

Our Future Forests – Amazonia Verde

Environmental and Social Management Plan

Peru

Conservation International

2021

1. INTRODUCTION

What are safeguards? Safeguards are measures to protect someone or something or to prevent something undesirable and to ensure fair distribution of benefits and opportunities. Safeguards are closely linked with CI's Rights-based Approach (RBA) by helping to enhance the social and environmental sustainability beyond the mitigation of adverse impacts in design, implementation, and evaluation of Project activities.

Why are they important for this kind of project? The Our Future Forests project aims for ambitious results for indigenous partners and nature. Achieving these results will involve managing important risks, such as exclusion, inequities, conflict, and ecosystem damage. Safeguards ensure project teams and indigenous peoples, or local communities have the tools to effectively manage these risks and strengthen partner resilience, as well comply with national law, CI policies, and future donor requirements.

For Our Future Forests – Amazonia Verde project we have 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.

Environmental and Social Risk Management Framework

The purpose of Environmental and Social Management Framework (ESMF) 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.

How to fill the ESMP Template?

It is the responsibility of the Country Technical Team in each country to complete this document, with support from the **Project Design and Monitoring – Environment and Social Accountability team (PDM ESA)** and guidance provided in the ESMF and Gender Action Plan.¹

The following sections include instructions and information on the content and input that needs to be provided/obtained by the party completing it. The structure and content can be modified as necessary by the party completing the template to address the identified risks as deemed suitable by best professional judgement. In other words, the ESMP only needs to contain those sections that are applicable to the project activities and to a level of detail that is appropriate for describing the relevant environmental and social risk topics.

¹ Please contact Vince McElhinny (vmcelhinny@conservation.org) or Kame Westerman (kwesterman@conservation.org) of the PDM ESA team for any needed support to complete the ESMP or related safeguard plans.

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 <i>Completed by Project Country Team Lead</i>	
Project Title: Our Future Forest, Amazonia Verde	Country: Perú
Project Location (w/map if possible) Communal reserves: <ul style="list-style-type: none"> • Yánasha: Pasco region, Oxapampa province • Amarakaeri: Madre de Dios region, Manu province • Machiguenga: Cusco region, La Convención province 	
Project Components and Main Activities Proposed: (short, bulleted list) To support the implementation of the Leticia Pact and to build on the priorities set by President Macron in New York, CI proposes to conserve 70 million hectares (20.7 million ha directly and 49 million ha indirectly) by 2023 by empowering Indigenous Peoples and local communities and pioneering new financial mechanisms to advance conservation investments and incentives. The long-term conservation of the Amazon rainforest requires capacities, will, and finance. CI will build the capacities of IPLCs to lead on their own and give them the tools to access the funding they need to carry out their own initiatives to conserve forests and support livelihoods. To do this, CI proposes to focus on 4 key areas of intervention: <ul style="list-style-type: none"> • Secure the protection of new areas and improve the management of existing protected areas on Indigenous Peoples and Local Communities (IPLC) lands; • Empower Indigenous Leaders and capacitate communities to meet their needs; • Identify and implement sustainable value chains and financial mechanisms; and, 	

- Strengthen Indigenous knowledge management and support Amazon advocacy.

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

- **Amarakaeri:**

The Amarakaeri Communal Reserve is in the Madre de Dios region, Manu province, Fitzcarrald, Manu, Madre de Dios and Huepetuhe districts; It has several accesses: 1) by land, height of km 998 highway of the IIRSA Sur (Huacarpay), take the detour to Manu National Park along the route that passes through Paucartambo. About 300 kilometers later is Shintuya, next to the Reserve. 2) Another access is through the town of Santa Rosa, a road about 120 kilometers before reaching Puerto Maldonado. In this case, the affirmed route is followed to Colorado where a boat is taken to go to some of the eight communities that are RCA members. 3) Finally, another way to get there is from Puerto Maldonado by river, in a trip of about 10 hours.

- **Machiguenga:**

Machiguenga Communal Reserve is given by land through traditional routes, there are different forms of access to reach the region and from there continue into the reserve by boat and on foot.

The surroundings of the reserve do not have land road infrastructure. The main road access are the unpaved road that reaches Kepashiato, in the Kumpiroshiato River basin, a tributary on the left bank of the upper Urubamba. This road comes from the city of Quillabamba. Access to the northern part of the communal reserve from Puerto Ocopa through the Río Tambo and the Urubamba. The unpaved road that reaches the port of Ivochote on the Urubamba River to where the cargo and passenger transport vehicles arrive that connect with Quillabamba and Cusco, approximately 170 and 220 kilometers away respectively.

In the lower part, the most important access is the Urubamba River. Through the rivers it is possible to reach any major community or population center in the region (Sepahua, Atalaya, Puerto Ocopa. Pucallpa, etc). The Picha and Mipaya rivers are an important access through which the communal reserve is reached.

There is air infrastructure in the region. It has the Sepahua airport, the Nuevo Mundo and Las Malvinas airports built by the Camisea gas project, and the landing strips of the Kiriqueti and Timpía communities. Private light aircraft services are provided, especially flights related to the Camisea project, and flights of the Peruvian Air Force, through the civic support service, although very irregular.

- **Yanesha:**

Yanesha communal reservet is located in the central Amazonia of Peru, in the region of Pasco, province of Oxapampa and district of Palcazu, its access from the capital is by the central highway section Lima - Villa Rica 383.7 km. from this point through the affirmed highway it is 110 km to the city of Iscozacín.

Most of the native communities are found along the access road, two CN Alto Lagarto and Nueva Esperanza are found along the bridle path.

Implementing Partner (s), if any

ONG Desarrollo Rural Sustentable – DRIS

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.

ESMP Form Completed by: Jorge Elliot and Mirko Ruiz	Date: May 05, 2021
Safeguard Screening Form Reviewed by: Vince McElhinny	Date: March 29, 2021
<p>The ESMP describes 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.</p> <ol style="list-style-type: none"> 1. COVID – health and safety risks. – High – 2. Human Rights Risks to indigenous peoples from weak governance – Medium. 3. Exclusion of project affected people from benefit sharing contributing to internal conflict – Medium – 4. Gender related exclusion from decision making and benefit sharing – Medium - 5. Conflict risks related to specific land use pressures on Indigenous lands or resources - Medium. <p>Some recommendations and questions for completing the ESMP. Please add the following text to the ESMP:</p> <p>Implementing Partner due diligence - Institutional Capacity</p>	
<p>Project Safeguard Risk Category:</p> <p><input type="checkbox"/> low risk <input checked="" type="checkbox"/> moderate risk <input type="checkbox"/> high risk</p>	
<p>Summary of Safeguards Triggered:</p> <ul style="list-style-type: none"> 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 safeguard 4.1.6 Physical Cultural Resources 4.1.7 Community Health and Safety safeguard 4.1.8 Climate Change, Resource Efficiency & Pest Management safeguard 4.1.9 Financial Intermediaries and Private investment safeguard 4.1.10 Gender Equity 4.1.11 Stakeholder Engagement 4.1.12 Grievance Redress Mechanism 	
<p>Planned Assessments or Tools:</p> <p>Stakeholder Engagement Plan</p> <p>Gender Action Plan</p> <p>Grievance Redress Mechanism Procedure</p>	

3.2 PROJECT CONTEXT

Bullet points, drawing from the project proposal

Project Location and Scope

- Describe the size and scope of the proposed activities (target area of influence).

