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PRESENTS:

FABIOLA MARTÍNEZ MATA

CO-DIRECTOR OF THESIS PMPCA

ANUSCHKA VAN’T HOOFT

CO-DIRECTOR OF THESIS ITT:

UDO NEHREN

ASSESSOR:

MIGUEL AGUILAR ROBLEDO

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NACIONAL DE POSGRADOS (PNPC - CONACYT)**

Erklärung / Declaración

Name / Nombre: Fabiola Martínez Mata

Matri.-Nr. / N° de matricula: 11094652 (CUAS)., 0216203 (UASLP)

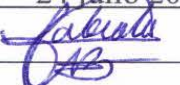
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ABBREVIATIONS

APF	Administración Pública Federal Federal Public Administration
CBMM	Corredor Biológico Mesoamericano Mesoamerican Biological Corridor
CCMSS	Consejo Civil Mexicano para la Silvicultura Sostenible Mexican Civil Council for Sustainable Forestry
CDI	Comisión Nacional para el Desarrollo de Pueblos Indígenas National Commission for the Development of Indigenous Peoples
CEMDA	Centro Mexicano de Derecho Ambiental Mexican Center for Environmental Law
CICC	Comisión Intersecretarial de Cambio Climático Interministerial Commission on Climate Change
CICY	Centro de Investigación Científica de Yucatán Scientific Research Center of Yucatan
CINVESTAV	Consejo de Ciencia y Tecnología del Estado de Yucatán Council of Science and Technology of the State of Yucatán
CONABIO	Comisión Nacional para el Conocimiento y Uso de la Biodiversidad National Commission for Knowledge and Use of Biodiversity
CONAF	Consejo Nacional Forestal National Forest Council
CONAFOR	Comisión Nacional Forestal National Forestry Commission
CONAGUA	Comisión Nacional del Agua National Water Commission
COP	Conferencia de las Partes Conference of the Parties
CTC-REDD+	Comité Técnico Consultivo REDD+ Technical Advisory Committee REDD+

ECOSUR	El Colegio de la Frontera Sur Southern Border College
ENAREDD+	Estrategia Nacional REDD+ National REDD+ Strategy
ENCC	Estrategia Nacional de Cambio Climático National Climate Change Strategy
FMCN	Fondo Mexicano para la Conservación de la Naturaleza Mexican Nature Conservation Fund
FPIC	Consentimiento Libre, Previo e Informado Free, prior and informed consent
GHG	Gases de efecto invernadero Greenhouse Gas
GT-REDD+	Grupo de Trabajo REDD+ REDD+ Working Group
INECC	Instituto Nacional de Ecología y Cambio Climático National Institute of Ecology and Climate Change
INEGI	Instituto Nacional de Estadística y Geografía National Institute of Statistics and Geography
INIFAP	Instituto Nacional de Investigaciones Forestales, Agrícolas y Pecuarias National Institute of Forestry, Agricultural, and Livestock Research
ITC	Instituto Tecnológico Conkal Conkal Technological Institute
IUCN	Unión Internacional para la Conservación de la Naturaleza International Union for Conservation of Nature
JICA	Agencia de Cooperación Internacional del Japón Japan International Cooperation Agency
LGCC	Ley General de Cambio Climático General Law on Climate Change
MREDD+	Alianza México REDD+ Mexico Alliance for REDD+
MRV	Medición, reporte y verificación Measurement Reporting and Verification

NGO	Organización no Gubernamental Non-governmental organization
ONU	Organización de las Naciones Unidas United Nations Organisation
PPA	Procuraduría de Protección al Ambiente Attorney for Environmental Protection
PROFEPA	Procuraduría Federal de Protección al Ambiente Federal Attorney for Environmental Protection
REDD+	Reducción de Emisiones de la Deforestación y Degradación de Bosques Reducing Emissions from Deforestation and Forest Degradation
REDD+PY	Estrategia Regional de la Península de Yucatán para la Reducción de Emisiones por Deforestación y Degradación Forestal Regional Strategy for the Yucatan Peninsula for Reducing Emissions from Deforestation and Forest Degradation
SA	Secretaría de Salud Ministry of Health
SAGARPA	Secretaría de Agricultura, Ganadería, Desarrollo Rural, Pesca y Alimentación Secretariat of Agriculture, Livestock, Rural Development, Fisheries and Food
SEDUMA	Secretaría de Desarrollo Urbano y Medio Ambiente Ministry of Urban Development and the Environment
SEFOE	Secretaría de Fomento Económico Ministry of Economic Development
SEFOTUR	Secretaría de Fomento Turístico Secretary of Tourism Promotion
SEMARNAT	Secretaría de Medio Ambiente y Recursos Naturales Secretariat of Environment and Natural Resources
SEP	Secretaría de Educación Pública Secretariat of Public Education
SES	Estándares Sociales y Ambientales Social & Environmental Standards
SESA	Evaluación Ambiental y Social Estratégica Strategic Environment and Social Assessment

SINTRA	Secretaría de Infraestructura y Transporte Ministry of Infrastructure and Transport
SIS	Sistema de Información de Salvaguardas Safeguard Information System
TNC	The Nature Conservancy Conservación de la Naturaleza
UM	Universidad Marista Marista University
UNCED	United Nations Conference on Environment and Development Conferencia de Naciones Unidas sobre el Medio Ambiente
UNFCCC	Convención Marco de las Naciones Unidas sobre el Cambio Climático United Nations Framework Convention on Climate Change
UN-REDD	Programa de las Naciones Unidas para la Reducción de las Emisiones Derivadas de la Deforestación y la Degradación Forestal United Nations Programme on Reducing Emissions from Deforestation and Forest Degradation

ABSTRACT

Mexico is part of the United Nations program for the preparation and development of the mechanism for Reducing Emissions from Deforestation and Degradation (REDD+) which aims to contribute to reduce emissions of greenhouse gases within a model of Sustainable Rural Development.

Since 2008, the *National Forestry Commission* (CONAFOR) conducted preparatory actions for the implementation of this program. During this process various institutions and international organizations have highlighted social participation as one of the crucial elements for its success.

The aim of this study was to analyze the component of social participation in the REDD+ process in Mexico. The scale of the investigation was on subnational level and included the study of the process to develop the Regional REDD+ Strategy for the Yucatan Peninsula. For this, we studied the available literature and did interviews with stakeholders.

The results demonstrate that the subnational process of REDD+ was participatory in terms of involvement of various stakeholders from government, academic and NGO sectors. However it is still necessary to strengthen the participation of women and indigenous and rural communities. Additionally, this study highlights that there are issues that deserve further investigation such as the communities' representation as well as the respect for their customs, with special emphasis on the participation of women.

Key words

Social participation, REDD+, REDD+ process

RESUMEN

Mexico forma parte del Programa de la Organización de las Naciones Unidas para la preparación y desarrollo del mecanismo para la Reducción de Emisiones por Deforestación y Degradación (REDD+) cuyo objetivo es contribuir con la reducción de emisiones de gases de efecto invernadero dentro de un modelo de Desarrollo Rural Sustentable.

Desde 2008 la *Comisión Nacional Forestal* (CONAFOR) ha realizado acciones preparativas para la implementación de este programa. Durante este proceso diversas instituciones y organismos internacionales han resaltado la participación social como uno de los elementos cruciales para el éxito del mecanismo.

El objetivo de este estudio fue analizar el componente de participación social en el proceso de REDD+ en México. La escala de la investigación fue a nivel sub nacional e incluyó el estudio del proceso de la elaboración de la Estrategia Regional REDD+ en la Península de Yucatán a la luz de las variables de participación social y entrevistas.

Los resultados demuestran que el proceso de REDD+ a nivel sub nacional fue participativo en cuanto al involucramiento de diversos actores del sector gubernamental, académico y organizaciones no gubernamentales. Sin embargo aún es necesario reforzar la participación de las mujeres y comunidades indígenas. Adicionalmente este estudio resalta que existen asuntos que merecen una investigación futura como la conciliación entre el respeto a los usos y costumbres de las comunidades y la representatividad de las mismas, con especial énfasis en la participación de las mujeres.

Palabras clave

Participación social, REDD+, REDD+ process

INTRODUCTION

Deforestation and Forest degradation are two main environmental issues. One of the actions undertaken to address this problem is the United Nations Program *Reducing Emissions from Deforestation and Forest Degradation* (UN-REDD). UN-REDD is supporting REDD+, an initiative that is operating in 53 developing countries located in subtropical or tropical areas (in Africa, Latin America, and in the Asia-Pacific region) that are willing to participate in the conservation of their forests. Mexico is one of the REDD+ country participants. According to the UN-REDD webpage, REDD+ “goes beyond deforestation and forest degradation, and includes the role of conservation, sustainable management of forests and enhancement of forest carbon stocks“.

Forest protection, agriculture and land use control are very important factors to halt and reverse deforestation and land degradation in Mexico. These factors are taken into account in Mexico’s activities related to REDD+. With climate change as one of the main concerns in the international sphere, Mexico is undertaking an entire process to prepare, design and implement the REDD+ mechanism.

In order to do so, Mexico decided to counteract climate change mitigation effects and at the same time improve sustainable development goals, human and indigenous rights, and procure other environmental and social benefits. For Mexico is clear the “necessity of an appropriate regulatory mix to incentivize, enforce, and otherwise guide public and private sector activities toward REDD+ goals” (IDLO 2011).

Part of the challenge is the widely recognized fact that conservation of forests depends on key factors such as the involvement of the people who live in them in the protection activities. However the inclusiveness of all the relevant stakeholders in the conservation has not always been discussed, especially in regard to local communities and indigenous people. Even when social participation in REDD+ has

been documented as a key for the success of the program, it is not clear if there is a real will to take into consideration the issues relating to the participation of local stakeholders.

With this in mind this study focuses on the analysis of the social participation component in the REDD+ process implemented by Mexico. This includes the description of the process toward REDD+ on national and subnational level, as well as the analysis of the social participation component on the subnational level. The analysis is conducted according to variables regarding the engagement of stakeholders and their participation. The overall research method is a mixed methodology and includes a desk review and consultations at different levels (national and subnational), as well as fieldwork where interviews with relevant stakeholders are conducted.

This study is organized in several parts. After this Introduction, part 1 presents the scope and delimitation of the study. Part 2 introduces the conceptual framework and the main theories used herein to guide the study. This part includes the selection of the variables to analyze the social participation component. Part 3 situates how far is Mexico in its REDD+ process and reviews the social component. Before the conclusions and recommendations, part 4 discusses the main results of the analysis.

I. National forest background

Mexico is ranked second globally in terms of its number of ecosystem types, and fourth in terms of species richness (Sarukhán et al. 2009). Additionally, Mexico is one of the world's five most biologically "mega-diverse" countries (CBD 2009). "According to the Global Forest Resources Assessment 2010, of the country's 196.4 million hectares, 33% and around 64.8 million hectares are considered forests. Of this, primary forest comprises 53% and around 34.3 million hectares. Annual change in forest cover is reported at -0.52% from 1990-2000; -0.35% from

2000-2005; and, -0.24% from 2005-2010, suggesting a reduction in deforestation between 2000 and 2010 of 55%” (The REDD desk 2013b).

The latest reduction in the speed of deforestation appears to be a rather new trend: “Between 1993 and 2007, Mexico lost more than 4 million ha of its 69.2 million ha of forest cover. [...] Deforestation and land degradation totaled over 354,035 hectares per year in 1993 - 2002. This was reduced to 155,153 hectares per year in 2002- 2007” (The REDD desk 2013b).

The main document that gives information on Mexico’s situation of deforestation and forest degradation is the Readiness Preparation Proposal (R-PP), a document devised by the *National Forest Commission* (CONAFOR) that is meant to “assist a country prepare itself for REDD, in order to become 'ready for REDD'. It provides a framework for taking stock of the national situation and setting out the work to be undertaken in a range of areas and funded from a variety of sources” (United Nations 2009, p. 5).

In this document, CONAFOR states that, according to the *National Institute of Ecology and Climate Change* (INECC), “the main drivers of deforestation and degradation are conversion to pasture land, slash-and burn agriculture, and uncontrolled logging (over exploitation and/or illegal logging). In some areas forest fires and hurricanes also affect forest cover, especially in the tropical lowland forest area. At some extent, government subsidy programs have been identified as possible underlying factors, but studies are needed to estimate the impact of each program. INE has estimated that 82% of deforestation occurred in Mexico as a result of land-use change to agriculture or grazing purposes; 8% due to illegal logging, 6% caused by forest fires and pests, 2% by authorized land-use changes and the last 2% by other causes such as hurricanes or other natural disasters” (R-PP 2010).

Mexico’s forests are under either federal (public), private or communal ownership. According to the ejido survey of the *National Institute of Statistics, Geography and Information Science* (INEGI) in 2007, about half of the forests are property of ejidos

or communities (either agrarian or indigenous). “A preliminary analysis to evaluate the impact of land tenure on deforestation and degradation revealed that about 50.7% of the forest in 2002 is considered property of communities or ejidos and 27.6% is privately owned, whereas the remaining 21.3% is not officially delimited yet or is considered national forest. Net deforestation in privately owned forests was slightly higher than in forests owned by communities or ejidos” (R-PP 2010, p. 22).

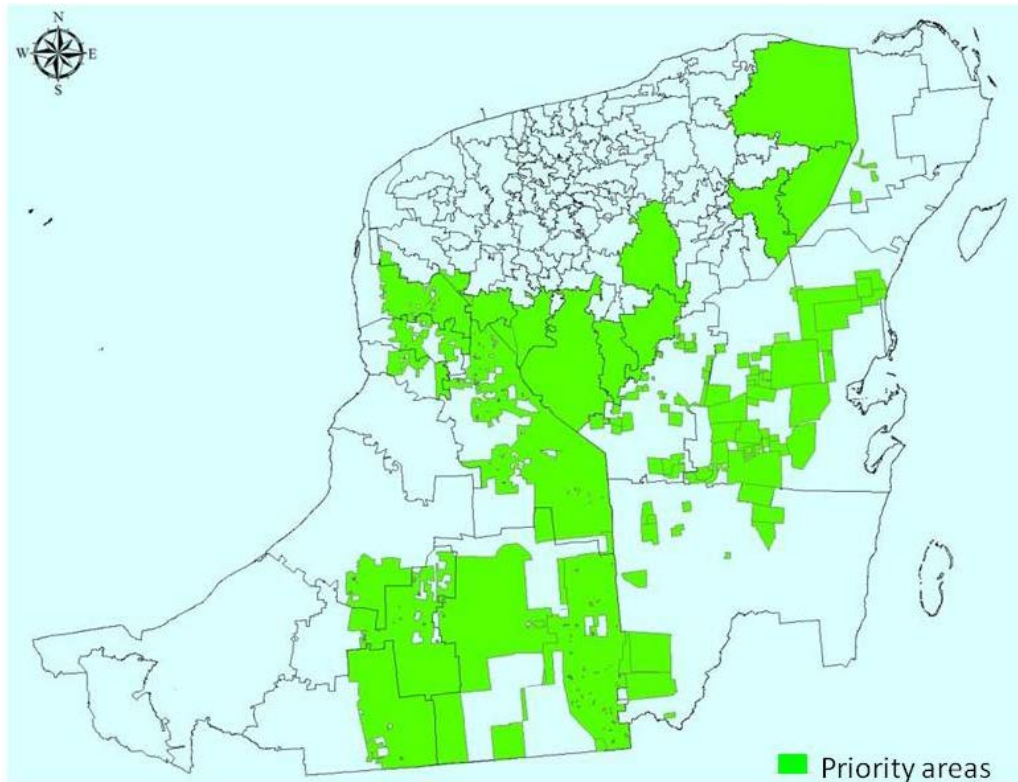
With this context as a base, Mexico is undertaking actions to implement the REDD+ program. The purpose of REDD+ in Mexico is to “develop a set of policies and programs for addressing the drivers of deforestation and/or forest degradation, and hence reducing emissions from deforestation and forest degradation, in the context and in support of the national priorities for sustainable development” (R-PP 2010, p. 26).

Is clear that the process of preparation for REDD has to be inclusive, encouraging the participation of stakeholders, especially the local populations since the drivers of degradation are integral to the livelihoods theme. This means that REDD+ must be based on the participation and provision of alternatives to pursue sustainable rural development.

