

**Peru's Natural Legacy – Amazon and Climate (PdP A&C)**

**Effective Management of Peru's Amazonian Protected Areas for  
Climate Change Mitigation and Adaptation Project**

**Project proposal to the Green Climate Fund (GCF)**

**Annex 6**

**Environmental and Social Management Framework (ESMF)**

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## Glossary and acronyms

### Glossary of Peruvian legal and ecological terms

Peruvian term	Meaning
Acuerdos de Conservación	Conservation Agreements
Aguajales	Floodable palm grove with <i>Mauritia flexuosa</i>
Anexo	Annex to a village
Caserío	Hamlet
Centro poblado*	Village
Chamizal	Shrubs and scattered trees up to 8 m
Cochas	Cut-off meanders, forming lakes
Colonos	Settlers, generally used to qualify people from the Sierra settling in the Amazon
Comunidad campesina*	Peasant community
Comunidad nativa*	Native community
Consulta Previa*	Prior Consultation (as per the Peruvian Law)
Defensoría del Pueblo*	Ombudsman's Office
Igapo	Seasonal floodplain forest inundated by 'black', nutrient-poor waters
Mestizos	Used colloquially in Peru to qualify persons from mixed indigenous and colonial (European) descent
Oconal	High altitudes marshes
Plan Maestro*	Master Plan of an ANP
Pueblo indígena u originario*	Indigenous people
Pueblo indígena*	Indigenous people
Poblaciones nativas	Native populations
Reserva Comunal*	Communal (or community) Reserve
Tahuampas	Seasonal floodplain forest
Varillal	Dense forest with straight thin trees up to 20 m high
Varzea	Seasonal floodplain forest inundated by sediment-rich ('white') rivers

\*Terms with a precise definition in the Peruvian legislation.

## Acronyms<sup>1</sup>

English		Spanish	
ACR	Regional Conservation Area	ACR	Área de Conservación Regional – Área Natural Protegida de administración regional
AE	Accredited Entity	EA	Entidad Acreditada
AIDSESEP	Inter-Ethnic Association for the Development of the Peruvian Rainforest	AIDSESEP	Asociación Interétnica de Desarrollo de la Selva Peruana
ANA	National Water Authority	ANA	Autoridad Nacional del Agua
ANECAP	National Association of Administration Contract Executors of Communal Reserves in the Peruvian Amazon	ANECAP	Asociación Nacional de Ejecutores de Contrato de Administración de Reservas Comunales de la Amazonía del Perú
NPA	(State) Natural Protected Areas	ANP	Área Natural Protegida (por el Estado)
ATFFS	Regional Authorities for Flora and Wildlife	ATFFS	Autoridades Regionales de Flora y Fauna Silvestres
BDPI	Official Database of Indigenous People of the Ministry of Culture	BDPI	Base de Datos Oficial de Pueblos Indígenas u Originarios
BPAM	Alto Mayo Protection Forest	BPAM	Bosque de Protección Alto Mayo
CENFOTUR	Tourism Training Center	CENFOTUR	Centro de Formación en Turismo
COFOPRI	Entity for Formalization of Informal Property	COFOPRI	Organismo de Formalización de la Propiedad Informal
COICA	Coordination of the Indigenous Organizations of the Amazon Basin	COICA	Coordinadora de las Organizaciones Indígenas de la Cuenca Amazónica
CONAP	Confederation of Amazon Nationalities of Peru	CONAP	Confederación de nacionalidades amazónicas del Perú
CP	Population center (village)	CP	Centro Poblado
CR	Communal (or Community) Reserve	RC	Reserva Comunal
DDE	Directorate for Strategic Development	DDE	Dirección de Desarrollo Estratégico
DGANP	Directorate General for Protected Areas	DGANP	Dirección General de Áreas Naturales Protegidas
E&S	Environmental and Social	A&S	Ambiental y Social
EbA	Ecosystems-based Adaptation	ABN	Adaptación Basada en la Naturaleza
ECA	Administration Contract holders	ECA	Ejecutores de Contrato de Administración
ECA	Environmental Quality Standards	ECA	Estándares de Calidad Ambiental
EE	Executing Entity	EE	Entidad Ejecutora
EIS	Environmental Impact Statement	DIA	Declaración de Impacto Ambiental
ENBCC	National Strategy on Forests and Climate Change	ENBCC	Estrategia Nacional sobre Bosques y Cambio Climático
ESIA	Environmental and Social Impact Assessment	ESIA	Evaluación de impacto ambiental y social
ESMP	Environmental and Social Management Plan	PGAS	Plan de Gestión Ambiental y Social
ESMF	Environmental and Social Management Framework	MGAS	Marco de Gestión Ambiental y Social
FREL	Forest Reference Emission Level	NREF	Nivel de Referencia de Emisiones Forestales

<sup>1</sup> All acronyms are kept in the original Spanish, except when a frequently used English equivalent exists. Common English acronyms such as EIA, GCF, ILO are translated. Consistency with commonly used terms within the Funding Proposal have been maintained.

English		Spanish	
GAP	Gender Action Plan	PAG	Plan de Acción de Género
GCF	Green Climate Fund	FVC	Fondo Verde para el Clima
GDP	Gross Domestic Product	PBI	Producto Bruto Interno
GEF	Global Environment Facility	GEF	Fondo Mundial para el Medio Ambiente
GHG	Greenhouse Gases	GEI	Gases de Efecto Invernadero
GORE	Regional Government	GORE	Gobierno Regional
GRM	Grievance Redress Mechanism	MAQR	Mecanismo de Atención a Quejas y Reclamos
HS	Historic Sanctuary	SH	Santuario Histórico
ILO	International Labor Organization	OIT	Organización Internacional del Trabajo
INEI	National Institute for Statistics and Informatics	INEI	Instituto Nacional de Estadística e Informática
IP	Indigenous People	PP.II.	Pueblos Indígenas
IPPF	Indigenous People Planification Framework	MPPI	Marco de Planificación de Pueblos Indígenas
ISO	International Organization for Standardization	ISO	Organización Internacional para la Normalización
IWGIA	International Work Group for Indigenous Affairs	IWGIA	Grupo Internacional de Trabajo sobre Asuntos Indígenas
LMCC	Framework Law on Climate Change	LMCC	Ley Marco sobre Cambio Climático
LMP	Maximum permissible limits	LMP	Límites Máximos Permisibles
LULUCF	Land use, land-use change, and forestry	USCUSS	Uso de suelo, cambio de uso de suelo y silvicultura
m.a.s.l.	meters above sea level	m.s.n.m	metros sobre el nivel del mar
MEF	Ministry of Economy and Finance	MEF	Ministerio de Economía y Finanzas
MINAGRI	Ministry of Agriculture and Irrigation	MINAGRI	Ministerio de Agricultura y Riego
MINAM	Ministry of the Environment	MINAM	Ministerio del Ambiente
MINCETUR	Ministry of International Trade and Tourism	MINCETUR	Ministerio de Comercio Exterior y Turismo
MINCUL	Ministry of Culture	MINCUL	Ministerio de Cultura
MINJUSDH	Ministry of Justice and Human Rights	MINJUSDH	Ministerio de Justicia y Derechos Humanos
MINSA	Ministry of Health	MINSA	Ministerio de Salud
MRV	Monitoring (or Measurement) Reporting and Verification	MRV	Monitoreo (o Medición) Reporte y Verificación
MtCO <sub>2</sub> eq	Million tons CO <sub>2</sub> -equivalents	MtCO <sub>2</sub> eq	Millones de toneladas equivalentes de CO <sub>2</sub>
MTPE	Ministry of Labor and Employment Promotion	MTPE	Ministerio de Trabajo y Promoción del Empleo
NDA	National Designated Authority	NDA	Autoridad Designada Nacional
NDC	Nationally Determined Contributions (to the Paris Agreement of the UNFCCC)	NDC	Contribuciones Nacionalmente Determinadas
NP	National Park	PN	Parque Nacional
NPA	Natural Protected Area	ANP	Área Natural Protegida
NR	National Reserve	RN	Reserva Nacional
NS	National Sanctuary	SN	Santuario Nacional
ORPIO	Regional Organization of Indigenous Peoples of the East	ORPIO	Organización Regional de los Pueblos indígenas del Oriente
OSINFOR	Organism for Supervision of Forest Resources	OSINFOR	Organismo de Supervisión de los Recursos Forestales

English		Spanish	
PAS	PROFONANPE's Environmental, Social and Gender Policies	PAS	Políticas Ambientales, Sociales y de Género (de PROFONANPE)
PETT	Special Land Titling Project	PETT	Proyecto Especial de Titulación de Tierras
PF	Protection Forest	BP	Bosques de Protección
PIACI	Indigenous People in voluntary isolation or in initial contact (personal translation of the official legal Peruvian definition)	PIACI	Pueblos Indígenas u Originarios en situación de Aislamiento o en situación de Contacto Inicial
PMU	Project Management Unit	UGP	Unidad de Gestión del Proyecto
PPE	Personal Protective Equipment	EPP	Equipo de protección personal
PPP	Purchasing power parity	PPA	Paridad del Poder Adquisitivo
PRODUCE	Production Ministry	PRODUCE	Ministerio de la Producción
PS	Performance Standard	PS	Norma de desempeño
REDD	Reducing Emissions from Deforestation and Forest Degradation	REDD	Reducción de Emisiones derivadas de la Deforestación y Degradación de los Bosques
REDD+	REDD with conservation, sustainable management of forests and enhancement of forest carbon stocks	REDD+	REDD con conservación de las reservas forestales de carbono, gestión sostenible de los bosques y aumento de las reservas forestales de carbono
RIA	Regulations for Archaeological Interventions	RIA	Reglamento de Intervenciones Arqueológicas
SEAH	Sexual Exploitation, Assault & Harassment		Explotación, agresión y acoso sexual
SEIA	National Environmental Impact Assessment System	SEIA	Sistema Nacional de Evaluación de Impacto Ambiental
SENACE	National Service for Environmental Certification of Sustainable Investments	SENACE	Servicio Nacional de Certificación Ambiental para las Inversiones Sostenibles
SERFOR	National Forest and Wildlife Service	SERFOR	Servicio Nacional Forestal y de Fauna Silvestre
SERNANP	National Service of Natural Protected Areas	SERNANP	Servicio Nacional de Áreas Naturales Protegidas por el Estado
SINAFOR	National Forest and Wildlife Management System	SINAFOR	Sistema Nacional de Gestión Forestal y de Fauna Silvestre
SINAGERD	National System for Disaster Risk Management	SINAGERD	Sistema Nacional de Gestión del Riesgo de Desastres
SINANPE	National System of State Protected Natural Areas	SINANPE	Sistema Nacional de Áreas Naturales Protegidas por el Estado
SIPP	Safeguards Integrated Policies and Procedures	SIPP	Políticas y Procedimientos Integrados de Salvaguardas
SUNARP	National Superintendence of Public Registries	SUNARP	Superintendencia Nacional de Registros Públicos
ToR	Terms of Reference	TdR	Términos de Referencia
UN	United Nations	ONU	Organización de las Naciones Unidas
UNFCCC	United Nations Framework Convention on Climate Change	CMNUCC	Convención Marco de las Naciones Unidas sobre el Cambio Climático
VMI	Vice-minister of Interculturality (MINCUL)	VMI	Viceministerio de Interculturalidad del Ministerio de Cultura
WB	The World Bank	BM	Banco Mundial
WHO	World Health Organization	OMS	Organización Mundial de la Salud
BZ	Buffer Zone	ZA	Zona de Amortiguamiento

