Our Future Forests – Amazonia Verde

Environmental and Social Management Plan

Conservation International

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1. INTRODUCTION

Our Future Forests – Amazonia Verde project has organized the safeguards in four (4) templates that apply to all activities and will guide the design, implementation, and monitoring of those activities. These include:

- Environmental and Social Risk Management Plan (ESMP).
- Stakeholder Engagement Plan.
- Gender Action Plan
- Accountability and Grievance Mechanism.

1.1. Environmental and Social Risk Management Framework

The purpose of Environmental and Social Management Framework (ESMF) [1] is to provide a broad blueprint for guiding the Project to fully consider all relevant safeguards policies and processes. The ESMF explains how each of the safeguards can be put into practice by Project teams, how specific safeguard plans can be designed and how safeguard performance can be monitored.

2. PURPOSE

The purpose of this ESMP is to:

a) identify specific environmental and social risks for country level activities
b) to design appropriate mitigation measures; and
c) to develop steps to respond to and manage, monitor, and report on project-specific environment and social (E&S) impacts.

In consultation with the PDM ESA Team, some additional E&S assessment may be needed to confirm the initially determined positive and negative E&S impacts of the project. The ESMP should inform and guide activity design, stakeholder engagement and adaptive management decisions, suggesting possible modifications in the project design to avoid risks/impacts.

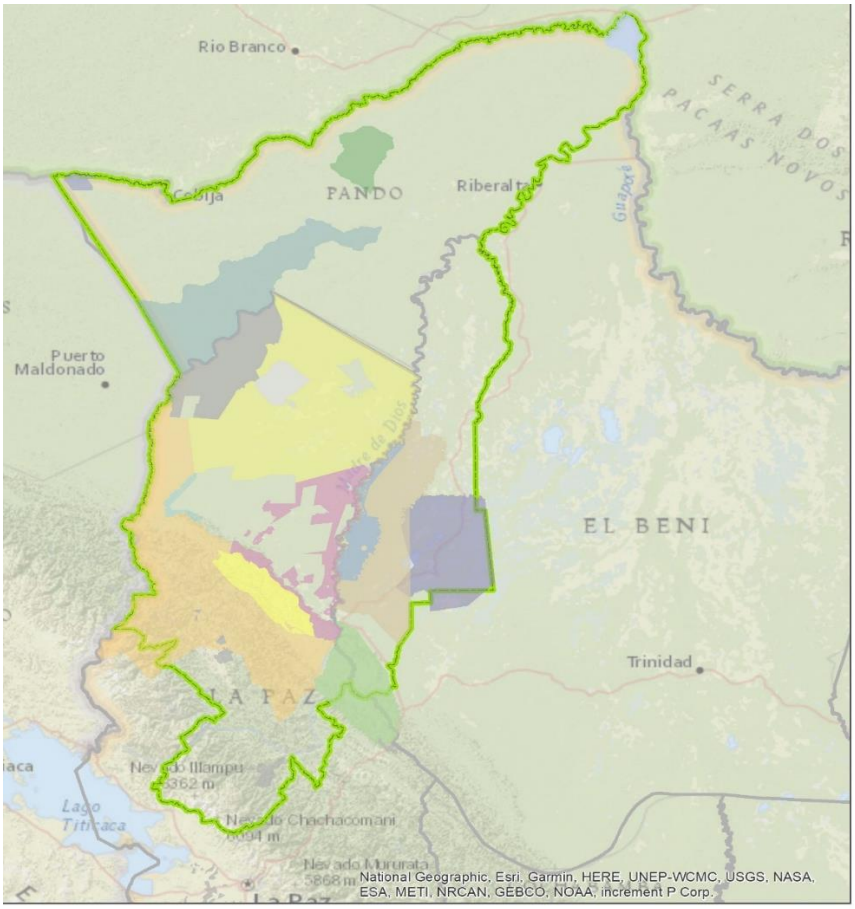
3. PROJECT DESCRIPTION

3.1 PROJECT INFORMATION

[1] For guidance provided on the ESMF and Gender Assessment, see Project Teams Safeguards Folder.

Project Title: Our Future Forest, Amazonia Verde	**Country**: Bolivia

Project Location (w/map if possible**)**



Project Components and Main Activities Proposed:

Outcome 1: Newly secured protection and improved management on IPLC lands.

- Implement life plans of Tacana I, Tacana II, San José de Uchupiamonas and Yaminahua – Machinerí.

- Design and implement territorial monitoring systems.
- Analysis of restoration opportunities in Bolivia.
- Expand the area of titled land in Tacana I and Tacana II.
-

Outcome 2. Indigenous Leaders empowered and community capacity needs met.

- Capacity-building in leadership, conflict resolution, communication, and external relations for Tacana I and II, San José de Uchupiamonas, and Ixiamas municipality.
- Support in the development of a forum for territorial governance.
- Monitoring training.

Outcome 3. Sustainable value chains and financial mechanisms identified and implemented.

- Implement 10 CAs in selected indigenous communities in Bajo Madidi, Guanay and Pando regions
- Develop business plans and support the strengthening of current sustainable businesses:

Associated Facilities (access roads or trails, water transport structures, transmission, pipelines, or utilities, storage, or logistics structures, etc**)**[2]

None

Implementing Partner (s), if any

Sub grants: Asociación Boliviana para la Investigación y Conservación de Ecosistema Andino – Amazónicos (ACEAA)**,** other local parteners to be defined.

ESMP Form Completed by Juliana Ewert	**Date**: 01.03.2021
Safeguard Screening Form Reviewed by Vince McElhinny	**Date: 19.3.21**

ESA Comments: Overall, the ESMP accurately identifies the key risks and mitigation options. Additional detail is needed in several areas highlighted below. It is understood that CI lacks detail in some areas due to the engagement challenges caused by the pandemic, and the ESMP will be updated as needed during project implementation. Based on this assessment, the environmental and social risk classification of the project is Medium Risk.

Further guidance is forthcoming from CI to help complete the section on grievance redress mechanism.

[2] An **associated facility** (not funded as part of the project but is a) directly and significantly related to the project, b) carried out or planned at the same time with the project, and c) is necessary for the project to be viable and would not have been constructed, expanded, or conducted if the project did not exist.

Upon completion of the ESMP, copies should be made available to the primary partner representative organizations.

The ESMP describes well how the project is expected to have mostly positive social and environmental impacts, since proposed activities will promote greater indigenous control over sustainable management of natural resources, including forests in areas where local communities depend on these resources to sustain these livelihoods. However, several medium to high risk and mitigation actions were identified and will be reported in semi-annual monitoring.

1. COVID – health and safety risks and related COVID induced market disruptions for Brazil nuts and ecotourism services, contributing to loss of livelihoods. Project incentives training programs will be designed to respond to different needs of men and women under these conditions.
2. Human Rights Risks to indigenous peoples from weak governance – Noted low respect for IP rights, gaps in enforcement due to transition in National Park authorities, and INRA on land titling.
3. Illegal land use – risk of conflicts related to outsiders encroaching on indigenous lands.
4. Gender-based violence (GBV) and the risk of exclusion of women from project benefit sharing Illegal trade of wild and endangered animals was the one environmental risk was identified - Please specify if this is related to endemic or at-risk species and if the activity is considered to involves project stakeholders or is independent

Some recommendations and questions for completing the ESMP.

Child labor. CI excludes any activity that involves the participation of children (5-14 years) in project supported productive activities. There is a high prevalence of child involvement in most productive activities taking place in IPLCs, particularly those related to agriculture. Risks for child labor must be managed in a culturally appropriate way given the focus on Indigenous Peoples. This responds to socio-cultural norms and customs where children are expected to accompany their parents and learn simple tasks at a very young age. Child involvement in agricultural or livestock tasks, then, is only considered as learning part of customary traditions. However, in accordance with relevant local labor laws, the project would not support children under 14 that would be directly engaged or contracted in project work. Children between 14 to 18, as permitted by local law, can be engaged in **non-harmful** child labor in certain traditional and culturally related activities, based on authorization to work from the Ministry of Labor. The Projects will screen and monitoring project activities to prevent child labor.

Community Workers. Project activities may employ IPLC community members as **community workers by implementing partner organizations** or by the **directly by the PMU**, which typically involves a voluntary agreement between the community and the Project, but not individual labor contracts. If so,

the scope and nature of the risks associated with the work conditions will be assessed and managed. For example, IPLC members may be involved in the patrolling of territory boundaries, management of forests, planting of trees, and other small-scale natural resources management activities supported by the project which may include risks such as exposure to safety and security risks, pesticides, unfamiliar equipment, and potential accidents, among others. For these activities, the project would adopt safety measures, which may include proper management of pesticides, use of personal protective equipment (PPEs), training for wildfires, and proper disposal of solid and liquid wastes.

GBV and Working Conditions. The participation of women in the implementation of project activities is central to the project objectives and indicators. The noted risks of GBV represents a very serious issue and any potential for this project to increase levels of GBV should be explained with evidence that this can be avoided entirely. Appropriate measures to protect, assist and address vulnerabilities of women employees and community workers will be ensured. This includes the promotion of gender empowerment as called for under the gender action plan, provision of gender training as needed on equal opportunity provision of a GRM that is designed for receiving complaints from women, which is made known to all project stakeholders.

Pesticides: Will the project support use of pesticides or agrochemicals related to agricultural activities? If agrochemical or pesticides will be used for project activities, guidance will be provided on measures for the adequate management of agrochemicals/pesticides and other hazardous materials to prevent soil/water contamination and reduce H&S risks.

Cultural Heritage (Physical and Cultural Resources): Given the participatory approach of the project, any subprojects involving cultural heritage (e.g. ecotourism) will be carried out at the initiative and for the benefit of IP communities, and any activity will be screened to determine whether they propose the commercial use of cultural heritage and, if so, to ensure such activities: (a) carry out meaningful consultation; (b) include provisions for fair and equitable sharing of benefits, consistent with customs and traditions of any affected parties; and that (c) proper assess and mitigate any negative impacts.