II. Regional forest background

The Yucatan Peninsula is located southeast of the Mexican Republic and it is composed three Mexican states: Campeche, Quintana Roo and Yucatan. In all three states there are areas that have been identified as "priority REDD+" because they have a significant forest cover together with greater socioeconomic pressure of natural resources by their inhabitants. CONAFOR has mapped these forests as priority areas (see *Illustration 1.- Priority areas by state for Early Actions REDD+ Peninsular*).

Illustration 1.- Priority areas by state for Early Actions REDD+ Peninsular



Source: (REDD+PY 2012)

The Yucatan Peninsula “contributes nearly 4 million hectares under some category of Protected Natural Area, which is equivalent to 15% of the national total. The largest area corresponds to Campeche and the smallest to Yucatán. However upon further analyzing the conservation of forests in the three entities, we can see that there are still large forests in the peninsula, close to 2 million hectares, which are in apparent good condition but with strong pressures from human activities” (REDD+PY , 2012, p. 34).¹ Drawing on information from INEGI, CONAFOR states that “on the other hand, the whole peninsular reforestation represents 6% of the national total, and by 2009 was close to 10 thousand hectares [...]. Agriculture in

¹ My translation. The original says: “La Península de Yucatán contribuye con casi 4 millones de hectáreas bajo alguna categoría de Área Natural Protegida, las cuales son equivalentes al 15 % del total nacional (CONANP 2010). La mayor extensión corresponde a Campeche y la menor a Yucatán. Sin embargo al analizar en mayor detalle la conservación de los bosques en las tres entidades, podemos observar que aun existen amplias masas forestales en la Península, cercanas a las 2 millones de hectáreas (INEGI 2010), las cuales se encuentran en aparente estado de conservación pero con fuertes presiones derivadas de las actividades humanas” (REDD+PY , 2012, p. 34).

the Peninsula represents just over 5% national and lies 1.1 million hectares planted in 2009“(REDD+PY , 2012, p. 34).²

² My translation. The original says: “Por otro lado, la reforestación peninsular representa en conjunto el 6% del total nacional y para 2009 fue cercana a las 10 mil hectáreas (INEGI 2010). La agricultura en la Península representa poco más del 5 % nacional y se sitúa en 1.1 millones de hectáreas de superficie sembrada en 2009” (REDD+PY , 2012, p. 34).

CHAPTER 1. SCOPE AND DELIMITATION

I. Problem formulation

In Mexico the concept of social participation is increasingly used in environmental management. Mexico has legal and regulatory bases to promote social participation. The concept of “participation” has been included in institutional designs like “consultation mechanism, citizen attention mechanism and governance transparency. These institutional designs have assist society participation in different process and sector activities” (SEMARNAT 2008, p. 5).³

However, there are few schemes involving forest-owning communities in the design, operation and decision making areas around REDD+ (ENAREDD+ 2012). CONAFOR (2011) has noted that REDD+ is little known among many of the actors involved in implementing the *National Strategy of REDD+* (ENAREDD+) towards 2020, especially among indigenous peoples, forest owning *ejidos* and communities. According to CONAFOR, these actors are still not fully involved in REDD+ processes. Also, it is acknowledged that they need special attention according to each particular situation: “The actors and sectors in Mexico that live in forests or participate in forest management present diverse socioeconomic and geographical conditions that require a specific and bidirectional exchange of information, that is, communication not only from the authorities to the actors and sectors, but also in the opposite direction” (CTC-REDD+ et al. 2012).⁴

³ My translation. The original says: “mecanismos de consulta, atención de la ciudadanía y transparencia en la gestión pública, lo que ha favorecido la participación de la sociedad en numerosos procesos y actividades del sector [...]” (SEMARNAT 2008, p. 5).

⁴ My translation. The original says: “Los actores y sectores que habitan o participan en la gestión de los bosques en México presentan diversas condiciones socioeconómicas y geográficas que demandan una atención de intercambio de información específica y bidireccional, es decir, una comunicación no sólo desde las autoridades hacia estos actores y sectores, sino también en sentido inverso” (ENAREDD+, 2012:63).

II. Research demand

A. Needs identified

Since the start of the preparation process, many organizations involved in the elaboration of the ENAREDD+ have identified social participation as one of the most important elements for the implementation of REDD+.

Several documents like Mexico's Vision on REDD+: Towards a National Strategy (2010), Legal Preparedness for REDD+ in Mexico (2010), Design Elements for the National Strategy REDD+ (2011) and even ENAREDD+ (2012) show the necessity to emphasize the importance of social participation to guarantee the rights (information, accountability and transparency) of the participants besides an institutional framework.

During the REDD+ process several issues and challenges have arisen. One of these is the inclusion of social participation in the development process at both national and subnational levels.

Figure 1.- Research demand



Source: Own elaboration from Angelsen, A. con Brockhaus, M., Kanninen, M., Sills, E., Sunderlin, W. D. y Wertz-Kanounnikoff, S. (Ed.) (2010): La implementación de REDD+: estrategia nacional y opciones de política. CIFOR. Bogor, Indonesia and (ENAREDD+ 2013).

B. The importance of social participation in forest management

According to Chapela “Mexico is distinguished from other Latin American countries because of its early agrarian reform which meant the recognition of property rights on agricultural, livestock and forestry land to indigenous communities who were restored its territories or to farmers groups to that they were given ejidos”⁵ (Chapela, 2007 in Chapela et al. 2012, p. 32). As result from the above now between 50% and 60% of the forest is considered property of communities or ejidos.⁶ Because of that it is essential to include their participation and commitment in the protection of the areas and its sustainable use.

Community participation in resources protection may avoid its degradation or loss. As Benet (Benet 1999, p. 2) mentions, some of the underlying causes identified in the deterioration of natural resources are the lack of mechanisms for assessment, recognition and incorporation of local management, environmental services and costs in local accounts, state and national.

In order to make forest management more efficient it is necessary to understand and incorporate the dynamics of communities in the resources management. This incorporation "promotes transparency, environmental management, control and accountability, improves the performance of the responsible actors when making decisions, reduces the potential for conflict and strengthens the evaluation and monitoring policy and strategies. It helps to build trust and collaboration spaces between society and government, and to find jointly resolutions environmental problems" (CCDRS 2010, pp. n.d.).⁷

⁵ My translation. The original says: “México se distingue de otros países latinoamericanos, por haber realizado de manera temprana una reforma agraria que significó el reconocimiento de los derechos de propiedad sobre tierras agrícolas, pecuarias y forestales a comunidades indígenas a las que se les restituyeron sus territorios o a grupos de campesinos a los que se les dotó de ejidos.” (Chapela, 2007 in Chapela et al. 2012, p. 32).

⁶ 55% for Madrid et al. 2009, p. 184) and 50 - 60% for ENAREDD+ 2013, p. 16).

⁷ My translation. The original says: “A través de ella se favorece la transparencia, la fiscalización de la gestión ambiental y la rendición de cuentas, se mejora la actuación de los responsables de la toma de decisiones, se reducen las posibilidades de conflictos y se fortalece la evaluación y el seguimiento de las políticas y estrategias. Esto coadyuva a la construcción de espacios de confianza y colaboración entre sociedad y gobierno y a la resolución compartida de los problemas ambientales” (CCDRS 2010, pp. n.d.).

Tim Forsyth (2009) has identified some benefits of including local actors in the decision making, such as cost reductions, the increase of local adaptability capacities and the reinforcement of transparency and accountability in the forest governance. However Mexico does not have numerous cases of environment programs that have taken into account the social participation component.

III. Research question and objectives

A. Question

Has the REDD+ process as implemented by Mexico been participative?

B. Objectives

1. To describe the REDD+ process implemented by Mexico at national level.
2. To describe the REDD+ process implemented by Mexico at subnational level.
3. To analyze the social participation component of the REDD+ process at subnational level.

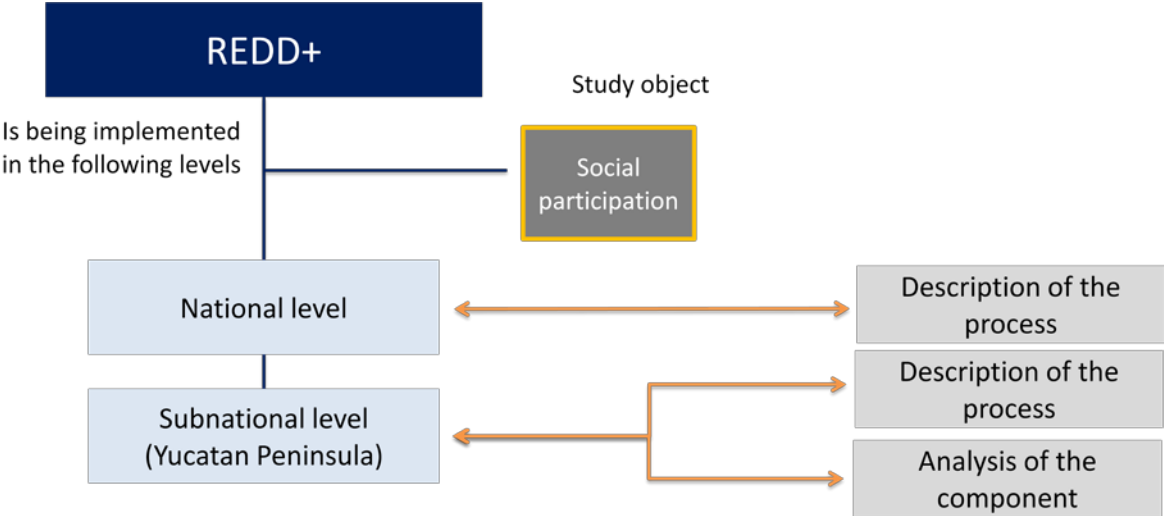
C. Objects of study

The fact that the National REDD+ Strategy is currently under development presents an opportune time to assess the degree to which its process has addressed the issue of social participation and to make recommendations for the future process.

With this in mind, the study object of this investigation is the social participation component in the REDD+ process as implemented in Mexico. For the subnational level the process we will analyze the process as carried out in the State of Yucatán, which is located in one of the Early Actions areas (see *Figure 2.- Research delimitation*).

The selection of the Yucatan Peninsula over other REDD+ early areas is because it is relevant that the three states have decided to join efforts for the preparation of the strategy. Moreover, the selection of Yucatán is because this state was responsible for guiding the process of development of the REDD+ PY.

Figure 2.- Research delimitation



Source: Own elaboration

CHAPTER 2. THEORETICAL AND METHODOLOGICAL FRAMEWORK

I. State of the art

It is widely recognized that the conservation of forests depends on key factors like the stimulation and support of the countries that host these forests and the people who live in them (Gebara 2013, p. 475). However the issue about if and how to include all the relevant stakeholders for the conservation has not always been discussed, especially in regard to local communities and indigenous peoples. It is only since the *United Nations Conference on Environment and Development* (UNCED) pointed out that “dealing with the environment and socio-economic development should involve active ‘participation’ by affected groups and civil society” that this aspect is considered to be not only desirable but necessary if sustainable development objectives are to be met (Felicani Robles 2013, p. 19).

The consequences of a lack of social participation are clear: “Without proper involvement of forest communities and respect for peoples’ rights, REDD policies and commodity markets such as global carbon threaten to generate land seizures, displacement, conflict, corruption, impoverishment and cultural degradation” (see White 2008; Griffiths 2008, p.4). On the other hand, as Hajek et al (2011) say “where local participation has been effectively implemented, it has proven to be a key element for the success of REDD+ in terms of both empowering local stakeholders and addressing some of the underlying social drivers of deforestation” (Hajek et al 2011, cited in Gebara, 2013, p.478).

Gebara (2013, p. 478) points out that “the key role that local participation must play in the design and implementation of REDD+ activities is also important since the REDD+ activities could impact the relation that local communities have with the forest, especially when some economic benefits could be introduced as part of REDD+ schemes (Griffiths 2008; Peskett et al. 2008)”. This could also “encourage

them either to continue their current behavior or to change it – for better or for worse” (Gebara 2013, p. 474).

The participation of the local communities is not only about some economic benefits and their distribution, but also about the way REDD+ could impact land ownership. As Felicani says: “REDD+ has impacts on and is affected by customary land ownership in two key ways. On one hand, as much of the forest land that will become part of REDD+ is customarily owned or occupied, REDD+ will be ineffective without the full participation of customary land owners. On the other hand, REDD+ may pose threats to land users and customary landowners where insecure land tenure or inadequate protection from state authority can make local communities and indigenous peoples vulnerable to dispossession. Care must be taken to ensure that customary landowners give their free, prior and informed consent to decisions affecting their lands of customary tenure. This should be formalized in REDD+ readiness plans and associated legislation” (Felicani Robles 2013, p. 5).

In 2009, the concern about the effects of the implementation of any programs and projects on Indigenous People and their environment and natural resource brought about the adoption of the Anchorage Declaration as a recognition of Indigenous People’s right of Self Determination and right to Free, Prior and Informed Consent (Anchorage Declaration 2009, p. 1).

The Anchorage Declaration states that “all initiatives under REDD must secure the recognition and implementation of the human rights of Indigenous Peoples, including security of land tenure, ownership, recognition of land title according to traditional ways, uses and customary laws and the multiple benefits of forests for climate, ecosystems, and Peoples before taking any action” (Anchorage Declaration 2009, p. 3).

The importance of taking into account the rights of the people involved was emphasized by indigenous peoples, forest movements and forest policy experts, they adressed that “effective and sustainable policies on forests and climate

change mitigation must be based on the recognition of rights, respect for the principle of *Free, Prior and Informed Consent* (FPIC) and requirements for progressive forests sector tenure and governance reforms. [...] without these preconditions, REDD incentives and methodologies will suffer serious moral hazards (paying polluters and forest destroyers), risk marginalizing forest peoples and fail to tackle the underlying causes of deforestation” (Griffiths 2008, p. 1).

The role that communities should play in the management of land and forest resources should be addressed in the REDD+ framework. Also, the role of women as the primary users of the forest should be tackled. “In general terms, participatory law developments will be fundamental to ensure that local communities’ values, as well as their cultural and ethnic principles, are reflected in provisions related to REDD+” (Felicani Robles 2013, p. 6).

The issue about the social participation in REDD+ has been documented as a key for the success of the program, since “a multi-stakeholder participatory process in relation to REDD+ [will] facilitate institutional cooperation and provide opportunities to relevant branches of the government at different levels for exchanging information before a decision is made. Effective and meaningful public participation may contribute to building capacities and raising awareness among forest-dependent communities about REDD+ mechanisms, and improve their knowledge with regards to existing forest and environmental legislation. In particular, participatory processes may help in identifying land uses in areas selected to develop REDD+ projects and prevent or resolve local conflicts” (Felicani Robles 2013, p. 19).

Even when social participation has been recognized as essential for REDD+ success, it is unclear if there is a real will to take into consideration the issues relating to the participation of local stakeholders and how it affects their rights or whether it is just a rhetorical position (Peskett and Brockhaus 2009, p. 25).

The issues around social participation in REDD+ and how to implement it could create controversy, which is largely due to the difference between the positions of

the actors - governments, international organizations, NGOs, the private sector, and local and indigenous groups- (Pesckett, Brockhaus 2009, p. 25).

With the objective to “take into account the full and effective participation of relevant stakeholders, inter alia indigenous peoples and local communities”, some principles or safeguards have been established that countries need to promote and support (UNFCCC 2010, p. 12). *According to United Nations Framework Convention on Climate Change (UNFCCC)*⁸ these safeguards are:

- Actions that complement or are consistent with the objectives of national forest programs and relevant international conventions and agreements;
- Transparent and effective national forest governance structures, taking into account national legislation and sovereignty;
- 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;
- The full and effective participation of relevant stakeholders, in particular indigenous peoples and local communities;
- Actions that are consistent with the conservation of natural forests and biological diversity, ensuring that the 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;
- Actions to address the risks of reversals;
- Actions to reduce displacement of emissions.

Coupled with the issue of safeguards “the principle of FPIC has been rising since Indigenous Peoples have become increasingly concerned about REDD given the

⁸ The UNFCCC is an international environmental treaty produced at the United Nations Conference on Environment and Development (UNCED), also known as Earth Summit, which was celebrated on June 1992 in Rio de Janeiro, Brazil.

often poor track record of governments and the private sector in recognizing their rights and interests in forest policies” (Peskett et al. 2008, p. 15).