**Acronyms for indigenous national and regional organizations**

AIDSESP	Asociación Interétnica de Desarrollo de la Selva Peruana
ARPI SC	Asociación Regional de Pueblos Indígenas de Selva Central
COICA	Coordinadora de las Organizaciones Indígenas de la Cuenca Amazónica
CORPIAA	Coordinadora Regional de los Pueblos Indígenas de AIDSESP Atalaya
CORPI SL	Coordinadora Regional de Pueblos Indígenas San Lorenzo
CODEPISAM	Consejo de Desarrollo de los Pueblos Indígenas de la Región San Martín
COMARU	Consejo Machiguenga del río Urubamba, abarca la región de Cusco
FENAMAD	Federación Nativa del Río Madre de Dios y Afluentes
ORAU	Organización Regional AIDSESP Ucayali
ORPIAN	Organización Regional de Pueblos Indígenas de la Amazonía Norte del Perú
ORPIO	Organización Regional de los Pueblos Indígenas de Oriente
CONAP	Confederación de Nacionalidades Amazónicas del Perú
ACONAKKU	Asociación de Comunidades Nativas Kukama Kukamiria del distrito de Urarinas
CART	Central Asháninca del Río Tambo
FECONADIC	Federación de Comunidades Nativas del Distrito de Callería
FECONACA	Federación de Comunidades Nativas Campa Asháninka
FEMIAL	Federación de Mujeres Indígenas Artesanas de Loreto
OCAM	Organización de Comunidades Ashánincas de Mazamari
OCCAAM	Organización Central de Comunidades Aguarunas del Alto Marañón
UCIFP	Unión de Comunidades Indígenas Fronterizas del Perú
URPIA	Unión Regional de Pueblos Indígenas de la Provincia de Atalaya

## Executive Summary

The Effective Management of Peru's Amazonian Protected Areas for Climate Change Mitigation and Adaptation project aims to reduce CO<sub>2</sub> emissions and increase carbon storage and climate change resilience by improving the effective management of the 25 Natural Protected Areas (NPAs), and 4 buffer zones, in the Peruvian Amazon region and to increase Indigenous People and Local Communities' (IP&LC) resilience and adaptive capacity to climate change effects in 5 NPAs and their buffer zones through ecosystem-based adaptation interventions and resilient productive systems.

It is expected that the Project will contribute to key outcomes such as:

- Climate change mitigation and Adaptation through mainstreaming of EbA and NbS in NPA Master Plans and capacity building of SERNANP staff on EbA and NbS approaches in the context of NPA effective management;
- Improved biodiversity conservation through biological and forest monitoring within NPA;
- Improved livelihoods for IP&LCs through resilient productive practices for natural resources management and increased knowledge on EbA/NbS approaches and their implementation in their territories within NPA or in the buffer zones;
- Improved ecosystem services for IP&LCs.

While some project activities will take place in Indigenous Peoples' traditional territories (e.g. activities under Component 2), they will be designed to ensure these groups will both be involved in the project design and implementation and ultimately benefits from the project outcomes.

Some project activities might cause low to moderate adverse environmental and social risks and impacts such as, for example:

- Restriction of access to certain areas and natural resources or restriction to certain activities practiced mainly for subsistence. In some NPAs, this risk has become an actual impact according to concerns expressed by representatives from Indigenous People and local communities consulted in July 2024.
- Sexual exploitation, assault and harassment of women during the interaction, for instance, between outsiders (e.g. project workers, subcontractors, etc.) and members of the indigenous people local communities.
- Gender inequality and weak women empowerment during design and implementation of project activities due to the heavy work load they carry on at the household.
- Impacts of infrastructure construction on biodiversity (e.g. wild flora and fauna) such as demarcation infrastructure and infrastructure for new surveillance and control check points, including maintenance of existing ones. This includes chance finds of physical cultural resources.
- Security and safety risks related to surveillance and control due to the lack of public security in remote areas with presence of illegal and illicit activities (e.g. illegal logging and mining, drug trafficking, poaching, land grabbing, etc.)
- Exposure to accidents, snake bites or encounters with dangerous wild fauna, dehydration, etc. due to hard labor and working conditions in remote, very hot and humid and geographically complex areas.
- Poor intercultural communication between project technicians and consultants and indigenous peoples could prevent the appropriation of the activities (especially in Component 2) and their lack of interest in the project.

An Environmental and Social Management Framework (ESMF) has been developed to identify and manage the environmental and social risks and impacts of the PdP A&C project. It outlines the principles, procedures, and mitigation measures to manage environmental and social risks and impacts related to project activities according to the environmental and social national regulatory framework and WWF's Environmental and Social Safeguards Framework (ESSF), as informed by the Safeguards Integrated Policies and Procedures (SIPP).

To take into account all eventualities including the management of potential access restriction risks, a Process Framework (PF) is included in the Environmental and Social Management Framework. The ESMF also includes an Indigenous People Planning Framework (IPPF) to manage potential impacts on local communities and ensure that indigenous peoples receive an equitable share of project benefits.

The ESMF is divided into nine chapters and six appendices. It begins with **Chapter 1**, which provides an overview of the project location, including a brief profile of each of the 25 NPA and a description of project components, activities and sub-activities. **Chapter 2** describes the legal and policy framework for environmental and social risk management in Peru. **Chapter 3** provides information on environmental asocial conditions in the project area. **Chapter 4** details the project and ESMF implementation arrangements. **Chapter 5** provides detailed information on the main environmental and social risks of project activities and mitigation measures. **Chapter 6** presents the Process Framework as well as other specific tools to prevent, minimize, mitigate and compensate social and environmental risks and impacts. **Chapter 7** contains the Indigenous People Planning Framework and details on how it will be implemented. **Chapter 8** presents the Grievance Redress Mechanisms available to this project, including the project-level Grievance Redress Mechanism. **Chapter 9** provides an overview of the stakeholder engagement and consultations undertaken during the development of the project and the ESMF. **Chapter 10** contains recommendations for the disclosure of the ESMF.

The ESMF includes six appendices. **Appendix 1** contains the Activity-level Safeguards Eligibility and Impacts Screening. **Appendix 2** contains Terms of Reference for Fit-for-Purpose Environmental and Social Impact Assessment (ESIA) and Environmental and Social Management Plans (ESMP). **Appendix 3** contains a Security and Safety Protocol. **Appendix 4** describes in full WWF's Guidance Note on Labor and Working Conditions. **Appendix 5** contains a Form for Notification of Serious Incidents. **Appendix 6** contains the Peruvian Ministry of Culture's *Protocol for Action when Finding, Sighting or Contact with Indigenous Peoples in Isolation and for Relationships with Indigenous Peoples in a Situation of Initial Contact* (in Spanish and English). **Appendix 7** provides a Livelihood Restoration and Compensation Plan. **Appendix 8** contains an indicative list of IP&LCs representatives identified in the 25 NPAs whereas **Appendix 9** presents the main PdP A&C project stakeholders. Finally, **Appendix 10** contains the Project Safeguards Categorization Memo issued by WWF US.

## CHAPTER 1 INTRODUCTION

1. The Effective Management of Peru's Amazonian Protected Areas for Climate Change Mitigation and Adaptation project (PdP A&C) aims to reduce CO<sub>2</sub> emissions and increase carbon storage and climate change resilience by improving the effective management of the 25 Natural Protected Areas (NPAs), and 4 buffer zones, in the Peruvian Amazon region and to increase IP&LCs' resilience and adaptive capacity to climate change effects in 5 NPAs and their buffer zones through ecosystem-based adaptation interventions and resilient productive systems.
2. The project is led by the national state service for protected areas (SERNANP) as lead implementing partner (SERNANP staff at headquarters and at NPA head offices) for Component 1 with the Peruvian Trust Fund for Natural Protected Areas (PROFONANPE) performing as the project executing entity for Component 1. WWF-Peru will be the project executing entity for Component 2, with support from SERNANP, while the national and regional IP organizations and the IP communities identified will perform as the project's procured parties. The project is presented for funding to the GCF by WWF US, acting as the Accredited Entity.
3. This ESMF outlines the principles, procedures, and mitigation measures and tools for addressing environmental and social impacts and risks related to the PdP A&C project activities according to the national social and environmental regulatory and policy framework and of WWF's SIPP.
4. The ESMF has been prepared based on the following information: a) desk review of the WWF SIPP, as well as Peruvian environmental and social management policies; b) review of the PdP A&C project information, c) GCF's ESS Standards; and d) consultations and discussions with stakeholders.
5. The proposed project has been screened by WWF US as Category "B" given that any adverse environmental and social impacts and risks are expected to be moderate, site specific and can be mitigated or adequately managed applying the mitigation hierarchy (prevention, minimization, mitigation and compensation) during project activities design and implementation. The most notable potential impacts or risks identified include:
  - Restrictions on access to natural resources in NPAs to certain groups that have traditionally or historically used those resources;
  - Conflicts or tensions around demarcation and/or expansion of current NPA borders;
  - Adverse health risks to project workers due hazardous working environments;
  - Encounters with PIACI members;
  - Unequal access or perception of unequal access to project resources/activities;
  - Gender inequity and/or SEAH;
  - Environmental impacts due to small infrastructure construction;
  - Archeological chance finds;
6. As a result of the various elements contained in this ESMF, it is a robust and thorough resource to address the risks and impacts identified, thus providing a clear path for the EEs to comply with WWF's and GCF's ESS standards and policies at all times. Furthermore, since the context and realities in which projects such as these operate are dynamic, the ESMF approach has been built to ensure that only medium risk activities are supported throughout the life of the cycle. The

principles and procedures of this ESMF apply throughout all project activities, including those that are funded through GCF and those receiving direct funding from other sources (e.g. co-financiers).

