
<td>The Madre de Dios REDD+ Roundtable is part of the region’s Climate Change Technical Commission. The dynamism of the Roundtable has been affected by the high rotation of the civil servants within the Regional Government of Madre de Dios.</td>
</tr>
</tbody>
</table>
A. Representation & participation in regional roundtables

San Martín
Participation in the REDD+ roundtable takes place on a voluntary basis. Unfortunately, to date there is limited representation of forest dwellers such as members of indigenous communities, landowners, forest timber concessionaires, or members of municipal governments.

Madre de Dios
To date, there is a lack of representation of important local stakeholders in the Madre de Dios roundtable such as: timber concessionaires, conservation and ecotourism concessionaires, local and municipal governments and other groups such as the Regional Biodiversity Conservation Network and the Research Institute of the Peruvian Amazon. As with others in the country, participation in this roundtable is voluntary and open to all relevant stakeholders.

There have also been difficulties in maintaining a dynamic exchange of ideas during the roundtable, REDD+ is given low priority by some stakeholders, meetings have not been held in central or accessible locations. Other concerns include the unclear allocation of roles and responsibilities and uncertainties about the future financing of roundtable activities.

B. Building local stakeholder capacity based on the regional processes

San Martín
Capacity building in San Martín has been led by the Regional Environmental Authority (ARA) and supported by national and international NGOs. Capacity building activities intend to increase stakeholders’ understanding of REDD+. However, it is still unclear which local stakeholders should participate, in which ways.

Madre de Dios
Capacity building on forest management and natural resource conservation is new to the region, has yet to be systematized and is often conducted in a hasty manner.

RECOMMENDATIONS FOR CAPACITY BUILDING AT THE REGIONAL LEVEL:

» Capacity building on understanding climate change needs to be focused on public servants within the regional government, as well as grassroots organizations.
» Clarify the duration of the REDD+ project cycle in order to avoid false expectations.
» Increase understanding of the political and technical complexity of REDD+ at regional level.
» Increase understanding of the drivers of deforestation and how they relate to economic development.
» Clarify the potential benefits of REDD+, as well as the risks, obligations and long term commitments.
» Further articulate how the REDD+ process affects land management.
» Strengthen the processes of knowledge transfer to the regional government and the Regional REDD+ Roundtable.
» To take advantage of field visits to the region by experts who can provide training to members of the Roundtable.
» Design and implement monitoring mechanisms for capacity building.
» Include members of the Forest Management Committees and the Watershed Management Committees in training events.
C. Communication & dissemination of information to local stakeholders

San Martín
Information related to REDD+ has been fairly well reported and communicated to local stakeholders in the San Martín Region.

Madre de Dios
There is no existing strategy for the dissemination and communication of information on REDD+ activities in the region. Stakeholders who hold more information are those most engaged in the meetings of the REDD+ Roundtable. However, one of the international member organizations of the Roundtable is creating a web platform to disseminate specialized information on the topic.

Due to a lack of knowledge and expertise on REDD+, local stakeholders and grassroots organizations have varying opinions about the extent to which REDD+ can reduce deforestation. Local stakeholders are also concerned with how funding will work, how benefits will be distributed and who will accept these responsibilities.

D. Consideration of traditional governance & the cultural context

San Martín
Member organizations of the Regional REDD+ Roundtable have not included traditional governance or other cultural elements during the Roundtable. Nevertheless, the Regional Development Office of Indigenous Nations has an active role in the Roundtable, a body that is familiar with including aspects of indigenous culture and governance. Currently, the priority of indigenous representatives is centered on land use.

Madre de Dios
The organizations which make up the Regional REDD+ Roundtable in Madre de Dios consider the inclusion and valuing of local knowledge of the utmost importance. However, the cultural context has not been adequately included. Stakeholders stress that mitigation action such as REDD+ must not displace the adaptation initiatives aimed at reducing vulnerabilities caused by climate change.