In spite of the recognition about the inclusion of indigenous people and local communities and the respect of their rights, proposals on decisions on REDD+ do not always include clear commitments to address rights and equity issues. “It is also noted that although new international forest and climate funds like the UN REDD Programme have pledged to uphold the UN Declaration on the Rights of Indigenous Peoples and to apply a rights-based approach, they seem reluctant to condition REDD funds on rights recognition and they lack effective oversight and accountability mechanisms” (Griffiths 2008, p. 3). Even the World Bank’s Forest Carbon Partnership Facility concluded that in the early operations, in spite that its own rules asked for prior consultation, governments did not apply such rules and forest peoples were not included in REDD plans (Griffiths 2008, p. 3).

Griffiths foresees problems if the social participation component is not adequately addressed in REDD projects: “Unless indigenous peoples, communities and civil society in tropical forest countries are able to secure full and effective participation in the development of public policies on forests and climate change mitigation, there is a real risk that REDD policies and interventions will end up reinforcing the *status quo* and serving the interest of forest departments, conservation organizations and local elites” (Griffiths 2008, p. 18).

Today, the discussion about the importance of social participation and how a REDD+ mechanism builds with the local people is more likely to succeed. However, there are no guidelines about how far participation should go, that is, what degree of participation will be essential in the design and implementation of REDD. Until now, “the work has centered on criticism of REDD processes for their poor involvement of indigenous and local forest communities in negotiations and lack of clear commitments in intergovernmental REDD proposals to address rights and equity issues of local people” (Griffiths 2008). The discussion is far from over: “There are still questions about what kinds of institutional and governance features

are desirable for REDD to meet the needs of communities and indigenous people, including participation in REDD decisions” (Wollenberg 2009, p. 7).

II. Conceptual framework

A. REDD+

REDD+ Definition

In 2005 the theme of how to avoid deforestation was brought to the agenda of the *Conference of the Parties* held in Montreal (COP 11). Subsequently, in 2007 during COP 13 held in Bali, the UNFCCC recognized the reduction of emissions from deforestation and forest degradation (REDD) as a valid mechanism in the fight against climate change.

According to the *Bali Action Plan* (UNFCCC, 2007) REDD+ is the “mechanism which seeks to reduce emissions from deforestation and forest degradation as well as to enhance conservation, sustainable management and enhancement of carbon stock of forests”.

At a local level, as stated in Mexico’s *General Law on Climate Change* (Congreso de la Unión, June, 2012), REDD+ aims to contribute to the mitigation of greenhouse gases and move at a rate of zero percent carbon loss in the original forest ecosystems, raising policy measures and actions that should be incorporated in planning instruments. The measures and actions include simultaneous mitigation and adaptation through a comprehensive land management and low carbon emissions.

REDD+ in the Mexican context

In addition to the recognition of the two main components - to reduce the drivers for deforestation and degradation and increase incentives for the conservation, management and restoration of forest resources (CTC-REDD+ et al. 2012) -, Mexico has focused the implementation of the REDD+ mechanism within the

concept of Sustainable Rural Development. The purpose is to “generate synergies with other policies of sustainable development that the country has been promoting” (Cultura Ecológica 2013, p. 8).⁹

REDD+ implementation approach

REDD+ will be implemented through a series of phases (UN-REDD 2011, Maniatis et al. 2013). This approach seeks to face the different challenges that REDD+ entail. REDD+ activities are broken down into the following three phases:

Phase 1. Readiness. Development of national strategies or action plans, policies and measures, and capacity building.

Phase 2. Implementation of national REDD+ policies and measures. Implementation of national policies and measures and national strategies or action plans that could involve further capacity building, technology, development and transfer, and results-based demonstration activities.

Phase 3. Full-scale implementation. Results-based actions that should be fully measured, reported and verified (UN-REDD 2011, p. 7).

The ‘REDD+ readiness’ phase is the period of capacity building. “It includes the preparation of a national REDD+ strategy and its legal and institutional implementation framework, development of national forest reference emission levels and/or forest reference levels and the implementation of a national forest monitoring system that includes a GHG¹⁰ measurement, reporting and verification (MRV) system” (Maniatis et al. 2013, p. 3).

The first phase, readiness, entails “a detailed assessment of the forest sector and conditions driving deforestation. Countries must identify, prioritize and test REDD+ policies and measures, and then develop a management and consultation plan to

⁹ My translation. The original says: “[...] generar sinergias con otras políticas de desarrollo sustentable que el país ha veni-do impulsando.” (Cultura Ecológica 2013, p. 8).

¹⁰ Greenhouse Gas. As part of the 16th session of the Conference of the Parties decisions, countries should develop a system for Measurement, Reporting and Verification of greenhouse gas emissions and mitigation.

support REDD+ pilot activities. Appropriate modifications to legal, economic and financial frameworks for REDD+ implementation must then be put in place. REDD+ readiness also requires countries to: establish a carbon emissions reference scenario and the means for monitoring these emissions, and assess and subsequently monitor social and environmental impacts of REDD+ implementation” (Climate Focus n.d., p. 1).

Derived from COP 16, the countries that would like to implement the REDD+ mechanism may do so on different subnational levels: state, regional and local and in phases which have not to be necessarily sequential. “In either way there must be an alignment between the public policies and the legal framework” (SEMARNAT, CONAFOR 2013) (see *Figure 3.- REDD+ Implementation stages in Mexico*).

Figure 3.- REDD+ Implementation stages in Mexico



Source: Developed from SEMARNAT, CONAFOR 2013.

B. Safeguards

According to CONAFOR “the safeguards are principles, conditions or social and environmental criteria which, starting from the implementation of a national and international legal framework, ensure the attention, participation and improvement of the conditions of specific and vulnerable groups, as well as the protection of the

environment. The idea behind the safeguards is that environmental and social benefits need to be guaranteed in order to serve as a basis to support sustainable REDD+ policies” (2013, p. 54).¹¹

Mexico is responding to the several international requirements related to REDD+ safeguards. “In first place the obligations under the UNFCCC. “Its seven safeguards specifically state that they must be addressed and respected throughout the implementation of REDD+ in Mexico” (Rey et al. 2013, p. 12).¹² The UNFCCC safeguards “cover a wide range of issues, including good forest governance, respect for the rights of local communities and indigenous peoples, the protection of biodiversity and the sustainability and integrity of emissions, among others” (Rey et al. 2013, p. 21).¹³

From the safeguards, the one engaged in the full and effective participation of indigenous people and forest dependent communities is related to several cutting issues (Cortez et al. 2010, p. 30). This safeguard “stresses the appreciation of local knowledge and sustainable uses of natural resources, and the need to better understand the needs, priorities, practices and values of indigenous and local communities” (Borrini-Feyerabend et al. 2004, p. 25). This safeguard is also related to the community right to FPIC.

Mexico not only has to address these safeguards, it also has to report the way they are being respected and guaranteed. In order to do so, Mexico and each country need to establish a Safeguard Information System (SIS). A SIS would allow to “define how safeguards should be addressed consistently, and ensures that all

¹¹ My translation. The original says: “Son principios, condiciones o criterios sociales y ambientales que a partir de la implementación del marco legal nacional e internacional, estándares y buenas prácticas, garantizan la atención, participación y la mejora de condiciones a grupos específicos y vulnerables, así como la protección al medio ambiente”(CONAFOR 2013, p. 54).

¹² My translation. The original says: “En primer lugar se destacan las obligaciones que emanan de la Convención Marco de Naciones Unidas sobre el Cambio Climático (CMNUCC). Estas específicamente establecen siete salvaguardas que deberán ser abordadas y respetadas durante la implementación de las actividades de REDD+ en México” (Rey et al. 2013, p. 12).

¹³ My translation. The original says: “Estas salvaguardas cubren una amplia gama de cuestiones, incluidas la buena gobernanza forestal, el respeto de los derechos de comunidades locales y pueblos indígenas, la protección de la biodiversidad y la sostenibilidad e integridad de las emisiones.” (Rey et al. 2013, p. 21).

REDD+ measures within a country are covered by the same safeguards policies, regardless of the source of funding or initiative” (Rey et al. 2013, p. 6).¹⁴

C. Guidelines on Free, Prior and Informed Consent (FPIC)

FPIC applies to REDD+ with respect to “potential changes in the management of resources that could impact significantly on the fundamental rights of indigenous peoples and, where relevant, of other communities that depend on forests” (Laughlin 2013). The *UN-REDD Programme Guidelines on Free, Prior and Informed Consent (FPIC)* (Laughlin 2013) outlines a framework to obtain FPIC as the REDD+ activities may affect the rights and interests of communities that depend on forests. This document identifies the following principles and considerations:

- The national strategy on REDD+ must recognize the duties and obligations of States to obtain the FPIC of indigenous peoples and, where applicable, other communities that depend on forests.
- The strategies on REDD+ should take into account that the implementation could affect the rights of indigenous peoples, especially their rights to own, use and manage their lands, resources and territories to ensure their traditional livelihood or survival, or not to be relocated by force, to self-determination, culture and equality before the court.
- The strategies on REDD+ should commit to rights holders through their own representative institutions and those representatives elected by the people themselves according to their own proceedings. Respect methods of inquiry and decisions that they use are strongly encouraged that all holders of formal and customary rights are represented in the decision-making process, especially women.

¹⁴ My translation. The original says: “ [...]definir cómo deben ser abordadas las salvaguardas de manera coherente, y asegurar que todas las medidas REDD+ dentro de un país estén cubiertas por las mismas políticas de salvaguardas, independientemente de la fuente de financiamiento o la iniciativa.” (Rey et al. 2013, p. 6).

D. Nested approach

The REDD+ actions in Mexico have been developed according to the Nested Approach. This approach is a “proposed framework for structuring effective incentive mechanisms for REDD+ at multiple scales, in which early REDD+ actions are being developed by communities, civil society and governments at the local or subnational level. Nesting allows incentivizing such early actions and to insert them into broader subnational and later national REDD+ schemes once these are fully developed” (Schneider n.d., p. 1).

The nested approach is only one of the ways to structure REDD+ implementation, yet has certain advantages. “Under a nested approach the national government could set up a national accounting framework and establish a nation wide monitoring system. The national government could implement certain policy reforms that would lead to verifiable emission reductions and therefore earn incentives from an international system (or a bilateral arrangement). Meanwhile, implementation of REDD+ activities could also occur at the subnational level led by local/regional governments, communities, NGOs, or private developers. These activities would account for emission reductions at the subnational level and earn incentives directly from the international (or bilateral) system based on those reductions” (Cortez et al. 2010, p. 4).

Cortez et al. note that a nested approach to REDD+ has the potential to “address many of the drawbacks of pure national or pure sub-national approaches by accounting for in-country leakage, engaging national governments, and taking advantage of certain economies of scale, while also motivating sub-national actors to participate in REDD+ and attracting greater private investment” (2010, p. 4).

E. Stakeholders regarding REDD+

In order for REDD+ to be successful, “incentives will need to reach the actors responsible for addressing the drivers of deforestation and for shifting land use to a more sustainable and low carbon model. These actors span multiple scales, from

international commodity buyers to national governments to subnational governments to indigenous peoples and forest dependent communities to individual landowners-users” (Cortez et al. 2010, p. 4).

The REDD+ mechanism implies the design of a variety of decision-making process policies and the identification of several actors that should be involved.

The literature names different stakeholders when discussing REDD+. To start with this recognition it is necessary to first identify the objectives and interest of these stakeholders. “Depending on the objective of stakeholder engagement and the type of decision being made, different actors may be considered stakeholders in any given process. Individuals or groups that have a vested, direct interest in forests, agriculture and rural development may all be key stakeholders for REDD+. Stakeholders can be grouped into government or public sector, civil society, private sector, the general public and consumers, and the external community, such as international financial institutions. They can also be rights-holders such as property owners, women, indigenous peoples and tribal groups, communities or individuals that hold traditional or formally recognized usufruct (and/ or other) rights to land or resources that will be affected by the decisions being made“ (Felicani Robles 2013, p. 20).

According to Daviet, “many efforts have been made to map major categories of REDD+ stakeholders, which generally include individuals or groups that have an interest in forests, agriculture, and rural development” (2011, p.11). Broadly speaking, one approach for grouping stakeholders is the following:

- Government or public sector: central or federal, state/regional or provincial/ district, and municipal level institutions and dependencies.
- Domestic civil society (not for profit): NGOs, religious denominations, universities, research institutes, farmer organizations, indigenous peoples’ organizations, worker/trade unions, community organizations, and organizations that represent women, youth, and other vulnerable groups.

- Private sector (for profit): firms, associations, organizations, cooperatives, and individual proprietors, such as banking, transport, industry, marketing, professional and media services.
- Rights-holders: property owners, indigenous peoples and tribal groups, communities or individuals that hold traditional or formally recognized usufruct (and/or other) rights to land or resources that will be impacted by the decisions being made.

Daviet notes that “there are other ways to capture differences between stakeholders, including their current levels of capacity and ability to influence decision making processes compared to what will be needed to achieve an effective and equitable REDD+ outcome. Many who currently work with local communities also indicate that gender and age considerations may be other aspects of stakeholder mapping that are very important even within categories of stakeholders” (Daviet 2011, p. 11). It is also relevant to think about stakeholders not as a unit, but rather “as different groups of actors, individual interests characterized by a particular set of factors that motivate participation in REDD+” (Peskest and Brockhaus 2009, p. 25).

There is recognition that “providing direct incentives to subnational activities will motivate greater participation by actors with direct control over land use decisions, including subnational governments, indigenous peoples and forest dependent communities, and landowners/users. Such widespread involvement of stakeholders in REDD+ initiatives is essential for sustained success” (Cortez et al. 2010, p. 9).

F. Social participation

Evolution of the concept of participation by objective manner and scope

In general, the incorporation of community dynamics in environmental management has been addressed through concepts such as "participation", "public participation", "community participation" and "social participation". The notion of

participation has acquired different meanings depending on the circumstances, implementation form, aim and scope.

Borja states that “according to some authors to participate is to embrace diversity and conflict; and assume the plurality of legitimate competing interests” (Borja 1993, in (Treviño 1998)).¹⁵ “It can be seen as a "meeting" between social groups, classes, interest groups and immovable postures” (Fadda Cori, 1990 quoted by (Treviño 1998)).¹⁶ “Participation is thus the collective process in which the various social categories are involved in all areas of social life, i.e., participation is actors making decisions” (Montalvo, 1981 quoted by Treviño 1998, p. 23).¹⁷

Participation types

The literature distinguishes the concept of participation between public, citizens, communities, and / or social participation. These concepts are used as equivalents in some cases and in others as different categories. The term includes the decisions of individuals; therefore it is a constantly changing concept, with dynamic scenarios and different circumstances. The following describes each of the concepts according to their specific characteristics:

1. Public participation: In the context of environmental management, “public participation is the right of individuals to participate in environmental decision making, which allows choosing the best decision and implement it effectively; expressing concerns and serving as a basis to support access to environmental justice” (Uribe Malagamba, J. Pablo, Moguel Archila 2009, p. 4)
2. Citizen participation: The citizen participation is a "process that involves the state and government bodies, and individuals, groups and social actors who

¹⁵ My translation. The original says: “ De acuerdo con algunos autores, que participar es asumir la diversidad y el conflicto; asumir la pluralidad de intereses legítimos y contrapuestos.” (Treviño 1998, p. 23).

¹⁶ My translation. The original says: “Puede verse como un "encuentro" entre categorías sociales, clases, grupos de interés y establecimientos inmóviles” (Treviño 1998, p. 216).

¹⁷ My translation. The original says: “La participación es, así, el proceso colectivo y total en el que las diversas categorías sociales intervienen en todos los ámbitos de la vida social, es decir, la participación es la toma de decisiones (Montalvo, 1981) de los actores sobre sus prácticas cotidianas y la búsqueda de solución a sus problemas” (Treviño 1998, p. 216).

interact to decision making, to find solutions to particular problems" (SEMARNAT 2008).

3. Community participation: This type of participation means "the possibility for the community to be the major player in their needs identification, problem solving, undertakes projects and management resources for the improvement of their living conditions" (Amar y Echeverría, 2006, quoted by Ferney 2011, p. 29).¹⁸
4. Social participation: Social participation in environmental management operates in different forms and levels, according to their purpose and to the participation in the decision-making. This type of participation have the objective to reach a consensus between the stances of authorities and the community to achieve strategies and public policy (Carrillo, Delgado 2003).