Access Restrictions. The project will not engage in land acquisition nor is expected to lead to involuntary.
Resettlement or physical displacement. Any activity that might lead to community/voluntary enforcement of existing restrictions of access to protected areas and natural resources, the
ESMP will describe a Process Framework (PF) (e.g., Conservation Agreement Procedures) which will establish the processes by which potentially affected communities participate in determining the measures necessary to mitigate these risks. 'Voluntary' depends on whether all affected stakeholders had the right of refusal at the time of establishment of the agreement.

The project would not support initiatives that directly seek changes in land use or impose additional restrictions, other than those already in place. In case that the project selects to finance an activity that results in enforcement of existing restrictions, the PF will explain the measures will be taken to ensure that this does not result in the loss of livelihoods to members of the community. Community or

household dependency on the natural resources in question is also relevant in determining the risk of loss of livelihoods. The Project Team will also provide guidelines for dispute resolution mechanisms to address disputes on land use or access to resources that result from voluntary/community enforced restrictions.

Safeguard Training – please add the following information.

- COVID 19 –standard safety information or mini trainings at every activity.
- Gender /GBV SEAH training for Project Team – to be scheduled.
- Gender /GBV SEAH training for partners – to be scheduled in coordination with GRM training.
- GRM training – TBD
- Negotiation Training?

Project Safeguard Risk Category:

☐ low risk X moderate risk ☐ high risk

Summary of Safeguards Triggered:

4.1.1 Environmental and Social Assessment
4.1.2 Labor & Working Conditions
4.1.3 Voluntary Resettlement
4.1.4 Natural Habitats and Biodiversity
4.1.5 Indigenous Peoples
4.1.6 Physical Cultural Resources
4.1.7 Community Health and Safety
4.1.8 Climate Change, Resource Efficiency & Pest Management
4.1.10 Gender *Equity*
4.1.11 *Stakeholder Engagement*
4.1.12 *Grievance Redress* Mechanism

Planned Assessments or Tools:

- **Stakeholder Engagement Plan (revised)**
- **Gender Action Plan**
- **Grievance Redress Mechanism procedure – forthcoming**

New activities that may be defined or added through co-financing will be screened for E&S risks and rated and assigned appropriate mitigation actions in line with the ESMP procedure. Should the project transfer project funds to Financial Intermediaries, the design of the activity will be carried out in a manner consistent with relevant requirements of the Para. 4.19 below).

3.2 PROJECT CONTEXT

Project Location and Scope

- **Describe the size and scope of the proposed activities (target area of influence).**
  - Project direct impact: 1,122,691 ha.
  - The CI – Bolivia work programme has different activities under the four outcomes of the Amazonia Verde´s project. Initially the project will work with five Ios and communities in the Bajo Madidi area. All IPLCs are in the northern part of the country; Ixiamas, Bolpebra Guanay y Sorata municipalities. The activities are planned to support the IPLCs management of their territory, through the implementation of life plans, support of land titling processes, and the implementation of monitoring systems. In addition to strengthening the capacities of male and female leaders to support their communities effectively and efficiently. Finally, the project is intended to support value chains prioritized by IPLCs through the establishment of conservation agreements.
  - In addition, a study in the Bolivian lowlands is contemplated, to analyse restoration opportunities in Bolivian forest cover landscapes, locating specific areas and considering different viable technical strategies of landscape restoration. Furthermore, the project also aims to establish a financing mechanism for the IPLCs.

- **Describe where the project will take place showing the project areas, towns/communities/indigenous territories, protected areas, and main rivers/watersheds).**
  - Departments: La Paz and Pando.
  - ILPCs: San José de Uchupiamonas, Tacana I, Tacana II, Yaminahua – Machineri, Tsiman – Moseten, communities of the Bajo Madidi area, Guanay and Sorata (possibly to extend to other ILPCs).
  - Main rivers: Madidi, Manupare, Manurimi, Madre de Dios, Beni, Emero, Tequeje, Enapurera, Tarene, Amaguaya, Challana and Zongo.
  - Protected Areas*: NP – NAIM Madidi, RN Manuripi, NAIM Apolobamba, NP- NAIM Cotapata, Pilón Lajas, ANMI – Municipal Bajo Madidi, Municipal Tequeje – Tudaray, Municipal Serranía del Tigre.

NP: National Park, ANMI: Natural Area of Integrated Management, NR: National Reserve.

For more information, please see map under 'Project Location' showing the jurisdictional boundary, IPLCs location, and protected areas within the region.

Physical and Biological Environment.

Biological Context of Project Area	**Yes**	**No**

Indicate global significance (e.g., biodiversity hotspot, Ramsar site, Key Biodiversity Area, irrecoverable carbon) of the project area (*Please identify any fragile or critical natural habitat[3] that may be affected by project activities and needing specific consideration in the area (wetlands, mangroves, estuaries, etc.*). Biodiversity hotspot: Madidi – Pilón Lajas – Cotapata Key Areas for Biodiversity: - Yungas superiores del Madidi - Yungas inferiores del Madidi - Apolo - Tahuamanu - Reserva Nacional de Vida Silvestre Amazónica Manuripi - Bosque de Polylepis del Madidi - Yungas superiores de Apolobamba - Yungas inferiores de Pilón Lajas	☒	☐
Identify endemic and IUCN Red Listed species (Please list any endangered or critically endangered flora /fauna species found in the Project area based on national and international (*IUCN Red List or similar*) standards: Please review attachments I and II	☒	☐
Current or planned indigenous/local community conservation/protected territories. **(or other types of protected areas)** Indigenous/ local community: San José de Uchupiamonas, Tacana I, Tacana II, Yaminahua – Machineri, Tsiman Mosetén, communities in the Bajo Madidi and Guanay (Municipal protected area)	☒	☐
Current or planned buffer zones	☐	☒

Major ecosystem types (*check all that apply*):

forest ☒, grassland ☒, desert ☐, tundra ☐, freshwater ☐, marine ☐

[3] Critical habitats are any area of the planet with high biodiversity value, including (i) habitat of significant importance to Critically Endangered and/or Endangered species; (ii) habitat of significant importance to endemic and/or restricted-range species; (iii) habitat supporting globally significant concentrations of migratory species and/or congregatory species; (iv) highly threatened and/or unique ecosystems; and/or (v) areas associated with key evolutionary processes.

Key natural and other landscape features (*check all that apply*): major rivers ☒, mangroves ☒, large scale agriculture ☒, tourism areas ☒, major transport infrastructure ☐, wind or renewable energy ☐, oil/gas or mining ☒		
Deforestation rate (local or regional est. if possible) ha/yr (*within the indigenous territory or the most relevant local or regional area*)	135.000 ha/año	
Targeted Indigenous or Community Conservation Territory (or protected area) (ha)	1,122.691 Ha	
Temperature range (min, max)	35°C, 15°C	
Precipitation (ave per year, mm),	2.086 mm/year	
Socio-economic Context of Project Area		
Estimated affected population (people)	59,429	
Direct beneficiaries targeted (people)	8,014	
Number of villages or communities targeted	45	
Estimated poverty rate (% of HH, based on national poverty line) *Ixiamas Municipality, Censo Nacional de Población y Vivienda INE 2012	*57.4% moderate poverty, 18.2% indigence and 1.7% under marginal conditions	
Total land area (ha) – *affected by the Project*	6,395.237 Ha	
Number of indigenous groups (*please list:* Uchupiamonas, Tacana I, Tacana II, Yaminahua – Machineri, Tsimane – Moseten, Quechua, Aymara)	7	
Describe the project area: Each TCO or community can have different services relying on their location, number of inhabitants, etc.)	**Yes**	**No**
Places of spiritual, social, cultural, religious, or historical/archaeological interest (*please identify with appropriate attention to any protections of traditional knowledge*) Guanay/Ixiamas	☒	☐
Does the community have access to electricity? It will depend on the community. In some cases, communities with larger number of inhabitants have access to electricity provided by a local company, in others the community or individual households own a light engine that runs on diesel or gasoline. In very few cases communities have solar panels.	☐	☐
Access to health care services?	☐	☐

It will depend on the community. Communities with the largest number of inhabitants can have a health post, a first-class health center, with limited personnel. Most communities must travel to a populated city center to access medical care.		
Access to education services? Communities with the largest number of inhabitants can have access to secondary education, the smallest to primary education and in some cases, they will have to travel to other communities to attend school.	☐	☐
Access to water and sanitation services? Communities normally have access to water through rivers, streams, and wells and not in their homes. The majority do not have access to clean water. Indigenous communities do not have access to sanitation services and would individually burn or bury their garbage.	☐	☐
Are there legacy issues of conflict? There are legacy issues of conflict between Indigenous communities and private landowners, protected areas establishment, and other activities taking place in their territories.	☐	☐
In last 5 years, has there been any natural disasters (flood, drought, winds, earthquake, wildfire, volcanic event, etc)? The main climatic disasters happening in the area are fires and floods, depending on the time of year, and happening every year with different intensity. Floods: In the rainy season affecting roads and damaging IPLCs households; affecting communities' crops and roads. Fires: In the dry season as sporadic showers, in some cases very destructive, and related to clear land activities.	☒	☐
Have there been any COVID-19 related deaths in the communities? The area does not have updated information on deaths from COVID. Most of the statistics are at the municipality level, however they do not provide detailed information regarding the impact of COVID on IPLCs. In many cases leaders have mentioned having lost a loved one due to COVID, but we do not have official information. COVID tests are not easy to access in the area and symptoms can be confused with other diseases such as dengue and malaria.	☒	☐