Amarakaeri

The Amarakeri Communal Reserve has an area of 402,335.62 ha and was founded on May 9, 2002

Machiguenga

The Machiguenga Communal Reserve has an area of 218,905.63 ha and was founded on January 14, 2003.

Yanesha

The Yanesha Communal Reserve has an area 34,744.70 ha. And was founded on April 28, 1988.

Indirectly we will contribute to the preservation of Indirect 1,509,470 (ha). This area includes the buffer zone and the 34 communities (10 in Amarakaeri, 14 in Machiguenga and 10 in Yanesha).

- Describe where the project will take place showing the project areas, towns/communities/indigenous territories, protected areas, and main rivers/watersheds).

Amarakaeri

The Amarakaeri Communal Reserve is in the Madre de Dios region, Manu province, and districts of Fitzcarrald, Manu, Madre de Dios and Huepetuhe.

The scope of action and influence includes the partner communities, the populated centers and the neighboring sectors of the RCA, belonging to the province of Manu and the districts of Fitzcarrald, Madre de Dios, Huepetuhe in Madre de Dios, the district Kosñipata in the province of Paucartambo and the Camanti district in the Quispicanchis province in Cusco.

Machiguenga

The Machiguenga communal reserve is in the regions of Cusco and Junín, in the provinces of La Convencion and Satipo, in the districts of Echarate, Megantoni and Rio Tambo, between the Apurímac and Urubamba rivers, as well as bordering three national protected areas: to the north Asháninka Communal Reserve, to the south with the Megantoni National Sanctuary, and south-east with the Otishi National Park.

Yanesha

The Yanesha communal reserve, is in the province of Oxapampa, Pasco region, is part of the Yanachaga complex that is made up of the ANPs Yanachaga Chemillen National Park, San Matías San Carlos Protection Forest and El Sira Communal Reserve; together with the Yanesha communal reserve, all these protected areas are part of the so called "Oxapampa Ashaninka Yanesha Biosphere Reserve".

Physical and Biological Environment		
Biological Context of Project Area	Yes	No
<p>Indicate global significance (e.g., biodiversity hotspot, Ramsar site, Key Biodiversity Area, irrecoverable carbon) of the project area (<i>Please identify any fragile or critical natural habitat³ that may be affected by project activities and needing specific consideration in the area (wetlands, mangroves, estuaries, etc.).</i>)</p> <p>Amarakaeri</p> <p>In this area, four important ecosystems have been identified:</p> <p>Cumbre (Ote): It comprises an area of 219,930.03 hectares, has great slopes and elevations that can be very high, forming numerous mountains, it belongs to the eastern mountainous system of the Andes mountain range. It has a mountain vegetation and fauna that is favored by this geography, such as the spectacled bear <i>Tremarctus ornatus</i>. In the areas with the highest slopes, with high climatic variability, favorable microclimates are produced for the specialization of biodiversity. This ecosystem is the most vulnerable and sensitive as it contains the headwaters of the main rivers of the reserve.</p> <p>Pacal (Epumba): It comprises an area of 15,769 hectares, that is, the 0.17% that is represented in the national territory. It corresponds to the limit between the summit ecosystem and that of the low forest, it presents a vegetation like that of the low forest, with small elevations in the gradient, the main characteristic is the presence of the <i>Guadua weberbaueri</i> that houses species associated with this ecosystem. In the areas adjacent to the communities there are transit routes for traditional activities and for tourism.</p> <p>Low Forest (Kotsimba): It comprises an area of 154025.28 hectares, it is part of the Amazon plain, it is a forest with abundant vegetation, tall trees, and abundant epiphytes. Indicator species such as sachavaca, deer, maquisapa, jaguar, among others, are present here.</p> <p>Bajjal: It covers an area of 12,936.7 hectares. This ecosystem is in the depressions of different ages of the old basin of the Madre de Dios River, which is why it is permanently flooded. It has characteristic vegetation, such as the aguaje <i>Mauritia flexuosa</i> and abundant palm trees.</p> <p>The RCA is part of the connectivity of ecosystems within the framework of the Vilcabamba-Amboró international conservation corridor and the Manu-Tambopata and Purús-Manu conservation corridors; Likewise, the RCA, adjacent to the Territorial Reserve of the Kugapakori and Nahua ethnic groups, the Megantoni National Sanctuary and the Manu National Park, together with those of the Mapacho river basin, intend to be integrated into the Manu Biosphere Reserve.</p> <p>Machiguenga</p> <p>The RCM presents 02 important ecosystems, Amazon Rainforest or Low Forest and Yunga or High Forest, which are based on Ministerial Resolution No. 440-2018-MINAM:</p>	<input checked="" type="checkbox"/>	<input type="checkbox"/>

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.

Amazon Rainforest or Low Forest

It is located in the great Amazon penepain or sub-Andean plain (at the foot of the Andes), it presents one of the richest life formations on earth, with a high biodiversity of plants of up to 300 species of trees / ha. Located in two types of landscapes, a floodplain that runs adjacent along the rivers and that is flooded several meters above during the flood period; and the other formed by non-floodable land, including the low hills. The climate is characterized by its reduced seasonal fluctuations during the year (> 25 ° C), except in the southern zone during the dry period (June-July) in which periods known as “cold” are appreciated. The pluvial precipitations vary between 1300 and 3000 mm / year in the north zone, with dry seasons in the south zone.

In this part of the reserve there are 08 ecosystems that are described below:

- Floodplain alluvial forest. Ecosystem of alluvial landscape in the Amazon plain on flat lands (0-5%), which suffer periodic floods due to normal floods (from 5 to 8 meters high). Soils are subject to temporary (weeks or few months) or almost permanent flooding; the forest with sparse or open understory can present 3 or 4 layers with a canopy or dome of trees that reach between 20 and 25 meters in height and emerging individuals up to 30 meters in height. This ecosystem encompasses a heterogeneous group of types of riparian vegetation and wooded swamp, stimulated by fluvial dynamics, being some of its characteristics (renacal, pungal, cetical, capironal and bolainal)

- Non-floodable terrace forest. Ecosystem of the mainland (not flooded by the flooding of the Amazonian rivers), with a generally flat topography or with slight undulations of up to 20 meters in height as it moves away from the river, also including the ancient terraces in the process of erosion surrounded by many times through the forest of low hills. The undergrowth is dense; the forest can present 3 or 4 layers with a canopy or dome of trees that reach between 23 and 25 meters high and emerging individuals 30 or more meters high; trees dominate vegetation, but palm trees are common. The drainage of the land is good to regular.

- Low hill forest. Amazonian ecosystem located on non-flooded dissected lands, with hills of relative heights of 20 to 80 meters, with moderate (25-30%) to steep (up to 50%) slopes, which makes them susceptible to water erosion. The undergrowth is dense; the forest can present 3 or 4 layers with a canopy or dome of trees that reach 25 to 30 meters high and emerging individuals 35 or more meters high.