According to Borja, "social participation has a dual function: to criticize public institutions and political parties' particularism, and to express and defend legitimate interests, social groups or territorial areas" (1989 cited in Ferney 2011, p. 37).¹⁹ Social participation is the area where people can participate through a civil organization, in order to build a society, through the creation of mechanisms that will "strengthen as citizens and engage them in a new way in public management" (Aguilar Valenzuela 2006, p. 2).²⁰

The term of participation is also commonly used as consultation. "Both terms try to describe the stakeholder engagement process for REDD+ activities or decision" (Daviet 2011, p. 5). However, they are not the same. Participation means that "stakeholders are playing an active part and have a significant degree of power and influence" (Burns et.al. 2004, p.2). For the purpose of this thesis, social

¹⁸ My translation. The original says: "la posibilidad que tiene la comunidad de ser actor principal de sus soluciones, cuando se organiza, identifica necesidades, emprende proyectos, gestiona recursos para el mejoramiento de sus condiciones de vida" (Amar y Echeverría, 2006, quoted by Ferney 2011, p. 29).

¹⁹ My translation. The original says: "La participación social cumple entonces con una doble función, la de criticar el particularismo que acecha a las instituciones públicas y a los partidos políticos, y la de expresar y defender intereses particulares legítimos, de grupos sociales o zonas territoriales" (Borja, 1989 cited in Ferney 2011, p. 37).

²⁰ My translation. The original says "[...] mecanismos que les fortalecen como ciudadanía y les hacen participar de nuevas maneras en la gestión de lo público" (Aguilar Valenzuela 2006, p. 2).

participation refers broadly to the “involvement of stakeholders in decision making or actions” (Daviet 2011, p. 5).

For Daviet (2011, p. 6) there are two types of decision-making structures:

- Direct participation in decision making, which occurs when participating stakeholders are collectively engaged in making the decision. Each stakeholder exercises an influence equal to his or her vote or veto power.
- Indirect decision making occurs when a third party makes a decision on behalf of stakeholders. The third party could be an elected representative. However, there are many different levels of “representation,” and how the representative is selected may be central to whether or not the approach is seen as legitimate. A third party decision maker could be a judicial or administrative officer appointed by the government third party (Foti, Silva 2008, p. 27), or a person selected by stakeholders themselves, either in relation to the specific decision being made or selected as a result of an existing decision making platform (Daviet 2011, p. 6).

In practice, a range of approaches for capturing stakeholder perspectives can be applied whether direct or indirect decision making structures are being used (Recabarren, S. y Aubry, M. 2005) (Geilfus 1997). These approaches can be used individually or in combination to achieve desired outcomes. *Table 1.- Spectrum of stakeholder participation* provides an overview of the spectrum of approaches captured in stakeholder participation literature, in order of increasing engagement (Daviet 2011, p. 6).

Table 1.- Spectrum of stakeholder participation

Type of Engagement	Description
Information Sharing	Mostly a one way flow of information, e.g., from government to public, or public to government. Objectives are to keep actors informed, provide transparency, and build legitimacy. This can be done through simple outreach approaches (e.g., website, fact sheets, press releases, presentations).
Consultation	Two-way flow of information and the exchange of views. Involves sharing information, garnering feedback and reactions, and in more formal consultation processes responding to stakeholders about how their recommendations were addressed (including if they were not, why not). Information exchanges may occur through meetings with individuals, public meetings, workshops, soliciting feedback on documents, etc.
Collaboration	Joint activities in which the initiator invites other groups to be involved, but retains decision making authority and control. Collaboration moves beyond collecting feedback to involving stakeholders in problem solving, policy design, and monitoring and evaluation. Approaches may include advisory committees, joint missions, and joint implementation activities.
Joint Decision Making	Collaboration where there is shared control over a decision made. Shared decision making is useful when the stakeholders' knowledge, capacity, and experience are critical for achieving policy objectives.
Empowerment	Transfers control over decision-making, resources, and activities from the initiator to other stakeholders. When stakeholders, acting autonomously and in their own interests, can carry out policy mandates without significant government involvement or oversight (e.g., local natural resource management zones).

Source: Foti, Silva 2008 (in Daviet 2011, p. 6.)

Arnstein pointed out that no one was against participation but there was very little analysis of the content. The first approximation suggested by him was that participation is the “redistribution of power that enables the excluded to be deliberately included in the future. [...] In short, it is the means by which they can induce significant social reform which enables them to share in the benefits of the affluent society” (Arnstein 1969, p.216). For this study an effective social participation means “significant influence of all groups of rights holders and

relevant actors who want to be involved throughout the process and includes informed consent” (SES 2012a, p. 18).

III. Theoretical framework

A. Common resource management

In the literature about common resource management the involvement of local peoples has been noted as a key issue. The REDD+ literature is no exception. As Agrawal & Angelsen (2009, p. 202) point out “the people who live within the forests are the ones who can manage them best”.

Actually some authors agree that the idea behind the common resources originated from the collective awareness and agreement of the involved stakeholders (Ansari, Gray and Wijen in Jankovits 2012, p. 19). From the same stakeholders comes the idea of the common resources as a vulnerable resource that needs preservation. This ‘necessity of preservation’ is also originated from the views of the actors which perceive that the resources and even their own interest as dependents, are vulnerable.

The relation between the commons resources and the involvement of the stakeholders has also another linkage and this is the prevention of conflicts that could emerge from the management of this type of resources. In many cases the conflicts are originated because of the assumption that the problems are ‘self evident’ (Adams et al. 2003, p. 1915) and therefore the solution will come by ‘it self’.

However, the question of how the forest community could participate in the management of common resources must receive higher attention in order for this management to become successful. And to do so is essential considering how the stakeholders understand the issues around the resources, and how their institutions, rules and values work. With this it is possible to generate an effective dialogue. This dialogue and exchange of views will make it possible to recognize if

there are already some kind of co-operations and, if not, identify opportunities for developing future co-operation in the commons resource management (Oakerson, 1992, and Adams et al. 2003, in Grimble 1998, p. 10).

Communities where there are bounded groups which a shared history are more likely to engage in effective resource management (Ratner, B., Meinzen-Dick, R., May, C., & Haglund, E. 2013, p. 189). They already have a cohesion based on ethnicity, location, religion, and shared values, which is reinforced by working together. That is, they already have this “social capital” that can reduce conflict between communities at the most local level, but may contribute to conflict with other groups (Ratner, B., Meinzen-Dick, R., May, C., & Haglund, E. 2013, p. 190).

B. Stakeholders involvement

The development in the 1990s of stakeholder analysis in natural resource management surged from the concern that many projects have not met their stated objectives due to non-cooperation or even opposition from key stakeholders. In many occasions the specific stakeholders that were not cooperative were local people (Grimble 1998, p. 1), which are the ones that are often excluded from decisions about common resources, especially when there is a top down decision.

In response to this concern, the Stakeholder Analysis starts from the idea that there exist different groups of stakeholders, different stakeholders involved in the usage and conservation of natural resources. The Stakeholder Analysis enables the identification of different interests, helps to partly understand other stakeholders’ point of views, and seeks trade off opportunities between them. (Grimble 1998, p. 1; Warner 2007, p. 12).

The recognition of interest groups allows to understand two main consequences: First, the stakeholders include a whole range of groups “from formal or informal groups of men or women, farmers to government bodies or international agencies and multinational companies” (Grimble, 1998, p. 1). Second, their diverging interests could be a source of conflicts around the common resource management.

If we understand and recognize the essence of the multiple interests, the conflicts can be solved through reconciliation (Adams et al., 2003). A way to recognize the multiple interests in the common resources management is through the construction of decision making spaces where the stakeholders could discuss their issues (Sikor et al. 2010, p. 424). According to Ribot et al. (2008), for the construction of this participation space is necessary “the use of procedures in policy-making and policy implementation that encourage public participation, democratic control over forests, and the conduct of local affairs in ways that involve community participation (Ribot et al., 2008 in Sikor et al. 2010, p. 424).

To have a policy making procedure open to the participation from stakeholders influences positively the institutions that emerge from this process and at the same time the characteristics of the stakeholders because they have access to the decision-making process (Ratner, B., Meinzen-Dick, R., May, C., & Haglund, E. 2013, p. 191).

However there are other issues that need attention, like the recognition that within the stakeholders differences exist, not only between their issues but also in the way the decisions affect them. Also, they can be the ones who affect a decision, since the stakeholders are involved in both active and passive ways (Grimble 1998, p. 2). As Warner (2007, p. 15) points out, “in practice, the stakeholders are not often self-selecting and self-motivated, they are often invited to participate by external facilitators”. Even when this participation space is already present, this does not automatically mean the ‘enthusiastic involvement of stakeholders’: “It is important to understand that groups may well exclude themselves from the process, as they feel the benefits from participating do not justify the (opportunity) costs” (Warner 2007, p. 15).

According to Burns et al (2004, p. 3), the following issues need to be taken into account when dealing with the inclusion of stakeholders:

- An understanding of the composition, needs, priorities, tensions, strengths and existing networks of communities.

- The need for partnership working and resourcing of participation at all stages of the regeneration process.
- Sensitivity around accountability and representative structures – building effective structures and infrastructures that strengthen communities rather than divide them.
- The need for a range of wider (formal and informal) ways in which people can participate in debate and discussion, creating some local ownership and control.
- The need for clarity and recognition of influence – evidence that communities have been heard, that decisions have been informed by communities.
- Recognition that people participate from a variety of different starting points and cultural experience and that this has implications for how people learn and contribute.

C. Variables to analyze social participation

As part of the concern about how to engage REDD+ stakeholders and recognize growing awareness at both international and national levels of the need for effective social and environmental safeguards, an initiative was created which “aim is to define and build support for a higher level of social and environmental performance from REDD+ programs” (SES 2012a, p. 18). This initiative developed Social and Environmental Standards (SES) “through a participatory and inclusive process from May 2009 through workshops in four developing countries and two public comment periods leading to publication of Version 1 in June 2010. An International Standards Committee representing a balance of interested parties including governments, Indigenous Peoples’ organizations, community associations, social and environmental NGOs and the private sector” (SES 2012, p. 2).

One of these SES is the full and effective participation of all relevant stakeholders (See Table 2.- Criteria and variables for full and effective participation of stakeholders).²¹

Table 2.- Criteria and variables for full and effective participation of stakeholders

Criteria	Framework of variables
<p>Identification of all stakeholders and characterizes their rights and interests and their relevance to the REDD+ program.</p>	<p>Stakeholders groups are identified and their rights and interests and relevance to the REDD+ program are characterized.</p> <ul style="list-style-type: none"> • Includes indigenous peoples and local communities. • With special attention to women, marginalized and/or vulnerable people. <p>Identifying potential barriers to participation.</p>
	<p>There is a procedure to enable any interested party to apply to be considered a relevant stakeholder. The procedure is transparent, impartial, safe and accessible for all relevant stakeholders, with special attention to women and marginalized and/or vulnerable people.</p>
<p>All relevant stakeholders groups that want to be involved in REDD+ program design, implementation, monitoring and evaluation are fully involved through culturally appropriate, gender sensitive and effective participation.</p>	<p>A process and institutional structure for full and effective participation are established and functional, taking into account statutory and customary institutions and practices.</p>
	<p>Consultations use socially and culturally appropriate approaches.</p>
	<p>All relevant levels of government are involved in the REDD+ program. Roles and responsibilities are clearly defined.</p>
	<p>Stakeholder groups select their own representatives.</p>
<p>The REDD+ program builds on, respects, supports and protects stakeholders knowledge,</p>	<p>Ensuring that customary institutions and practices, especially practices of women and marginalized and or vulnerable groups, are not undermined.</p>

²¹ The SES initiative makes a difference between Rights holders and Stakeholders. Rights holders are those whose rights are potentially affected by the REDD+ program, including holders of individual rights and Indigenous Peoples and others who hold collective rights. Stakeholders are those who can potentially affect or be affected by the program.

<p>skills, institutions and management systems including those of Indigenous Peoples and local communities.</p>	<p>Free, prior and informed consent is obtained for any use of traditional knowledge, innovations and practices of Indigenous Peoples and local communities.</p>
<p>The REDD+ program identifies and uses processes for effective resolution of grievances and disputes relating to the design, implementation and evaluation of the REDD+ program, including disputes over rights to lands, territories and resources relating to the program.</p>	<p>Includes national, local, regional, international and customary processes.</p> <p>Includes grievances and disputes over rights to lands, territories and resources and other rights relating to the REDD+ program.</p> <p>Includes grievances and disputes related to benefit sharing, participation and operational procedures of relevant international agencies and/or international treaties, conventions or other instruments.</p> <p>The processes are transparent, impartial, safe and accessible, giving special attention to women and marginalized and/or vulnerable groups.</p>
<p>The REDD+ program ensures that stakeholders have the information that they need about the REDD+ program, provided in a culturally appropriate, gender sensitive and timely way, and the capacity to participate fully and effectively in program design, implementation and evaluation.</p>	<p>Includes information about: REDD+ program design, implementation and evaluation; REDD+ program governance structures and processes including opportunities to participate in decision-making, and in design, analysis, monitoring and evaluation processes.</p> <p>The most effective means of dissemination of information about the REDD+ program are identified and used.</p> <p>Constraints to effective participation are addressed through capacity building.</p> <p>Stakeholders can access relevant legal advice.</p>
<p>Stakeholder representatives collect and disseminate all relevant information about the REDD+ program from and to the people they represent</p>	<p>With special attention to women and marginalized and/or vulnerable people. Ensuring adequate time to enable stakeholders to coordinate their input.</p>

Source: Adapted from (SES 2012a, p. 18).

Based on these criteria and framework, the most suitable variables to analyze social participation are the following:

- a. Stakeholders rights, interest and stance toward REDD+.
- b. Representation of the stakeholders.
- c. Potential barriers to participation.
- d. Process and institutional structure for stakeholders participation.
- e. Socially and culturally appropriate participation approach.
- f. Statutory and customary institutions and practices.
- g. Free, prior and informed consent.
- h. Processes for effective resolution of grievances and disputes relating REDD+.
- i. REDD+ information availability and dissemination.
- j. Legal advice.

The above variables are those used in this study to analyze the social participation in Mexico's REDD+ program.

IV. Methodology

A. Approach

The overall research method to be used is a mixed methodology that includes a desk review and consultations at different levels (national and subnational) as well as fieldwork in which mainly interviews are conducted.

B. Main concepts

The main concepts that guide this investigation are social participation and REDD+ process.

C. Scales

1. National level: to carry out the description of the REDD+ process in the readiness phase of REDD+ and the development of the ENAREDD+.

2. Subnational level: to carry out the description process and the analysis of social participation in the elaboration of the Regional Strategy of REDD+.

D. Steps

The main objective is analyze how the process has been carried out at national and subnational level from the point of inclusiveness of the social participation component (See *Figure 4.- Research approach*). In order to do so, the following steps will be conducted:



Source: Own elaboration.

Process review

To analyze how the REDD+ process has been carried out at national and subnational level. This step includes literature review to create a timeline with the activities developed around REDD+, and the classification of the activities according to different sources (documents, institutions, legal framework).

Variables and their analysis

Variables are set of indicators to be analyzed in order to evaluate whether the process has been participative or not. Their selection was based on a literature review described in the theoretical framework. They will enable the identification of the standards or best practices on participation in REDD+ projects.

The third step will be to analyze which of those variables were present or absent. The analysis will be performed based on the reports and minutes documenting the process at subnational level. The interpretation of the data is based on the selected

variables to determine whether the activities carried out allowed for a participatory process.

E. Study area selection

REDD+ planning and implementation in Mexico is taking place at the national and subnational levels. The REDD+ activities at subnational level have been implemented as “Early Actions” by CONAFOR. According to CONAFOR these “early actions are not full REDD+ demonstration or pilot projects, however aim to address specific issues that will play an important role in the implementation of REDD+ activities (e.g. public policy instruments, governance schemes, etc.), and at the same time assess various environmental, social and cultural conditions under which institutional arrangements, governance structures, monitoring and financial mechanisms can be tested” (CONAFOR 2014, pp. n.d.).²²

The Early Actions are located in the states of Oaxaca, Jalisco, Chiapas and in the Yucatan Peninsula that comprises the States of Yucatan, Campeche, and Quintana Roo (*See Illustration 2.- REDD+ Early actions in Mexico*). The results and experience from these early actions will be used as an input for the implementation at national level.