Main livelihood activities (*check all that apply*): Logging/Forestry ☒, Agriculture ☒, Livestock ☒, Hunting ☒, Fishing ☒, NFTP collection ☐, Small business ☐, Other ☐ _____
Land uses (*check all that apply*): Residential ☐, Agriculture/pasture (individual) ☒, Agriculture/pasture (collective) ☐, Conservation ☒, Reduced Impact Logging/Forestry ☒, Industrial ☒, Other ☐ describe:_____
Land ownership (check all that apply): Individual -private ☒, Collective/communal ☒, State/public land ☒, informal, customary ownership ☒, Other ☐ describe:_____
Describe how men and women access, use, manage and govern the natural resources that the project seeks to focus on. Also describe the level of gender-based violence in the project site or region. The management of resources by men and women within organizations is not always equal. In many cases, the communities have a women's organization designed to work on issues of gender equity and strengthening the capacities of women leaders. The participation of women, however, is not always active, either due to care tasks that limit their time, restriction of their partners and / or the community or because in many cases they are not considered in the decision-making process within the organizations. Gender-based violence: Bolivia does not have indicators of violence at community level, in many cases the data in capital cities is also outdated. However, based on experiences, conversations and the country context, the violence suffered by women can be physical, economic, psychological, and accepted as a "normal behavior" within the communities. Women do not have protection bodies within the community. Law 348 on protection against violence establishes that a reporting entity in the community is the president / leader. However, in some communities the leader can be a close relative of the perpetrator.
For any planned or existing relevant land agreements (related to conservation agreements, carbon agreements, private or public land donations, contracts with private landowners, informal ownership rights), **please identify and document any recent or planned land acquisition or restrictions to natural resource access rights**: No information (N/A)
Describe any additional information on economic, social, and cultural context of indigenous peoples or local communities living in, the area of the proposed project (*for example, any disadvantaged/vulnerable/disabled groups, human rights issues, conflicts, presence of illegal activities, etc.*) Specific information: **Tacana I**. Is represented by the CIPTA (Indigenous Council of the Tacana People) and the CIMTA (Indigenous Council of Tacana Women), made up by 20 communities and a total of 486 households. The Tacana I

population is mostly young, 42% under 14 years old, with an overall illiteracy rate of 10% (mostly women). The languages spoken in Tacana I are Spanish (85%) and a in a small percentage Tacana (8.5%).

According to the organization's management plan, the priorities identified for the TCO are fundamentally those related to internal organization aspects, the provision of basic services by the Government, such as health, education and basic sanitation, food security, land tenure, and access to natural resources.

Their main source of income comes from activities linked to forest management, and to a lesser extent from tourism, handicrafts, and commercialization of non-timber forest products.

Tacana II. Is represented by the Tacana II Central Indígena Tacana II del Río Madre de Dios (CITRMD) and made up by four communities and 155 households. Each community have primary and secondary education schools and a low level of illiteracy, compare to men are mainly women who do not access to secondary levels.

Women´s participation in community leadership are as Gender Secretariat, CITRMD Education and Health representatives, as well as holding positions of corregidoras and huarajes. Women´s participation in the decision-making processes within the organization is still limited (according to a study carried out by a local partner ACEAA).

Activities such as hunting, hunting, and mining are exclusive for men. The main income related activity is brazil nuts harvesting.

San Jose de Uchupiamonas. Is represented by a corregimiento, a board, a civic committee and a vigilance committee, and a women's organization and made up of 130 households living in one community.

The San Jose de Uchupiamonas people has a health post with intermittent staff and can access to primary and secondary education within the community. The main economic activity is tourism, holding different hostels and lodges such as Chalalán.

Bajo Madidi Communities – Municipal Protected Area. The Bajo Madidi is made up of 522 households self-identified as Quechuas, Aymara and Tacanas. Most of the communities have access to primary level education within their communities, and others must travel to other communities. The illiterate population represents 3% of the population and the majority are women.

The entire area has four primary care health centers, in some cases the centers are so far apart that the communities prefer to go to populated centers in other departments for health care, for example Riberalta.

The main economic activities in the area are timber and non-timber forest harvesting (brazil nut, cocoa, others), then livestock and subsistence agriculture.

The organizations in the project area face similar challenges, lack of access to services such as education and health, long-standing land titling processes conflicts, illegal extraction of natural resources, and others. In most cases, the lack of resources has not allowed them to develop control and surveillance actions. In addition, communities are susceptible to adverse effects such as fires, floods and droughts.

Some examples of economic activities that can affect the IPCLs:

Hydrocarbon exploration. The national government has been promoting the declaration of areas for hydrocarbon interest in some territories that overlap protected areas such as the Madidi National Park or the Manuripi Reserve:

a) the Supreme Decree No. 29130 of May 3, 2007, in which 21 areas of hydrocarbon interest are reserved in favor of Bolivian Fiscal Oil Fields (reserved areas), located in Traditional and Non-Traditional Zones in order to develop exploration and exploitation activities: Madre de Dios Block with 500,000 ha, Nueva Esperanza Block with 372,500 ha and the Beni River Block with 1,000,000 ha, the latter partly overlapping the AMCM-Bajo Madidi,

b) the Supreme Decree No. 2366 of May 20, 2015 establishes measures for the use of hydrocarbons throughout the territory national including protected areas.

Mining. The advance of mining, especially gold, in the Bolivian Amazon region and particularly in the sub-Andean belt has been generating a series of negative impacts such as: loss of forest and plant cover, product of the habilitation of places, roads, camps, acid water runoff, gasoline and lubricants, as well as harmful effects on soils, air and water. Many mining activities are currently happening in the Madidi National Park.

Institutional Capacity	**Yes**	**No**
Respect for the rights of indigenous peoples (*knowledge, recognition, respect, and proactive protection of indigenous rights by all relevant parties*)	☒	☐
Strong local governance (*no incidence of corruption, transparent, representative, and accountable decision-making bodies, effective resolution of disputes*)	☐	☒
Secure land rights (*no outstanding land tenure or land rights conflicts*)	☐	☒
Satisfaction with existing land use agreements (*including any concession, lease, or conservation agreements*)	☐	☒
No incidence of violence /discrimination toward women or marginalized groups	☐	☒
Does the project team have experience in in implementing safeguards, gender, and stakeholder engagement? *Please describe briefly:* - CI Bolivia has work with safeguards in the implementation of other projects in the past, e.g., CEPF. - Stakeholder engagement and FPIC have been applied during different projects implementation, recently in the Creation of the Bajo Madidi and Guanay Municipal Protected Area. - The team has also experience in the developing of a Gender Plan and gender compliance, e.g., project funded by Canada.	☒	☐

Do the implementing partners have experience in in implementing safeguards, gender, and stakeholder engagement[4] (please describe briefly)	☒	☐

Please list any other projects (by the government, national or international NGOs or companies) that could either influence this project, be influenced by this project or lead to similar impacts on project stakeholders.

National, Regional and Local Governments, NGOs.

During the development of the project, sub – grants will be signed with different local partners, for the implementations of different project´s components: Hunting and fishing monitoring activities, updating and implementation of life plans, implementation of conservation agreements, and capacity building processes. The possibility to work with more local partners as grantees during the project development is open.

Some of the safeguarding activities mentioned and related to the subgrantees are: strengthening of capacities for women to make decisions within the organization (Tacana II), hunting and fishing monitoring (San José de Uchupiamonas). In some cases, we will also work in sub grant in kind with indigenous organizations, specially under the implementation of Conservation Agreements. Most of these grants are in kind and related to the development of sustainable initiatives, such as the brazil nut value chain.

At the local level, there were changes in the municipal mayors and councils. It will be important to initiate and strengthen the rapprochement with the new authorities, and to disseminate the project scope and objectives one more time.

At the national level, CI Bolivia's office has been coordinating with the national government through the Vice Ministry of the Environment, as well as update meetings with the Government of France.

Source Documentation – *please describe any sources for information provided in the ESMP*	**Yes**	**No**
Site visit(s) – please provide date(s), places, persons visited	☐	☒
Technical documents	☒	☐
Publicly available source of information, including media reports, please describe or provide links:	☒	☐
Consultation with key informants	☒	☐
Biophysical sample analysis	☐	☒
Professional judgement by Project team members	☒	☐

[4] Additional due diligence may be necessary for financial intermediaries or large subgrantees that are funded by the project.

4. RISK ASSESSMENT & MITIGATION PLANNING

4.1. Safeguard Standards for Environmental & Social Assessment

The project will follow CI's Rights-based Approach (RbA)[5] and related tools and guidance. In addition, the project will strive to adhere to the safeguard policy framework of the CI GEF/GCF ESMF (v.7),[6] which outlines more clearly detailed requirements for identifying and managing environmental and social risks and impacts in 12 possible areas. The E&S assessment should focus on the issues that are most important for design, decision-making and stakeholder interests. E&S risks and impacts that need to be further assessed in this report have been identified during the screening and categorization exercise. ***For background detail of the content and procedure for any safeguard, see GEF/GCF ESMF.***

As applicable, the safeguard areas that may require E&S assessment are as follows:

4.1.1. Environmental and Social Assessment safeguard outlines steps to categorize, assess risk, to define appropriate mitigation measures, to ensure adequate implementation and to monitor and report on results. For example, how the project will avoid the expansion of the agricultural frontier boundary to avoid deforestation.

4.1.2. Labor & Working Conditions safeguard outlines steps to adhere to the ILO core labor standards, including prohibition of child labor or forced labor. Project activities that employ subcontractors or community labor, may involve the establishment of labor management procedures.

4.1.3 Voluntary Resettlement safeguard outlines steps to assess risks of economic displacement associated with access restrictions, use of compensatory measures, and reaching agreements in a transparent, accountable manner (prohibiting involuntary resettlement).

4.1.4 Natural Habitats and Biodiversity Safeguard – outlines steps for identifying and managing risks to biodiversity and habitat, including any use of offsets.