- High hill forest. Amazonian ecosystem located on moderate to strongly dissected and non-floodable terrain, with relative heights of 80 to 300 meters, with steep (60%) to strongly steep (70-80%) slopes, which makes them highly susceptible to water erosion. The undergrowth is dense; The forest can present 3 or 4 layers with a canopy or dome of trees that reach 25 meters high and emerging individuals 30 to 35 meters high, although with a notable difference between the lower and upper parts of the hills (on the peaks, the forest has less height or vigor).

- Pacal. Amazonian ecosystem that occupies extensive areas, on hills and terraces, with a “bale” coverage of 70% to 100%. Areas dominated by *Guadua weberbaueri*, *G. sarcocarpa* and *G. angustifolia*, whose canes can reach up to 14 meters high; these species in the Lower Urubamba produce flowers every 30 or 35 years. With little understory development, mixed with few tree species and with an open canopy. The pacal is characteristic mainly of the central and southern Amazon of Peru.

The Yunga or High Forest.

It is located on the eastern flank of the Peruvian Andes, from 600 above sea up to approximately 3600 meters above sea, limit with the puna between 3000 and 3200 meters above sea. The physiographic landscape is dominated by the mountain system from low to high, with steep slopes. The climate is characterized by its high humidity, with permanent foggy areas. The forests are dense, and their physiognomy and floristics vary when ascending or descending the altitudinal floors. The notable presence of epiphytes (bromeliads, orchids), ferns and some palm trees are characteristic.

Within the scope of the RCM there are three ecosystems that are detailed below:

- Basimontan yunga forest. Non-cloudy lower montane ecosystem located on the eastern slopes of the Andes (between 600 to 800 and 1,500 to 1,800 m.a.s.l.), with slopes that can exceed 100%. Closed canopy forest, with three distinguishable layers. The height of the canopy or dome reaches at least 25 meters, with some emerging trees 35 meters. The levels of floristic richness are high. The floristic composition of this type of forest is characterized by having botanical species from both the lower Amazon and the yunga, which is why it constitutes a complex of transitional plant formations. Moderate presence of epiphytes. Includes some areas with pacales.

- Yunga montane forest. Montane forest ecosystem located on the eastern slopes of the Andes (between 1800 - 2000 and 2500 m s. N. M.), With steep slopes. Forest with a closed canopy, with three distinguishable layers. The height of the canopy or dome reaches 18-25 meters, with some emerging trees 30 meters. The levels of floristic richness can be high to very high. Depending on the orientation of the slope, it can be recurrently covered with mist. Presence of abundant epiphytes, lichens, Bromeliads and Orchids. It is remarkable the presence of tree ferns that reach more than 10 meters in height and diameters of up to 20 cm, mainly of the genus Cyathea.

- Altimontano (pluvial) forest of yunga. High montane forest ecosystem located on the eastern slopes of the Andes (between 2500 and 3600-3800 m.a.s.l.), with extremely rugged physiography. Closed canopy forest, with up to three distinguishable layers. The height of the canopy or dome reaches 10-15 meters, with some emerging trees 20 meters. The levels of floristic richness are high. Presence of abundant epiphytes. On the border with the puna or paramo and jalca grasslands is the dwarf forest formation (2 to 3 meters high), made up of Ericáceas, Solanaceae, Asteráceas, Polemoniáceas, Rosaceae, among others.

Aquatic Ecosystems

- River. It is a natural stream of water of variable depth and size that normally flows continuously; It can be located on flat or gently sloping reliefs up to extremely rugged reliefs and high slopes (even forming waterfalls). It has a certain flow that is seldom constant or regular throughout the year and can even reach minimum levels in the dry season.

Yanesha

The biological importance is distributed in two important ecosystems: Selva Baja (Ucayali humid forests) and Selva Alta or Yungas.

Low jungle.

It is an evergreen tropical humid forest, with a closed canopy, which occurs and thrives in the wide and flat valleys of the Oxapampa province, such as the lower basin of the Pozuzo, Palcazu,

<p>Pichis and Pachitea rivers. These forests are home to more than 10,000 plant species. The dominant plant families are fabaceae, moraceae, and rubiaceae, also with many species representing the annonaceae, euphorbiaceae, lauraceae, and melastomataceae families (Gentry 1993). Likewise, the Lower Forest provides an important habitat for many insects, birds and mammals.</p> <p>High jungle.</p> <p>It is a closed canopy tropical forest that occurs in the foothills of the Yanachaga mountain range in the Palcazu district, with an approximate elevation range that ranges from 500 to 2 400 m in altitude. These humid montane forests exhibit a composition and floristic diversity similar to that of the humid lowland forests. The dominant families are fabaceae, followed by moraceae and then by annonaceae, arecaceae, burseraceae, euphorbiaceae, lauraceae, myrtaceae, nyctaginaceae, melastomataceae, meliaceae, and rubiaceae. Many terrestrial and epiphytic orchids flourish in the Yungas.</p> <p>The Yanasha communal reserve is part of the Oxapampa Ashaninka Yanasha Biosphere Reserve - BIOAY, which was recognized as a biosphere reserve by the United Nations Educational, Scientific and Cultural Organization (UNESCO), on June 2, 2010 , for being an important point of conservation, together with Yanachaga Chemillén National Park, the San Matías San Carlos Protection Forest and the El Sira Communal Reserve; where indigenous cultures and sustainable crops coexist.</p> <p>The strategic location of these ANPs, trace a biological corridor, where important ecosystems composed of flora and fauna develop.</p>		
<p>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:</p> <ul style="list-style-type: none"> - AmaraKaeri <p>The giant river otter (<i>Pteronura brasiliensis</i>), classified as endangered by the IUCN, and the spectacled bear (<i>Tremarctos ornatus</i>), which is classified as vulnerable by IUCN, are present within the reserve.</p> <ul style="list-style-type: none"> - Machiguenga <p>The maquisapa cenizo (<i>Ateles belzebuth</i>), the spectacled bear (<i>Tremarctos ornatus</i>), the bat (<i>Mormopterus phrudus</i>).</p> <p>El wolly monkey (<i>Lagothrix lagotricha</i>), classified as vulnerable by the UICN, and the coto mono rojo (<i>Alouatta seniculus</i>) classified as NT (near threatened).</p> <ul style="list-style-type: none"> - Yanasha <p>Two endemic bird species were identified in this área.</p> <ul style="list-style-type: none"> • Colibri de alas canela, <i>Heliodoxa branickii</i>, classified as LC (least concern) • Colibri serrano cola pintada, <i>Phlogophilus harterti</i>, classified as NT (near threatened) 	<input checked="" type="checkbox"/>	<input type="checkbox"/>
<p>Current or planned indigenous/local community conservation/protected territories (or other types of protected areas)</p>	<input checked="" type="checkbox"/>	<input type="checkbox"/>

<ul style="list-style-type: none"> • Amarakaeri communal reserve • Queros private conservation area • Machiguenga communal reserve • Yanesha communal reserve 		
<p>Current or planned buffer zones</p> <ul style="list-style-type: none"> - Amarakaeri <p>It is comprised by the Manu, Madre de Dios, Fitzcarrald and Huepetuhe districts.</p> <ul style="list-style-type: none"> - Machiguenga <p>The buffer zone is comprised by the 14 communities that are partners of the ECA Maeni,</p> <ul style="list-style-type: none"> - Yanesha <p>The buffer zone is comprised by 10 indigenous communities and 6 colonist settlements.</p>	<input checked="" type="checkbox"/>	<input type="checkbox"/>