²² My translation. The original says: “Estas acciones aún no se consideran proyectos demostrativos o pilotos REDD+ y están examinando distintos arreglos institucionales, estructuras de gobernanza, y mecanismos de monitoreo y financiamiento en donde se reúnen diversas condiciones ambientales, sociales y culturales. Estas acciones brindarán resultados relevantes para REDD+ durante su ejecución, pero la contabilidad de carbono se implementará gradualmente.” (CONAFOR 2014, pp. s.n.).

Illustration 2.- REDD+ Early actions in Mexico



Source: (CONAFOR 2014)

Yucatan Peninsula is one of the areas with the highest extent of forests. In this area, the change in land use and forest degradation caused by inappropriate use of forest resources represent a large percentage of the net loss of forests in the country. This region is of great importance for the conservation and sustainable management of forests, because here are the main biological corridors Sian Kaan - Calakmul and Sierra Tikul, which also involve major forest ejidos (CONAFOR 2014).

Recognizing this biological importance of the region, the Ministries of Environment of Campeche, Quintana Roo and Yucatan (the three states of the region), promoted the signature of a general coordination agreement with the purpose of developing a framework for cooperation and coordination to carry out joint actions and strategies to address adaptation and mitigation against climate change, being a rector of the agreement the development and implementation of the Regional Strategy for Reducing Emissions from Deforestation and Degradation.

From the three states involved in this regional strategy, Yucatan was chosen for the analysis of the social participation component at subnational level. Because “In the past 20 years, more than half of the natural vegetation of the Yucatan state has suffered severe deterioration and significant changes due to human activities. Deforestation and degradation represent one of the major problems that threaten the sustainability of the state’s territory. The area covered by forests represented about 3,208,600 hectares in 1970 and only 2,234,800 hectares in 2000, which means an annual loss of 1% on average in that period” (SEDUMA 2013,. n.d.).²³

F. Stakeholders selection

The analysis step of this study was important not only to characterize the REDD+ process, but also to verify the information from the description analysis.

For this verification process some relevant stakeholders involved in the elaboration of ENAREDD+ and the Regional Strategy of REDD+ (as stated in the scale section) were selected (see *Table 3.- List of stakeholders selected for interview*).²⁴ The aim was to bring together a wide range of representatives from various institutions including government, international cooperation organizations developing policies related to REDD+ and other organizations with expertise in project development.

²³ My translation. The original says: “En los últimos 20 años, más de la mitad de la vegetación natural del estado de Yucatán ha sufrido un severo deterioro y cambios relevantes a causa de las actividades humanas. La deforestación y degradación representan uno de los principales problemas que ponen en riesgo la sustentabilidad del territorio estatal. La superficie con cobertura de selvas representaba cerca de 3,208,600 hectáreas en el año 1970 y solamente 2,234,800 hectáreas en el año 2000, lo que significa una pérdida anual de 1 % en promedio en ese lapso.” (SEDUMA 2013,. n.d.).

²⁴ All the stakeholders listed were contacted, however, it was not possible to have an interview with all of them.

Table 3.- List of stakeholders selected for interview

Sector	Name	Position	Institution		Institution description
Government	Sofía Cortina Segovia	Environmental Services Forest Manager	CONAFOR	Comisión Nacional Forestal	Government agency tasked with developing, supporting and promoting the conservation and restoration of Mexico's forests.
	Azalea Concepción Santos Leal	Contact Reforestation and Special Projects	CONAFOR Yucatan	Comisión Nacional Forestal - Yucatán	Governmental Commission. Is the focal point for the preparation and implementation of REDD+ in Mexico.
	Alejandro Alberto Franco Chulin	Chief Environmental Services Department			
	Hugo Cardenas Rodriguez	Social Participation Contact			
	Gonzalo Novelo Javier	Assistant Production and Productivity			
	Dakar F. Villafaña Gamboa	Head of Climate Change Projects	SEDUMA	Secretaría de Desarrollo Urbano y Medio Ambiente	REDD+ implementing agency in the State of Yucatan.
	Roberto Illich Vallejo Molina	Director of Planning and Policy for Sustainability			
NGO and society	María Fernanda Cepeda	Consultant	IUCN	International Union for Conservation of Nature	Conservation organization working around the world to protect ecologically important lands and waters for nature and people.
	Sebastien Proust	Yucatan Peninsula REDD+ Coordinator for the Mexico-REDD+ Program	TNC	The Nature Conservancy	
	Yves C. Paiz	Subnational Initiatives Coordinator			

	Claudio Vicente Franco Chullin	General Director	BIOASESORES		Civil Association in Sustainable Rural Development.
	Ivan Zúñiga	Special Projects Coordinator and Forestry Policy	CCSM	Consejo Civil Mexicano para la Silvicultura Sostenible	Non-profit organization responsible for promoting the conservation of forest ecosystems through communitarian management, creating proposals to improve forestry policy and fostering economic mechanisms that stimulate conservation and responsible forest management.
	Paulina Deschamps	Researcher in the area of Public Policy and Climate Change			
	Juan Carlos Carrillo	Project Manager	CEMDA	Centro Mexicano de Derecho Ambiental	Apolitical, NGO that seeks to improve the coordination and unity of national efforts to protect the environment and natural resources, by strengthening, consolidation, harmonization, implementation and enforcement of current environmental legal system.
	Juan Manuel Frausto Leyva	Director of Forest Conservation and Watershed	FMCN	Fondo Mexicano para la Conservación de la Naturaleza	Non-profit organization based in Mexico City. Its mission is to conserve Mexico's biodiversity and natural resources through economic support and strategic management.
	Rodrigo Fernández	Communication Coordinator	MREDD+	Alianza México REDD+	Collaborative partnership that works with the federal government and with state and local governments; civil society organizations,

					landowners, academia, the private sector and other stakeholders. It aims to generate knowledge and build capacity to achieve the consolidation of ENAREDD+.
	Jeremías Palomo Ku	Director	Nukuch Kaax A.C.	Nukuch Kaax A.C.	Agroforestry Regional Association of Southern Yucatan.
	María Andrade	Ejecutive Director	PRONATURA YUCATAN A.C.		NGO with the aim to conserve priority flora, fauna and ecosystems of Mexico and contribute to society's development in harmony with nature.
	Gerardo García Contreras	Information center coordinator for the conservation			
Academic	Roger Orellana	Researcher in the Natural Resources Department	CICY	Centro de Investigación Científica de Yucatán	Public Investigation Center
	Juana Arely Erosa Solís	Research Assistant			
	Celene Espadas Manrique	Expert in the Natural Resources Department			
	José Luis Hernández Stefanoni	Researcher in the Natural Resources Department			
	José Luis Andrade	Researcher in the Water Science Department			
	Juan Manuel Dupuy Rada	Researcher in the Natural Resources Department			
	Jorge Mendoza Vega	Director	ECOSUR	El Colegio de la Frontera Sur	Multidisciplinary research and education center focused on developing and linking the country's southern
	Elia Chablé Can	Researcher at Department of			

		Sustainability Sciences			border.
	Artemio Pérez	Researcher	ITC	Instituto Tecnológico Conkal	Public Investigation Center

Source: Own elaboration

G. Data collection

The information for the first and second step of the study (description process and dates on each of the variables) were obtained from the analysis of relevant documents regarding REDD+ mechanism from international, national, regional, and local entities.

The second stage consisted of semistructured interviews conducted with experts, representatives, and members of public/private entities. It permitted to identify the same type of elements as in the documentary stage but with the objective to validate the information. Also it permitted to know the experiences of the stakeholders involved.

H. Information analysis

Once the information is collected, it was analyzed according to the selected variables. After this step, the information was counterbalanced with the opinion of those interviewed.

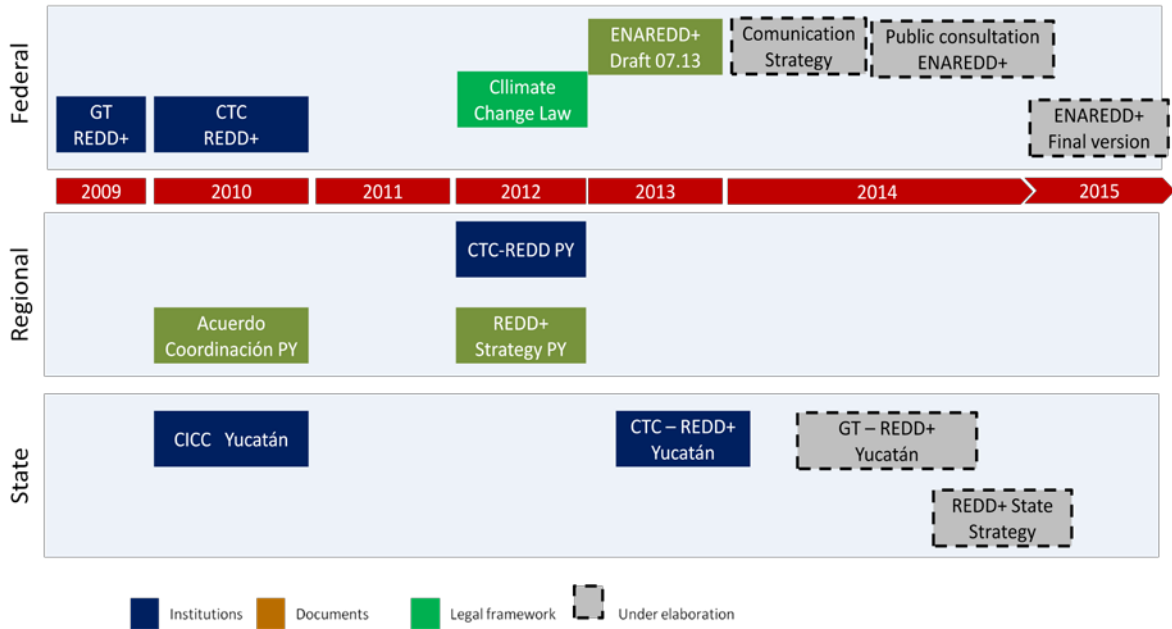
CHAPTER 3. RESULTS

The REDD+ process in Mexico should be understood as a set of strategies that promote simultaneously mitigation and adaptation to climate change through sustainable rural development and low-carbon and thus imply a convergence of these two agendas. The different national challenges that Mexico has faced in implementing REDD+ concern finding ways to articulate activities of forest management and rural development. At the same time this articulation must be between the institutional arrangements and public policies on mitigation and adaptation to climate change.

The former must also be seen in the light of an international negotiation process on REDD+, which suggests a process in which there are still many definitions and procedures that are under construction and in which there are many exercises in development. Hence the preparation phase in which Mexico finds itself denotes the implementation of activities at the three levels of government, institutional arrangements and the elaborations of documents and guidelines.

The following *Illustration 3.- Mexico readiness process at national and subnational level* allows us to encompass the main activities that Mexico has carried out at national level and subnational.

Illustration 3.- Mexico readiness process at national and subnational level



Source: Own elaboration

I. REDD+ Process in Mexico at national level

In 2008, CONAFOR was designated as a focal point to start the preparation of REDD+ in Mexico. CONAFOR, in conjunction with the *Ministry of Environment and Natural Resources* (SEMARNAT), took the first steps to define courses of action in order to design and implement REDD+ (SEMARNAT and CONAFOR, 2010, p. 19).

Mexico has developed several actions for the implementation of REDD+ activities. All these actions have been established according to the Nested Approach, in which the activities have taken place at different levels: National, Subnational, and regional.

With the purpose to describe the REDD+ process of Mexico at the national level, the following section explains the multilateral programs collaboration, institutional arrangements, as well as documents or legal guidelines.

A. Institutional arrangements

The development of REDD+ in Mexico aims to improve the coordination and strengthen public administration to achieve the necessary complementarity of public policies in favor of sustainable rural development. This has led the government of Mexico to explore various coordination mechanisms and to establish several institutional arrangements to promote forestry and rural development policies that should play a complementary role in achieving the objectives.

Interministerial Commission on Climate Change (CICC)

The CICC was created by a presidential decree in April 2005 “as one of the most important tools for cross-sectorial policy and as a space to coordinate public policies on climate change. Its aim is to coordinate the actions of the various agencies of the *Federal Public Administration* (APF), to formulate and implement national policies on climate change and promote oriented implementation of international commitments in the field” (CICC 2012, p. 14).²⁵

CICC Working Group REDD+

As part of Mexico’s readiness for REDD+, the CICC decided to create in 2009 the *Working Group REDD+* (GT-REDD+) with the assignment to facilitate the participation of the main stakeholders involved in REDD+ in Mexico and to develop the ENAREDD+ (SEMARNAT and CONAFOR, 2010, p. 19). The GT-REDD+ acts as an advisor to the *National Forestry Council* (CONAF) on strategies to reduce emissions from deforestation and forest degradation in Mexico. The GT-REDD+ involves various ministries, including SEMARNAT.

²⁵ My translation. The original says: “La CICC se creó el 24 de abril de 2005 mediante decreto presidencial, como uno de los instrumentos más importantes de política transversal al ser un espacio multisectorial de concertación de políticas públicas de cambio climático. Su objetivo es coordinar las acciones de las diversas dependencias de la Administración Pública Federal (APF) para formular e instrumentar políticas nacionales de cambio climático y promover acciones orientadas al cumplimiento de los compromisos internacionales en la materia” (CICC 2012, p. 14).

Technical Advisory Committee for REDD+ (CTC-REDD+)

The CTC-REDD+ was created in 2010 with representatives from government agencies, non-governmental organizations, forestry organizations, representatives of indigenous peoples, ejidos and landowners, and financial institutions. “The main objective of CTC-REDD+ is to influence the construction of a functional mechanism and effective design in the implementation of REDD+ in Mexico, through a transparent process that maximizes environmental and social benefits” (The REDD desk 2013a).

At the national level, the CTC-REDD+ has carried out a series of meetings with a wide-range of representatives from key stakeholder groups (NGOs, ejidos and communities, private sector and academia). “In 2011, CONAFOR hosted a regional *Strategic Environment and Social Assessment (SESA)* workshop in Bacalar, Quintana Roo (April 9, 2011) and a National SESA Workshop in Mexico City (May 12-13, 2011) with the objective to further inform key stakeholders about the design of a national REDD+ strategy and carry out an initial issue scoping exercise with key stakeholder groups” (FCPF, p. 1).

These activities were a good opportunity “to provide CONAFOR with an overview of the specific issues and concerns that affect stakeholders in order to be considered during the readiness phase. Additionally, six regional workshops were carried out in REDD+ Early Action areas to complement the SESA matrix - including the risks and benefits assessment- and to strengthen the information on drivers of deforestation and forest degradation from a regional level” (FCPF 2014, p. 1).

National Forestry Council

The CONAF is composed of representatives of government institutions, landowners, non-governmental, private and social sectors, and academic institutions and / or research platform. The CONAF monitors and evaluates policies. Here, national forest programs and issues related to the planning and

sectorial regulation are discussed. Within CONAF there is a working group designated to help in the construction of the ENAREDD+.

B. Documents and guidelines

Mexico's vision about REDD+

One of the first steps toward the construction of the Mexico REDD+ mechanism was the elaboration of the document *Mexico's Vision on REDD+* (The REDD desk 2013). This document was presented in December 2010 in the framework of the UNFCCC COP 16. In this vision, Mexico describes its goals in forestry issues and their connection to mitigation and adaptation to climate change; it also raises the importance of integrating public policies and financing schemes in ways that will encourage and improve the conditions of the forests and their inhabitants.

Elements for REDD+ National Strategy

Later in 2011, Mexico published a first paper with the title *Elements for REDD+ National Strategy*. This document establishes goals for 2020 (Elementos ENAREDD+ 2011):

- To achieve a balance of zero emissions associated with the dynamics of deforestation and forest regeneration, and increase the quality of forest resources and carbon stocks, conserve biodiversity and ecosystem integrity.
- To significantly reduce the national rate of forest degradation compared to the reference level.
- To increase sustainably managed forest areas with natural and induced regeneration of resources; with forest conservation and the consequent increase in carbon reservoirs.
- To maintain biodiversity and ecosystem services in the territory and promote the strengthening of social capital and economic development of rural communities.