### **A. Project Location**

7. The PdP A&C project directly targets 25 NPAs and 4 of their buffer zones (BZ), covering around 17.6 million hectares in the Peruvian Amazon region (Component 1, see subtitle B. Project Description below). In addition, the project seeks to increase the resilience to climate change in 30 indigenous communities within 5 prioritized NPAs, and their buffer zones, by strengthening their ability to manage their natural resources in a resilient way and to restore ecosystem services to enhance communities' adaptive capacity (Component 2, see subtitle B below for description).
8. Peru occupies about 128 million hectares and has a little over 32 million inhabitants. Although the arid coastal zone of the Pacific Ocean represents only 10% of the country, it hosts most of Peru's population, as well as most of its economic activities. The Andean Sierra represents 30% of Peru's surface and a similar percentage of its population, and its main economic activities are agriculture and extractive industries (e.g. mining). To the east and north of the country, the Amazon basin covers 60% of the Peruvian territory. While the Peruvian Amazon region is scarcely populated (13% of the country's population), it is currently experiencing a growing population influx as well as an increase in forestry, agriculture, livestock and mining activities (WWF, 2019a).
9. The Andes and the Amazon are facing high levels of poverty and a deficit in basic services, as well as threats of environmental degradation, climate change, acts of violence related to illegal and illicit activities and drug trafficking (MINAM, 2019).
10. The Amazon forests represent 54% of the national territory, or 69 million hectares. Peru owns the second largest extension of Amazonian rainforest and is ranked first in the world for diversity in butterflies and freshwater fishes, second for birds, fourth for amphibians and fifth for mammals and reptiles (WWF, 2017).

#### **1.1. Peru's Natural Protected Areas (NPA)**

11. In 2024, Peru's legally natural protected areas included more than 29.73 million hectares (SERNANP, 2024), taking into account marine and terrestrial as well as private and public conservation areas. The National System of Areas Protected by the State (SINANPE), governed by the National Service for Protected Natural Areas (SERNANP), consists of 77 nationally protected areas, which represents 25.77 million hectares, or 19.32% of the country's area. There are 9 categories of NPAs in the national system SINANPE, with two protection levels. The indirect use areas are those of highest degree of protection, where, among others, the use or extraction of natural resources is forbidden<sup>2</sup>. In direct use areas, the use or extraction of natural resources is permitted, in priority by local populations, and under a management plan. The table below indicates the categories defined by Law N°26834, also called 'NPA Law', of 1997. Inside the NPA, different zones can be defined to determine further uses and restrictions (see definition of these zones in the legal framework chapter, paragraph **Error! Reference source not found.**).

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<sup>2</sup> According to the Natural Protected Areas Law, Title III, Chapter III "Non-Renewable Natural Resources": "The use of non-renewable natural resources is incompatible with Protected Natural Areas for indirect use; except when there are acquired rights established by the relevant legislation prior to the creation of the Area."

**Table 1. State natural protected areas of the SINANPE (2024)<sup>3</sup>**

Type	Protection objective	Number	Total cover (ha)
<b>Indirect use areas</b>			
National Parks (NP)	Areas that are representative of the biological diversity of the country and its ecological zones. Strict protection is provided for the ecological integrity of one or more ecosystems, wildlife, and their evolutionary and succession processes, as well as other associated scenic and cultural features.	15	10,394,644
National Sanctuaries (NS)	Areas that provide strict protection to the habitats of specific species or wildlife communities, as well as to natural formations of scientific and scenic interest.	9	317,366
Historical Sanctuaries (HS)	Areas that provide strict protection to areas of significant natural value that are part of sites of significant national interest, owing to their archaeological and monumental heritage or because outstanding historical events took place in these areas.	4	41,279
<b>Direct use areas</b>			
National Reserves (NR)	Areas are established for the conservation of biological diversity and the sustainable use of aquatic or terrestrial wildlife resources. Commercial use of natural resources is allowed under management plans, approved, supervised and monitored by the relevant national authority.	18	11,007,733
Wildlife Refuge (WR)	Areas that require proactive management to ensure habitat conservation, or by reason of their significance to specific species as breeding sites or other critical sites for the recovery or protection of species populations.	3	20,775
Protection Forest (PF)	Areas established to protect watersheds or catchments, riverbanks and other watercourse banks, and more generally to protect fragile land against erosion. Use of resources is permitted, as are activities that do not place the plant coverage of the area at risk.	6	389,987
Landscape Reserve (LR)	Areas are protected because their geographical integrity reflects a harmonious relationship between man and nature, with significant natural, aesthetic and cultural values.	2	711,818
Communal Reserve (CR)	Areas established for the conservation of wildlife, for the benefit of neighboring rural communities. Resource use and trade are permitted under management plans, supervised and approved by the competent authority, and conducted by the communities themselves. Such areas may be established on land used for agriculture, livestock or forestry, or in wetlands.	10	2,166,588
Hunting Reserve (HR)	These areas are established to allow wildlife use through regulated leisure hunting.	2	124,735
Reserved Zone (Area under review for potential future designation)		8	588,302
<b>TOTAL</b>		<b>77</b>	<b>25,766,230</b>

Source: Law N°26834 (definitions) and SERNANP (number and size of NPAs)

<sup>3</sup><https://cdn.www.gob.pe/uploads/document/file/2622831/2560580-lista-oficial-anp-29-04-2024.pdf?v=1714409011>

## 1.2. Natural Protected Areas in the Peruvian Amazon Region

12. The 45 SINANPE areas that are part of the Amazon basin cover over 17 million hectares or 22% of the Peruvian Amazon region and are key to supporting the sustainable development in the Peruvian Amazon region and combating the impacts of climate change.
13. From lower to higher altitudes, the ecosystems to be found among the Amazonian NPA fall under the ecoregions of the Palm Savanna and the Lowland Tropical Rainforest (both often categorized in Peru as 'Selva Baja'), the Highland Tropical Rainforest and Yungas (both categorized under 'Selva Alta', a term which covers a rather wide diversity of forest types, as a result of the Amazonian catchment including a series of mountain ecosystems associated with the Andes), and the high altitude grasslands which may fall under the category Puna, Páramo or Pajonal depending on the region. The table below (Table 2) intends to provide a rapid overview of categories that are useful for understanding the types of ecosystems which can be found in the NPA described in this chapter.

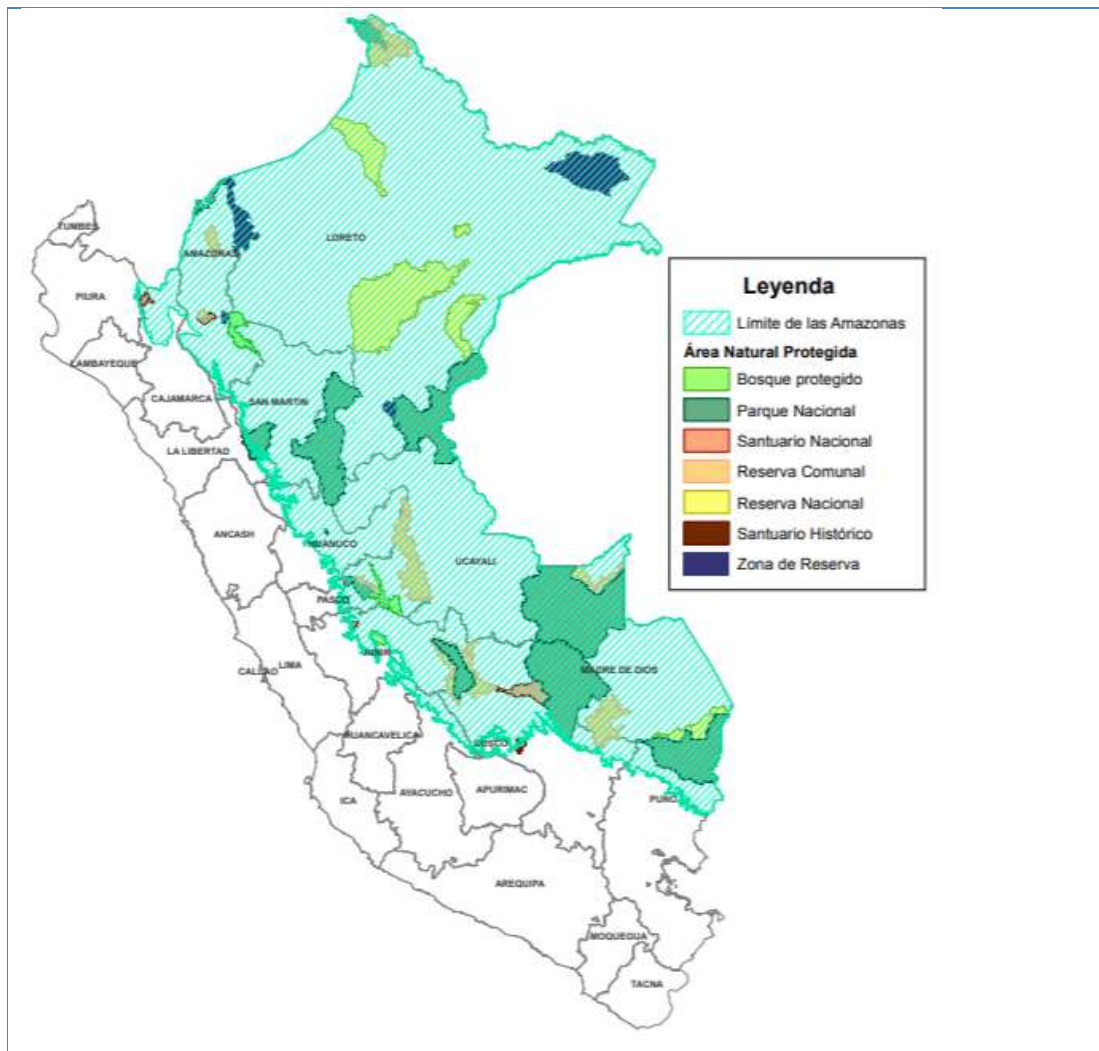
**Table 2. General Classification of ecosystems of the PdP A&C project's NPAs**

Main ecoregion (Peru)	Frequently used ecosystem categories (in Spanish)	WWF ecoregion names (English translation)	Approximate altitude (m.a.s.l)
Selva Baja	Sabanas húmedas tropicales	Palm Savanna	40
	Selva baja, bosque tropical amazónico	Lowland tropical rainforest	80-400
Selva Alta	Ceja de selva, selva de montaña, bosque montano y premontano, "rupa-rupa"	Highland tropical rainforest	400-3000 Rupa-rupa: 400-1000
	Yungas/Yunga fluvial	Yungas	1000-4000
Puna	Puna	Central Andean puna grasslands (wet montane grasslands and shrublands)	3000-5000
	Páramo (puna caracterizada por una cobertura casi permanente de neblina y por fauna de origen amazónica) (norte del Perú)	Páramo (wet montane grasslands and shrublands) – north of the country	3000-5000
	Pajonales (puna húmeda de los Andes Centrales, sur del Perú)	Pajonal – central and southern Perú	3000-5000

Source: author's compilation of SERNANP and WWF's information.

14. The map below (Map 1) shows the 38 Natural Protected Areas of the Peruvian Amazon that were included in the first phase of the initiative '*National Parks: Peru's Natural Legacy*'. The first phase implemented a landscape approach and defined the NPAs as being part of four large landscapes or clusters: Northeast: Loreto, North Central: Amazonas-San Martin, South Central: Pasco-Junin and Southeast: Madre de Dios. This approach will also be used for the PdP A&C project.

**Map 1. The Peruvian Amazon and the 38 SINANPE's NPA included in first phase of the PdP initiative**



Source: WWF, 2017<sup>4</sup>. In 2018, the Yaguas Reserved Zone has been categorized as National Park.