<p>Major ecosystem types (<i>check all that apply</i>):</p> <p>forest <input checked="" type="checkbox"/>, grassland <input type="checkbox"/>, desert <input type="checkbox"/>, tundra <input type="checkbox"/>, freshwater <input type="checkbox"/>, marine <input type="checkbox"/></p>	
<p>Key natural and other landscape features (<i>check all that apply</i>):</p> <p>major rivers <input checked="" type="checkbox"/>, mangroves <input type="checkbox"/>, large scale agriculture <input checked="" type="checkbox"/>, tourism areas <input type="checkbox"/>, major transport infrastructure <input type="checkbox"/>, wind or renewable energy <input type="checkbox"/>, oil/gas or mining <input checked="" type="checkbox"/></p>	
<p>Deforestation rate (local or regional est. if possible) ha/yr (<i>within the indigenous territory or the most relevant local or regional area</i>)</p> <ul style="list-style-type: none"> - Amarakaeri 1042.7 ha/year - Machiguenga 603.9 ha/year - Yanesha 536.5 ha/year 	
<p>Targeted Indigenous or Community Conservation Territory (or protected area) (ha)</p> <p>657,060 ha (communal reserves area)</p>	
<p>Temperature range (min, max)</p> <ul style="list-style-type: none"> - Amarakaeri <p>30°C average</p> <ul style="list-style-type: none"> - Machiguenga <p>26.16 °C high and 23.59 °C minimal</p> <ul style="list-style-type: none"> - Yanesha <p>15° C – 35° C range</p>	
<p>Precipitation (ave per year, mm),</p> <ul style="list-style-type: none"> - Amarakaeri <p>4000 – 5000 mm yearly</p> <ul style="list-style-type: none"> - Machiguenga <p>3,722 y 4,391 mm yearly</p> <ul style="list-style-type: none"> - Yanesha <p>2000 – 5000 mm yearly</p>	

Socio-economic Context of Project Area

<p>Estimated affected population (people)</p> <ul style="list-style-type: none"> - Amarakaeri <p>Communities have 1,454 inhabitants.</p> <ul style="list-style-type: none"> - Machiguenga <p>4004 people from 14 communities</p> <ul style="list-style-type: none"> - Yanesha <p>10,710 inhabitants (60.70% men and 39.30% mujeres).</p>			
<p>Direct beneficiaries targeted (people)</p> <ul style="list-style-type: none"> - Amarakaeri <p>1454 people from 10 communities</p> <ul style="list-style-type: none"> - Machiguenga <p>4004 people from 14 communities.</p> <ul style="list-style-type: none"> - Yanesha <p>3668 communities from 10 communities</p>			
<p>Number of villages or communities targeted</p> <ul style="list-style-type: none"> - Amarakaeri <p>10 communities from the following ethnic groups: harakbut (8), yine (1) y matsiguenka (1).</p> <ul style="list-style-type: none"> - Machiguenga <p>14 communities from the following ethnic groups: machiguenga (7), ashaninka (1), Caquinte (2), yine-yami (1), machiguenga /caquinte (1), ashaninka/machiguenga (2).</p> <ul style="list-style-type: none"> - Yanesha <p>10 yanesha communities.</p>			
<p>Estimated poverty rate (% of hh, based on national poverty line)</p> <p>Amarakaeri</p> <p>Extreme poverty: 10.4%, poverty 21.2%,</p> <p>Machiguenga</p> <p>Extreme poverty: 14.8%, poverty 33%,</p> <p>Yanesha</p> <p>Extreme poverty: 29.5%, poverty 28.3%,</p>			
<p>Total land area (ha) – <i>affected by the Project</i></p>			
<p>Number of indigenous groups (<i>please list</i>):</p> <ul style="list-style-type: none"> - RC-Amarakaeri: 10 communities - RC-Machiguenga: 14 communities - RC-Yanesha: 10 communities 			
<p>Describe the project area:</p>	<table border="1"> <tr> <td data-bbox="1263 1854 1377 1883">Yes</td> <td data-bbox="1377 1854 1469 1883">No</td> </tr> </table>	Yes	No
Yes	No		

<p>Places of spiritual, social, cultural, religious or historical/archaeological interest (<i>please identify with appropriate attention to any protections of traditional knowledge</i>)</p> <p>Amarakaeri There are archaeological remains and material cultural heritage that must be investigated, safeguarded, and valued (the Harakbut face, the Inca's house, stone platforms, abundant ceramic remains, ax heads, etc.)</p> <p>There are sacred sites according to the worldview of the indigenous peoples that make up the beneficiary communities of the reserve (amanas, sites of origin of the clans, etc.)</p> <p>There are cemeteries and sites of historical and cultural importance (sites of wars between clans, sites of the encounter with the missionaries, ancestral routes of exchange, etc.) There are ancestral sites that support intangible cultural heritage: sites of resource use and origin of species used by the indigenous peoples that inhabited this area (fishing sites, hunting sites, farms), which must be respected, recognized, and safeguarded.</p> <p>RC-Machiguenga According to the zoning, in the RCM, there is the Historical - Cultural Zone, where eight sacred, magical-religious places have been identified: Tonikitsiato, Aityo Shintakaroria nia, Igamore osheto, Saritsi, Pavirontsi, Otankatira nia, Ire chairiki, Rio Tsoyeni; as a whole they add up to 16.88 hectares</p>	<p><input checked="" type="checkbox"/></p> <p><input type="checkbox"/></p>	<p><input type="checkbox"/></p>
<p>Does the community have access to electricity</p> <p>Amarakaeri The electricity supply networks of Madre de Dios are basically limited to the populated centers located along the South Interoceanic Highway. The electricity supply comes mainly from the National Interconnected Electric System - SEIN and from the Puerto Maldonado, Iberia, Iñapari thermal power plant.</p> <p>Few native communities do not have electricity, the most frequent being that the service is available by the hour, as it tends to depend on a generator and the greater the number of hours it will require a greater expenditure on fuel. However, even if the electric lighting service is available by the hour, it will not always supply the entire community. Only in the case of the native community of Shipetiari, lighting is provided, almost entirely, by solar panels that are maintained by the Local Government of Salvation.</p> <p>Machiguenga Only some communities have electricity service, such as Timpía, Ticumpinia, Camisea, Shivankoreni, Kiriguete and Nuevo Mundo, which have electricity generation equipment, whose capacity does not exceed 20 Kw. Operating costs are high, so the service they provide is limited. The communities of Segakiato and Cashiriari have home and public lighting with solar panels.</p> <p>The lower Urubamba electrification project is currently being implemented, which will provide electricity service, in a first stage to the communities that are on the axis of the lower Urubamba river, which will use the gas produced in Malvinas.</p> <p>Yanesha 8 communities have access to electricity, of which 70% of their population is connected to this service (San Pedro de Pichanaz, Santa Rosa de Pichanaz, Loma Linda Laguna, Shiringamazu, Alto Iscozacín, Buenos Aires, Santa Rosa de Chuchurras)</p>	<p><input checked="" type="checkbox"/></p> <p><input checked="" type="checkbox"/></p>	<p><input checked="" type="checkbox"/></p>