The paper addresses the prospects of a first set of actors consisting of government, some producer groups, landowners and civil society that contributed

to the process with their visions, aspirations and concerns through various workshops.

ENAREDD+

The REDD+ policy in Mexico is being developed through a National Strategy (ENAREDD+) with a nested approach. The ENAREDD addresses that the REDD+ mechanism not only seeks to avoid deforestation, but also promote sustainable forest management. With this, the ENAREDD is trying to generate non carbon benefits like the resilience of social and natural systems to climate change (Reyes Rodríguez 2014).

The ENAREDD+ proposes seven strategic components for proceeding with REDD+ implementation: 1) Public policy; 2) financial mechanisms; 3) institutional arrangements and capacity building; 4) reference levels; 5) measurement, reporting and verification (MRV); 6) environmental and social safeguards; 7) communication, social participation and transparency (ENAREDD+ 2013).

While all the components include social participation in a cross curricular way and complement each other, this element is specifically indicated within the objectives of the components six and seven: “environmental and social safeguards”, and “communication, social participation and transparency” (see *Table 4.- Components related to social participation in ENAREDD+*).

Table 4.- Components related to social participation in ENAREDD+

Component	Objective
Environmental and social safeguards	Integrate and maintain a system of social and environmental safeguards and participation mechanisms that are consistent with law and public policy, based on transparent governance structures that respect the rights and traditional knowledge of indigenous peoples and local communities. A system of safeguards that encourage full and effective participation of the actors, who have given FPIC.
Communication, social participation and transparency	Ensure communication, social participation, transparency and accountability between communities, social organizations and government to achieve REDD+ goals and the compliance of its safeguards.

Source: own elaboration from ENAREDD+ 2013 .

General Law on Climate Change

The *General Law on Climate Change* (LGCC), published on June 6, 2012, is the country's main policy instrument with which to address climate change. Its aims are to regulate, promote and facilitate the implementation of the national policy on climate change and incorporate adaptation and mitigation actions with a focus on long-term, systematic, decentralized, participatory and inclusive actions. The law itself recognizes an interest in reducing emissions in each sector: Generation and use of energy, transportation, agriculture, forestry and other land use and ecosystem preservation, like residues, and industrial processes, among others (Congreso de la Unión June, 2012).

National Strategy on Climate Change (ENCC)

This *National Strategy on Climate Change* (ENCC) is recognized within the LGCC as an instrument of national policy to address climate change. One of the action lines of the ENCC is to "ensure the harmonization of policies, programs and institutional arrangements on climate change and sustainable rural development in

order to address deforestation and degradation forests as a multifactorial problem in the three levels of government" (SEMARNAT 2013, p. 27).²⁶ It further recognizes that the ENAREDD+ must include the sustainable rural development and respect social and environmental safeguards.

II. REDD+ Process in Mexico at subnational level

In June 2010 was created in Yucatán the *Interministerial Commission on Climate Change* (CICCY for its initials in Spanish) as an "institution for consultation, advice, coordination and cooperation, which aims to coordinate the actions of the agencies of the State Public Administration regarding the formulation and implementation of public policies for the prevention and mitigation of greenhouse gas emissions and adaptation to reduce vulnerability to the adverse impacts of climate change in Yucatán" (Congreso del Estado de Yucatán Junio 2010, p. 6).²⁷

Subsequently, in the framework of the COP 16, the government of the three states of the Yucatan Peninsula (Campeche, Quintana Roo and Yucatan) signed a Coordination Agreement with the purpose to confront jointly the challenges of climate change and the coordination of the different public policies in this area. As stated in the Coordination Agreement (Estado de Yucatán, Quintana Roo y Campeche Junio 2010, p. 7) three strategies would be implemented:

- a. Regional Strategy on Adaptation to Climate Change.
- b. Regional Program on REDD.
- c. Establishment of a fund for climate action in Yucatan Peninsula.

²⁶ My translation. The original says: "Garantizar la armonización de políticas, programas y arreglos institucionales para cambio climático y desarrollo rural sustentable, con la finalidad de atender la deforestación y degradación de los bosques como un problema multifactorial en los tres órdenes de gobierno." (SEMARNAT 2013, p. 27).

²⁷ My translation. The original says: "Institución de consulta, asesoramiento, coordinación y concertación, que tiene por objeto coordinar las acciones de las dependencias y entidades de la Administración Pública Estatal, relativas a la formulación e instrumentación de las políticas públicas para la prevención y mitigación de emisiones de gases de efecto invernadero y la adaptación para reducir la vulnerabilidad de los impactos adversos del cambio climático en Yucatán." (Congreso del Estado de Yucatán 2010, p. 6).

Yucatan, Campeche and Quintana Roo developed several actions in order to move forward in the mitigation and adaptation to climate change. One of these was the elaboration of a Special Action Program on Climate Change in the State of Yucatán. Simultaneously two proposals have been consolidated for regional projects, one on climate change and the other on reducing emissions from deforestation and forest degradation. Both have been coordinated with the INEEC and CONAFOR, and were supported by the *Japan International Cooperation Agency* (JICA) and *The Nature Conservancy* (TNC).

In regard to REDD+, actions have been focused on developing a Regional Strategy to establish the bases to activate a regional early action and at the same time contribute to the national efforts of the ENAREDD+ (Estado de Yucatán, Quintana Roo y Campeche Junio 2010, p. 2).

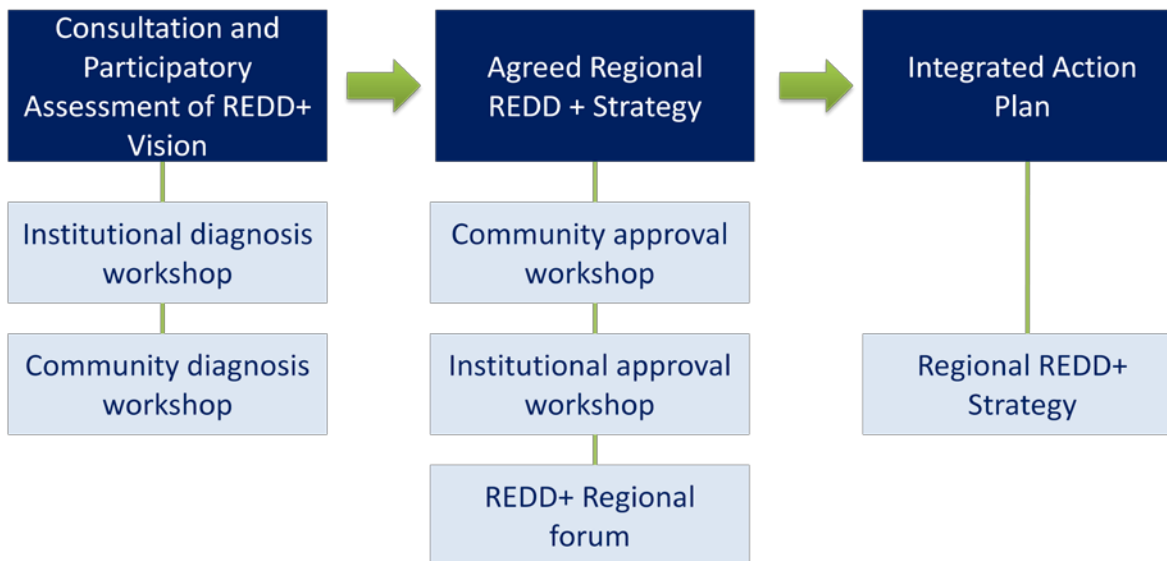
A. Regional Strategy REDD+ Yucatan Peninsula

For the development of REDD+PY proposals were included from actors at different levels, and a participatory methodology was used. This methodology, together with the work plan, was submitted for consideration to the Environmental Ministries from the states of the Yucatan Peninsula, as well as the social and academic sector (ECOSUR 2012, p. 14).

Subsequently, it was decided that the elaboration of REDD+PY would be conducted in three steps (*see Illustration 4.- Regional Strategy REDD+ development process*):

1. Consultation and Participatory Assessment of REDD+ Vision.
2. Agreed Regional REDD+ Strategy.
3. Integrated Action Plan.

Illustration 4.- Regional Strategy REDD+ development process



Source: Own elaboration from (ECOSUR 2012, p. 14).

Each workshop was developed in accordance with a manual. This manual was presented in advance to the environmental ministries of the three states and to the social and academic sector in order to get feedback. Prior to the development of the workshops, two training sessions for the implementation of participatory tools were conducted.

B. Consultation and Participatory Assessment of REDD+ Vision

Institutional diagnosis workshop

This workshop targeted at representatives from government, NGOs, civil associations and the private sector. Two workshops were conducted for Yucatan (for Campeche and Quintana Roo there were also two workshops). On average there were about 20 participants in the Yucatan workshops. Of those about 85% were men and the other 15% women²⁸ (see *Table 5.– Participants from the Institutional diagnosis workshop in Yucatan*).

²⁸ This is an average because there is only gender detailed information about the first workshop.

Table 5.– Participants from the Institutional diagnosis workshop in Yucatan

Sector	Name	Institution		Position
Government	José Arellano	SEDUMA	Secretaría de Desarrollo Urbano y Medio Ambiente	Head of Department
	Eduardo Batllori Sampedro	SEDUMA	Secretaría de Desarrollo Urbano y Medio Ambiente	Secretary
	José Mariano Vargas R	PROFEPA	Procuraduría Federal de Protección al Ambiente	Federal Inspector
	Roberto Vallejo Molina	SEDUMA	Secretaría de Desarrollo Urbano y Medio Ambiente	Head of planning
	Víctor Ocampo Sánchez	INEGI	Instituto Nacional de Estadística, Geografía e Informática	Head of Department
	José Tun Dzul	INIFAP	Instituto Nacional de Investigaciones Forestales Agrícolas y Pecuarias	Researcher
	Luis Antonio Balam Tzeek	PROFEPA	Procuraduría Federal de Protección al Ambiente	Subdelegate
		PROFEPA	Procuraduría Federal de Protección al Ambiente	General Coordinator
	Verónica Rodríguez	SEFOE	Secretaria de Fomento Económico del Estado de Yucatán	Head of Department
	Andrés Sierra	SEDUMA	Secretaría de Desarrollo Urbano y Medio Ambiente	Direction Manager
	Sergio Peña Fierro	CONAGUA	Comisión Nacional del Agua	Project Manager
	Ulises Huesca	CONABIO	Comisión Nacional para el Conocimiento y Uso de la Biodiversidad	Subdirector
Santiago Cupul	SEFOTUR	Secretaria Fomento Turístico	Coordinator	

	Alejandro A. Franco Chullin	CONAFOR	Comisión Nacional Forestal	Head of Department
	Margely O Magaña M de Todd	SEDUMA	Secretaría de Desarrollo Urbano y Medio Ambiente	Project Manager
	Teresa de Jesús Azcorra May	SAGARPA	Secretaria de Agricultura, Ganadería, Desarrollo Rural, Pesca y Alimentación	District Manager
		CDI	Comisión Nacional para el Desarrollo de Pueblos Indígenas	
		PPA	Procuraduría de Protección al Ambiente	
		SEP	Secretaría de Educación	
		SESA	Secretaría de Salud	
		SINTRA	Secretaría de Infraestructura y Transporte	
NGO and society	Efraín Acosta	PRONATURA	PRONATURA	Technical Coordinator
	Eric Castañares	TNC	The Nature Conservancy	Coordinador
	Claudio Vicente Franco Chulin	BIOASESORES	BIOASESORES	Director
	Ives Paiz	TNC	The Nature Conservancy	REDD+ Project Manager
	n.d.	CCMSS	Consejo Civil Mexicano para la Silvicultura Sostenible	n.d.
	n.d.	U YOOL CHE A C	U YOOL CHE A C	n.d.
	n.d.	CBMM	Corredor Biológico Mesoamericano	n.d.

Academic	Zazil Torres Pinzón	ECOSUR	El Colegio de la Frontera Sur	Support
	Elia Chablé Can	ECOSUR	El Colegio de la Frontera Sur	Consultant
	Jorge Mendoza Vega	ECOSUR	El Colegio de la Frontera Sur	Director
	Cecilia Armijo Florentino	ECOSUR	El Colegio de la Frontera Sur	Facilitator
	Jesús Lorenzo Sandoval	ECOSUR	El Colegio de la Frontera Sur	Facilitator
	Jorge Herrera	CINVESTAV	Consejo de Ciencia y Tecnología del Estado de Yucatán	Researcher
	Juana Arely Erosa Solís	CICY	Centro de Investigación Científica de Yucatán	Researcher
	Flavio Foster Granados	CEPHCIS-UNAM	Centro Peninsular en Humanidades y Ciencias Sociales	Researcher
	Artemio Pérez	ITC	Instituto Tecnológico Conkal	Professor
	Juan M Nusico S	UM	Universidad Marista	Professor
	Roger Orellana	CICY	Centro de Investigación Científica de Yucatán	Researcher
	Diana Palacios Vilchis	ECOSUR	El Colegio de la Frontera Sur	Narrator

Source: Own elaboration from REDD+PY 2012, p. 181.

The objectives of the workshops were the following:

- To provide an overview of REDD+.
- To identify actors and social groups present that are linked with the development of the REDD+ Strategy.
- To know the position of each actor and social group with respect to REDD+.

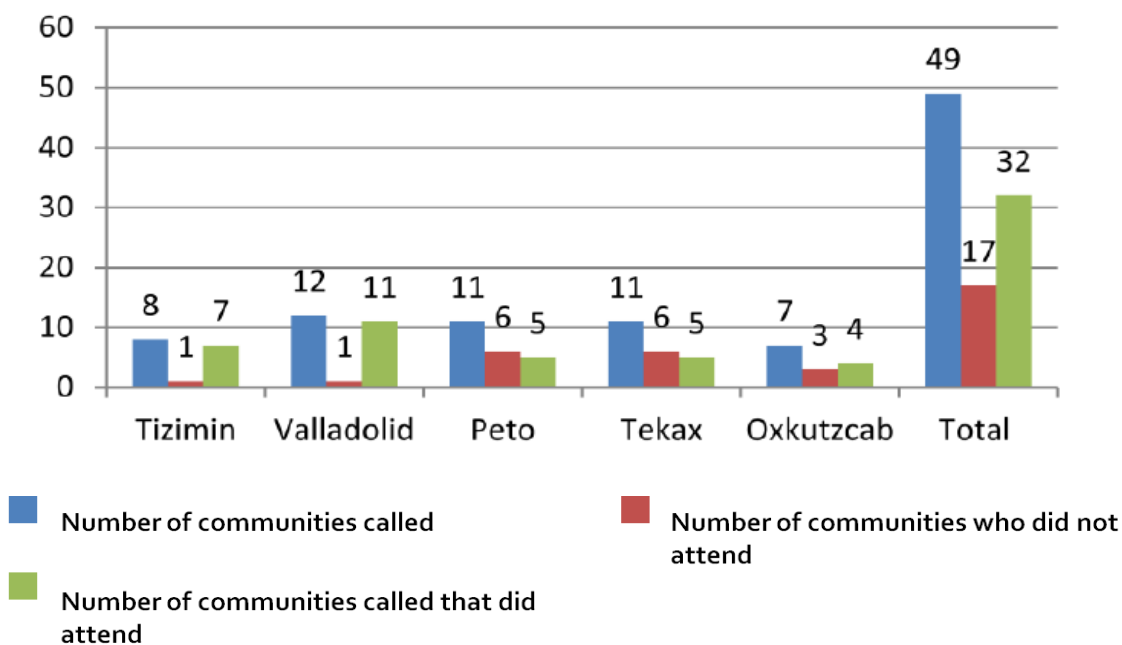
- To trace the connections between actors and social groups and identify potential alliances and antagonisms.
- To develop REDD+ vision for the Yucatan peninsula.
- To develop a preliminary plan of action (Chablé Can and Palacios Vilchis 2012, p. 7).

Community diagnosis workshop

For the Community diagnosis workshop each state identified the area with a significant forest cover coupled with greater socioeconomic pressure of natural resources by their inhabitants. These communities are part of the REDD+ priority areas.

In total fifteen workshops were conducted, five in each State, in which 149 communities were called upon to participate. In Yucatan workshops attended a total of 123 participants of which 83.45% were male and only 9.02% female (see *Illustration 5.- Number of invited communities by location in Yucatan*).