4.1.5 Indigenous Peoples safeguard (including Free Prior Informed Consent (*FPIC).* CI was founded on the understanding that successful conservation requires respect for human rights and the full and effective participation of IPLCs whose livelihoods depend on natural resources. CI has in place several institutional policies that all staff must adhere to that uphold a respect for Indigenous People's rights and processes that respect Free Prior Informed Consent (FPIC). CI has accepted that policies alone are insufficient for creating lasting change and created "Guidelines for applying FPIC: A Manual for Conservation

[5] CI's Rights-based Approach (RBA) consists of eight (8) guiding principles and institutional policies that ensure human rights are protected in our work. See CI RBA Sharepoint site. https://conservation.sharepoint.com/sites/RBASafeguards/SitePages/RBA-Policies.aspx

[6] CI GEF Project Agency – Environmental and Social Management Framework, 2020, v7. Updated Version 7 forthcoming. https://www.conservation.org/docs/default-source/gcf/ci_gef_gcf-esmf-version-7.pdf?sfvrsn=a788de43_4

international."[7] Each component of the guidelines was designed to assist CI staff in implementing a fair and effective FPIC process. FPIC is not simply a decision-making process or a veto mechanism for the community, but a tool to ensure that outside people and organizations engage IPLCs in a culturally appropriate way. While an FPIC process was not possible during the design stage of the project, this safeguard supports documentation of consultation processes that were conducted and plans for continued consultation during project implementation.

4.1.6. Physical Cultural Resources safeguard – outlines steps to identify and manage risks for tangible (*physical*) and intangible (*traditional knowledge*) forms of cultural heritage.

4.1.7. Community Health and Safety safeguard – outline types of risks associated with the collective health and safety of communities, including public health (pandemic), use of private security forces or community patrols, incidence of social conflict, or emergency preparedness for natural disasters.

4.1.8. Climate Change, Resource Efficiency & Pest Management safeguard– outlines steps to identify and manage risks associated with climate change, and to promote appropriate mitigation and adaptation measures (including sustainable use of pesticides and scarce resources such as water).

4.1.9. Financial Intermediaries and Private investment safeguard – outlines steps to identify and manage risks associated with use of intermediary bodies to provide subgrants or pool investment for funding project activities.

4.1.10. *Gender Equity safeguard* – outlines steps to identify and manage risks of gender exclusion or potential gender-based violence, as well as to promote gender equality in access to project opportunities or benefits.

4.1.11. *Stakeholder Engagement* – outlines steps to identify and analyze project stakeholders and design and implement a stakeholder engagement plan.

4.1.12. *Grievance Redress* – outlines principles and steps to design and operate a suitable mechanism for receiving and responding to project complaints.

4.2. National Permitting

Project activities will comply with relevant national laws, policies, and procedures. Any necessary approval of permits, licenses or authorizations required under national law or policy will be secured prior to initiating implementation of any activity posing risks to people or the environment. Proper coordination with national oversight bodies to plan, carry out and supervise the work will be ensured.

Table 1. National Permitting

Permit / Document	Status	Actions

[7] See FPIC guidelines here https://www.conservation.org/docs/default-source/publication-pdfs/ci_fpic-guidelines-english.pdf?sfvrsn=16b53100_2

Registro Único Nacional de ONGs	in force	Annual reports to specify the activities, plans and projects carried out during the year.
Framework cooperation agreement with the Bolivian Government	Updated	Updated needed every certain period.
Framework cooperation agreement with local and regional Governments (Ixiamas, Guanay, Bolpebra, Sorata)	Updated	Updated needed every certain period.

Small scale construction. Support for some renovations of the community lodges/ camps and maintenance of nature trails, if not requiring a permit, will not trigger CI construction policy.

5. ENVIRONMENTAL & SOCIAL RISK MITIGATION MEASURES

5.1. Prediction and Assessment of Risks and Impacts from Project Activities

Based on preliminary screening assessment of E&S risks related to planned activities that is summarized in **Section 4.1 and 4.2 of the Project ESMF**, the most significant, highest potential risks related to planned activities in the country work plan are identified below. This assessment defines the risk categorization (**A – high risk, B – medium risk, or C – low risk**) for the Project, based on the highest risk activities. Risk category is a professional judgement based on several factors:

- the significance of the predicted impacts (affects how many people or size of footprint)
- likelihood of occurrence (high, low),
- reversibility of the impact (can the impact be mitigated?)
- the sensitivity, value and/or importance of the affected resource or people.
- Consider also the exclusion list (**ESMF Section 4.4**).

Table 2. Project Activity Risk Categorization

Project Activity	Type of social or environmental risk or impact (or N/A)	Risk Category (Low, Medium, High)
1. Context Risk – Weak Governance	Threats to indigenous governance from outsiders performing illegal activities such as hunting, fishing, mining.	M

	Changes in the Municipal authorities	
2. Context Risk – COVID-19	Health, safety, and security risks for community partners and for CI staff related to COVID-19 infections limit the ability to conduct field work	H
3. Land use management plans/Life Plans	Change to National Park and other related personal contributing to gaps in enforcement. Ios lack of resources to monitor their land	M
	Conflict risks related to specific land use pressures on Indigenous lands or resources	M
4. Land titling or tenure security improvements	Land tenure conflicts boundary demarcation related conflicts, constant change of authorities in charge of land titling processes	M
5. Training, fellowships, business plan development	Drop in international demand for Brazil nuts and the prices offered to producers.	M
	Women and men may be impacted differently due to different places in the value chain, may adopt different responses.	M
	Main market for ecotourism initiatives (international) non-existent due to border closures and pandemic.	M
	Women excluded from decision making processes within the organizations	M
6. Conservation Agreement – access restrictions to resources or lands	Conflict related to benefit sharing equity	L
	Risks to livelihoods when access to natural resources is restricted, particularly when affected peoples are dependent on natural resources.	L
7. All activities	Sexual exploitation, abuse, or harassment of women (SEAH) or children	L
8. Financing mechanism, co-financing	The possible dilution of the project ESMF requirements when investor funding requirements set a lower standard, the reputational risk to the project from financial partners that may not uphold equally high standards in their wider operations or portfolio, and finally, greater operational risk through dependence on subgrantees to implement activities	L

5.2. Risk Mitigation Measures

Table 3 identifies appropriate and justified measures to avoid, reduce or mitigate potential negative impacts and enhance positive impacts. Due diligence for implementing partners is also considered. Project staff will assess the safeguard capacity of any implementing partner, including Indigenous Peoples Organizations as a need and identify appropriate training measures to ensure ESMF requirements are met (as outlined in a subgrant contract). Safeguard training will be made available as needed to partner organizations, particularly those that are implementing project activities.

Please note that all risk identified in these matrixes need to be reported in the semestral report on section IX. RISK MONITORING.

Table 3. Project Activity – Risk Mitigation Measures

Project Activity - Risk	Planned risk mitigation measure or action	Person responsible in your team	Est. budget form the project to solve the risk	Residual impact (Y/N)
1. Context Risk – Weak Governance	• Targeted engagement strategy for key government counterparts as part of the stakeholder engagement plan. • Disclosure and communication about project objectives, scope, and timeline. • Implement a monitoring system for hunting and fishing.	Country Director Project lead Environmental information management coordinator	80,000.00 $	Y
2. Context Risk – COVID-19	• Follow project COVID-19 safety protocol, relevant local protocols. • Follow CI´s work policy. • Provide ILPCs with biosecurity materials. • Follow Indigenous communities' engagement protocols for COVID-19	Operations Manager Project lead	10,000.00$	Y
3. Land use management plans/Life Plans	• Targeted engagement strategy for key government	Socioeconomic Coordinator	50,000.00$	Y

	counterparts as part of the stakeholder engagement plan. • Support IPLCs to assist to spaces to speak about the issues concerning their territories. • Stakeholder engagement plan • Gender action plan	Project lead		
4. Land titling or tenure security improvements	• Stakeholder engagement plan • IPLCs Negotiation and conflict resolution assessment and training. • Provide specialized assistance to TCO Tacana I and II.	Socioeconomic Coordinator Project lead	20,000.00$	Y
5. Training, fellowships, business plan development	• Gender capacity building trainings. • Gender assessment and action plan • 4 Fellowships • Training in business plans and accountability/finance.	Gender Coordinator (TBD) Project lead	60,000.00$	Y
6. Conservation Agreement – access restrictions to resources or lands	• Transparent and effective communications. • Participatory design of Cas and working plans.	Conservation Agreements Coordinator Project lead	20,000.00$	Y
7. All activities	• Gender assessment and action plan • Capacity building on SEAH, and gender-based violence as needed.	Gender Coordinator (TBD) Project lead	20,000.00$	Y

	• Accountability and Grievance mechanism • FPIC process • Transparent and effective communications			
8. Financing, mechanism, co – financing	• Due diligence process to assess ESMP or safeguard requirements of any FI or co-financing partner. • Grievance mechanism	Gender Coordinator (TBD) Project lead	50,000.00$	

6. STAKEHOLDER ENGAGEMENT, PUBLIC DISCLOSURE AND GRIEVANCE MANAGEMENT

6.1. Stakeholder Engagement Plan

See Annex I

6.2. Accountability and grievance redress mechanism (AGM)

See Annex I

7. MANAGEMENT & MONITORING

Describe here how the ESMP will be implemented.

7.1. Roles & Responsibilities

- Country Director: General responsibility for supervising the implementation of CI Bolivia's strategic activities at landscape level. Support the team in the project implementation. Coordination and development of links with policy makers
- Project Lead: Overall responsibility of the implementation and monitoring of the ESMP.
- Conservation Agreements Coordinator: Key support for the implementation of conservation agreements.
- Socioeconomic Coordinator: Key support for coordination with local governments and indigenous organizations.
- Gender Coordinator: Key support for the stakeholder engagement plan and the ensure the compliance of the Gender Action Plan and Safeguards.

- Environmental Information Management Coordinator: Key support for the implementation of activities related to strengthening governance through monitoring systems implementation, coordination with national park directors and other field activities.
- Communication Coordinator: Key support for stakeholder engagement through the development of dissemination material on the achievements and progress of the project.
- Operations Manager: Key support for the compliance of CI policy work with fied activities under a COVID context.