<p>2 communities do not have access to this service (Alto Lagarto, Nueva Esperanza), only some community members have a solar panel.</p>		
<p>Access to health care services?</p> <p>Amarakaeri The health infrastructure in Madre de Dios region, registers a total of 165 public and private health establishments, of which and 33 in the province of Manu (zone of the project).</p> <p>Machiguenga Native riverside communities, settled along the lower Urubamba and main tributaries, have health services and drinking water.</p> <p>RC-Yanesha Regarding the health service, the main Health Center is located in the city of Iscozacin (Fátima Patel Health Center) which reaches category 4, which groups 30 health posts organized into 5 Sub-micro networks of the which 25 are from level 1 and only 5 from level 2.</p>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>
<p>Access to education services?</p> <p>Despite the growth in Peru, one of the main gaps is education. Illiteracy in Peru is 2.9% among men and 8.3% among women. In rural areas it is even higher, with a clear gender gap where 22.6% of women are illiterate, five times more than the national average.</p> <p>Amarakaeri: According to INEI (official office in charge of statistics), the most frequent level reached for Madre de Dios indigenous is secondary, 881 of 2420 inhabitants, followed by the 734 who are located at the primary level and the 417 inhabitants who did not reach any educational level.</p> <p>For its part, in the Cusco region it can be seen that, for the total Amazon native population and in some of the towns, the most frequent level reached is primary, except in the case of the Yine and Harakbut people who have secondary as the the most frequent category, with 260 and 65 inhabitants, respectively. In addition to these two educational categories, which are the most frequent, the category without educational level also stands out, the same that in the total population of the communities and in some of the towns it has considerable frequencies: Matsigenka (1 007), Ashaninka (470), Yine (13) and Harakbut (Arazaeri and Wachiperi) (40).</p> <p>On the other hand, the native communities that are members of the ECA-RCA, mostly have educational institutions of initial and primary level, with very few having secondary schools (Shintuya, Puerto Luz and Diamante). The educational institutions are mostly single teachers: teachers are in charge of various grades, dictate various subjects and exercise different functions at the same time (principals, teachers and administrators). Regarding the implementation of the bilingual intercultural education model (EIB), information collected in the field allows us to affirm that its implementation is partial, since it is not always present at all educational levels and in some cases the model is not part of the local educational proposal.</p> <p>Machiguenga In the district of Echarate, thanks to transfers by gas canon, they allowed the execution of educational projects mainly in infrastructure, but these interventions occurred mostly in urban areas but not in rural areas and not in native communities. Although it is true, the execution of the project in the educational sector allowed the expansion of educational services in the different areas, it should be noted that these institutions lack infrastructure and / or maintenance of water, sewage, electricity and internet services. Likewise, the lack of furniture, equipment and educational materials with cultural relevance (machiguenga and quechua) has increased the gap in the educational sector. Regarding education in native communities, this is</p>	<input checked="" type="checkbox"/>	<input type="checkbox"/>

<p>provided inefficiently since the main problem is the absence of bilingual teachers, in addition to this, existing teachers lack intercultural training, which does not allow children to have adequate levels of learning.</p> <p>Yanesha Primary and secondary education, counting 6 schools: CN de Shiringamazu, CN Siete de Junio, CN Santa Rosa de Chuchurras, CN San Pedro de Pichanaz, Raya and Iscozacin town center</p>		
<p>Access to water and sanitation services?</p> <p>Amarakaeri In relation to water and sewage services, there are some communities that have piped water that reaches certain points in their territory (one point is used by several families), while others obtain their water directly from streams or rivers. The communities do not have drainage systems, some have latrines, or in many cases, the community members use the forest path.</p> <p>- Machiguenga´ In this zone, many of the native communities lack water, drainage and electricity infrastructure, these are affected since the interventions carried out by the State have not been executed according to the context and environment of these populations. The situation is critical since the basic sanitation system has collapsed due to the increase in the population, in addition to that in most communities they consume water from streams and springs, and in other cases they consume dirty water since they do not have infrastructure and systems. chlorination.</p> <p>In 2020, in the district of Echarati, the implementation of the National Rural Sanitation Program is scheduled for the "Installation of drinking water and basic sanitation services for the Poentimari Native Community"</p> <p>- Yanesha Regarding the situation of the basic sanitation service in Palcazu district (where the reserve is located), there are 2985 homes with access to water and drainage.</p>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>
<p>Are there legacy issues of conflict?</p> <p>Amarakaeri It is related to hydrocarbons. There is currently a report from the Environmental Assessment and Enforcement Agency (OEFA) on solid waste pollution in the headwaters of the basin and the loss of habitat, which are being monitored in accordance with approved environmental management instruments. Potentially, 3D exploration and possible spills or leaks would affect the Cumbre ecosystem, the headwaters, rivers, lakes and lagoons, and the cultural heritage. This factor is associated with the overlapping of rights over the area and the disarticulation of State institutions, responsibilities, and policies.</p> <p>This overlapping of rights is due to the granting of a concession to Hunt Oil in 2005, after the creation of the Communal Reserve. Currently, there is no agreement on the rights between the area's administrators and the company. Creation of informal settlements and the factors that this generates, such as the unauthorized entry of settlers, illegal crops, and alluvial gold mining.</p> <p>Alluvial gold mining has its own chain of factors. It is related to the increase in the price of commodities and the inadequate application of environmental legislation. It generates more factors such as the inappropriate use of mercury that pollutes rivers, lakes, lagoons and wetlands, and deforestation, which produces a greater loss of habitat in the Cumbre, low forest and Bajjal ecosystems.</p>	<input checked="" type="checkbox"/>	<input type="checkbox"/>

<p>Machiguenga Opening of trails in the reserve (for illegal activities). There are spaces used to transport illicit products (drugs) from the department of Junín to Cusco or vice versa, according to information from the community members they preferably use rivers, hills, they try to pass without leaving a trace, at present the affected hectares are unknown, however, has identified its impact on the ecosystem as high forest (high forest) and low forest (low forest).</p> <p>Hydrocarbon activities (Transportation). It is a transportation system made up of two pipelines: one for natural gas and the other for natural gas liquids, it has a pre-existing right to the creation of the reserve. The area deforested for the pipes measures approximately 14 kilometers by 25 meters wide, a space that was carried out change of use where the ecosystems element was directly affected (high forest or high forest and low forest or low forest) and indirectly to species such as sachavaca, deer, monkeys (Maquisapas and black monkey), majaz, birds (Paujil and Pucacunga), for the activities carried out such as overflights, the presence of humans in the sector.</p> <p>Opening of spaces for landing strips in the ANP. It is a threat that directly affects the vegetation cover due to the change of use (from primary forest to landing strips) causing soil compaction, and indirectly affecting the wild animals that inhabit said space causing them to move to other places, currently Two illegal landing strips have been identified within the Machiguenga Communal Reserve with approximate dimensions of 25m x 500m.</p> <p>Yanesha Pressure to the area for illicit crops caused by illegal possessors with administrative and legal processes under way.</p>		
<p>In last 5 years, has there been any natural disasters (flood, drought, winds, earthquake, wildfire, volcanic event, etc) ?</p> <p>Amarakaeri Rainfall at present in Madre de Dios has been high and with impacts on the communities with floods and loss of crops but they have not seriously affected the community's members of the ECA.</p> <p>Machiguenga Currently (February 2021) natural disasters have arisen due to the rains flooding several communities that are members of the ECA, to date there are 8 deaths due to this phenomenon.</p> <p>Yanesha In February 2021 flooding in the city of Iscozacín, the main port area, caused by an increase in the flow of the Iscozacín river due to high rainfall</p>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
<p>Have there been any COVID-19 related deaths in the communities?</p> <p>In the three zones of the project there were deaths related with COVID 19, although there is not a official statistic, due that some of the deaths were not registered as COVID.</p>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
<p>Main livelihood activities (<i>check all that apply</i>): Logging/Forestry <input type="checkbox"/>, Agriculture <input checked="" type="checkbox"/>, Livestock <input type="checkbox"/>, Hunting <input type="checkbox"/>, Fishing <input checked="" type="checkbox"/>, NFTP collection <input type="checkbox"/>, Small business <input type="checkbox"/>, Other <input type="checkbox"/> _____</p>		
<p>Land uses (<i>check all that apply</i>):</p>		