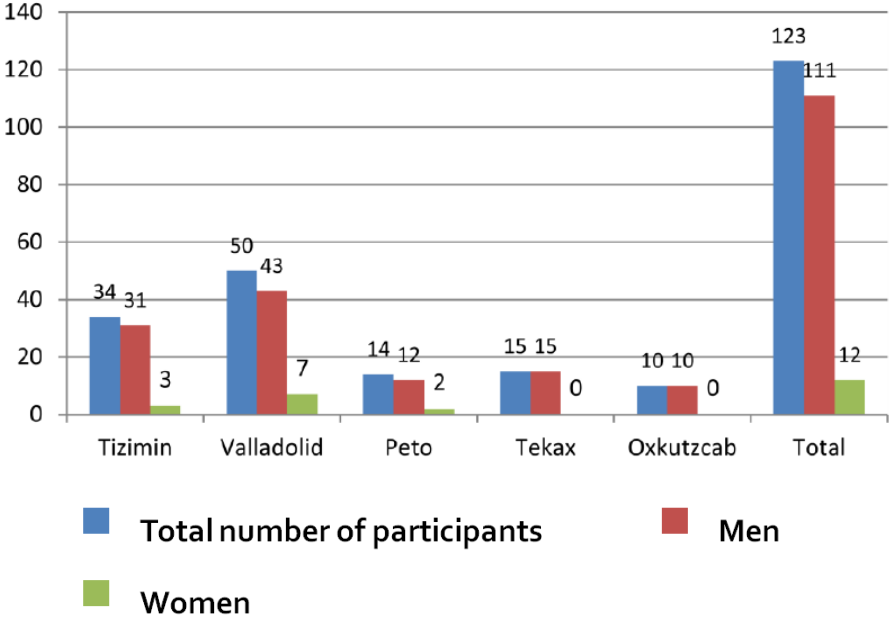
Illustration 5.- Number of invited communities by location in Yucatan



Source: (Chablé Can 2012a)

In all the workshops conducted in Yucatan and other states, the difference between the number of women attending and the number of men was high. Since the workshop was a way to take into account the voice of the communities, the consequences of the lack of women participation should not be ignored, especially if REDD+ mechanisms are seeking to achieve an equitable distribution of benefits and above all to be successful. If the REDD+ Program is building upon practices or institutions that are discriminatory to women's participation, there is a risk to perpetuate and amplify these inequalities (Rodgers 2012, p. 5). Since the impacts of climate change on women and men are different, the contributions to REDD+ initiative should also be different and equally important. Hence the gender focus is of particular importance (Quesada-Aguilar, Aquilar 2012, p. 5).

Illustration 6.- Number of participants by gender and location in Yucatan



Source: (Chablé Can, 2012, p. 10)

The objectives of these workshops were the same as the ones carried out in the institutional diagnosis: provide an overview of REDD+, identify actors linked with the development of the REDD+ Strategy, know their position with respect to REDD+, identify potential alliances and antagonisms between the stakeholders

and develop the REDD+ vision for the Yucatan peninsula and the preliminary plan of action (Chablé Can and Palacios Vilchis 2012, p. 7).

C. Agreed Regional REDD+ Strategy

Community approval workshop

For the development of community approval workshops, some of the communities that participated in the assessment workshops were selected. In the case of Yucatan two workshops were held (for Campeche and Quintana Roo three communities were selected).

The objectives of the workshop were the following:

General

- Validate the projects from the Action Plan for REDD+ Strategy in the Yucatan Peninsula by community actors.

Specific objectives

- Discuss and analyze with key community stakeholders in the territories of the jungles of the Yucatan Peninsula Community, the amendments to proposals made by institutional actors.
- Define the principles and criteria under which the communities would like to participate in REDD+(Chablé Can, Mendoza Vega 2012, p. 4).

To achieve the objectives of this workshop, the changes and comments to the community projects made by institutional actors were presented to the participants in order to assess the feasibility, applicability or appropriate amendment or rejection (Chablé Can, Mendoza Vega 2012, p. 5). “Finally, a dynamic was conducted to explore community concerns about REDD+ in order to build principles (rules proposed by the communities in REDD+) and their respective criteria (means

for judging whether the principles have been met)” (Chablé Can, Mendoza Vega 2012, p. 5).²⁹

Institutional approval workshop

This workshop was carried out with stakeholders from government, non-governmental organizations (NGOs), and civil associations of the three states. The aim was to discuss the input generated in the community approval workshops and reach an agreement on proposals and actions on a peninsular level. For the institutional validation workshop, all institutions which had participated in previous workshops were invited. However, some of the institutions that were called upon did not attend.

The objectives of the workshop were:

General

- Validate the Peninsular Strategy for REDD+ with the institutional stakeholders related to the conservation and management of the forest.

Specific objectives

- Discuss and analyze with key institutional stakeholders the goals, activities and projects of the Action Plan from the Peninsular Strategy for REDD+ proposed in the diagnosis workshops.
- Develop the REDD+ vision for Yucatan Peninsula (Chablé Can, Mendoza Vega 2012, p. 7).

REDD+ Regional Forum

After the activities carried out during the diagnosis and approval workshop, the necessity to coordinate all stakeholders became clear. With this in mind the REDD+ Regional Forum was proposed.

²⁹ My translation. The original says: “Finalmente se realiza una dinámica para explorar las preocupaciones comunitarias en torno a REDD+ con el objetivo de construir principios (reglas propuestas por las comunidades en torno a REDD+) y sus respectivos criterios (medios para juzgar si los principios han sido cumplidos).” (Chablé Can, Mendoza Vega 2012, p. 5).

This forum aimed to create a space for dialogue and analysis to jointly discuss the agreements and commitments of each stakeholder in the establishment and implementation of the REDD+ Strategy in the Yucatan Peninsula. Regional and Community Forum brought together representatives of government institutions, NGOs, academic institutions and civil associations. The participants of communities were selected at the end of the workshops and were elected by the group (Chablé Can, Mendoza Vega 2012, p. 8).

D. Integrated Action Plan

The Integrated Action Plan includes five aspects: goals, activities, timelines, responsables and evaluation indicators. These aspects were identified in each of the following subcomponents: agriculture, livestock, beekeeping, forestry, environmental goods and services, and sustainable tourism.

The main objective of the integrated action plan is the sustainable development of each of these sectors in accordance with the objectives of REDD+.

Also, within the goals are proposed:

- Regularization and support activities with the objectives of REDD+.
- Training for certification of sustainable activities.
- Promoting best practices in management and sustainable exploitations.
- Conducting campaigns on conservation, restoration and management, as well as awareness programs for REDD+ objectives.
- Development and implementation of environmental education programs and sustainable use to help reduce soil degradation (REDD+PY 2012, p. 13).

Regional REDD+ Strategy (REDD+PY)

The Strategy is structured based on three guiding principles: national joint responsibility, ecosystem valuation, quality of life, and sustainability. Of these, the following strategic guidelines are derived: governance, capacity building, civic participation, financing mechanisms monitoring, reporting and verification. Finally,

the Action Plan was outlined with goals, activities, timelines, responsible and evaluation indicators (REDD+PY 2012, p. 4).³⁰

E. Another activity towards REDD+ at subnational level

Pilot Project on Social and Environmental Safeguards for REDD+ in the Yucatan Peninsula

As part of one of the recent activities in the Yucatan Peninsula and in accordance with the agreement to implement joint activities between the three states (Campeche, Quintana Roo and Yucatan), actions have been undertaken for the development of a pilot project on Social Safeguards Environmental and REDD+.

The project's goal is "to establish, through a participatory process, an adequate system of social and environmental safeguards to the particular characteristics of the region" (SMAAS, SEDUMA, SEMA, CONAFOR, M-REDD 2014, p. 1).³¹ It will "provide tools to monitor and demonstrate how the safeguards of REDD+ are addressed and respected, from the development of principles, criteria and environmental and social indicators" (Gobierno de Campeche; Gobierno de Quintana Roo; Gobierno de Yucatán 2014, p. 1).³²

The development of this pilot project of Social and Environmental Safeguards for REDD+ is aligned with the REDD+PY because it encourages alliances among different stakeholders, promotes inclusive participation and provides a system of transparency and accountability. This project anticipated that in order to implement

³⁰ My translation. The original says: "La presente Estrategia se estructura partiendo de tres ejes rectores: Corresponsabilidad Nacional, Valoración Ecosistémica y, Calidad de Vida y Sustentabilidad. De ellos, se desprenden las Líneas Estratégicas: Gobernanza, Fortalecimiento de Capacidades, Participación Ciudadana, Mecanismos de Financiamiento y Monitoreo, Reporte y Verificación. Finalmente, se delinea el Plan de Acción que contiene Metas, Actividades, Plazos, Responsables e Indicadores de Evaluación. En la siguiente figura se resume la Estrategia y el orden propuesto para alcanzar los objetivos" (REDD+PY 2012, p. 4).

³¹ My translation. The original says: "establecer, a través de un proceso participativo, un sistema de salvaguardas ambientales y sociales adecuado a las características particulares de la región" (SMAAS, SEDUMA, SEMA, CONAFOR, M-REDD 2014, p. 1).

³² My translation. The original says: "brindar herramientas para monitorear y demostrar la forma en que se abordan y respetan las salvaguardas a lo largo de la implementación de REDD+, a partir del desarrollo de principios, criterios e indicadores sociales y ambientales" (Gobierno de Campeche; Gobierno de Quintana Roo; Gobierno de Yucatán 2014, p. 2).

an inclusive process for REDD+ safeguards it is required to take into account three key elements (SMAAS, SEDUMA, SEMA, CONAFOR, M-REDD 2014, p. 1).³³

- Governance: A multi-stakeholder approach to ensure balanced participation of stakeholders in the use of standards.
- Interpretation: Adaptation of indicators and evaluation process in the national and regional context.
- Evaluation: The collection of information to evaluate the performance of the REDD+ program based on the specific indicators of the country and region; review of the preliminary assessment report by the actors and its publication.

As a first step of this project has been released a call to integrate the Standards Committee. The Standards Committee "shall be composed of representatives from various sectors, including indigenous peoples, women and local communities, and aims to monitor the interpretation and implementation of the REDD+ SES standards and ensure the implementation of a participatory and transparent process" (Gobierno de Campeche; Gobierno de Quintana Roo; Gobierno de Yucatán 2014, p. 2).³⁴

³³ My translation. The original says: "Gobernanza: Un enfoque multiactor que garantice la participación equilibrada de los actores en el uso de los estándares; Interpretación: Adaptación de los indicadores y proceso de evaluación al contexto nacional y regional; Evaluación: Recolección de información para evaluar el desempeño del programa REDD+ en función de los indicadores específicos del país y región, revisión del informe preliminar de evaluación por los actores y su publicación." (SMAAS, SEDUMA, SEMA, CONAFOR, M-REDD 2014, p. 1).

³⁴ My translation. The original says: "deberá estar integrado por representantes de diversos sectores, incluyendo pueblos indígenas, mujeres y comunidades locales, y tiene el objetivo de supervisar la interpretación y aplicación de los estándares REDD+ SES así como asegurar la implementación de un proceso participativo y transparente" (Gobierno de Campeche; Gobierno de Quintana Roo; Gobierno de Yucatán 2014, p. 2).

CHAPTER 4. DISCUSSION

I. Social participation component in the REDD+ Process at national level

According to Frausto Leyva, a NGO representative who is the director of Forest Conservation and Watershed (personal communication, June, 2014) the REDD+ process in Mexico has been participative if we compare it to other REDD+ processes carried out in other countries. However this pattern was only upheld at the beginning of the process.

Other NGO representatives agree with this assessment. They claim that during the beginning of the process the CTC-REDD+ was a good space for participation and dialogue, functioning like a channel discussion where to generate consensus and clarify expectations and the REDD+ process itself (Zúñiga, I., personal communication, June, 2014³⁵ and Paiz, Y., personal communication, May, 2014).³⁶ However, at the same time, this participation structure had no space for making decisions that could be implemented. When REDD+ became an international crucial subject this participation structure was less suitable as a participation space because Mexico started to obtain financial support to develop the ENAREDD+ and when this other interests appeared. As a consequence, the CTC became more like a conflict space rather than consensus one (Frausto Leyva, J. M., personal communication, June, 2014).

For Zúñiga (personal communication, June, 2014) and Deschamps (personal communication, June, 2014) the CTC has been a way to validate information or documents, without taking into account the recommendations from the participants. Deschamps, who is a researcher in the area of public policy and climate change for an NGO, considers the CTC to be a platform for the dialogue between institutions

³⁵ My translation. The original says: El CTC es un espacio de participación y diálogo. No hay consulta, ni representación o toma de decisiones vinculantes.

³⁶ My translation. The original says: El CTC Nacional sí es un espacio flexible que permite canalizar las discusiones, generar concesiones y hacer explícito que REDD+ es un mecanismo voluntario.

and formal organizations, not as much for indigenous communities (personal communication, June, 2014).

Regarding GT-REDD+, Paiz (personal communication, May, 2014) considers it to have developed a consolidated institutional support, yet thinks it has less and less representation.

II. Social participation component in the REDD+ Process in Mexico at subnational level

For the analysis of the social participation component from the REDD+ process at subnational level one of the principles of the social and environmental standards were employed. This principle is the one that refers to fully and effective participation of the stakeholders in the REDD+ Program (identified as criteria number 6 by Social and Environmental Standards).

This principle is based on criteria that "define the conditions to be met related to processes, impacts and policies in order to deliver the principles" (SES 2012b, p. 5). At the same time, each criteria has its own indicator with which to "define quantitative or qualitative information needed to show progress achieving a criterion" (SES 2012b, p. 5). In the case of the participation of the stakeholders, all the indicators are "process" indicators³⁷ which "assess whether and how a particular process related to the REDD+ program has been planned, established and implemented" (SES 2012b, p. 5).

A. Identification of all stakeholders and characterizes their rights and interests and their relevance to the REDD+ Program

The identification of the stakeholders partially was done in the subnational process because only in the institutional workshops an activity called "sociogram" was

³⁷ The other type of indicators are: Policy indicators (assess policies, strategies, legal frameworks, and institutions related to the REDD+ program that should be in place) and Outcome indicators (assess the impacts of the REDD+ program) (SES 2012b, p. 5).

conducted. This activity identified actors who were related to REDD+ and their interests. After the identification of these actors they were classified according to whether they had a similar, neutral or opposite stance towards REDD+.

At the conclusion of this activity the actors were categorized according to their level of involvement and influence. The possible links and partnerships for the construction of the REDD+ PY were identified. However this activity was done only by the institutional stakeholders.

During the dialogue in the workshops inconsistencies were noted among the interests of the stakeholders. One example was given by Mendoza, an academic and director of El Colegio de la Frontera Sur (ECOSUR), who distinguished one between the program from SAGARPA, which has programs that in some way do not reduce the deforestation, and another, less popular, that promotes mitigation activities (Mendoza, J., personal communication, June, 2014).³⁸

There was no exercise regarding the characterization of stakeholders' rights but only concerning their interest and relevance to the program. During the diagnostic and validation workshops issues regarding possible barriers to participate were highlighted. Even when there was no specific activity on certain issues, it was recognized that:

- Inside the ejido, the Assembly (the highest authority) decides which community stakeholders participate in the activities and workshops of REDD+.
- It was noted that since the assemblies are formed mainly by men, this pattern explains why there was low participation of women in the workshops.

As to whether there was a procedure whereby any interested actor could be considered as a relevant stakeholder, during the process of the REDD+ PY there was no formal procedure itself. However there was a call to several institutions and

³⁸ My translation. The original says: "Se identificaron programas encontrados entre las secretarías como SAGARPA".

communities to participate in the diagnosis and approval workshops. The communities invited to the workshop were selected in accordance with the following criteria: they had already developed some activities with CONAFOR, they were located in the early action areas of REDD+, they had experience in similar projects, were situated in areas with high pressure from deforestation, and were in a good conservation stage, as well.³⁹

B. Involvement of stakeholders in program design, implementation, monitoring and evaluation through culturally appropriate, gender sensitive effective participation

The proposed methodology for the development of the workshops itself was designed to make it as participatory as possible. It even took into account a specific and separate workshop for communities and institutions. The Assembly of each ejido decided which person from the community would attend workshops. For participation in the Regional Forum, the stakeholders who attended the workshops were the ones who chose the persons that would participate in the forum. As to the content of the strategy, within the strategic line of Governance the necessity is recognized to "set quotas that take into account the participation of groups that have no formal access to the decision making of land (women, youth, people) in REDD+" (REDD+PY 2012, p. 7).⁴⁰

About the involvement of the government, the REDD+ PY stresses the need to promote "interinstitutional collaboration of the three levels of government, as well as involve and encourage partnerships between municipalities and ejidos" (REDD+ PY 2012, p. 7).⁴¹

³⁹ Criteria taken from intervention of Jorge Mendoza Vega and Margarita Elia S. Chablé Can during the Second Workshop on institutional diagnosis (Chablé Can 2012b, pp. 15–16).