7.2. Monitoring Plan

Safeguard monitoring will be part of the Project Monitoring Template to be prepared by the project lead in each country office and sent to the M&E manager of the project.

Dates:

- The first monitoring plan is due in late February 2021.
- An updated monitoring plan is due in late December 2021.

7.3. Capacity Building

Table 2. Safeguard Training Plan

Safeguard Training Type	Dates	Description	Target Audience	Training Lead	Cost	Associated Project Activity
Grievance Mechanism	Jun 2021	Preparation to use local dispute resolution practices within Project	Designated Point persons in Partner community or organization	PMU	$3, 000	all activities
Sexual Exploitation, Sexual Abuse and Sexual Harassment	TBD	Policy that defines CI's guiding principles with respect to Sexual Exploitation, Sexual Abuse and Sexual Harassment.	CI Bolivia staff and grantees/ project partners	PMU/ consultant	$3, 000	all activities
Conflict Resolution	Jul	Training IPLCs leaders in conflict resolution. Existing conflicts assessment and Conflict resolution training.	IPLCs Leaders (M/W)	Grantee	$30,000	

Gender Action Plan dissemination/training	Jul	The integration of gender in all project activities	Implementing Partners	Gender Coordinator	$3, 000	all activities

7.4. Budget and Schedule

Table 3. ESMP Budget

Safeguard Mitigation Action	**Description**	**Associated Project Activity**	**Additional Costs**		**Start dates**
			Staff or consultant time	Activity costs	
Stakeholder Engagement Plan	See SEP Annex 1				
Gender action plan	See GAP				
Grievance Mechanism	Preparation to use local dispute resolution practices within Project				

8. ANNEX I. Stakeholder engagement plan

8.1. PURPOSE

8.1.1. Brief Description of the Project

Our Future Forests: Amazonia Verde, is a project funded by the Government of France that seeks the conservation of 12% of the Amazon by 2025 by strengthening the capacities of the Indigenous Peoples and Local Communities (IPLCs) as key actors for conservation, providing them with the tools, training, and financing necessary to manage their lands around four key outcomes:

1. Newly secured protection and improved management of IPLC lands.
2. Indigenous Leaders empowered and community capacity needs met.
3. Sustainable value chains and financial mechanisms identified and implemented.
4. Indigenous knowledge management and Amazon advocacy improved.

The project will work with in 7 countries in the Amazon: Bolivia, Brazil, Colombia, Ecuador, Guyana, Peru and Suriname. In Bolivia, the project will initially work with the Indigenous Peoples of Tacana I, Tacana II, San José de Uchupiamonas, Yaminahua-Machinerí, Tsimane Mosetén – Pilón Lajas and communities of the protected area of Bajo Madidi.

8.1.2. Social Context

Bolivia has lost 9.3 million ha of Amazon rainforest, which represents 17% of its original forest cover. Industrial agriculture and lack of livelihoods opportunities for local communities have been the main drivers of deforestation, which mainly occurred on private lands. Only 14% of deforestation happened on IPLC lands who collectively hold around 25% of the Bolivian Amazon forest. Here as well, deforestation was mainly caused by limited opportunities.

The project proposes to work in three interlinked landscapes of Bolivian Amazonia: Tahuamanu Complex; Ixiamas Complex; and Cotapata Complex. These landscapes encompass 8.8 million hectares, with 7.4 million ha of that land covered by forest. In this area, there has been less than 5% deforestation or 330,000 ha (half of the landscape size has been included in the indirect ha total).

CI Bolivia has been active in the country for 32 years and has thus developed an extensive network of relationships with national and sub-national government institutions as well as with NGO counterparts on the ground. Within the scope of the project, CI will work directly with CEPILAP, as the umbrella indigenous organization, and with the Indigenous Council of the Tacana People (CIPTA), the Territorial Organization of Uchupiamonas Indigenous People, and the Tacana II Indigenous Community Central of the Madre de Dios River (CITRMD) as territorial organizations and the Indigenous Central of Amazonian Peoples of Pando (CIPOAB).

8.1.3. NATIONAL REQUIREMENTS

- The prior consultation of indigenous peoples in Bolivia, is one of the participations mechanisms of IPLCs recognized in the Constitution (Article 30, Fourth Chapter: The Rights of Nations and Peoples Peasant native indigenous).
- The concept of prior consultation is a process of a special and compulsory public nature that must be done before any decided or executed administrative measure or project public or private and legislative, that could directly affect ILPCs life forms (territorial, environmental, cultural, spiritual, social, economic, health and other aspects that affect their ethnic integrity).
- Other regulations that support the prior consultation process of indigenous peoples in Bolivia are: the Electoral Regime Law and the Decree No. 180. At the international level, the ratification by law of the United Nations declaration on Indigenous Peoples

8.2. IDENTIFICATION AND ANALYSIS OF STAKEHOLDERS

The successful implementation of the Stakeholder Engagement plan is closely related to the CI Bolivia team's ability to develop the planned engagement activities with the different stakeholders, especially in the current context. The plan aims to ensure that the identified stakeholders are actively involved throughout the implementation of the project, to establish effective lines of communication and working relationships with stakeholders through various forms of participation.

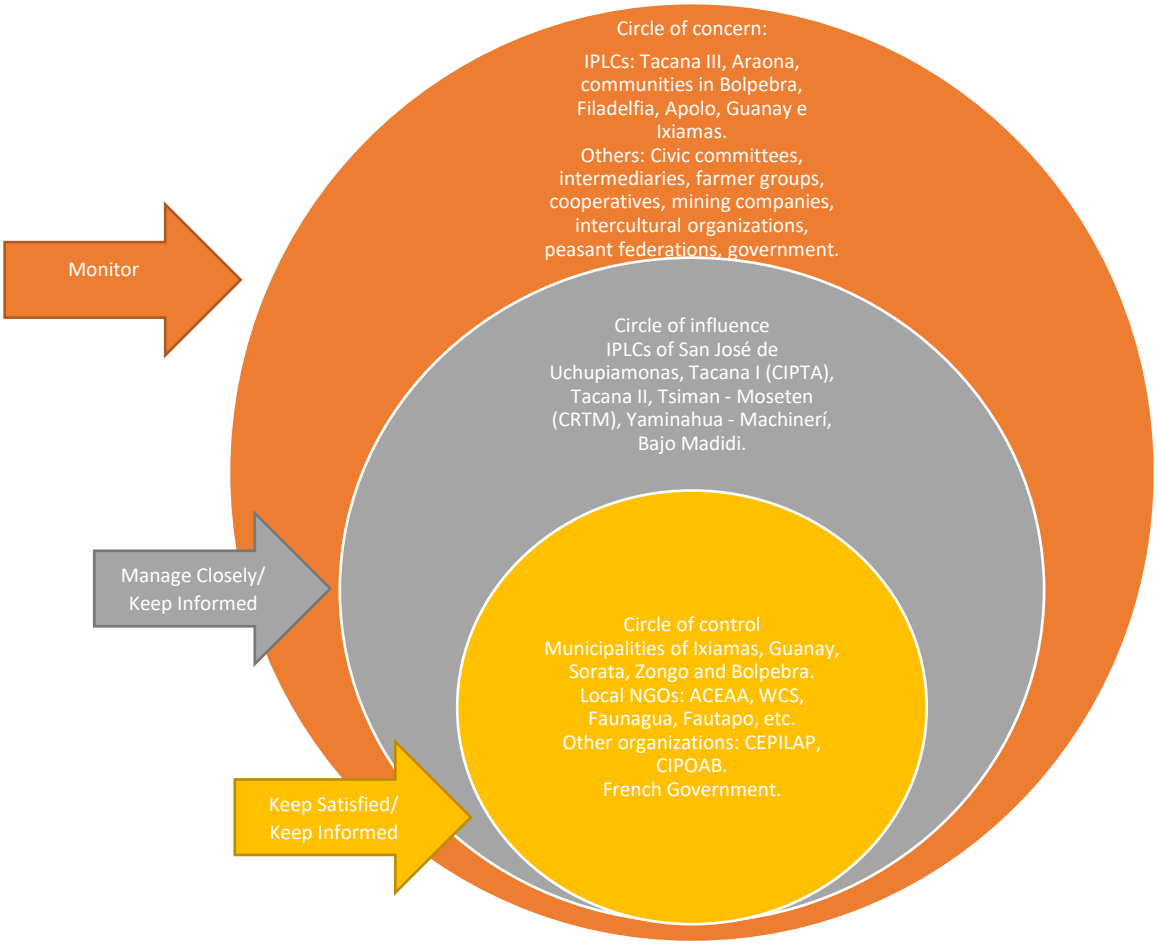
To identify and analyze the projects´ stakeholder mapping was carried out based:
a) on previous work experiences of the CI Bolivia office with the IPLCs, and b) the priority work areas of CI Bolivia in the Amazon region. Some key questions for the mapping:

- What does these stakeholders do and what are its function in the territorial environment of the project?
- What work experiences do we have with these stakeholders?
- What are their interests regarding the projects´ scope and objectives?
- What strategies can be generated to achieve the project objectives?
- What practices and skills do these stakeholders have that could get supported by the project?
- What type of contact do they have with other groups and actors (from the community, at the local, national, or international level) that could help achieve the changes that are proposed from the project?

Figure 1. Shows the stakeholder mapping of the project divided into three important circles:

1. Circle of control – Strategic Allies: Stakeholders (organizations, people) who will closely support the project execution. They share and have an active behavior with the project´s objectives. The project has a margin of control. They allow themselves to be influenced and in turn they influence the project.
2. Circle of influence – Target group: Stakeholders (organizations or individuals) who have an active and expectant behavior of changes or objectives that the project proposes. They allow themselves to be influenced and in turn they influence the project.