Residential <input type="checkbox"/> , Agriculture/pasture (individual) <input checked="" type="checkbox"/> , Agriculture/pasture (collective) <input type="checkbox"/> , Conservation <input checked="" type="checkbox"/> , Reduced Impact Logging/Forestry <input type="checkbox"/> , Industrial <input type="checkbox"/> , Other <input type="checkbox"/> describe: _____		
Land ownership (check all that apply): Individual -private <input type="checkbox"/> , Collective/communal <input checked="" type="checkbox"/> , State/public land <input checked="" type="checkbox"/> , informal, customary ownership <input type="checkbox"/> , Other <input type="checkbox"/> 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 people in the indigenous communities work at the family level, dividing the roles between men and women. Regarding gender issues, it is necessary to develop greater opportunities for indigenous women but respecting their worldview and with a strategy to implement the intercultural approach.		
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: It is not planned this type of activity.		
Describe any additional information on economic, social, and cultural context of indigenous peoples or local communities living in, the area of the proposed project (<i>for example, any disadvantaged/vulnerable/disabled groups, human rights issues, conflicts, presence of illegal activities, etc.</i>) There are problems related to illegal mining and drug trafficking, they were developed in the conflicts section.		
Institutional Capacity	Yes	No
Respect for the rights of indigenous peoples (<i>knowledge, recognition, respect and proactive protection of indigenous rights by all relevant parties</i>)	<input checked="" type="checkbox"/>	<input type="checkbox"/>
Strong local governance (<i>no incidence of corruption, transparent, representative and accountable decision-making bodies, effective resolution of disputes</i>)	<input checked="" type="checkbox"/>	<input type="checkbox"/>
Secure land rights (<i>no outstanding land tenure or land rights conflicts</i>)	<input checked="" type="checkbox"/>	<input type="checkbox"/>
Satisfaction with existing land use agreements (<i>including any concession, lease, or conservation agreements</i>)	<input checked="" type="checkbox"/>	<input type="checkbox"/>
No incidence of violence /discrimination toward women or marginalized groups	<input type="checkbox"/>	<input checked="" type="checkbox"/>
Does the project team have experience in in implementing safeguards, gender, and stakeholder engagement? <i>Please describe briefly:</i> The team members have experience implementing different plans. They have participated in the implementation of projects such as: Addressing the drivers of deforestation in Guyana and Peru (2016 - 2021); Development alternatives for Awajun indigenous communities: building new livelihood opportunities from indigenous cultural and natural capital (2018 - 2021), among others. These projects have promoted the participation of women community leaders, equal opportunities and respect for their rights. Likewise, different sectors have been involved during their implementation, such as society, civil society, indigenous communities, and government entities.	<input checked="" type="checkbox"/>	<input type="checkbox"/>
Do the implementing partners have experience in in implementing safeguards, gender, and stakeholder engagement ⁴ (please describe briefly):	<input checked="" type="checkbox"/>	<input type="checkbox"/>
Implementing Partner due diligence - Institutional Capacity		

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

<p>Since the year of its foundation 1998, DRIS has worked with indigenous communities and has worked as a technical advisor to many organizations such as the Apurímac River Asháninka Organization (OARA), ANECAP, COICA, AIDSESP, CONAP etc. They have experience in the implementation of safeguards and an intercultural approach mainly in actions in the territory (Conservation and development) and with a model of conservation agreements such as the tripartite agreements with the National Forest Conservation Program that were promoted with ANECAP, ECA-RCA, AMARCY and DRIS in the framework for the implementation of REDD + Indígena Amazónico-RIA contributing to the NDCs.</p> <p>DRIS, as a strategic partner, will have as main responsibilities the execution of field activities. It will support the design of life plans and the implementation of communal surveillance in the reserves. It will contribute to the implementation of the cocoa germplasm bank in the communal reserves, among other related activities.</p> <p>Regarding safeguards, part of these will be DRIS will support compliance by ensuring that beneficiaries comply with security measures during project activities. Likewise, it will contribute to the effective participation of women during project implementation, as well as to the proper dissemination of the grievance mechanism.</p> <p>Finally, DRIS activities include achieving Fair Trade and Organic Certification and these include safety and health safeguards.</p>		
<p>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.</p> <p>Amarakaeri</p> <ul style="list-style-type: none"> - National Forest Conservation Program (MINAM) - Fortalecimiento de la cogestión project (DRIS-BOS+) - Amazonia Resiliente project - Eba Amazonia project - Proyectos de aliados de la cogestión HIVOS,ACCA, USAID-prevenir,etc. <p>Machiguenga:</p> <ul style="list-style-type: none"> - National Forest Conservation Program (MINAM) - Amazonia Resiliente project (PNUD) - GEF VI project- Financial sustainability (Profonanpe) <p>Yanesha:</p> <ul style="list-style-type: none"> - National Forest Conservation Program (MINAM) - Fortalecimiento de la cogestión project (DRIS-BOS+) - Amazonia Resiliente Project (PNUD) - Eba Amazonia project 		
<p>Source Documentation – <i>please describe any sources for information provided in the ESMP</i></p>	<p>Yes</p>	<p>No</p>

Site visit(s) – please provide date(s), places, persons visited	<input type="checkbox"/>	<input checked="" type="checkbox"/>
Technical documents - Plan de vida insitucionales de las 3 ECAs	<input checked="" type="checkbox"/>	<input type="checkbox"/>
Publicly available source of information, including media reports, please describe or provide links:	<input type="checkbox"/>	<input checked="" type="checkbox"/>
Consultation with key informants Líderes de ANECAP y los ECAs: <ul style="list-style-type: none"> • Fermin Chimatani-ANECAP • Rony Mateo -ANECAP • Hector Caibi ANECAP y Presidente ECA-Maeni • Walter Quertehuari-presidente ECA-RCA • Erick Valerio-Presidente Amarcy 	<input checked="" type="checkbox"/>	<input type="checkbox"/>
Biophysical sample analysis	<input type="checkbox"/>	<input checked="" type="checkbox"/>
Professional judgement by Project team members <ul style="list-style-type: none"> • Renato Ríos Coordinador • David Sologuren Especialista Monitoreo • Paola Sanchez Especialista cogestión. 	<input checked="" type="checkbox"/>	<input type="checkbox"/>

4. RISK ASSESSMENT & MITIGATION PLANNING

a. 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.