RECOMMENDATIONS FOR IMPROVING COMMUNICATIONS & INFORMATION DISSEMINATION TO LOCAL STAKEHOLDERS:

» The Roundtable should be responsible for information dissemination.
» A specific group should be formed through the Roundtable to raise awareness and build trust. Printed materials should be distributed to the general public.
» Sufficient time should be allowed to participants to introduce themselves during the Roundtable.

RECOMMENDATIONS FOR STRENGTHENING STAKEHOLDER ENGAGEMENT IN REDD+ AT THE REGIONAL LEVEL:

» Clear guidelines established at the national level should aid regional policymaking.
» Identify leaders from indigenous associations and federations to achieve more effective dissemination of information and training.
» Improve coordination with local governments.
» Strengthen the team responsible for REDD+ within the regional government.
» Form closer links with other dialogue groups such as the Environmental Coordination Board.
» Involve the Regional Environmental Commission.
» Distribute meeting venues throughout the region to promote the engagement of stakeholders who are unable to attend meetings due to distance.
» Address disagreements between different indigenous groups.
» Set up a team of technical and legal support to strengthen decision-making in the REDD+ Regional Roundtables.
» Assure that the demands of indigenous nations are prioritized—especially in the case of entitlement to land.
» Overcome the legal and institutional bottlenecks related to the implementation of the REDD+. 
3. PROJECT LEVEL

At project level, the process of stakeholder engagement was analyzed throughout six REDD+ projects, each of them at a different stage of implementation. Three of these projects are in San Martín and three in Madre de Dios. In all projects, REDD+ is understood as a funding tool for conservation. See Table 3 for more information.

A. Representation of local stakeholders

Representation of local stakeholders depends on: (1) type of area, (2) stakeholder rights to forests, (3) what part of the local population is involved in the conservation strategy and (4) the types of natural resource management policies in place in a given area.

In San Martín, all relevant stakeholders have been identified. In Madre de Dios, this has yet to happen. Stakeholders in this region recommend that those depending on the forest should be the ones to benefit from carbon credits and other commerce and not only those who manage the forest.

Table 3. Key local stakeholders to involve when designing & implementing REDD+ projects

<table>
<thead>
<tr>
<th>DIRECT &amp; PERMANENT INVOLVEMENT</th>
<th>AN IMPORTANT ROLE</th>
<th>STAKEHOLDERS WHO MUST BE INVOLVED IN CONSERVATION STRATEGIES</th>
</tr>
</thead>
<tbody>
<tr>
<td>» Protected Areas Service</td>
<td>» Regional Governments</td>
<td>» Population settled in the surrounding area protected area</td>
</tr>
<tr>
<td>» NGOs with administration contracts</td>
<td>» Regional Forest Authorities</td>
<td>» Settled population in the project area</td>
</tr>
<tr>
<td>» Concessionaires</td>
<td>» Local Governments</td>
<td>» Settled population in the influence area of the projects</td>
</tr>
<tr>
<td>» Indigenous communities</td>
<td>» Indigenous Forest Associations</td>
<td></td>
</tr>
</tbody>
</table>
Cordillera Azul National Park Protection Program (PNCAZ)

**LEAD ORGANIZATION:** Centro de Conservación, Investigación y Manejo de Áreas Naturales (CIMA) & Servicio Nacional de Áreas Naturales Protegidas por el Estado (SERNANP)

**PROJECT AREA:** Total protected area

**POPULATION DIRECTLY INVOLVED IN DESIGN & IMPLEMENTATION:**

There is no population in the protected area. The population is settled in a zone surrounding the protected area and has taken part in conservation since 2003.

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Alto Mayo Conservation Initiative (ICAM)

**LEAD ORGANIZATION:** Conservation International & Servicio Nacional de Áreas Naturales Protegidas por el Estado (SERNANP)

**PROJECT AREA:** Total protected area

**POPULATION DIRECTLY INVOLVED IN DESIGN & IMPLEMENTATION:**

Roughly 3000 families, most without legal rights. The project is working with 600 families.