<sup>4</sup> PdP, 2017. Leaflet for donors, <http://redparques.com/wp-content/uploads/2016/07/1-Prospecto-para-donantes.pdf>.

**1.3. Natural Protected Areas included in the PdP A&C project**

15. Component 1 of the 'PdP Amazon and Climate' project includes 25 NPAs and 4 of their buffer zones. In addition, 5 NPAs (3 national parks and 2 national reserves) and their buffer zones out of those 25 NPAs have been prioritized for adaptation interventions under Component 2 (see Table 3 below).
16. The following 25 NPAs have been prioritized:
  - 12 National Parks and 4 of their buffer zones;
  - 4 National Sanctuaries;
  - 1 Historic Sanctuary and its buffer zone;
  - 5 National Reserves and their 5 buffer zones;
  - 4 Protection Forests and 2 of their buffer zones.

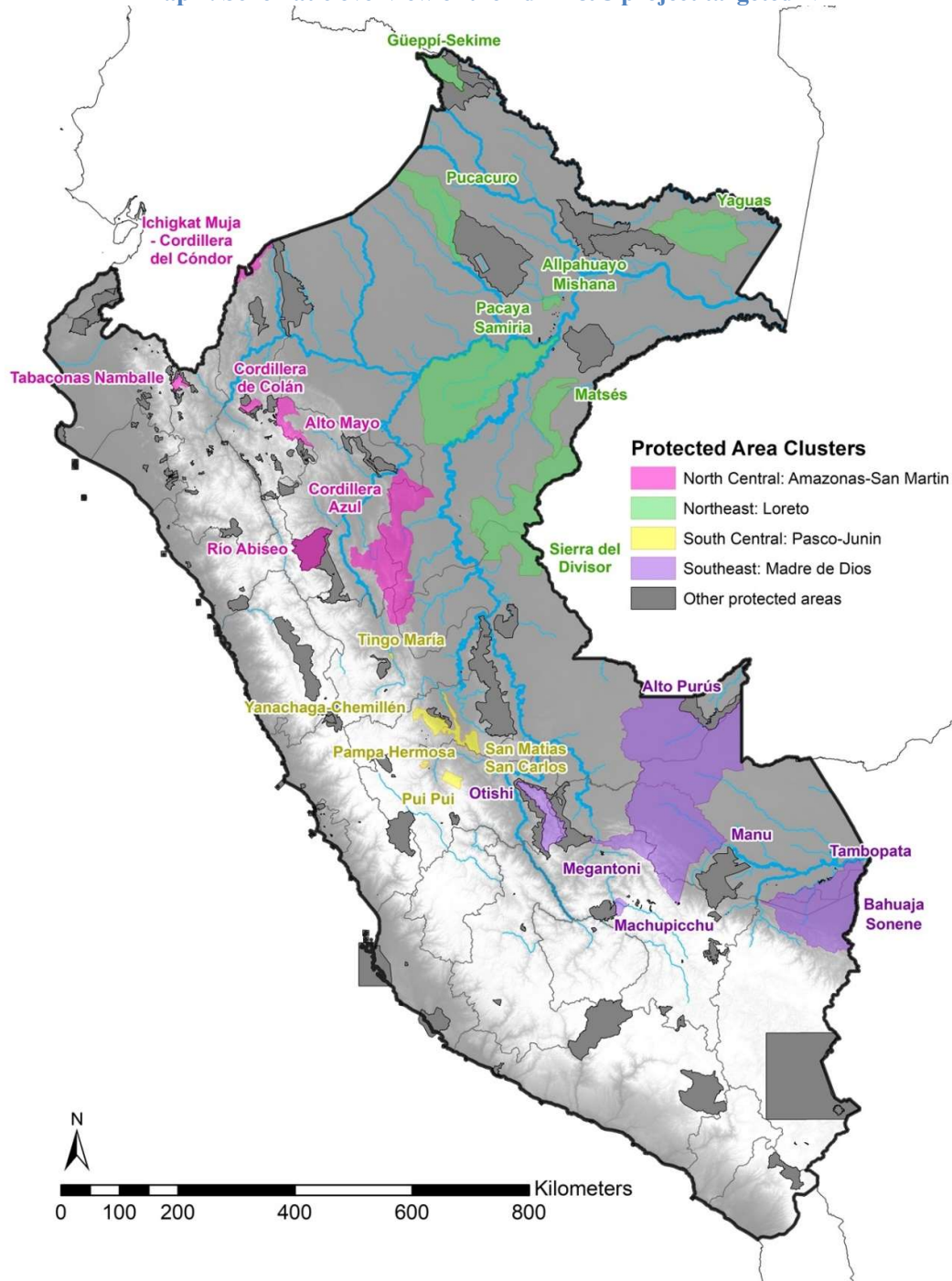
**Table 3. Natural Protected Areas and buffer zones targeted under the PdP-A&C project**

Type/Index	Name	Area (ha)	BZ in the project, ha	Prioritised for Adaptation interventions
PN02	Tingo María National Park	4,777.00	Yes, 4,125.72	No
PN03	Manu National Park	1,716,295.22	No	Yes
PN06	Río Abiseo National Park	274,520.00	No	No
PN07	Yanachaga-Chemillén National Park	122,000.00	No	No
PN08	Bahuaja-Sonene National Park	1,091,416.00	No	Yes
PN09	Cordillera Azul National Park	1,353,190.85	No	No
PN10	Otishi National Park	305,973.05	No	No
PN11	Alto Purús National Park	2,510,694.41	No	No
PN12	Ichigkat Muja-Cordillera del Cóndor National Park	88,477.00	No	No
PN13	Güepí-Sekime National Park	203,628.51	No	No
PN14	Sierra del Divisor National Park	135,485.10	No	Yes
PN15	Yaguas National Park	868,927.84	No	No
SN06	Megantoni National Sanctuary	215,868.96	No	No
SN07	Pampa Hermosa National Sanctuary	11,543.74	No	No
SN08	Tabaconas-Namballe National Sanctuary	32,124.87	No	No
SN09	Cordillera de Colán National Sanctuary	39,215.80	No	No
SH03	Machupicchu Historic Sanctuary	32,592.00	No	No
RN08	Pacaya-Samiria National Reserve	2,080,000.00	Yes, 1,219,810.00	Yes
RN09	Tambopata National Reserve	274,690.00	No	Yes
RN10	Allpahuayo Mishana National Reserve	58,069.90	No	No
RN12	Matsés National Reserve	420,635.34	No	No
RN14	Pucacuro National Reserve	637,953.83	Yes, 339,500.00	No
BP03	Pui Pui Protection Forest	60,000.00	No	No
BP04	San Matias-San Carlos Protection Forest	145,818.00	No	No
BP06	Alto Mayo Protection Forest	182,000.00	Yes, 243,406.00	No
TOTAL		25	14,084,897	4

Source: PROFONANPE

17. Map 2, below, presents a schematic overview of the project's NPAs grouped by clusters (zones).

Map 2. Schematic overview of the PdP A&C project targeted NPA



#### **1.4. Profiles of the NPA prioritized for the PdP A&C project**

18. This section briefly presents basic profiles of the 25 NPA where the project will intervene, grouped by zone/cluster: 1) Northeast: Loreto, 2) North Central: Amazonas - San Martín, 3) South Central: Pasco - Junín , and 4) Southeast: Madre de Dios.

##### **A. Northeast: Loreto**

19. In the northern landscape of the PdP A&C project, the following seven NPAs has been prioritized:
- National Parks (3): Güeppí-Sekime, Sierra del Divisor and Yaguas, without their buffer zones (BZ);
  - National Reserves (4): Pacaya Samiria, Allpahuayo Mishana, Matsés and Pucacuro. The buffer zones of these four national reserves are also included in the project.
20. Most of the ecosystems existing in these NPAs belong to the lowland rainforest ecoregion (*Selva Baja*). Sierra del Divisor National Park is an NPA that offers a unique geology, with a mountainous complex raising up to 900 m.a.s.l in the middle of the Amazonian plains. Yaguas National Park protects the Yaguas river basin, the largest Peruvian tributary of the Putumayo River and originates in the lowlands without connection to the Andes. Its ichthyological fauna is in an excellent state of conservation and constitutes an important resource for the native populations and the nearby communities.

##### **1. Güeppí-Sekime National Park**

21. Güeppí-Sekime national park is located near the Ecuadorian and Colombian borders, established in 2012. It covers about 200,000 hectares and is part of the Napo Moist Rainforest ecoregion. The Plan Maestro mentions that species requiring special attention, and/or indicative of the state of the ecosystems, are the manatee, the paiche, the cedar, the black caiman, as well as the various fish communities. There is no population settled within the limits of the NPA, but there are IPs living around the NPA, and at least two communal reserves have common borders with the NPA.

<b>Güepí-Sekime National Park</b>	
<b>Extension</b>	203,628 ha
<b>Department(s)</b>	Loreto
<b>Principal ecoregions/ecosystems</b>	Lowland Rainforest (Napo Moist Rainforest) Seasonal floodplain forest or 'tahuampas' that may form meanders and 'cochas' (cut-off meanders lakes) Aguajales (floodable palm grove with <i>Mauritia flexuosa</i> ) Marshy grasslands lower than 1 m in the river floodplain.
<b>Plan Maestro</b>	2024-2028
<b>Buffer zone (BZ)</b>	Not defined
<b>Population inside the NPA</b>	No permanent presence
<b>Population living in the BZ or nearby</b>	3 native communities: Kichwa, Secoya, Huitoto
<b>Subsistence activities and use of natural resources</b>	Hunting, family agriculture, eco-tourism.
<b>Identified threats, possible sources of conflict, and other observations</b>	<ul style="list-style-type: none"> <li>• NPA located in the border with Colombia and Ecuador.</li> <li>• Army surveillance/patrolling check points in the triple border.</li> <li>• Selective logging of timber species, for traditional use and subsistence in the limits of the NPA in the Güepí control sector.</li> <li>• Expansion of agricultural farms and livestock areas in the Tres Fronteras native community's territory, close to the limit of the Güepí control sector within the NPA.</li> <li>• Selective hunting of wildlife (e.g. majas, sajino and huangana) in Güepí, Lagartococha and Aguas Blancas - Aguas Blanquillas control sectors within the NPA.</li> <li>• Illegal paiche fishing in the Lagartococha control area.</li> </ul>

## 2. Sierra del Divisor National Park

22. Sierra del Divisor national park was categorized in 2015 after SERNANP's first '*consulta previa*' process. Extending over more than 1,300,000 hectares, the area has a unique geology, with a mountainous complex rising to 900 m.a.s.l in the middle of the Amazonian plains. The Park comprises the catchments of the Ucayali and Yurua rivers. There are very pristine areas with a high degree of conservation, and species that are endemic or with a restricted distribution, including at least 18 species of primates and a wide diversity of birds, among which at least 4 new species.
23. Indigenous People in voluntary isolation or in initial contact (PIACI) live in the National Park, and indigenous and mixed populations live in its buffer zone. The national park has a small common limit with the Matsés national reserve to the north and to the east lie a series of Brazilian conservation areas.