3. Circle of Concerns – Beneficiaries: Stakeholders (organizations or individuals), who do not want to, actively work on the project, and adhere in a passive, or sometimes do not adhere, to the changes that the project proposes, although they can be indirectly impacted by some of the actions and strategies. The project it has no influence or control. These stakeholders may become the target group in the future depending on the project strategy.



8.3. INFORMED CONSULTATION AND PARTICIPATION

The Stakeholder Engagement Plan will meet the principle of ICP as follows:

- Socialization process with the board of directors and base members of the IPLCs involved in the projects, as well as with some strategic allies. The socialization process includes the provision of a summary of the project to inform the communities, information regarding the objectives, timeline and scope of the project.
- Each ILPCs will select a communication point between the organization and CI Bolivia (considering communication access difficulties).

- The consultation processes will be progressive, initially with the coordinating person designated by the community, then respecting the structure of the organization with the board of directors so that it is extended to the other communities that make up the OI. In cases where it is necessary, the entire community will be consulted, after coordinating with the organization's board of directors.
- Respecting their right to self-determination, IOs can include activities based on their needs and expectations in the work plans, which will be carried out in a participatory manner, within the framework of the objectives of the Amazonia Verde project.
- The planned activities will consider the gender plan to promote the participation of men and women throughout the project.

8.4. VULNERABLE GROUPS[8]

The main vulnerable groups identified in the project area and are women and youth. Women and youth are not considered in the decision-making process within the ILPCs organizations. While in many cases an equal participation of men and women has been encouraged, women´s participation is not always active, either because they remain silent or because it the men of the organization takes the full lead. For this reason, we are asking to have representatives of women's organizations in the IPLCs´ meetings and explaining the importance of an equal participation in the project.

8.5. STAKEHOLDER ENGAGEMENT PROGRAM

8.5.1. Stakeholder activities already undertaken.

Table 6. Stakeholder activities already undertaken.

Process/Activity	Target Stakeholder	Stakeholder	Description (including stage of project cycle)	Date
Project Awareness or Socialization	Municipality of Ixiamas, Communities of Bajo Madidi.	Strategic Ally	Project Launch	10.08.20
Project Awareness or Socialization	Consejo Regional Tsiman Mosetén – Pilón Lajas (CRTM)	Target group	Project Launch	03.08.20
Project Awareness or Socialization	Tacana I (CIPTA)	Target group	Project Launch	31.07.20

[8] including but not limited to women, children, migrants, elderly, minorities, displaced, and persons with disabilities.

Project Awareness or Socialization	San José de Uchupiamonas	Target group	Project Launch	07.08.20
Project Awareness or Socialization	Tacana II	Target group	Project Launch	04.08.20
Project Awareness or Socialization	Yaminahua – Machineri	Target group	Project Launch	01.08.20
Monitoring & Evaluation/ Consultation	San José de Uchupiamonas/ Chalalán Board	Target group	Project implementation	Monthly
Project Awareness or Socialization	Communities of Bajo Madidi	Target group	Project implementation	20 - 22.02.20
Consultation workshops/meetings	Tacana I (CIPTA)	Target group	Project implementation	26.02.21 05.03.21
Meeting with implementing partner	WCS	Strategic Allies	Project implementation	12.03.21
Meeting with implementing partner	Fundación UNIR	Strategic Allies	Project implementation	31.03.21
Meeting with implementing partner	ACEAA	Strategic Allies	Project implementation	09.02.21 29.04.21
Monitoring & Evaluation	France Government	Strategic Allies	Project implementation	24.02.21

8.5.2. Planned engagement activities

Types of Engagement Processes

- *Project Design*
- *E&S Risk Assessment*
- *Project Awareness or Socialization*
- *Consultation or consent*
- *Training/Capacity Building*
- *Network or Alliance Building*
- *Advocacy*
- *Project Governance*
- *Research & Analysis*
- *Monitoring & Evaluation*

Types of Engagement Activities

- *Design workshops*
- *Environmental and social assessment*
- *Due diligence of implementing partners*
- *Project kickoff meetings*
- *Consultation workshops/meetings*
- *Negotiation workshops and meetings*
- *Focus groups (youth, women, migrants, etc.)*
- *Multi-stakeholder groups*
- *Independent expert panels*
- *Formation of advisory or steering committees*
- *Beneficiary exchanges*
- *Project or Sector specific training activities*
- *Monitoring & feedback activities*
- *Evaluation activities*

8.5.3. Planned Stakeholder Engagement and Disclosure

Table 6. Stakeholder engagement planned activities.

Activity	Target Stakeholder	Stakeholder Interests in the project	Description (including stage of project cycle)	Timing
At partners request	IPLCS	Implementation of grants in kind	Project implementation	Constantly
	Grantees	Implementation of grants	Project implementation	Constantly
Work plan development/grants development	IPLCS	Implementation of grants in kind	Project implementation	Jun – Jul
	Grantees	Implementation of grants	Project implementation	Constantly
Capacity building processes	IPLCS	Capacity building	Project implementation	Start July 2021
Gender Training	Grantees (IPLCs and NGOs)	Support implementation of the work plan	Project implementation	Start July 2021

Project information dissemination	All stakeholders	To know the project state and goals	Project implementation	Constantly
Minutes of agreements and lists of participants of important meetings	All stakeholders	Record of the activity and the agreements	Project implementation	Constantly
Grievance dissemination	IPLCS	To know the projects grievance procedure	Project implementation	Starting Jun 2021
	Grantees	To know the projects grievance procedure	Project implementation	Starting Jun 2021
Coordination with governmental institutions	Vice ministry of Environment and Water	Support for a meeting of municipal protected areas	Project implementation	Jun – Jul 2021
	SERNAP	CI is part of the donor support committee for external funding	Project implementation	Constantly
	Park rangers / Madidi park	Coordination of monitoring and surveillance tours, support for work supplies	Project implementation	Constantly
	Municipal governments	Support the management of municipal protected areas	Project implementation	Constantly
Transparency processes	IPLCs	Participation in transparency processes – organizations and municipal governments / Board meetings	Project implementation	Constantly
Implementation of conservation Agreements	IPLCs	IOs active participation	Project implementation	Starting Jun 2021

Women's participation	Women´s Indigenous Organizations	Inclusion of activities prioritized by women in the work plan	Project implementation	Starting May 2021
Women´s capacity building	Indigenous women/Women fellowship winners	Participation in mentoring and capacity building processes	Project implementation	Starting Jul 2021

9. GRIEVANCE PROCEDURE

9.1. Introduction

The project "Our Future Forests: Amazonia Verde " is expected to provide local communities and other relevant stakeholders, the means of submitting complaints about failures or any problems that arise during the implementation of the activities scheduled with the social and institutional actors involved in the project through an Accountability and Grievance Mechanism (AGM) procedure.

The full Accountability and Grievance Mechanism procedure, which may involve implementing partners as focal points in specific countries, will be followed consistently in all of the seven project countries. The full procedure can be found in the Project Document Folder[9], and is summarized here. The full procedure seeks to ensure consistency in how complaints are treated.

Stakeholders involved in the project:

[9] The Accountability and Grievance Mechanism Procedure can be found here.

- GAM Ixiamas
- GAM Bolpebra
- GAM Guanay
- IPLCs of San José de Uchupiamonas, Tacana I, Tacana II, Tsiman Moseten, Yaminahua Machineri
- Representatives and members of the communities

9.2. AGM Contacts

CI – Bolivia: Project Lead will be the primary contact for the AGM

For grants: In cases where the project is been implemented only through local partners, CI Bolivia will explain the procedure to the local partner and ensure this is also explained to the IPLCs.

The Accountability and Grievance Mechanism (AGM) procedure seeks to ensure consistency in how complaints are treated. Any project stakeholder can submit a grievance directly to the CI-G Project AGM primary contact, or to the PMU contact, M&E Manager, Carlos Montenegro, or alternatively directly to CI EthicsPoint. Written material describing the project AGM will provide full contact information for each option.

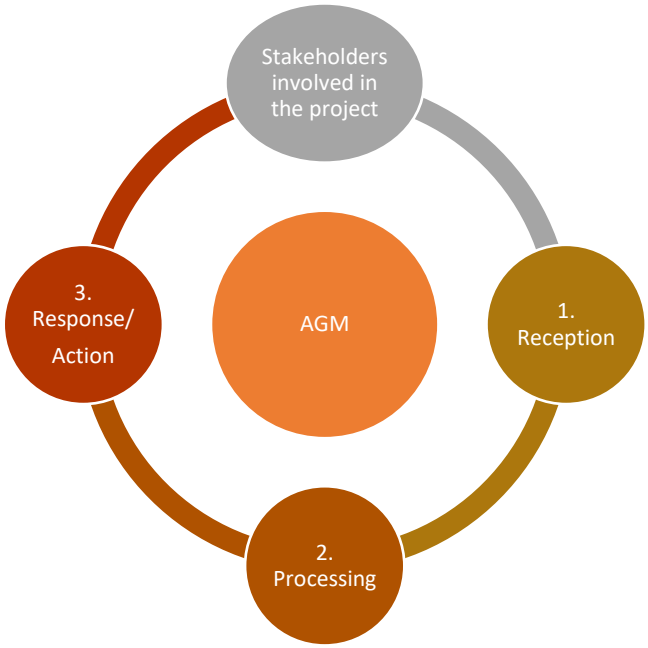
The CI-G AGM Primary Contact will:

- Proactively communicate to all stakeholders about how the AGM process works.
- Maintain an updated **written record** of all complaints received, with appropriate protections for privacy and confidentiality (*see sample log in AGM procedure*);
- Report in semi-annual monitoring reports an updated list of received grievances and their status;
- Proactively communicate, **raise awareness and provide written information** to all project stakeholders about how the AGM process works, including options for where to submit a grievance (*see sample brochures and posters*);
- **Provide training** as needed for stakeholders to be able to effectively access and use the AGM;
- **Take immediate action** to define the issues and resolve the grievance or complaint or refer to the next level of authority for resolution if necessary;
  Immediate actions include:
  - Classify the risk of any complaint;
  - Assess eligibility of a complaint;
  - Determine what Tier of the AGM should handle the complaint and make contact with that responsible party;
  - Consider the appropriate time limits for handling and addressing the complaint;
  - Ensure confidentiality of the complainant (if requested);
- **Register the grievance** immediately with the PMU (M&E Manager) and inform the Country program lead;
- **Publicly report** on complaints received and actions taken on each complaint (*in semi-annual monitoring reports*);
- Ensure that a **transparent, timely and fair process** is adopted to address each complaint;

Based on an assessment of the partner organization capacity, the CI-Guyana project team will rely on the four indigenous implementing partner organizations to utilize their own traditional dispute resolution practices as the first level of the AGM procedure for receiving and managing any low-risk grievance that is received. **CI-Bolivia will endeavor to understand and document as an Appendix to this ESMP how these traditional practices for addressing a grievance operates.** CI-G will ensure appropriate coordination between the traditional dispute resolution practices of the indigenous partner organization by explaining the requirements of the Project AGM procedure that any implementing partner will need to comply with. CI-G will ensure any project related grievance that is handled by an indigenous partner organizations meets the following requirements:

- The partner can assess whether reported grievances are eligible or not (e.g., related to the project)
- The partner reports any grievance related to the project, along with appropriate level of detail to CI-Bolivia in a timely way;
- Based on the CI risk rating scale, the partner can assess whether the grievance is low or high risk, and;
- If the submitted grievance is high risk, reports the situation to CI-Bolivia immediately;
- The partner will seek to address the grievance in a timely manner, consistent with the principles of the project AGM procedure;
- The partner will report to CI-Bolivia the result of the process to address the grievance;
- The partner will provide updates on any grievance process at periodic monitoring activities;

The complaints system is a closed-loop process and includes 3 stages consisting of receive, process, and respond to the respective complaints, this process is summarized in the following diagram:



1) **Reception:**
   - This stage consists in the grievance reception. CI Bolivia will deliver a grievance form, to all the stakeholders and partners as part of the AGM training.

- The grievance will be centralized by the technical team in the field - GAM Ixiamas, in the case of Bolpebra and Guanay the appropriate place to reception will be defined with the GAMs.
- In the cases in which the project is being implemented by local partners, a focal point will be defined.

2) Processing:

- Grievances received will be collected every month from the mailbox from in each focal point (GAMs, local partners) in a monthly basis by the project coordinator.
- The Project coordinator will review and classify the complaints according to the subject, risk (see table 7) and eligibility.
- Determine what Tier should handle the complaint (see below)
- The time limit for handling and addressing a complaint is up to TBD months after reception.
- Ensure confidentiality of the complainant (if requested)

3) Response/action:

- Only complaints that are directly related to the project will be assess by the AGM.
- Complaints not related to the project will also be classified and forwarded to the GAMs.
- Registration of the grievance immediately with the PMU (M&E Manager) and the Country program lead.
- Publicly report on complaints received and actions taken on each complaint.
- Ensure that a transparent, timely and fair process is adopted to address each complaint.

The AGM procedure provides a three-tier structure to address grievances (***see Figure 1 below***)

- **For Tier 1 at the Community/Country level there are two options:**
  - **Option A. The AGM site-level procedure requirements are managed by indigenous implementing partners where appropriate and decided by CI country office.**
    - CI-Bolivia due diligence of local practice for dispute resolution is necessary before deciding to incorporate this practice into the Project AGM;
    - Thematic meeting between CI-Bolivia CI-G and Indigenous implementing partner to evaluate the project, identify risk potential and clarify how to make a complaint. Done by the coordinator;
    - In - situ workshops or training will be needed to explain and then to co-create the Tier 1 mechanism procedure that is customized to the cultural aspects of the subregion and organizational requirements of the indigenous partner organization;
    - A dedicated focal point will be identified as the responsible party for any low risk grievance that is addressed at the community level;
    - The partner focal point will be responsible for coordinating with CI-Bolivia AGM contact and carrying out the duties indicated above.
    - Identify appropriate communication channels on how to submit a complaint (in -person, email, telephone, SMS Text, WhatsApp, evaluate with external grants);
    - Raise awareness with stakeholders about the AGM (poster, video for dissemination via WhatsApp, dissemination on the CI-Bolivia website and the external grant, among others);

- Create a requirement within external grants to report and monitor complaints.

- **Option B. The AGM procedure requirements are managed by the designated CI Project Team AGM primary contact.**
  - The Project Team AGM Primary Contact will follow the grievance handling procedure for any received grievances, as summarized above.
  - If eligible grievances cannot be resolved at the country level, the grievant will be informed of the right to appeal the grievance to the PMU level (Tier 2).
  - Upon request, the grievance will be escalated to Tier 2.

For Tier 2 - PMU level

- Project M&E Manager will coordinate all grievance handing processes according to the AGM procedure and summarized above;
- The Project M&E Manager will establish and maintain communication with the grievant regarding the process for addressing the complaint;
- The M&E manager will coordinate appropriately with the Country Program and partner;
- The M&E manager will coordinate with the CI Grievance Subcommittee as appropriate for any grievances that present risks that require external advice;
- If eligible grievances cannot be resolved at the PMU level, the grievant will be informed of the right to appeal the grievance to the CI Grievance Subcommittee level (Tier 3).
- Upon request, the grievance will be escalated to Tier 2.

For Tier 3 – CI Grievance Subcommittee level

- Any high-risk grievances will be elevated automatically to the CI Grievance Subcommittee, chaired by CI General Counsel Office (GCO)
- Eligible grievances that are not resolved at the country/community or PMU levels may also be escalated to the Subcommittee level;
- The CI Grievance Subcommittee will follow the procedure described in the Project Accountability and Grievance Mechanism Procedure.

Table 7. Grievance Risk Classification

Complaint Risk Level	Description	Responsible for resolving the complaint	Maximum time for addressing grievance
1 (low)	The complaint is straightforward, the issue is clear, and the solution is obvious, and resolutions can be developed and provided immediately. This may include cases where the grievance is:	Point person for Tier 1 (if community level AGM is used), in coordination with the CI Country Program lead	TBD

	• Benefit sharing /elite capture • Rejection of grant proposal • Exclusion from the target geographies • Representation issues • Access to Information • Procurement related issues • Perceived conflicts of interest	Or PMU M&E Manager (AGM Coordinator) if no Tier 1 mechanism is identified	
2 (medium)	The complaint may be low risk, but lacks full necessary information and • needs to be investigated for further information and may involve engagement with multiple stakeholders; or • the resolution of the grievance involves action from a particular stakeholder.	Point person for Tier 1 (if community level AGM is used), in coordination with the CI Country Program lead Or PMU M&E Manager (AGM Coordinator) if no Tier 1 mechanism is identified	TBD
3 (high)	Grievances with, or with the potential to have, a significant adverse impact on, and interaction with, stakeholders. These may include: • repeated grievances. • clear/strong evidence of (threatened) violence in all its forms including SEAH; or • clear/strong evidence of illegal activity, victimization, or corruption, etc. • Reputational (to CI or donor)	Tier 3 CI Grievance subcommittee in coordination with the Country Program and the PMU.	TBD

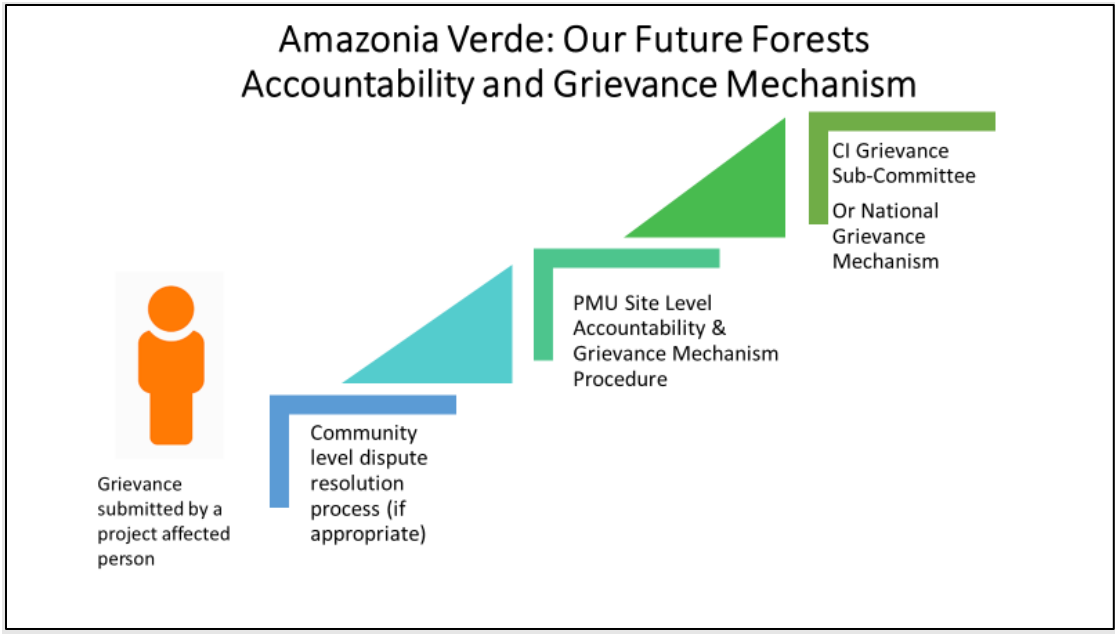


Figure 2. Generic design for a three-tier project grievance mechanism

The Project Accountability and Grievance Mechanism Procedure and relevant Tier 1 will be socialized with all the stakeholders identified as target groups and allies (Graph 1). The methods for socialization will be using virtual platforms and with the provision of explanatory graphics of the mechanism.