---

REDD+ project in the Alto Huayabamba Conservation Concession (CCAH)

**LEAD ORGANIZATION:** Amazónicos por la Amazonía (AMPA)

**PROJECT AREA:** The Yungas forest of the concession

**POPULATION DIRECTLY INVOLVED IN DESIGN & IMPLEMENTATION:**

40 settled families without entitlement in the area considered for REDD+.

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**Figure 7. Overview of six projects analyzed**
Sustainable forest management & utilization of ecosystem services in the Ese´Eja Indigenous community Infierno, Peru (CNI)

LEAD ORGANIZATION: Asociación para la Investigación y el Desarrollo Integral (AIDER)

PROJECT AREA: Two contiguous areas: The entire area of the Infierno Indigenous Community and the entire ecotourism concession

POPULATION DIRECTLY INVOLVED IN DESIGN & IMPLEMENTATION: 178 indigenous families reside near but outside of concession area. There is no population within the concession area.

REDD+ projects in the Belgica Indigenous community

LEAD ORGANIZATION: Asociación para la Investigación y el Desarrollo Integral (AIDER)

PROJECT AREA: Total protected area

POPULATION DIRECTLY INVOLVED IN DESIGN & IMPLEMENTATION: 20 indigenous families

Development of pilot experiences REDD+ in community scenarios (7 Indigenous communities)

LEAD ORGANIZATION: World Wildlife Fund (WWF)

PROJECT AREA: Total protected area, Community private property of seven indigenous communities

POPULATION DIRECTLY INVOLVED IN DESIGN & IMPLEMENTATION: 275 families from seven indigenous communities

MADRE DE DIOS REGION
B. Prior & informed consultation

Prior and informed consultation with those holding rights and duties to a forest should happen early in a project cycle. Based on the six individual projects analyzed (Figure 7), consultation with two primary groups of stakeholders needs to take place, (1) protected areas, conservation concessions, or ecotourism concessions and (2) the areas occupied by indigenous communities.

What is needed for prior and informed consultation?

» Binding agreements: At the household level and at the organizational level (refer to the case of: Amazonicos por la Amazonia—AMPA).

» Conservation agreements: An analysis of all stakeholders directly involved, including the household level.

» Indigenous community mechanisms: Community communicators, facilitators and assemblies (refer to the case of: Asociacion para la Investigacion y el Desarrollo Integral—AIDER).

C. Criteria for planning the distribution of benefits

The proposed criteria differ in the type and category of the project area.

<table>
<thead>
<tr>
<th>TYPE OF AREA</th>
<th>CRITERIA</th>
</tr>
</thead>
<tbody>
<tr>
<td>PROTECTED AREA</td>
<td>» Ensure sustainability of conservation strategies</td>
</tr>
<tr>
<td></td>
<td>» Promote mitigation and adaptation activities in surrounding area to communities involved (for instance, the Parque Nacional Cordillera Azul)</td>
</tr>
<tr>
<td></td>
<td>» Approve conservation agreements (for instance, the Iniciativa de Conservacion Alto Mayo)</td>
</tr>
<tr>
<td>CONCESSION (Ecotourism &amp; Conservation)</td>
<td>» Lack of certainty about the distribution of the benefits</td>
</tr>
<tr>
<td></td>
<td>» Actions related to the land management of the concessions and with the implementation of the management plans, including the binding agreements (for example, the Concession de Conservacion Alto Huayabamba)</td>
</tr>
<tr>
<td>INDIGENOUS COMMUNITIES</td>
<td>» Lack of certainty about the distribution of the benefits</td>
</tr>
<tr>
<td></td>
<td>» Lessons learned from previous experiences (e.g. benefits distribution from ecotourism and forest management in indigenous communities such as Infierno and Belgica)</td>
</tr>
<tr>
<td></td>
<td>» Need to make agreements at the household level</td>
</tr>
<tr>
<td></td>
<td>» Make internal agreements within the community for benefits distribution</td>
</tr>
</tbody>
</table>

D. Engaging stakeholders in the monitoring of economic benefits

None of the analyzed projects have planned for the way local stakeholders will be involved in the distribution of economic benefits from REDD+. The following are ways in which benefits can be shared and the process can be monitored.