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 in order 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.

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

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 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 – outlines 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).

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

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.

Permit / Document	Status	Actions
Wild cacao identification research.	SERFOR and SERNANP normative	Meetings with officials. Required procedures compliance
Wild cocoa harvesting agreements (SERNANP)	SERNANP normative	Meetings with officials. Required procedures compliance
Forest resource use permit in native communities (SERFOR)	SERFOR normative	Meetings with officials. Required procedures compliance

5. ENVIRONMENTAL & SOCIAL RISK MITIGATION MEASURES

5.1 Prediction and Assessment of Risks and Impacts from Project Activities

Table 1 below is a draft to possible risks to help advance the assessment and classification process.

Table 1. 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 rights, poor recognition of land rights or exclusion of indigenous peoples due to weak governance Risks from hydrocarbon and natural resource exploitation. Presence of illegal activities such as logging and mining.	Medium
2. Context Risk – COVID-19	Health, safety, and security risks for community partners and for CI staff related to how COVID-19 infections limit the ability to conduct field work.	High
3. Land use management plans/Life Plans	Conflict risks related to specific land use pressures on Indigenous lands or resources	Medium
	Risks to Natural Habitats, protected area, endangered species, or ecosystems. – The project has been designed to conserve protected areas with the category of communal reserve, strengthening the administrators for the conservation of the reserve and the sustainable development of the community’s members of the associated landscapes. The technical packages that the project will promote are of organic production and according to the reality of each communal reserve whose communities have conservation commitments with the National Forest Conservation Program for Climate change mitigation (PNCBMCC) and promote native cocoa with zero deforestation.	Low
4. Land titling or tenure security improvements	Land tenure, boundary demarcation related conflicts	No aplica
5. Training, fellowships, business plan development	Exclusion of project affected people from benefit sharing contributing to internal conflict This exclusion is related to customs and beliefs. Men manage the community's economy, generating exclusion of women. There are power groups in the communities that assume greater benefits (board of directors, leaders, community authorities). The project will work at the family level (women and men) and respecting the intercultural approach. Taking care that there is no recharge in the child population if the case arises.	Medium
	Gender related exclusion from decision making and benefit sharing. It is customary for men to take the lead and make decisions in the community. We will work on the empowerment and leadership of women to achieve equity and equality.	Medium
	Pollution, waste, chemical, pesticide risks from agricultural or agro-processing activities	Low

	Risks to tangible, intangible cultural heritage, particularly if ecotourism intends to commercialize cultural heritage – An intercultural approach will be implemented respecting ancestral knowledge in the actions of the project.	Low
6. Conservation Agreement - access restrictions to resources or lands	Conflict related to benefit sharing equity	Low
	Risks to livelihoods when access to natural resources is restricted, particularly when affected peoples are dependent on natural resources. -The project will not work on resettlement.	Low
7. All activities	Sexual exploitation, abuse, or harassment of women (SEAH) or children	Low
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 - Strengthening ECAs and their management instruments to manage communal reserves, allow us to develop the foundations for sustainability and good governance. Private investors, international cooperation, competitive funds, and others coordinate with ECAs and ensure that their investments are well managed and benefit the native communities and its members.	Medium

5.2 Risk Mitigation Measures

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

Table 2. 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	<ul style="list-style-type: none"> Targeted engagement strategy for key government counterparts as part of the stakeholder engagement plan; - We will work with the mapping of co-management actors (ECAS and SERNANP) to strengthen the co-management model and the 	Monitoring specialist Communication specialist	ND	Y

	<p>public alliance (SERNANP) with indigenous peoples (ECAs) supported by civil society (relevant actors that support co-management), others public and private entities. All processes will include an adequate socialization process Free Prior Informed Consent (FPIC). Likewise, individual and communal conservation agreements will be socialized in the assembly if required.</p> <ul style="list-style-type: none"> • <i>Disclosure and communication about project objectives including as appropriate, defined exit strategy. – See stakeholder engagement plan Grievance mechanism - The Project Will have a grievance mechanism, that is drafted in a parallel document.</i> 			
<p>2. Context Risk – COVID-19</p>	<ul style="list-style-type: none"> • <i>Safety and security protocol is defined with partner and IPLC organizations and followed.</i> <ul style="list-style-type: none"> • <i>Reporting on safety and security plan - The ECAs and SERNANP have biosafety protocols that the project will respect to safeguard the health of the communities. If it is necessary to complement them, the project with the CI protocols will support them. CI Peru has a safety and security plan that describes the levels, focal points, and actions to be taken in risk situations. In compliance with Peruvian law, we have occupational health and safety policies such as: safety plan, office risk maps and protocols, evacuation plan and a safety committee.</i> 	<p><i>Project lead</i></p>	<p>ND</p>	<p>Y</p>

	Additionally, safety protocols have been developed for the COVID-19 pandemic such as: travel protocol, field trip protocols.			
3. Training, fellowships, business plan development	<p><i>Stakeholder engagement plan</i> <i>Gender assessment and action plan</i> - We will work with a gender approach to increase the opportunities for women both in leadership and empowerment issues and productive issues, considering the intercultural approach and respect for their ancestral knowledge. The level of literacy of the women will be taken into account, so that they develop didactic and practical training. In some cases, if necessary, specific training will be provided.</p> <p><i>Exclusion of project affected people from benefit sharing contributing to internal conflict:</i> DRIS and CI will work directly with the indigenous administrators of the communal reserves and their partner communities, with an intercultural approach and as partners of the proposal and not just beneficiaries.</p>	Monitoring specialist	ND	Y
4. possible dilution of the project ESMF requirements when investor funding requirements set a lower standard	Evaluation of funding sources will involve a review of funder's safeguard requirements to assess alignment with CI's commitments. Documentation of this assessment will be provided as part of any co-financing agreement.	Monitoring specialist	ND	Y

6 STAKEHOLDER ENGAGEMENT, PUBLIC DISCLOSURE AND GRIEVANCE MANAGEMENT

Document annexed.

7 MANAGEMENT & MONITORING

Describe here how the ESMP will be implemented.

7.1 Roles & Responsibilities

The project in Peru will have a monitoring and gender coordinator in charge of management and monitoring the ESMP.