⁴⁰ My translation. The original says: "Establecer cuotas que tomen en cuenta la participación de grupos que no tienen un acceso formal en la toma de decisión de la tierra (mujeres, jóvenes, pobladores) en las actividades de REDD+" (REDD+PY 2012, p. 7).

⁴¹ My translation. The original says: "Promover la colaboración interinstitucional de los tres niveles de gobierno." (REDD+PY 2012, p. 7).

Regarding the accountability of the representatives of the stakeholders and if the people are informed about how the REDD+ program could potentially affect them, it is difficult to say because there is no information about whether those who participated in the workshops transmitted the information to the communities. However is important to analyze this “representativeness” because in some cases, the people which attended to the workshops were not the one who make the decisions (Mendoza, J., personal communication, June, 2014).⁴² This point of view was also confirmed by Villafaña Gamboa, head of Climate Change projects at the Secretary of Urban Development and Environment in Yucatán (Personal communication June, 2014). To this, Paiz adds the following: And even the ones who participated were only “a small fraction of the convictions of all the different actors and situations” (Paiz, Y., personal communication, May, 2014).⁴³

Regarding the gender approach, there was no a high level of women participation. This is confirmed by the documents and the opinions of various workshops participants. For Chullin, Director of the NGO Bioasesores, “the process suffered from a gender perspective. There was no representative body of women. But this is also a cultural issue” (personal communication, June, 2014).⁴⁴

C. Respect, support and protection of stakeholders knowledge, skills, institutions and management systems including those of Indigenous Peoples and local communities.

The Strategy recognizes the need to reinforce the representativeness of the Municipal Councils for Sustainable Rural Development. It also raises the goal that "governance processes are designed from gender differences in decision making

⁴² My translation. The original says: “Llegaban empleados que tenían una opinión personal más que institucional. No se pudo involucrar a los tomadores de decisiones. Eran puestos abajo.”

⁴³ My translation. The original says: “Sin embargo una de las limitaciones era en cuanto al tamaño y diversidad. Los participantes eran apenas una pequeña fracción de las convicciones del total de actores y de las distintas situaciones”.

⁴⁴ My translation. The original says: “Adolección de enfoque de género. No hubo un órgano representativo de las mujeres. Pero esto es también una cuestión cultural”.

so that REDD+ benefit equally to women and men" (REDD+ PY 2012, p. 7).⁴⁵ Also, it anticipated that in dissemination activities participation of women and youth would be included.

About the support for the relevant traditional and other knowledge, skills and management systems, the prevision about this issue is the one stated in the governance section which says that is necessary to "promote the training of local staff accompanying their communities in planning and management of their territories" (REDD+ PY 2012, p. 7).⁴⁶ Likewise, the Action Plan states in the ecosystem valuation central concept that it would be actively "promoting technical and scientific complementary studies to the traditional knowledge of the use of resources in the communities of the region and transmit permanently the information obtained from this studies to different scales" (REDD+ PY 2012, p 6).⁴⁷

Regarding FPIC, the concept includes above other things that the information should be provided in an opportune moment (at the beginning, and during the process or implementation of the activity). In the case of the REDD+ PY strategy, at the beginning of the diagnosis and approval workshops there was an activity for the stakeholders to help them understand the REDD+ concept, implications and possible meanings for the participants.

This was important since there was a lack of knowledge about what REDD+ meant. Dupuy, a researcher in the natural resources department of the Centro de Investigación Científica de Yucatán, says that "it was necessary to explain what REDD+ was about. Some of the participants thought that REDD+ was a mechanism to obtain money for carbon sale" (Dupuy, J., personal communication, June, 2014).

⁴⁵ My translation. The original says: "Asegurar que los procesos de gobernanza sean diseñados a partir de las diferencias de género en la toma de decisiones a fin de que las actividades de REDD+ beneficien equitativamente a mujeres y hombres" (REDD+ PY 2012, p. 7).

⁴⁶ My translation. The original says: "Promover la formación de personal técnico local que acompañen a sus comunidades en la planeación y gestión de sus territorios "(REDD+ PY 2012, p. 7).

⁴⁷ My translation. The original says: "Fomentar estudios técnicos y científicos que sean complementarios al conocimiento tradicional del uso de los recursos en las comunidades de la región." (REDD+ PY 2012, p.6).

According to Andrade, executive director of the NGO Pronatura, and Vallejo, Director of Planning and Policy for Sustainability of the Secretary of Urban Development and Environment in Yucatán, this lack of knowledge generated false expectations about REDD+. The idea behind that it was a mechanism with sustainable rural development approach had to be clarify. (Andrade, M.,personal communication, June, 2014 and Vallejo, R.,personal communication, June, 2014).

Another important point is that the Guidelines on Free, Prior and Informed Consent addresses that this consent refers to a “collective decision made by the rights-holders and reached through the customary decision-making processes of the affected peoples or communities. Consent must be sought and granted or withheld according to the unique formal or informal political-administrative dynamic of each community” (Laughlin 2013, p. 20). Regarding this issue it is important to highlight that REDD+ mechanism is voluntary so no community is bound to participate in a specific project.

However the REDD+ PY also noted that “free access to information should be guaranteed through clear mechanisms which allow to obtain oportune, complete and appropriate information about the resources destined for REDD+ activities. At the same time it recognizes the necessity to eliminate bureaucracy practices in regard to information access to REDD+” (REDD+ PY 2012, p 11).⁴⁸

D. Effective resolution of grievances and disputes relating to the design, implementation and evaluation of the REDD+ program

Regarding the processes for effective resolution of grievances and disputes relating to the design, implementation and evaluation of the REDD+ program, no specifications are identified in the strategy nor the process about the way in which

⁴⁸ My translation. The original says: “Garantizar el acceso libre a la información a través de mecanismos claros, que permitan obtener información oportuna, pertinente y completa de los recursos destinados a las actividades REDD+ en la península de Yucatán. Eliminar prácticas burocráticas excesivas para el acceso a la información relacionada a REDD+ “(REDD+ PY 2012, p 11).

the stakeholders could solve any grievances or disputes related to REDD+ program.

E. Information about REDD+ provided in a culturally appropriate, gender sensitive and timely way

The management of information throughout the development of the strategy is a matter that acquired much importance. In both workshops, community and institutional, it was taken into account that the information generated by each group would be transmitted to the institutions and communities. This was not only in regard to the proposals but also to comments and modifications.

Additionally, the Strategy identifies the need to have an information system measurement, reporting and verification (MRV) and the creation of a platform with the information about MRV system.

If the stakeholders can access relevant legal advice is an aspect that is not included in the strategy.

Regarding the provision of information in a culturally appropriate way, Chullin pointed out that “it should have been a previous process to understand the way the communities live from the resources. The capacity building should also be between the facilitators, not only for the community” (Franco Chullin, C., personal communication, June, 2014).⁴⁹

F. Relevant information about REDD+ is collected and disseminated from stakeholders and to the people they represent

As stated in the other variables, the process gave attention to the dissemination of the information between the stakeholders. Even in the strategy is highlighted within the goals the one about disseminate the REDD+ between the communities and social organizations (REDD+ PY 2012, p. 7).

⁴⁹ Director of the Bioasesores NGO. Own translations from Spanish: “Debe de haber un acercamiento previo de para entender la forma de apropiación de los recursos. El fortalecimiento de las capacidades debe también darse en los organizadores, no sólo en la comunidad”.

However for Chullin (personal communication, June, 2014) the dissemination of the strategy is out of context: “The strategy was described in a leaflet that was translated into the Maya language, but this language is mostly phonetic and few people know how to write or read it”.⁵⁰

⁵⁰ My translation. The original says: “La difusión de la estrategia está fuera de contexto y de la realidad comunitaria. Se difundió en un folleto escrito también en la lengua maya, sin embargo esta lengua es principalmente fonética. Pocas personas saben escribirla y leerla”.

CONCLUSIONS AND RECOMENDATIONS

The objective for the development of this research was the analysis of social participation component in the process of REDD+ held in Mexico. The analysis would be focused first to describe the process of REDD+ at the national and subnational and secondly the analysis of social participation in the process developed at the subnational level, specifically in the Yucatan Peninsula.

The REDD+ process at the subnational level in the Yucatan Peninsula had as a starting point the inclusion of three states that share a common area because they are in the southeast region. From the beginning the importance of combining the efforts of the three governments was recognized as an important factor to advance towards mitigating climate change through the implementation of various actions, including the development of a regional strategy REDD+.

The analysis of subnational process in the light of the principle of stakeholder participation was largely positive. On the one hand, from the conception of the path for the development of the strategy it took into account that it was necessary to generate a basic exercise that would put in one place the relevant stakeholders in REDD+. On the other hand, the diagnosis and approval workshops included activities to exchange proposals and obtain feedback from each group of stakeholders.

However, community participation was less present. For Andrade, during “the process for the preparation of the Strategy there was no community involvement, there was more participation from governments” (Andrade, M., personal communication, June, 2014).

From the beginning it was also recognized that the activities would need to have a participatory approach towards local communities, indigenous groups, women, and institutions. As the literature says about the management of the common resources, the involvement of local communities in REDD+ process was highlighted as a key issue for the development and the REDD+ PY design.

However this does not mean that the goal of identifying and combining all actors was accomplished in one hundred percent, especially in regard to the participation of women or all sectors in general. In this regard, few women attended the workshop, therefore, their opinion was not effectively included in the process.

Although the gender approach was recognized as an important issue in the process, it was not entirely achieved. This is due to the way the communities are structured. In most of the cases they are organized into ejidos in which the Assembly is the maximum authority. This assembly is composed mostly of men, as they are the ones entitled to land. As only those who own ejido lands are members of the Assembly that decided to participate in REDD+ activities, the same pattern of male predominance was present throughout the strategy.

The respect the customs of communities should be contrasted with the effective participation of women, because women are most often under-represented in the decision-making of communities and therefore within the customs these may represent in themselves an element of exclusion for participation in decisions about REDD+ (Setyowati 2012, p. 59).

The theory regarding inclusion of the actors and their analysis indicates that it is important to identify and understand the nature of any kind of cooperation or opportunity to develop it in the future. In this respect the process of the strategy contained an exercise in which the communities proposed projects that could be framed within the REDD+ activities. This exercise included identifying institutional stakeholders that could participate and with whom they could build alliances (See *Table 6.- Institutional stakeholders with favorable stance toward REDD+*).

Table 6.- Institutional stakeholders with favorable stance toward REDD+

Stance	Stakeholders	Stance
Government institutions in the environmental sector that have a favorable stance toward REDD+	CONABIO, CONAFOR, CONANP, INE, INIFAP, INIRA, PA, PPA, PROFEPA, PRONATURA, SEDUMA, CDI, SA and SEMARNAT	These institutions have policies and programs in the care and management of natural resources and promote projects for this purpose.

Source: REDD+PY 2012, p. 42.

During the same activity was demonstrated that the involvement of the stakeholders in their own issues could counteract the damage of common resources. The communities themselves proposed projects within the framework of sustainable development, which is the principle guide of REDD+ activities.

As noted in the literature many of the "conflicts" between the actors are not due to conflicting proposals but to a lack of understanding or communication – about their perceptions (Adams et al. 2003), reconciling multiple interests (Grimble 1998) and understand other stakeholders’ point of views and interests (Warner 2007) –. To avoid this point, the process started with a first step of understanding what REDD+ meant for each stakeholder and their concerns about REDD+. With this activity the opportunities about REDD+ were clear among all participants and allowed the management of the expectations and the retrieval of the stakeholders’ voices in the design of the strategy.

Not all stakeholders organized themselves as an interest group and therefore want to be present in the issues that concern them. In some cases they need the invitation by external facilitators in order to participate.⁵¹ At this point there was no assumption that merely opening a space for participation would generate an enthusiastic involvement of stakeholders. In the process there was a call and the

⁵¹ Dupuy explains that in the same community some are more willing to participate or even to receive training, while others are not (Dupuy, J., personal communication June, 2014).

organizers even had to encourage the participation of sectors that initially did not show much interest.

Another key issue is that, as noted in the theory (Warner 2007)⁵², it is important to understand that some stakeholder may exclude themselves from the process, as they feel the benefits from participating do not justify the opportunity costs. From the REDD+ process analysis it is possible to confirm that sometimes the communities do not have time to attend to workshops. In many cases the workshops are hosted in areas far away from their community and require time and money to travel.

The analysis of the subnational process in the light of the construction of the strategy proves the necessity to motivate participation. There must be a period of assimilation of concepts and ideas with the purpose that all stakeholders could be on the same level. In many cases they need a push to participate, since their interest is not automatic. It is important also not only to analyze the antagonistic positions but the points and opportunities to build alliances, pay attention to the proposals of the communities and to other stakeholders they identify as potential allies, as well as the barriers to participation.

In light of the selected variables, the process performed at subnational level was participatory in terms of the objectives and in the participatory approach that guided the workshops. However there are aspects where it is possible to reinforce the participatory approach, especially in regard to the gender focus.

One of the criteria of the selected variables was not possible to evaluate, the one regarding the identification of a processes for effective resolution of grievances and disputes. Even though this principle is focused on the process, the REDD+ PY and its implementation in the region has not advanced much. Besides the REDD+ PY is a document that defined goals, principles and actions as in a first step guideline. One limitation of the research was that the activities being developed in the region

⁵² Warner notes that “not every stakeholder is willing to participate. His disposition depends on factors such as the scale, if the issue is clear, without certain complexity and close to his necessities” (Warner 2007, p.5).

are pilot projects for gaining experience on isolated aspects of REDD+, such as MRV or governance.

REDD+ in the region is not advanced enough to analyze other aspects to assess participation, such as forecasting processes to discuss complaints or disagreements, benefit sharing, an information system of safeguards, among others. In this same direction, we must not forget that REDD+ will eventually be a voluntary program, so it will be worth looking into the level of the participation that results essential.

As a result of the investigation identified the need to explore and investigate more from the conceptual point of view how much participation is required and what type of participation (Paiz, Y., personal communication, May, 2014).⁵³ Another point to explore is the participation in the construction of public policy, while REDD+ is voluntary is also true that in Mexico is being framed as a public policy and therefore how much participation is required of all the stakeholders and communities in building public policy (Zúñiga, I., personal communication, June, 2014).⁵⁴

This study has investigated the social component in REDD+ process development in Mexico.

This has demonstrated the importance of considering the opinion of the participants in any process, and how they could have different perspectives and conclusions from a process. The variety of points of view is not only present in the management of a common resources, but also regarding the evaluation of the REDD+ itself.

⁵³ My translation. The original says: "La participación nunca es suficiente. Falta desarrollar desde el punto de vista conceptual cuál es una buena medida de participación. Sí ha habido esfuerzos para tener espacios de participación. Lo que falta es saber con claridad qué tanta participación es necesaria y en qué aspectos se necesita esa participación."

⁵⁴ My translation. The original says: "Otro punto importante es analizar que REDD+ es finalmente una política pública y por lo tanto, cuánta participación se requiere de las comunidades en la construcción de una política pública gubernamental."

Based on the results of this research, it is recommended that further process regarding REDD+ activities count on communities collaboration. And to achieve this is important that the activities undertaken by the government about REDD+ strengthen and promote the social capital from the communities. Additionally understand that some of the participation spaces that where opened for the early REDD+ activities might now require other approach, since the necessities between the design and implementation the REDD+ are changing.

There are a number of additional areas for further research that have been emphasized by this thesis. These include the further investigation of how to find a balance between women participation and the respect for the “uses and customs” of the communities; and how representative the stakeholders are from the interest of their group.

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