<b>Sierra del Divisor National Park</b>	
<b>Extension</b>	1,354,485 ha
<b>Department(s)</b>	Loreto, Ucayali
<b>Principal ecoregions/ecosystems</b>	‘Cerro azul’ (blue mountain) or isolated piedemont forest of the western Amazon. Evergreen highland forest. Aguajales, tropical floodplain tropical forest (‘bajiales’). Aquatic ecosystems, lagunas and ‘cochas’ (lakes), rivers and ravines, waterfalls, hot springs.
<b>Plan Maestro</b>	2023-2027
<b>Buffer zone (BZ)</b>	Defined – includes a small reserved zone.
<b>Population inside the NPA</b>	At least three groups of Isconahua PIACI
<b>Population living in the BZ or nearby</b>	Asháninkas, Shipibo Conibo, Matses, Huambisa, Isconahua Shipibo, Capanahua, Awajún communities. Peasant communities. Villages and hamlets with settlers (‘colonos’) and mixed population.
<b>Subsistence activities and use of natural resources</b>	Livestock, hunting, family agriculture, eco-tourism.
<b>Identified threats, possible sources of conflict, and other observations</b>	<ul style="list-style-type: none"> <li>• Selective illegal logging, illicit crops (coca) and associated activities.</li> <li>• Uncontrolled and non-regulated collection of Taricaya turtle eggs as well as illegal hunting and fishing.</li> <li>• Contamination by agrochemicals.</li> <li>• Opening of a road belonging to a forestry concession that crosses the NPA.</li> <li>• Presence of PIACI</li> </ul>

### 3. Yaguas National Park

24. Yaguas National Park is a NPA of almost 870,000 hectares of lowland rainforests, categorized in 2018 after a prior consultation process with native communities. It was established for protection of the Yaguas river basin, the largest Peruvian tributary of the Putumayo River, which originates in the lowlands without connection to the Andes. Its ichthyological fauna is in an excellent state of conservation and constitutes an important resource for the native populations and the nearby communities. Species mentioned as rare or threatened are the giant otter (*Pteronura brasiliensis*, EN), the tigrillo (*Leopardus tigrinus*, VU), the giant armadillo (*Priodontes maximus*, VU), the large anteater (*Myrmecophaga tridactyla*, VU), the woolly monkey (*Lagothrix lagotricha*, VU), and the sachavaca (*Tapirus terrestris*, VU).
25. There is no population settled within the limits of the NPA, but there are IPs living around the NPA, organized as either 27 or 29 native communities (depending on the sources).

Yaguas National Park	
<b>Extension</b>	868,900 ha
<b>Department(s)</b>	Loreto
<b>Principal ecoregions/ecosystems</b>	Lowland tropical forest, floodable forest Aguajales (flooded palm groves)
<b>Plan Maestro</b>	2021-2025
<b>Buffer zone (BZ)</b>	Not yet defined
<b>Population inside the NPA</b>	No
<b>Population living in the BZ or nearby</b>	27 to 29 native communities of the lower Putumayo, with an estimated 1500 persons: Bora, Bicha, Murui, Ocaina, Tikuna, Yagua.
<b>Subsistence activities and use of natural resources</b>	Subsistence agriculture and commercial use of renewable natural resources
<b>Identified threats, possible sources of conflict, and other observations</b>	<ul style="list-style-type: none"> <li>• Illegal logging.</li> <li>• Illegal mining.</li> <li>• “Paiche” (<i>Arapaima gigas</i>) and “arahuana” (<i>Osteoglossum bicirrhosum</i>) overfishing in indigenous people local communities (native communities).</li> <li>• Illicit crops.</li> <li>• Presence of armed Colombian groups related to cultivation of illicit crops.</li> </ul>

### 4. Pacaya Samiria National Reserve (and its BZ)

26. The Pacaya Samiria National Reserve was created in 1982 to protect 2,080,000 hectares of lower rainforest ecosystems in the Pacaya and Samiria River basins<sup>5</sup>. It is the second largest NPA in Peru, after the Alto Purús National Park.

Approximately 92,000 people live in the NR and its buffer zone. While there are migrants, most of the population is indigenous. Good quality maps exist for this NPA, and it is mainly zoned as Direct Use Zone (42%), Wildlife Zone (32%), Recovery Zone (18% - including areas degraded by contamination related to oil activities), with some Special Use Zones (6%).

<sup>5</sup> A reserved zone for the protection of the Paiche fish had been in existence since 1940.

<b>Pacaya Samiria National Reserve</b>	
<b>Extension</b>	2,080,000 ha
<b>Department(s)</b>	Loreto
<b>Principal ecoregions/ecosystems</b>	<u>Ramsar site</u> . Moist rainforest, 'varzea' (seasonal floodplain inundated by sediment-rich ('white') waters, 'tahuampas' (seasonal floodplain forest), 'cochas' (cut-off meanders), rivers, 'aguajales' (floodable palm grove)
<b>Plan Maestro</b>	2024-2028
<b>Buffer zone (BZ)</b>	Defined, included in the project
<b>Population inside the NPA</b>	92 communities (approximately 24,000 people).
<b>Population living in the BZ or nearby</b>	116 communities (approximately 68,000 people), the majority indigenous people of diverse groups, and settlers from San Martin, Yurimaguas and Pucallpa.
<b>Subsistence activities and use of natural resources</b>	Fishing, hunting, gathering, subsistence agriculture, wood and non-wood forest products, small-scale trade of forest products.
<b>Identified threats, possible sources of conflict, and other observations</b>	<ul style="list-style-type: none"> <li>• Illegal commercial illegal.</li> <li>• Illegal commercial logging of timber species.</li> <li>• Poaching/illegal hunting of wild fauna for commercial purposes.</li> <li>• Illegal harvesting of the aguaje fruit for commercial purposes.</li> <li>• Illegal collection of chelonians (turtles) eggs.</li> <li>• Extension of the agricultural frontier,</li> <li>• Oil transportation by river is highly risky (there is a oil lot within the NPA)</li> </ul>

#### 5. Allpahuayo Mishana National Reserve (and its BZ)

27. The Allpahuayo Mishana National Reserve extends over 58,100 hectares and was categorized in 2004 for the protection of its Bosque del Napo ecosystems and of the floodplain forests of the middle catchment of the Nanay River. The NPA is located near the city of Iquitos and is easily accessed; the local settlers in the NPA population are interested in its conservation, but the anthropic pressure from outside is notable.

Allpahuayo Mishana National Reserve	
<b>Extension</b>	58,100 ha
<b>Department(s)</b>	Loreto
<b>Principal ecoregions/ecosystems</b>	'Igapo': seasonal floodplain forest inundated by 'black', nutrient-poor waters 'Varillal' (dense forest with straight thin trees up to 20 m high) and 'chamizal' (shrubs and scattered trees up to 8 m) on white sand.
<b>Plan Maestro</b>	2022-2026
<b>Buffer zone (BZ)</b>	Defined, included in the project
<b>Population inside the NPA</b>	In Allpahuayo Mishana there are seven local (peasant) communities in the interior - with about 800 inhabitants - and thirteen in its buffer zone, with around 3,000 people. Almost all communities are involved in community surveillance and area management committees, as well as in environmental education workshops. There settlers along the Iquitos-Nauta road, settled in four "parcelaciones" (concessions).
<b>Population living in the BZ or nearby</b>	It is estimated that 20 villages or 3,000 inhabitants are using the RN's resources, among which at least 11 peasant communities and 2 settler "parcelaciones"
<b>Subsistence activities and use of natural resources</b>	Subsistence agriculture, exploitation of natural forest resources, including wood for construction, firewood and charcoal, fishing, hunting and some other vegetal resources.
<b>Identified threats, possible sources of conflict, and other observations</b>	<ul style="list-style-type: none"> <li>• Easy access due to its proximity to Iquitos.</li> <li>• Illegal logging (machimango, brea caspi y shiringa) within the NPA and in the buffer zone.</li> <li>• Clear cutting (for charcoal, fuelwood and timber).</li> <li>• Non-metallic mining in the buffer zone.</li> <li>• Poaching,</li> <li>• Gold mining (Nanay River upper catchment, adjacent to the buffer zone).</li> <li>• Inadequate management and final disposal of solid waste (leachates and exudates) from mining activity in the buffer zone.</li> </ul>

## 6. Matsés National Reserve (and its BZ)

28. The Matsés National Reserve was established in 2009 on 420,600 hectares to protect the ecosystems of the Gálvez, Tapiche and Blanco rivers, as well as to allow the Matsés population to pursue their traditional sustainable use of the area's renewable natural resources. The RN houses a very complete sample of the biological diversity of the forests of the Peruvian Amazon; its ichthyological fauna in particular is in a very good state of conservation. The RN is ancestral territory of the Matsés indigenous people, of which three communities live in the buffer zone.

<b>Matsés National Reserve</b>	
<b>Extension</b>	420 600 ha
<b>Department(s)</b>	Loreto
<b>Principal ecoregions/ecosystems</b>	high ('colina') and low ('terrazza') seasonal floodplain forest, 'varillal' forest on white sand, 'aguajales' floodable palm groves.
<b>Plan Maestro</b>	2023-2027
<b>Buffer zone (BZ)</b>	Defined, included in the project
<b>Population inside the NPA</b>	No
<b>Population living in the BZ or nearby</b>	Three Matsés native communities, including 14 anexos
<b>Subsistence activities and use of natural resources</b>	Hunting, fishing, gathering
<b>Identified threats, possible sources of conflict, and other observations</b>	<ul style="list-style-type: none"> <li>• Potential expansion of the agricultural frontier in the buffer zone.</li> <li>• Potential irrational use of wild flora (collection of timber and non-timber forest products) and fauna (hunting and fishing).</li> <li>• Potential construction of a road from Jenaro Herrera to Angamos colony in Loreto (on the Peru- Brazil border). At present the construction has been paralyzed by a Judicial order. The road project promoted by the Loreto subnational government did not undertake the studies needed by law and can impact indigenous people in isolation<sup>6</sup>. Also, the road project lacked the compatibility analysis and the favorable technical opinion from SERNANP required by the Protected Natural Areas Law.</li> <li>• Presence of PIACI.</li> </ul>

## 7. Pucacuro National Reserve (and its BZ)

29. The Pucacuro National Reserve, with an extension of 638,000 hectares was created in 2005 to protect the ecosystems of the 'Bosque húmedo de Napo' rainforest and includes the Pucacuro river basin. It protects a sample of fauna and flora that has already become extinct in other areas of the country.
30. As in other NPAs, the original indigenous population that lived in the area before colonization has been largely exterminated, and there is no population settled in the Pucacuro RN, though there are Kichwa and Arabela populations, as well as other native communities, in the buffer zone. The NPA zoning is comparable to that of Pacaya Samiria: 62% as Direct Use Zone, 33% as Wildlife Zone, 4% as Restoration Zone, and a small Special Use Zone for existing oil exploitation infrastructure.