10. STAKEHOLDER REGISTER FOR FPIC and PRIMARY CONSULTATION MEETINGs

- In the process of carrying out the project, different conversations were held with the IPLCs representatives to find out their needs and expectations and to ensure these are reflected in the final project. Meetings among the technical team within CI were also important to have the expertise from people who have worked for many years with many of the organizations within the project area.
- In the first months of the project implementation, meetings were held with the organizations boards and municipal governments, to socialize the project scope and objectives in a one page sheet (see DisseminationProcess)
- For the following meetings in which agreements are met, meetings minutes are shared with the participants (see MeetingMinutes)

Table 8. Template for FPIC meetings.

Stakeholder (group or individual)	Contact details	Date of meeting	Location of meeting	Summary / Issues raised	Follow up Actions	Status (closed / Open)

11. RECORDING, MONITORING and REPORTING

Monitoring of stakeholder engagements will be performed as a part of overall project monitoring, based on defined performance indicators. Monitoring reports will be prepared by the project lead in each country office and sent to the M&E manager of the project. The M&E manager will make comments and send it back to the project lead. The reviewed version will be considered as the final version.

Dates: Report due end of February 2021

Updated: Update report December 2021

The reporting for these formats should be conducted yearly until the end of the project.

Table 9. Template for stakeholder list.

Group	Stakeholder	Contact details
Project Developers/Private Sector		
	Organization / Name	Address Email
	Organization / Name	Address Email
National Government Authorities		
	Organization / Name	Address Email
	Organization / Name	Address Email
District Level Government Authorities		
	Organization / Name	Address Email
	Organization / Name	Address Email

Local Level Government Authorities		
	Organization / Name	Address Email
	Organization / Name	Address Email
NGOs/CSOs/IPOs		
	Organization / Name	Address Email
	Organization / Name	Address Email
etc		
	Organization / Name	Address Email
	Organization / Name	Address Email

12. ANNEX II: FREE PRIOR INFORMED CONSENT (FPIC) PROCESS

Describe Plan for any required FPIC Process, using the template in Table 5.

Table 10. FPIC Process Log

Country	IP partner	Completed or Planned consultation or consent related activities toward FPIC with primary Indigenous partner organizations	In case of modifications proposed by IPOs to the original work plan, what qualifications, if any, were agreed to?	Gaps with respect to national or CI FPIC standards -	CI Plans to address FPIC gaps.
Bolivia	**All IPLCs**	The relationship and exchange of information with the project stakeholders (Target group and allies) has remained constant. At the project beginning CI Bolivia started the project with a process of socialization of the project in terms of objectives, scope, and timeline. Sharing with the stakeholders the	**No recommendations for modification were made.**	Most of the meetings are carried out using zoom and other online platforms, we record this through meeting minutes. However, due the difficulties in accessing the internet, in many cases we have had phone calls meetings, etc., even	- Regular meetings with the ILPCs and with the contact person designated by the community help us to keep both them and us informed of changes, difficulties and progress. In some cases where it has been necessary, we have meetings

		main one page sheet of the project at the end of each meeting. This activity has been recorded in meeting minutes.		weekly. In those cases, keeping a record is complex.	with the board members to keep the information constant. CI Bolivia is planning in situ visits to inform about the progress and to inform about the project scope with new elected authorities.
Bolivia	**Tacana I**	Periodic meetings to inform about the project progress and activities with the CIPTA and CIMTA	**No recommendations for modification were made**		
Bolivia	**SJU**	Periodic meeting to inform about the project progress and activities with the IO focal point and the organizations board when requested.	**No recommendations for modification were made**		
Bolivia	**Tacana II and Yaminahua Machineri**	In both cases CI Bolivia will work through local partners.			

Country Gender Action Plan (GAP)
Bolivia
May 2021

Country program teams should complete the following Gender Action Plan to ensure proactive and thoughtful integration of gender considerations, as well as identify gaps or needs that should be addressed. These GAPs will be updated on an annual basis.

1. Who is the designated person(s) with responsibility for implementing and monitoring this GAP?

The **gender coordinator together with the country lead** will oversee the GAP implementation and its monitoring.

2. Reflecting on the gender issues identified in the regional gender action plan, and the specific activities that your country component will undertake, explain what steps will need to be taken to ensure gender equity and promote women's leadership in the table below:

Life plans contain specific components intended to consider women´s priorities, however gender is not considered a transversal approach. Some examples:

Tacana I life Plan: Reduce violence against women, children and the elderly.
Promotion of other productive enterprises based on the management of natural resources and gender equity.
Tacana II. It includes a culture and gender program to promote the participation of women in decision-making and activities to support the women's club.
San José de Uchupiamonas: Support the women´s organization and strengthening of productive initiatives led by women (handicrafts).

Also, within the organization they have a gender portfolio. Normally with different functions such as: gender, tourism and culture (Tacana I) or gender education and health (Tacana II).

In the case of Bajo Madidi Communities they do not use life plans.

	In which activities might gender considerations be important?	**What specific steps are needed to ensure gender equity and promote women's leadership? Have they been budgeted?**
Outcome 1: Newly secured protection and improved management of Indigenous Peoples and Local Communities (IPLC) lands		
Gender Outcome: increased access and control of natural resources for women		
Output 1.1 Support IPLCs to manage and monitor their land using traditional knowledge and new technology	Implement current life plans/update life plans.	Some organizations have an IPLCs organization's board (mainly men in decision-making positions) and a women's organization, with its board. To guarantee the equal participation of men and women leaders, and consider

	Design and implement territorial monitoring systems.	their different needs and expectations, we will **meet both boards to jointly work on the works plan´s design, implementation, and monitoring**. In addition, to ensure the work plan includes the women´s organizations needs and expectations we will **support at least one economic activity led by women** and other capacity building activities for the women's organization, on issues prioritized by them (Tacana I, San José de Uchupiamonas) In the meetings that we held with the IPLCs, we have realized that although we have been able to guarantee equal participation of women and men, **women do not participate actively**. To improve that, in each meeting, we will also highlight the importance and benefits of both women and men's equal participation in all the planned activities of the project. In the current context, gathering information has become complex, especially on gender issues, which in many cases require the existence of relationships of trust with the indigenous organizations. Online meetings and changes in the leadership within the organizations, have limited this type of approach. For this reason, in some cases we will work with local partners who have experience in the area and are working with the organizations, through sub – grants to update and/or implement life plans (Tacana II and Yaminahua Machineri). In these cases, **we will ask local partners to consider activities aimed at strengthening the capacities of women within the organization, or other activities for gender equity, based on women's needs and expectations** (based on an initial expectation participatory diagnosis). These activities are part of the project´s budget.

Output 1.2: Support IPLCs to increase areas under conservation protection.		*In Bolivia, the activities planned to this output are related to legal advice and follow-up governmental procedures, so are not considered as part of the gender plan.*
Outcome 2: Indigenous Leaders empowered and community capacity needs met		
Gender outcome: improve women's participation and decision-making in natural resource management		
Output 2.1 Strengthen capacity of IPLC organizations (presential workshops and distance learning system)	50 leaders (25 women and 25 men) trained in building in leadership, conflict resolution, communication, management and external relations for Tacana I and II, San José de Uchupiamonas, and Ixiamas municipality. Women's fellowship (4 leaders) Training in monitoring	To encourage and equal representation and effective participation of both men and women. We will ask to **nominate an equal number of women and men for participation in the activities**. In our experience even if you ask to nominate an equal number of women and men to assist, women do not attend the events, either because of care work they have to do or because that decision is not in their hands, for that reason in addition to explaining to the entire organization the importance of equal participation, to encourage the participation of women, we will have **conversations with women to explain the activity in detail and know-how can we encourage their participation**. In the case of women who wish to attend with their children, we will think of ways to reduce the care work while attending the workshop in person, e.g., thinking of creative activities for the children and/or hiring a person to take charge of them during the workshop. When the activities are taking place, we will **set ground rules for participation** and listening to that create a safe and equal space where everyone feels comfortable. We will experiment with different facilitation techniques that women might find more engaging and in which they can feel more comfortable – e.g., small groups, more hands-one activities, etc. For online workshops, we will install antennas to guarantee internet access and equal participation of men and women.

		In some cases, **leaders by pairs (at least 1 women and 1 man) will be trained**, and they will need to duplicate the training within their organization. We will have prior conversations with the trained leaders to ensure that these activities encourage and equal representation and effective participation of both men and women. These activities are part of the project´s budget.
Output 2.2: Train the IPLC leaders of tomorrow – enabling emerging leaders (men and women) to address development pressures	Support the development of a forum/ conference for territorial governance. Implement a communication strategy.	As mentioned above we will also take steps to help **encourage equal representation and effective participation** of both men and women. In invitation letters to the organizations. We will **talk with women leaders previously to jointly think on forum topics that are of their interest** and in which they can lead some of the discussions. These activities are part of the project´s budget.
Outcome 3: Sustainable value chains and financial mechanisms identified and implemented		
Gender outcome: generate socioeconomic benefits and services for women		
Output 3.1 Expand sustainable livelihood opportunities through Conservation Agreements, developing and enhancing sustainable value chains and business development	Implement 10 CAs in selected indigenous communities in Bajo Madidi, Guanay and Pando regions Assess additional alternative livelihoods for women producers (2 value chains).	We will ensure that both **women and men, participate in the entire process** from the CAs design to implementation. During the design process, we will engage with women and men in the community to **understand what value chains they are already engaged in and conduct a simple gender analysis of the value chains** to understand how/where men and women are engaged and who directly benefits. We will aim to **choose businesses where both women and men engage and benefit**. We will also work with women organizations to identify **two value chains managed by women** that we can support. Furthermore, we will conduct financial literacy training (online and face to face) and mentorship in topics identifies as essential for business management and development.

		These activities are part of the project´s budget.
Output 3.2 Facilitate access to climate and conservation finance and develop innovative finance opportunities		