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 3. Safeguard Training Plan

Safeguard Training Type	Dates	Description	Target Audience	Training Lead	Cost	Associated Project Activity
Grievance Mechanism	May 2021	Preparation to use local dispute resolution practices within Project	Designated Point persons in Partner, communities and organizations	CI Peru administration	ND	A1
Conflict management	Dic 2021	Know the process of Conflict Resolution. Develop skills in resolving conflicts and confrontations.	Staff, partners	Consultant	4000	All
Gender-based violence	Jun 2021	Issue of violence against women in everyday spaces. Zero tolerance to violence.	Staff, partners	PROMSEX project	0	All
General aspects of Gender	May 2021	General aspects and violence	Staff, partners	Staff	0	All
Gender and interculturality	Nov 2021	Specific items related to gender into indigenous communities	Staff	Consultant	4000	All

COVID 19 Safety and security protocol design and followed	April 2021	Preparation to start field activities on post covid scenario	Partners	Staff	ND	A2, A3
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7.4 Budget and Schedule

Table 4. ESMP Budget

Safeguard Mitigation Action	Description	Associated Project Activity	Additional Costs		Start dates
			Staff or consultant time	Activity costs	Month
Stakeholder Engagement Plan	Identify the stakeholder expectations and design	All	Staff	US\$3000	May 2021
Grievance Mechanism	Preparation to use local dispute resolution practices within Project	All	Monitoring specialist	US\$1800	May 2021
Safety and security protocol is defined with partner and IPLC organizations and followed	Define the project strategy to work with communities, according with their biosafety protocols and the indigenous vaccination schedule.	All	Project lead	ND	May 2021
Communication plan	A plan designed to support the stakeholder engagement plan	All	Consultant	US\$ 10000	May 2021
Gender assessment	Identify the needs and strategies to increase women visibility and empowerment	All	Consultant and staff (into baseline studies)	US\$ 4000	April 2021

Country Gender Action Plans (GAP)

Peru

April 2021

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

The project will include a **monitoring and gender specialist (Mirko Ruiz)**, one of the responsibilities will be the implementation and monitoring of the Peru GAP. This specialist will coordinate with the national CI gender specialist in Peru (Cecilia Gutierrez).

Delivery Partners: **DRIS – not very strong on gender, will need some support from CI on gender. The partner will receive training on gender and equality issues to ensure project implementation. DRIS will be participated to the CI-Peru partner training on gender (led by Cecilia).**

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:

The Peru gender plan will be developed in three steps:

First step: A first draft with guidelines based on the regional GAP will be written (into the following table)

Second step: Specific consultancy work on the main three components will include gender issues (both baseline and specific strategy). There are three separate consultancies, each will contain a gender component which, when combined, will provide the gender baseline.

Third step: A quick work will be done, to unify the draft guidelines and the consultancies’ recommendations. ([Draft = June, final = ~August 2021](#))

Fourth step: Participative work with indigenous leaders to discuss, approve a final version and implement the project’s gender plan in Peru.

	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		
<p>Output 1.1 Support IPLCs to manage and monitor their land using traditional knowledge and new technology</p>	<p>Implement current life plans or management plans for conservation areas managed by IPLCs: Implementation 2 ECA life plans (Yanesha and Amarakaeri) and 1 new life plan (Machigenga)</p>	<p>The project will develop a base line to identify the current women situation related with the community reserves planning. This document will identify gaps that may exist with respect to the participation of women leaders in co-management, conservation, and development. The purpose is to design a road map that will allow us to ensure compliance with the tools and adequate participation of women leaders. With the baseline and the road map the project will propose both, improvement of documents and the support of the implementation of increasing women participation activities.</p> <p>Draft = June, Final = August</p> <p>Active participation of women leaders in life plan processes. These documents are elaborated through participatory processes and aim to contribute to the co-management between the Executor and the Reserve Management. With the support of the DRIS partner, we will ensure the participation of women from the reserves..</p>
Outcome 2: Indigenous Leaders empowered and community capacity needs met		
Gender outcome: improve women’s participation and decision-making in natural resource management		
<p>Output 2.1 Strengthen capacity of IPLC organizations</p>	<p><i>Management training:</i></p> <ul style="list-style-type: none"> - <i>Capacity building in governance including administrative and managerial capacities to</i> 	<p>The project will begin with a consultancy to establish a baseline that will allow us to diagnose the capacities of the people in the area. In addition, a competency training plan will be designed for women ECA leaders, chiefs and partner communities, and a competency-based training plan for emerging leaders. With these documents the</p>

	<p><i>current leaders (women and men) of ECAs and ANECAP.</i></p> <ul style="list-style-type: none"> - <i>Training on management for women leaders from communities that are partners of the ECAs</i> - <i>Specialized mentoring for 4 women who will receive fellowships.</i> 	<p>project will develop a strategy in order to increase the women capabilities in themes like project management, in order to have more opportunities to be elected as part of the board of the ECAs.</p> <p>The consultancy has an adequate gender focus and additional soft skills training for women leaders. These will be implemented by experts with support from Mirko, who is involved in the development of the consultancy and its implementation.</p> <p>At the same time the project will design a strategy and adequate contents into the course, in order to strength women participation. These spaces will be facilitated by experts and the CI Peru team.</p>
<p>Output 2.2: Train the IPLC leaders of tomorrow – enabling emerging leaders (men and women) to address development pressures</p>	<p><i>Strengthen leadership within the ANECAP and the Communal Reserves' Indigenous management authorities:</i></p> <ul style="list-style-type: none"> - <i>Capacity building in governance including administrative and managerial capacities to young women</i> - <i>Training for communal guards</i> 	<p>At the same time the project will design a strategy and adequate contents into the course, in order to strength women participation.</p> <p>Young women training on basic communal reserves management</p> <p>Fellows for women leaders on conservation matters (indigenous fellows) + mentoring The purpose of mentoring is to accompany, train, support and strengthen project management and soft skills for the woman leaders involved during the execution of their initiatives.</p>
<p>Outcome 3: Sustainable value chains and financial mechanisms identified and implemented</p>		
<p>Gender outcome: generate socioeconomic benefits and services for women</p>		
<p>Output 3.1 Expand sustainable livelihood opportunities through Conservation Agreements,</p>	<p>strengthening of current sustainable businesses</p>	<p>We will start with a consultancy that will allow us to identify green economic activities in the communal</p>

<p>developing and enhancing sustainable value chains and business development</p>	<p>- Identify the current economic activities led by women and their participation on cacao value chain</p>	<p>reserves, with special emphasis on native cocoa. This analysis includes the identification of women's participation in different activities in the reserves. During the design process we will address with women and men in the community to understand what businesses/markets 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.</p> <p>We will work to generate the conditions for women to have access to benefits. Funds are being earmarked for activities carried out by women.</p> <p>We will review the Conservation agreements with the ECAs to ensure an adequate gender focus.</p>
<p>Output 3.2 Facilitate access to climate and conservation finance and develop innovative finance opportunities</p>	<p>In Peru, create a green business facility that will use a blended finance approach in collaboration with public and private stakeholders:</p> <ul style="list-style-type: none"> - Feasibility analysis of carbon finance mechanisms - Public- private mechanism to support business 	<p>We will identify strategies to benefit In a equity way women and men with the possible benefits of finance opportunities.</p>
<p>Outcome 4: Indigenous knowledge management and Amazon advocacy improved.</p>		
<p>Gender outcome:</p>		
<p>Output 4.3 Define and implement a culturally-appropriate stakeholder engagement process for the execution of the project with the full participation of IPLCs</p>	<p>Gender plan implementation</p> <p>Develop and operationalize a grievance mechanism accessible by</p>	<p>\$32,000 budgeted for gender plan</p> <p>Ensure GM and communications plan/materials are gender sensitive</p>

	<p>all community members across the project.</p> <p>Design and implement communication and advocacy materials</p>	
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