» In collaboration with members of the community, use tools for mapping the use of natural resources (as in the Parque Nacional Cordillera Azul project).

» Use already implemented methodologies for monitoring the social and environmental impacts of the extractive industries on community lands (as in the Parque Nacional Cordillera Azul project).

» Monitor activities of conservation agreements (as in the Bosque de Proteccion Alto Mayo project).

» Monitor activities in protected areas (as for the Bosque de Proteccion Alto Mayo project).

Figure 8. Proposed criteria for benefit distribution in REDD+
E. Capacity building through project experience

WAYS TO BUILD CAPACITY:

» More clarity is needed on the duration of the project cycle in order to avoid false expectations,
» Understand the given process at different levels to contribute to their integration,
» To understand the deforestation drivers and threats within the project area and the responsibilities, as well as the concrete actions to reduce it,
» Address social and environmental conflicts,
» Increase understanding of environmental policy issues among journalists,
» Build capacity on the environmental legislation of protected areas and conservation agreements for government representatives,
» Strengthen social involvement to ensure the long term viability of Conservation Agreements,
» Increase the valuation of the environmental services,
» Build capacity of indigenous leaders.

These projects do not consider any standardized methodology to ensure the engagement of local stakeholders in the monitoring activities.
F. Communication & dissemination of information

Some communication and information dissemination on REDD+ has taken place at the local level, but not to a sufficient degree. The extent of this varies by type of protected area.

» Dissemination of information on topics related to the conservation and sustainable use of the forest resources.
» Information on REDD+ and environmental services has not been widely distributed to avoid false expectations.
» Environmental education based on and promoting best practices.
» Take advantage of management and operations plans already in place.
» Awareness raising at the household level on conservation agreements (as in the case of Bosque Protección Alto Mayo - BPAM)
» Design the communication strategy with forest rangers (as in the case of BPAM).

Figure 10. Dissemination & communication activities

DISSEMINATION & COMMUNICATION ACTIVITIES AS PART OF THE ALTO MAYO CONSERVATION INITIATIVE (ICAM):

Within the framework of the “Alto Mayo” project in San Martin, a series of activities related to the dissemination and communication of information to local stakeholders has been carried out. One of the first activities undertaken was the distribution of a newsletter about forest rangers in the area. An environmental journalism workshop was also held in order to identify local journalists that could contribute to communications on environmental issues. Radio programming has taken place to stress the importance of protecting the headwaters of the local watershed. Lastly, print materials have been disseminated which has contributed to the standardization of information available to stakeholders.
STRENGTHENING REDD+ STAKEHOLDER ENGAGEMENT IN PERU

This section details guidance we offer to improve representation of local stakeholders, capacity building, communication, information dissemination and the engagement of local stakeholders in REDD+. Such guidance is based on an analysis of information and data collected through multiple field visits, trainings and interviews.
1. KEY QUESTIONS & GUIDANCE FOR EFFECTIVE STAKEHOLDER ENGAGEMENT

» What do we want to achieve by engaging local stakeholders?
» What type of decisions should be made by local stakeholders?
» Among local stakeholders, who should make decisions and according to what roles and functions?
» What can actually be negotiated at the policy or legal levels?

It is important to clarify what is expected of local representatives partaking in the decision-making process.

2. GUIDANCE ON MAPPING & IDENTIFICATIONS OF STAKEHOLDERS

a. Identification of key stakeholders
   is based on different groups’ rights and responsibilities to forest resources.