<sup>6</sup> <https://www.actualidadambiental.pe/detienen-construccion-de-la-carretera-jenaro-herrera-colonia-angamos-en-loreto/>

Pucacuro National Reserve	
<b>Extension</b>	638,000 ha
<b>Department(s)</b>	Loreto
<b>Principal ecoregions/ecosystems</b>	'Varillal' forest, high ('colina') and low ('terrazza') seasonal floodplain forest, 'tahuampa'; 'cochas', marsh palm groves dominated by 'aguajales'
<b>Plan Maestro</b>	2019-2023
<b>Buffer zone (BZ)</b>	Defined, included in the project
<b>Population inside the NPA</b>	No
<b>Population living in the BZ or nearby</b>	7 native communities (494 families) and one village (373 families)
<b>Subsistence activities and use of natural resources</b>	Hunting, fishing, gathering, logging Small-scale commercialization
<b>Identified threats, possible sources of conflict, and other observations</b>	<ul style="list-style-type: none"> <li>• Illegal hunting (primates).</li> <li>• Oil lots 67 and 39 are located within the NPA. These lots are operated by Perenco Peru Petroleum Limited.</li> </ul>

## B. North Central: Amazonas- San Martín

31. The north central cluster includes six NPA. These are partially located in the Andes, and raise up to 4,400 m.a.s.l. This wide altitudinal gradient, especially in the three national parks and the protection forest, is critical for wild fauna and flora species to adapt to climate change effects. These NPAs offer a natural laboratory to monitor species' resilience to climate change. The following NPA are included:
- Protection forests (1): Alto Mayo Protection. The buffer zone of the Alto Mayo Protection Forest is also included in the project.
  - National parks (3): Río Abiseo National Park, Cordillera Azul National Park and Ichigkat Muja-Cordillera del Cóndor.
  - National Sanctuaries (2): Tabaconas Namballe National Sanctuary and Cordillera de Colán National Sanctuary.

### 8. Alto Mayo Protection Forest (and its BZ)

32. The Alto Mayo Protection Forest was categorized in 1987 and extends over 182,000 hectares between 700 and 4,000 m.a.s.l. to the south of the Huancabamba depression. It includes highland tropical rainforest that are still little known. The Alto Mayo Protection Forest is famous for its endemic and/or threatened birds, such as the long-whiskered owlet (*Xenoglaux loweryi*), the presence of about 45 species of hummingbirds, and a high number of falconiforms, as well as the presence of endemic and/or threatened mammals, among which is the almost extinct giant armadillo (*Priontodes maximus*).
33. The BPAM is the ancestral territory of the Aguaruna or Awajún indigenous people, and since the late 1970s, it has experienced an influx of settlers facilitated by the construction of the Marginal Highway, which crosses the NPA. Today the excessive and disorganized human presence constitutes a serious threat to the conservation of its natural values (SERNANP, 2015). It is now estimated that 1,000 families live in the NPA and IPs are established in the BZ.
34. The BPAM has an advanced strategy on the part of SERNANP and its conservation allies, such as the NGOs Conservation International (CI, executor of the administration contract) and ECOAN, for the establishment of Conservation Agreements ('Acuerdos de Conservación') with local populations. These instruments serve to develop sustainable productive activities, such as sustainable coffee production.

Alto Mayo Protection Forest	
<b>Extension</b>	182,000 ha
<b>Department(s)</b>	San Martin
<b>Principal ecoregions/ecosystems</b>	Cloud forest Alto Mayo protection forest of intermediate altitude between 850 and 1000 m.a.s.l.
<b>Plan Maestro</b>	2023-2027
<b>Buffer zone (BZ)</b>	Defined, included in the project
<b>Population inside the NPA</b>	An estimated 1000 families of settlers live in the NPA
<b>Population living in the BZ or nearby</b>	4 Awajún communities: Alto Mayo, Alto Naranjillo, Shampuyacu y Bajo Naranjillo 50 villages with mixed population ('mestizos') Rondas campesinas.
<b>Subsistence activities and use of natural resources</b>	Agriculture (mainly coffee), livestock, wood, hunting, collection/picking of orchids, butterflies, bromelias and ferns
<b>Identified threats, possible sources of conflict, and other observations</b>	<ul style="list-style-type: none"> <li>• Land occupation.</li> <li>• Selective logging for illegal timber trade.</li> <li>• Extensive livestock.</li> <li>• Poaching (Spectacled bear, monkeys).</li> <li>• Roads and trails openings, extensions, improvements and maintenance.</li> <li>• Inadequate agricultural practices.</li> <li>• Insecurity due to the aforementioned land conflicts and illegal activities.</li> </ul>

## 9. Río Abiseo National Park

35. The Río Abiseo National Park, of 274,520 hectares, was established in 1983 to protect ecosystems of Highland Tropical Rainforest and Puna, and includes the upper catchments of the Abiseo, Tumac and Montecristo rivers, at an altitude between 350 and 4400 m.a.s.l. The National Park's emblematic fauna species are the Spectacled Bear and the Taruka (*Hippocamelus antinensis*).
36. The National Park was declared a UNESCO World Heritage Site for the richness of its archaeological heritage, which covers different periods since 6,000 years BC. The NPA is administered jointly between SERNANP and the Directorate for Culture of the Regional Government (GORE) of San Martín.
37. The population pressure is significant and the practice of illegal activities is high. Approximately 8% of the national park is a Special Use Zone for livestock rearing. SERNANP and other actors are implementing more sustainable productive activities with the local populations, especially in livestock and coca production. There is a REDD + conservation project. Artisanal mining has been in a process of formalization.

<b>Río Abiseo National Park</b>	
<b>Extension</b>	274,520 ha
<b>Department(s)</b>	San Martín
<b>Principal ecoregions/ecosystems</b>	Intermediate Rainforest, Highland Tropical Rainforest, and Puna <ul style="list-style-type: none"> <li>• Cloud forests</li> <li>• Subalpine wet tropical páramo</li> </ul>
<b>Plan Maestro</b>	2014-2019
<b>Buffer zone (BZ)</b>	Defined
<b>Population inside the NPA</b>	No
<b>Population living in the BZ or nearby</b>	Important rural, non-indigenous population
<b>Subsistence activities and use of natural resources</b>	In the NPA: livestock, firewood, palm leaves In the buffer zone: agriculture, livestock, mining, archaeological tourism, transport, and trade in local products
<b>Identified threats, possible sources of conflict, and other observations</b>	<ul style="list-style-type: none"> <li>• Extensive livestock, burning of grasslands and illegal/informal mining in the Puna ecosystem of the NPA. Regarding illegal mining, some migrants are linked to organized crime (e.g. hitmen).</li> <li>• Spectacled bear (<i>Tremarctos ornatus</i>) and Taruca (<i>Hippocamelus antisensis</i>) are threatened due to burning of grasslands and loss of habitats. Taruca is also poached.</li> <li>• Population pressure.</li> <li>• The NPA is a UNESCO World Heritage Site.</li> </ul>

## 10. Cordillera Azul National Park

38. The Cordillera Azul NP covers more than 1,353,000 ha of lowland rainforest between 200 and 2,300 m.a.s.l. It was established in 2001 to conserve Peru's most extended mountain forest range, between the Huallaga and Ucayali rivers. It also aims to preserve the areas where the Kakataibo Indigenous People live after an initial contact. There is an Indigenous Reserve for PIACI of the Kakataibo ethnic group but they also live in the Cordillera Azul NP.
39. Its buffer zone hosts an estimated population of 300,000<sup>7</sup> people, among which Yine, Shipibo Conibo, Kakataibo and Kechwa Lamista indigenous peoples are represented. The NPA is managed by the ONG CIMA<sup>8</sup> through an Administration Contract. CIMA develops various sustainable productive activities with the local populations<sup>9</sup>. In 2016, 21 communities had developed Life Quality Plans ('Planes de Calidad de Vida'), and 15 organizations had action plans for sustainable production initiatives. A REDD+ project is under implementation<sup>10</sup> since 2008.

<sup>7</sup> 270,000 people according to the 2007 census.

<sup>8</sup> Centro de Conservación Investigación y Manejo de Áreas Naturales – CIMA (Center for Conservation, Research and Management of Natural Areas)

<sup>9</sup> 2017-2021 Master Plan.

<sup>10</sup> 2017-2021 Master Plan.

<b>Cordillera Azul National Park</b>	
<b>Extension</b>	1,353,190 ha
<b>Department(s)</b>	San Martín, Loreto, Ucayali y Huánuco
<b>Principal ecoregions/ecosystems</b>	Lowland and Highland Tropical Rainforest Aguajales (palm groves), aquatic ecosystems, floodplain forest, alluvial forest, high altitudes marshes ('oconales'), grass and shrubs of the triangular 'Vivian geological formations' on the mountain crests, mountain forest.
<b>Plan Maestro</b>	2017-2021. The Park administration is organized in 4 cities (sectors): Aguaytia (Ucayali), Tarapoto and Tocache (San Martín) and Contamana (Loreto).
<b>Buffer zone (BZ)</b>	Defined
<b>Population inside the NPA</b>	PIACI (Kakataibo) <sup>11</sup>
<b>Population living in the BZ or nearby</b>	Estimated 300,000 persons <sup>12</sup> . Almost 80 villages near the NPA and over 400 in total <sup>13</sup> , among which native communities: Yine, Shipibo Conibo, Kakataibo, Kechwa Lamista.
<b>Subsistence activities and use of natural resources</b>	Subsistence agriculture, hunting and fishing, wood and non-wood forest resources, livestock, arts and crafts, tourism. Cacao cultivation.
<b>Identified threats, possible sources of conflict, and other observations</b>	<ul style="list-style-type: none"> <li>• Illegal livestock activities.</li> <li>• land traffic and grabbing.</li> <li>• illegal mining.</li> <li>• illicit crops (coca).</li> <li>• illegal fishing and hunting.</li> <li>• non-planned access roads.</li> <li>• Proposal for a Kakataibo Territorial Reserve to the north of the buffer zone.</li> <li>• Conflicts between the NPA (SERNANP) and the Kichwa IPs communities in San Martin due to the REDD+ project and the sale of carbon credits, with ongoing claims and complaints before national and international judiciary bodies.</li> </ul>

## 11. Ichigkat Muja – Cordillera del Cóndor National Park

40. Ichigkat Muja – Cordillera del Cóndor National Park includes almost 88,000 hectares of Lowland Rainforest and Montane Forest at the border with Ecuador, at elevations between 50 and 3,000 m.a.s.l. It was established in 2007 for the protection of a representative sample of the ecoregion 'Montane Forest of the Cordillera Real Oriental', which includes the famous 'Cordillera del Cóndor', and to protect the upper catchments of the Santiago and Cenepa rivers.
41. There is no population settled within the limits of the NPA, but there are IPs living in the buffer zone. The NPA extends over historic Awajún and Wampi territory. The area includes waterfalls, caves, sacred mountains, and other places of spiritual and religious significance for the Awajún and Wampi communities.