   » People, communities, or organizations that own land or hold legal rights to the use and management of natural resources.
   » Community-based organizations that build, promote and implement policies.
   » Indigenous and other local communities with a close tie to the land base.
   » Producer associations who have rights and duties to natural resources.
   » Governmental entities that generate, promote and implement policies (ministries, regional and municipal governments).
   » Conservation organizations and natural resource management groups.

b. Management area
   Assess the land area that is managed by each stakeholder group.

c. Type of Property
   Private—Including communal lands such as indigenous and rural communities; public or public under private management.

d. Management of natural resources
   The type of responsibility that each group of stakeholders has for the management of a given area.

e. Rights to natural resources
   The rights that each group holds to define the use and management of their natural resource area.

f. Level of influence
   The degree of effect on decision-making that each group of stakeholders has; including technical knowledge.

g. Effect on forest management
   Capacity of each group of stakeholders has in the management of their natural resources.
Figure 11. Criteria for the evaluation of local stakeholders in the REDD+ process
3. DIFFERENT TYPES OF FOREST STEWARDSHIP & MANAGEMENT

a. Projects implemented in community forests:

» Identify the agreements related to land distribution within each community: Decisions made regarding management and conservation activities must be based on community agreements. For example, indigenous communities divide land by families. The success or failure of a conservation project depends in large part on working with families as the basic unit of community.

» Verify whether a community has forest use beyond agriculture within their property deed: Most of the indigenous community lands are held by a property deed for agricultural use only. Few of the communities surveyed have lands titled for multiple uses (e.g. the Infierno Community). Difficulties arise when agriculture is the only forest use defined as broader indigenous community rights can be misunderstood and not respected in terms of environmental goods and services.

» Assess community experience in distributing benefits: It is important to look at a given community’s experience in negotiating the use of their land, whether for timber, agriculture, conservation, or ecotourism, among others; how were the processes of benefits distribution handled (both financial and non-financial)?

» Reviewing the benefit sharing process in communities entails asking: What was learned over time? What mistakes were made? What could be improved and how to improve it? What capacities are lacking? How can REDD+ benefits become tangible? The benefits derived from REDD+ projects must be directed to cover the conservation strategies (including the sustainable production systems) and the protection of forests from external threats. Additionally, the strategy should minimize or eliminate the impacts, both external and internal.

» Assess each community’s governance structure: How are decisions made? Who has representation? Is the current organization of the community adequate for what is required of REDD+ projects? Is it necessary to create new community spaces for decision-making?

» Assess the mandates of community-based organizations: how do community organizations advocate for different priorities (i.e. some geared toward rural communities, others toward agriculture)? In addition, there is the need to assess in what ways and how effectively community organizations represent the community itself (i.e. do the organizations share the community’s perspective or does the community disagree?)

Figure 12. Implementation of REDD+ from the household level to the national level
b. Projects implemented in forest concession areas:

Forests concession areas are granted for different purposes depending on management or conservation priorities: for timber use, Brazil nut harvesting, latex, reforestation, wildlife management, ecotourism and conservation. It is important to know which type of concession is in place prior to designing the stakeholder engagement processes.

» Define the land rights of different concessionaires: What are the benefits coming from REDD+ projects to different concessionaires? What legal contracts are in place regarding compensation for environmental services?

» Define the role of the regional government to whom forest management responsibilities have been given: What is the relationship between concessionaires and government entities? Which is the role of the regional government? In what ways can the regional government be involved in the definition of a baseline for progress, in the creation of a project registration system, in monitoring activities, etc.?

» Define the role of community organizations for concessionaires: To what extent do community organizations represent the interest of concessionaires? What capacities do organizations have to work with concessionaires on REDD+ related topics?

» Clarify the role of concessionaires: Each concessionaire has a commitment with the government to manage public lands and the natural resources granted to them. Due to their direct commitment to reduce deforestation, it is critical to consider each concessionaire as an important player in REDD+ projects.

c. Projects implemented in protected areas:

» How have stakeholders with legal land rights been involved in protected areas?

» How can a population in a protected area which does not have legal rights gain access to the REDD+ process?

» Is there a plan to ensure free, prior and informed consultation of indigenous communities in the REDD+ process?

» The conservation strategies of protected areas are often closely linked to those living at the periphery of the protected area: what are the engagement processes for these groups?

4. GUIDANCE ON FOREST RIGHTS: A GEOGRAPHICAL ANALYSIS

Once it is clear which stakeholders have rights and responsibilities to forests, it is possible to define which stakeholders should be engaged at the national, regional and project level. Bear in mind the following steps for carrying out this analysis:

1. Identify the type of stakeholders who have land rights
2. Quantitatively the number of stakeholders that have forest rights
3. Determine the historical percentage of deforestation in the area

To project the future rate of deforestation in an area, it is important to determine the drivers responsible. Information needed for this analysis:

1. National land surface area according to the land use classification (e.g. agricultural lands, forest lands, etc.).
2. Land ownership at the national and regional levels: protected areas, regional, municipal and private conservation areas, forests under reserves, indigenous and rural communities, timber and non-timber forest concessions, permanent productive forests available for concessions. The extension of the area and the total number of granted areas must be considered.
3. Native communities with land ownership and with pending registration (by region and detailing the number of families, communities and total area).

For example, in the case of Peru, representatives of protected areas, indigenous communities, rural communities and forest concessions should be included.

At the project level, it is critical to understand how land ownership is distributed. For example, in areas where projects are to be developed on indigenous lands, it is necessary to understand internal community agreements.

As a result of the geographical analysis performed in each of the selected regions, the following maps show information about the granted rights on the use of resources and land; both for San Martín (Figure 13) and for Madre de Dios (Figure 14).
Figure 13. Land Rights: San Martín
Figure 14. Land Rights: Madre de Dios
5. INFORMATION DISSEMINATION TO LOCAL STAKEHOLDERS

Communication and dissemination of information to local stakeholders should follow these standards:

- **Quality**: Referring to both the information to be disseminated as well as the medium utilized (i.e. printed material, audio, visual).
- **Accuracy**: Communication should be based on verified information.
- **Easy to understand**: Use the local language and dialect when communicating or use multiple languages.
- **On time**: Provide information when needed.

To grant greater viability to the REDD+ process and to promote information sharing, the “investigación-acción-participativa (IAP)” process is an interdisciplinary and intercultural framework for the collective preparation and construction of REDD+. The IAP is about creating a permanent flow of information between REDD+ leaders as well as all stakeholders involved.

### ABOUT THE “INVESTIGACIÓN-ACCIÓN-PARTICIPATIVA (IAP)” PROCESS:

The IAP is a method of study and action that redefines local stakeholders as active participants in research, rather than as the subject of the research—involving them in the design, proposal, implementation and monitoring of the research.

### Table 4. Guidelines for carrying out communication & information dissemination

<table>
<thead>
<tr>
<th>GUIDELINES FOR IMPROVING INFORMATION DISSEMINATION</th>
</tr>
</thead>
<tbody>
<tr>
<td>» Define the target audience</td>
</tr>
<tr>
<td>» Define the knowledge level of the target audience</td>
</tr>
<tr>
<td>» Identify the ideal channels to disseminate information: written, audio, visual, in person</td>
</tr>
<tr>
<td>» Define the media for information dissemination: web, radio, newspaper, brochures, cards, videos, meetings, presentations</td>
</tr>
<tr>
<td>» Define the duration of the message</td>
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</tbody>
</table>

<table>
<thead>
<tr>
<th>GUIDELINES FOR IMPROVING THE COMMUNICATION PROCESSES</th>
</tr>
</thead>
<tbody>
<tr>
<td>» Identify decision-makers</td>
</tr>
<tr>
<td>» Identify which media are traditionally used by decision-makers</td>
</tr>
<tr>
<td>» Define new media to target decision-makers</td>
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</tbody>
</table>