<sup>11</sup> The Kakataibo Norte y Sur Indigenous Reserve ((148,996 hectares) was established in July 2021. It provides refuge to isolated Kakataibo indigenous people known as PIACI. This indigenous people also live inside the Cordillera Azul NP and transit this NPA. Location: Loreto and Ucayali

<sup>12</sup> 270,000 people in 2007.

<sup>13</sup> 2017-2021 Master Plan.

<b>Ichigkat Muja – Cordillera del Cóndor National Park</b>	
<b>Extension</b>	88,477 ha
<b>Department(s)</b>	Amazonas
<b>Principal ecoregions/ecosystems</b>	Lowland Rainforest ('Bosques húmedos del Napo') and Highland Rainforest ('Bosques montanos de la Cordillera Real Oriental'). Sandstone tables or 'Tepui' with little-known vegetal formations, and endemic flora.
<b>Plan Maestro</b>	2019-2023
<b>Buffer zone (BZ)</b>	Defined
<b>Population inside the NPA</b>	No
<b>Population living in the BZ or nearby</b>	24 Wampis and Awajún communities
<b>Subsistence activities and use of natural resources</b>	Native communities settled in the buffer zone depend for their livelihood on the collection of non-timber forest products (game meat, fruits, medicinal plants, etc.) and timber for subsistence purposes.
<b>Identified threats, possible sources of conflict, and other observations</b>	<ul style="list-style-type: none"> <li>• Illegal activities in sectors of the NPA inaccessible from the Peruvian side of the national park (hunting, logging, mining), clearing of forest plots for subsistence agriculture.</li> <li>• Peruvian army's surveillance and control check points generate solid waste and hunt wild fauna using gun machines, unexploded land mine areas (there was a war between Ecuador and Peru that ended in 1998 and was fought in some areas of this NPA).</li> <li>• Entry of Ecuadorian Shuar native communities who perform indiscriminate fishing activities using toxic substances (barbasco, etc.), hunting of game meat and cut aguajales.</li> <li>• Prior Consultation ('Consulta Previa') was carried out in 2006 for categorization of the NPA, but IPs have been claiming since 2017 that the foreseen categorization of 150,000 ha has not been respected.</li> <li>• Part of a complex of NPAs which also includes Tuntanain Communal Reserve and Santiago Comaina Reserved Zone (source: Plan Maestro 2011-2016). The Master Plan mentions that opportunities for tourism are limited.</li> <li>• Biodiversity in the NPA's Condor sector suffers anthropic pressures in the Peruvian and Ecuadorian sides of the border.</li> <li>• The NPA was declared over an area historically recognized as Awajún and Wampis territory.</li> <li>• Within this NPA there are waterfalls, caves, hills, among others, with spiritual and religious significance for the Awajún and Wampis indigenous communities that are part of their worldview and considered sacred sites in which They perform their ancestral rituals to preserve the Tarimat/Tajimat (the good life).</li> <li>• Construction and use of trails and roads increase pressures on natural habitats in NPA.</li> </ul>

## 12. Tabaconas Namballe National Sanctuary

42. The Tabaconas Namballe National Sanctuary is located in Cajamarca and protects ecosystems of cloud forest, páramo and lakes, as well as the upper catchments of the Tabaconas, Blanco and Miraflores rivers. Emblematic fauna species mentioned by SERNANP are the andean tapir (*Tapirus pinchaque*), the little red brocket (*Mazama rufina*) and the spectacled bear (*Tremarctos ornatus*), as well as birds such as the golden-plumed parakeet (*Leptosittaca branickii*) and the red-faced parrot (*Hapalopsittaca pyrrhops*). A peasant population ('poblacion campesina') is living in the buffer zone and in the special use zone of the NPA.

<b>Tabaconas Namballe National Sanctuary</b>	
<b>Extension</b>	32,125 ha
<b>Department(s)</b>	Cajamarca
<b>Principal ecoregions/ecosystems</b>	Páramo, cloud forest, lakes <u>Ramsar site: Lagunas Arrebiatadas (or Arrebiatadas)</u>
<b>Plan Maestro</b>	2023-2027
<b>Buffer zone (BZ)</b>	Defined – not part of the project
<b>Population inside the NPA</b>	4 caseríos (hamlets)
<b>Population living in the BZ or nearby</b>	53 caseríos (hamlets). Rondas campesinas.
<b>Subsistence activities and use of natural resources</b>	Coffee, livestock, sugarcane, eco-tourism.
<b>Identified threats, possible sources of conflict, and other observations</b>	<ul style="list-style-type: none"> <li>• Illegal mining.</li> <li>• Encroachment of livestock on the NPA.</li> <li>• Selective logging (romerillo) for illegal timber trade in the buffer zone,</li> <li>• Disorderly livestock raising with expansion of the livestock frontier in the buffer zone</li> <li>• Disorderly livestock in the NPA special use zone and extensive livestock in the wilderness zone and the restoration zone, incompatible with the NPA category.</li> <li>• Unsustainable agriculture for coffee cultivation in the buffer zone and the special use zone.</li> <li>• Bad aquaculture practices in the buffer zone and uncontrolled tourism (solid waste from tourism is a challenge).</li> </ul>

### 13. Cordillera de Colán National Sanctuary

43. The Cordillera de Colán National Sanctuary extends over 39,200 hectares and was established in 2009 to protect ecosystems of cloud forest and páramo between 260 and 3,500 m.a.s.l, as well as the local hydrological resources. Emblematic species mentioned by SERNANP are the frog ‘sapito de Colán’ the long-whiskered owlet (*Xenoglaux loweryi*) and a variety of species of the quina tree (*Cinchona officinalis*).
44. To the north, the Sanctuary borders on the Chayu Nain Communal Reserve. It includes a special use zone in its northeastern part. There is a diverse population present in the buffer zone, among which ‘colonos’, peasant communities, and at least one native/IP community. Additionally, some settlers are reported inside the NPA.

<b>Cordillera de Colán National Sanctuary</b>	
<b>Extension</b>	32,215 ha
<b>Department(s)</b>	Amazonas
<b>Principal ecoregions/ecosystems</b>	Cloud forest 'Pajonal' (or 'jalca'), a type of wet high-altitude grassland
<b>Plan Maestro</b>	2016-2020 (the Master Plan update started in 2023)
<b>Buffer zone (BZ)</b>	Defined
<b>Population inside the NPA</b>	Possibly some settlers
<b>Population living in the BZ or nearby</b>	Colonos, peasant communities and at least one native community. Rondas campesinas
<b>Subsistence activities and use of natural resources</b>	Family agriculture, renewable natural resources, eco-tourism
<b>Identified threats, possible sources of conflict, and other observations</b>	<ul style="list-style-type: none"> <li>• Access routes.</li> <li>• Illegal logging, fishing, and mining.</li> </ul>

### C. South Central: Pasco - Junín

45. The NPAs in the central cluster are part of Peru's central rainforest ('Selva Central') at altitudes varying between 300 and 4,500 m.a.s.l. The ecosystems are mostly of mountain forest type, with high altitude grasslands (pajonales), but include some areas of lowland rainforest in the river valleys. The following NPA are included:
- Protection forests (2): Pui Pui Protection Forest and San Matías San Carlos Protection Forest. The buffer zone of the San Matías San Carlos Protection Forest is also included in the project.
  - National parks (2): Tingo María National Park and Yanachaga Chemillén National Park. The buffer zones of both national parks are also included in the project.
  - National Sanctuaries (1): Pampa Hermosa National Sanctuary.

#### 14. Pui Pui Protection Forest

46. The Pui Pui Protection Forest covers 60,000 hectares of the Pui Pui mountain range and was created in 1985 to protect the highland rainforest soil and water resources from the upper Chanchamayo and Perene catchments, between 1,700 and 4,500 m.a.s.l. The protected forest enjoys a rich fauna, of which the most emblematic species are the spectacled bear and the gray deer (*Odocoileus virginianus*).

<b>Pui Pui Protection Forest</b>	
<b>Extension</b>	60,000 ha
<b>Department(s)</b>	Junin
<b>Principal ecoregions/ecosystems</b>	Peruvian Yungas High Andean Pajonal (Humid Puna of the Central Andes)
<b>Plan Maestro</b>	2019-2023
<b>Buffer zone (BZ)</b>	Defined
<b>Population inside the NPA</b>	A few temporary settlements used occasionally by farmers
<b>Population living in the BZ or nearby</b>	3 settler hamlets and 2 peasant communities (in total: 82 families)
<b>Subsistence activities and use of natural resources</b>	Agricultural activities (coffee, Andean tubers), non-timber forest, fish farming, beekeeping, dairy products. Small-scale cattle rearing. Hunting and fishing.
<b>Identified threats, possible sources of conflict, and other observations</b>	<ul style="list-style-type: none"> <li>• Illicit crops (coca).</li> <li>• Presence of livestock.</li> <li>• Encroachment of new settlements.</li> <li>• Road infrastructure projects, hydroelectric projects and mining.</li> <li>• This NPA and Pampa Hermosa National Sanctuary constitute the Selva Central Cloud Forest UNESCO Biosphere Reserve.</li> </ul>

#### 15. San Matias-San Carlos Protection Forest (and its BZ)

47. The San Matias-San Carlos Protection Forest, established in 1987, covers more than 145,000 ha between 300 and 2,250 m.a.s.l, in the upper catchments of the Pichis and Palcazú rivers. The emblematic species mentioned in the Plan Maestro are the giant otter (*Pteronura brasiliensis*), the spectacled bear, the sachavaca (*Tapirus terrestris*), the otorongo (*Panthera onca*), the red brocket (*Mazama americana*), the brown woolly monkey (*Lagothrix lagotricha*), the lowland paca 'picuro' (*Agouti paca*) and the Andean cock-of-the-Rock (*Rupicola peruviana*). Key tree species are the mahogany (*Swietenia macrophylla*), the 'tornillo' (*Cedrelinga catenaeformis*), the Andean walnut 'nogal' (*Juglans neotropica*), the cedar (*Cedrela odorata*) and the 'cat's claw' liane (*Uncaria tomentosa*).
48. Asháninka and Yanesha IPs are established in the NPA, which is adjacent to the Yanesha Communal Reservem and they are part of the Management Committee. As in the case of other protection forests, threats to conservation in this relatively accessible region of Peru's central Amazon region are significant due to migration and illegal activities (illegal logging, illicit coca growing for drugs production and trafficking).