<table>
<thead>
<tr>
<th>GUIDELINES FOR IMPROVING CAPACITY BUILDING</th>
</tr>
</thead>
<tbody>
<tr>
<td>» Define a strategy for capacity building</td>
</tr>
<tr>
<td>» Consider forest management strategies from the Western (scientific) perspective and the local knowledge perspective</td>
</tr>
<tr>
<td>» Consider the degree of women’s involvement in the REDD+ process</td>
</tr>
<tr>
<td>» Improve knowledge in national governmental and non-governmental organizations on how local communities manage the forest</td>
</tr>
<tr>
<td>» Consider the legal aspects involved in REDD+</td>
</tr>
</tbody>
</table>
6. GUIDANCE FOR REDD+ DECISION-MAKING AT MULTIPLE LEVELS

At the project level in Peru, many organizations are following the standards for implementation set by the “Climate, Community and Biodiversity Alliance” (CCBA) in terms of REDD+ readiness, the R-PP and the production of formal guiding documents. At the regional level in Madre de Dios and San Martín, no formal guiding document exists. However, the structure of the R-PP, which applies primarily to the national level, can be used as a reference for the drafting of sub-national standards.

7. FINDINGS WHICH CONTRIBUTE TO UN-REDD/FCPF GUIDELINES ON STAKEHOLDER ENGAGEMENT IN REDD+ READINESS

This section presents the guiding principles for effective stakeholder engagement that underpin both the FCPF and UN-REDD Programme, as well as the ways in which this study contributes to these principles.8

UN-REDD/FCPF (2012): Consultations should be transparent and provide open access to information.

» Findings from this study: Disseminate and communicate to indigenous communities on the complexities of the REDD+ process.

UN-REDD/FCPF (2012): The consultation process should include a wide range of relevant stakeholders at the national and local levels.

» Findings from this study: Conduct geographical analysis to identify stakeholders with rights and responsibilities in the area.

UN-REDD/FCPF (2012): The consultations should start before the design phase and should be applied in every stage of the REDD+ process: during planning, application, supervision and monitoring.

» Findings from this study: Assure representation of indigenous groups and other forest-dependent communities.

UN-REDD/FCPF (2012): Consultations with indigenous people must be carried out through their own existing processes and organizations (i.e. council of elders, tribal leaders).

» Findings from this study: Implement consultations and projects in indigenous communities themselves and under the guidance of indigenous groups.

UN-REDD/FCPF (2012): An impartial, fair and accessible grievance mechanism should be established to address complaints and conflicts.

» Findings from this study: Make a grievance mechanism accessible during the consultation process and during REDD+ implementation.

UN-REDD/FCPF (2012): Topics related to land ownership, resource rights and property rights should be highlighted.

» Findings from this study: Apply a geographical analysis of the property rights of forest dwellers.

UN-REDD/FCPF (2012): A consultation registry report should be disseminated publicly and created in local languages.

» Findings from this study: Ensure that the consultation registry clearly documents the different points of view expressed.

8 “Guidelines on Stakeholder Engagement in REDD+ Readiness. With a Focus on the Participation of Indigenous Peoples and Other Forest-Dependent Communities.” April 20, 2012. p. 5
The following section presents the contributions of this study to the “Practical Steps for Carrying out Effective Consultations” of the UN-REDD/FCPF Guidelines on Stakeholder Engagement in REDD+ Readiness:

**Table 5:** Steps for consultation with indigenous & other forest-dependent communities as defined by FCPF and UN-REDD

<table>
<thead>
<tr>
<th>FCPF STEPS</th>
<th>RECOMMENDATIONS</th>
</tr>
</thead>
</table>
| 1. Define expected results from the consultation processes. | » Propose what is needed for full and effective engagement.  
» Define which stakeholders should be involved at the national, regional and project levels. |
| 2. Develop a consultation and engagement plan. | » Define consultation topics, guidelines for capacity building, participation, communication and information dissemination. |
| 3. Select the methods for consultation. | » Generate proposals for strengthening of local stakeholder engagement |
| 4. Identify the relevant parties. | » Generate a proposal to identify which stakeholders to include at the national, regional and project levels.  
» Define which stakeholders to involve by type and degree of impact of REDD+ project.  
» Geographical analysis of the rights on the forests at the project level. |
| 5. Establish a mechanism for dealing with complaints. | |
| 7. Analyze and publish the results. | |

*“Guidelines on Stakeholder Engagement in REDD+ Readiness. With a Focus on the Participation of Indigenous Peoples and Other Forest-Dependent Communities.” April 20, 2012. p. 11  
The strengthening of local stakeholder engagement through involvement of diverse actors at all levels of decision-making is a necessity in moving forward with REDD+ in Peru. We suggest the following to guide the way forward.

1. **Overcome barriers to inclusion.**

   The complex international nature of the REDD+ mechanism can be an obstacle to engaging local stakeholders and continues to limit progress. The general perception is that REDD+ remains unclear with limited means of involving forest-dependent communities in the planning and decision-making processes and has led to unfulfilled expectations.

   Individuals, communities and organizations that have ownership and rights to use and manage forests are the ones who have participated the least in national and regional processes related to REDD+. This is due, in part, to the lack of clarity about which local stakeholders should be involved at which events and dialogue spaces.

2. **Build participatory dialogue.**

   An inclusive and reflective dialogue will strengthen the participatory processes of local actors and will promote the effective engagement of these actors at different levels.

   Participation should not be understood as a vague concept; it can be measured in terms of the financial investment made to improve participation, the human resources applied and the amount of time that stakeholders are involved. In addition, capacity building, information dissemination, communication and conflict resolution must be part of the participatory approach.

   Participation is a choice. Making an informed decision not to participate must be respected.

3. **Evaluate local participation.**

   Methodologies must be in place for mapping and categorizing the range of local stakeholders in a given area. The roles, rights, responsibilities and capabilities should be determined early in the preparation process to best incorporate stakeholders. Identifying and differentiating local stakeholder groups will avoid the homogenization of actors and consider different groups within the appropriate cultural context—defining the necessary level of participation.

4. **Go beyond REDD+ roundtables.**

   National and regional REDD+ roundtables are important spaces that allow for dialogue and participation. However, there are other relevant dialogue spaces that should be sought (See subsections 2.2 Regional Level and 2.3 Project Level).

5. **Monitor & evaluate local stakeholder participation.**

   In order to demonstrate a sufficient level of stakeholder engagement in REDD+ activities, it is necessary to measure, monitor and evaluate the degree to which participation and engagement are taking place. The first step is to design a set of metrics and indicators that will specify the ways in which participation is happening or not, then gather and analyze information and finally, provide feedback.
6. **REDD+ action must cross sectors.**

It is necessary to expand the range of REDD+ activities throughout all sectors—civil society, private and public—to enable the integration of different sectors that affect deforestation and degradation.

7. **Improve communication & outreach.**

Better planning and implementation of communication and outreach is needed. This process typically takes into account national and international outreach, but often neglects a strategy for harder-to-reach local stakeholders.

8. **Community ownership is key.**

It is critical that strategies be designed and implemented to facilitate the ownership of the REDD+ projects not only by authorities in communities and grassroots organizations, but more importantly by the families themselves within the community.
REFERENCES

(For a complete list of references, refer to full report)


Ley del derecho a la consulta previa a los pueblos indígenas u originarios (recognizing ILO Convention 169)

Ministerio del Ambiente del Perú. 2010. Segunda Comunicación Nacional del Perú a la Convención Marco de las Naciones Unidas sobre Cambio Climático.