San Matías-San Carlos Protection Forest	
<b>Extension</b>	146,000 ha
<b>Department(s)</b>	Pasco
<b>Principal ecoregions/ecosystems</b>	Selva alta y selva baja
<b>Plan Maestro</b>	2023-2027
<b>Buffer zone (BZ)</b>	Defined – included in the project
<b>Population inside the NPA</b>	29 native Asháninka and Yanasha communities <sup>14</sup> , and Andean migrants
<b>Population living in the BZ or nearby</b>	Settlers from the Andean Sierra
<b>Subsistence activities and use of natural resources</b>	Inside the NPA agriculture, livestock, wood, coffee, hunting and fishing. Trade of picuro (Agouti paca) and cat-claw liane. In the BZ: cacao, coffee, tourism.
<b>Identified threats, possible sources of conflict, and other observations</b>	<ul style="list-style-type: none"> <li>• Land use change for agriculture, livestock, illicit crops.</li> <li>• Infrastructure development.</li> <li>• Opening of access roads and trails.</li> <li>• Selective logging of commercial tree species.</li> <li>• Processing of coffee after harvest.</li> <li>• Use of agrochemical products.</li> <li>• Intensive hunting.</li> <li>• Extraction of materials from quarries.</li> </ul>

#### 16. Tingo María National Park (and its BZ)

49. Tingo María was the second national park established in Peru, created in 1965. It is a small NPA (4,800 ha) with highland tropical rainforest ecosystems, rivers and streams. Access is relatively easy and there are well-established tourist activities. Illegal activities occur frequently, such as hunting and illegal collection of flowers and butterflies. A significant population lives in the buffer zone, mostly originating from other areas of the country. Anthropogenic pressure is strong in the Special Use Zone and in the buffer zone.

Tingo María National Park	
<b>Extension</b>	4,777 ha
<b>Department(s)</b>	Huánuco
<b>Principal ecoregions/ecosystems</b>	Highland Tropical Rainforest ecosystems, rivers, gorges
<b>Plan Maestro</b>	2022-2026
<b>Buffer zone (BZ)</b>	Defined and included in the project
<b>Population inside the NPA</b>	In the Special Use Zone
<b>Population living in the BZ or nearby</b>	12 villages, 885 families, mainly settlers
<b>Subsistence activities and use of natural resources</b>	Agriculture, exploitation of forest resources, sustainable tourism, meliponiculture. Livestock: bovines and ovines on a small scale.
<b>Identified threats, possible sources of conflict, and other observations</b>	<ul style="list-style-type: none"> <li>• Use of pesticides by farmers in the buffer zone.</li> <li>• Hunting for game meat (sold in Tingo María city).</li> <li>• Easy access.</li> <li>• Encroachment of non-sustainable activities.</li> </ul>

#### 17. PN07. Yanachaga-Chemillén National Park (and its BZ)

<sup>14</sup> Source: interview with the head of the Alto Mayo Protection Forest in March 2020.

50. The Yanachaga-Chemillén National Park, in the central rainforest ('Selva Central') of Peru, was established in 1986 and covers 122,000 hectares of highland tropical rainforest and Puna, from 460 up to 3,600 m.a.s.l. It includes the Yanachaga mountains with their very rugged topography, and the Palcazú, Huancabamba and Pozuzo river basins. It presents a high geological and biological diversity in a small area. The NP is part of the Oxapampa-Ashaninka-Yanesha UNESCO Biosphere Reserve. The most emblematic species is the endangered giant otter (*Pteronura brasiliensis*).
51. The national park is adjacent to the Yanesha Communal Reserve and to the San Matias San Carlos Protection Forest to the east, and the buffer zone extends to the other directions. The western strip of the national park is a Special Use Zone.

<b>Yanachaga-Chemillén Parque Nacional</b>	
<b>Extension</b>	122,000 ha
<b>Department(s)</b>	Pasco
<b>Principal ecoregions/ecosystems</b>	Mountain forest, ravines, rivers. Small portions of lowland rainforest in the river valleys.
<b>Plan Maestro</b>	2015-2019
<b>Buffer zone (BZ)</b>	Defined
<b>Population inside the NPA</b>	Not identified
<b>Population living in the BZ or nearby</b>	Settlers of Andean and European origin, and native Yánesha and Asháninka populations (peasant and native communities).
<b>Subsistence activities and use of natural resources</b>	Agriculture, livestock, apiculture, wood, small-scale trade, coffee. An agro-industrial sector is beginning to emerge, with dairy products and others. Tourism is starting to grow as well.
<b>Identified threats, possible sources of conflict, and other observations</b>	<ul style="list-style-type: none"> <li>• Deforestation.</li> <li>• Illegal hunting and fishing.</li> <li>• Burning of grasslands and scrubs and increased risk of fires.</li> <li>• Extensive livestock.</li> <li>• Bad agricultural and forestry practices in plots within the NPA.</li> <li>• Subsistence agriculture within the NPA.</li> <li>• Loss of natural habitats due to several productive activities within the NPA.</li> <li>• Increase in the number of unauthorized houses within the NPA.</li> <li>• The NPA is part of a UNESCO Biosphere Reserve</li> </ul>

### 18. Pampa Hermosa National Sanctuary

52. The Pampa Hermosa National Sanctuary is located in the Central Rainforest of Peru, in Junín. Extending over 11,500 ha, it was created in 2009 to protect Highland Rainforest ecosystems between 1,300 and 3,400 m.a.s.l. It includes the headwaters of the Casca and Ulcumayo rivers. Emblematic flora includes relict cedar forests. The sanctuary is a biodiversity refuge amidst a region that is generally affected by deforestation. There is a population of peasant communities in the buffer zone.

<b>Pampa Hermosa National Sanctuary</b>	
<b>Extension</b>	11,500 ha
<b>Department(s)</b>	Junín
<b>Principal ecoregions/ecosystems</b>	Montane moist forest Pre-montane forest, relict cedar forest
<b>Plan Maestro</b>	Plan Maestro 2012-2017
<b>Buffer zone (BZ)</b>	Defined
<b>Population inside the NPA</b>	Not identified
<b>Population living in the BZ or nearby</b>	Almost 500 inhabitants in the adjacent areas: peasant communities and their annexes.
<b>Subsistence activities and use of natural resources</b>	Agriculture, livestock, firewood. Sustainable tourism under development.
<b>Identified threats, possible sources of conflict, and other observations</b>	<ul style="list-style-type: none"> <li>• Illegal hunting of wild fauna (mainly <i>Tremarctos ornatus</i>).</li> <li>• Extensive livestock.</li> <li>• Expansion of the agricultural frontier in the buffer zone.</li> <li>• Cedar forest degradation.</li> <li>• Forest fires and burning of grasslands by peasants.</li> <li>• This NPA together with the Pui Pui National Park constitute the Selva Central Cloud Forest UNESCO Biosphere Reserve.</li> </ul>

#### **D. Southeast: Madre de Dios**

53. In the southeast cluster includes six NPAs that are part of the Vilcabamba-Amboró Conservation Corridor, a network of 19 protected natural areas with more than 30 million hectares of mountain tropical forests and tropical plains, containing critical natural habitats and biological resources, from the Vilcabamba mountain range in Peru to the Amboró National Park in Bolivia. The seven NPAs that will be supported by the project include:

- National Parks (4): Manu National Park, Bahuaja-Sonene National Park, Otishi National Park, and Alto Purús National Park. The buffer zones of Manu National Park and Bahuaja Sonene National Park are also included in the project.
- National Reserve (1): Tambopata National Reserve (adjacent to the Bahuaja Sonene national park) and its buffer zone;
- National Sanctuary (1): Megantoni National Sanctuary;
- Historic Sanctuary (1): Machupicchu Historic Sanctuary and its buffer zone.

#### **19. Manu National Park (and its BZ)**

54. The Manu National Park was established in 1973 and was extended in 2002. It covers 1,716,000 hectares of Selva Baja, Selva Alta and Puna, from 200 to 3,800 meters above sea level, including the Manu River basin. Its biodiversity is extremely high due to the pristine nature of a large part of the area and was designated as a UNESCO Biosphere Reserve in 1977. The most emblematic species of fauna are the giant otter, the black alligator caiman, the taricaya turtles, the spectacled bear, the jaguar, the butterflies etc.

55. The national park borders the Kugapakori and Nahua Territorial Reserve and the Megantoni National Sanctuary to the west, and its buffer zone borders the Amarakaeri Communal Reserve. The Manu NP also borders the Madre de Dios Territorial Reserve to the east and the Alto Purús National Park to the north. Due to the important presence of IPs, including PIACI, SERNANP collaborates with the Ministry of Culture (MINCUL) for its control and surveillance work in the national park. The Manu NP was designated in 1987 as a UNESCO World Heritage site. Its tangible and intangible indigenous cultural heritage is significant, and still little explored.

56. The available documentation on the Manu NP is generally of advanced quality, with numerous contributions from scientific organizations. The current Master Plan includes a large number of high-quality maps and mentions that advanced environmental and socio-economic baseline research is in progress.

<b>Manu National Park</b>	
<b>Extension</b>	1,716,000 ha
<b>Department(s)</b>	Cusco, Madre de Dios
<b>Principal ecoregions/ecosystems</b>	Pajonales (Central Andean humid grasslands), Yungas, Lowland Rainforest (Humid rainforest of the southwestern Amazon), Aguajales palm groves
<b>Plan Maestro</b>	2019-2023
<b>Buffer zone (BZ)</b>	Defined and included in the project
<b>Population inside the NPA</b>	Most of the NPA is indigenous territory. Indigenous populations on site belong to different linguistic families (among others Yora, Mashko-Piro, Machiguenga/Matsigenka, Harakmbut, Wachipaeri, Yine) and with different levels of organization and integration into society. There are also IPs in isolation and in initial contact (PIACI).
<b>Population living in the BZ or nearby</b>	Native communities, peasant communities and villages of settlers and 'mestizos'. Settlement in the Callanga area.
<b>Subsistence activities and use of natural resources</b>	Agriculture and livestock, pastures (on the pajonales), hunting, fishing, use of timber naturally dragged by the river, non-timber forest resources harvested from the NPA.
<b>Identified threats, possible sources of conflict, and other observations</b>	<ul style="list-style-type: none"> <li>• Archaeological remains (physical cultural resources) in the Andean sector.</li> <li>• Access to benefits from tourism in the Andean sector is an issue for some peasant communities.</li> <li>• Waste generation by tourism.</li> <li>• Increased coca cultivation in the buffer zone and drug (cocaine) production and trafficking activities including airstrips within the national park.</li> <li>• Road infrastructure planned by the Madre de Dios subnational government will increase pressures on the NPA.</li> <li>• Native communities are transit points for drug traffickers.</li> <li>• Human trafficking (women from some native communities are trapped in human trafficking networks).</li> <li>• Callanga Farmers Association with agricultural activities performed in the NPA core area.</li> <li>• Wildfires due to burning of grasslands by peasant communities.</li> <li>• Invasion of the European hare.</li> <li>• PIACI in some areas of the NPA and sporadic incursion on some native communities (Shipitiri).</li> <li>• Lack of security due to presence of strangers that use the road that crosses the Diamante native community up to Boca Manu and are associated to drug trafficking, human trafficking and illicit activities.</li> <li>• This NPA is a UNESCO Biosphere Reserve and a UNESCO World Heritage site.</li> </ul>

## 20. Bahuaja-Sonene National Park (and its BZ)

57. The Bahuaja-Sonene National Park was established in 1996 and its area was extended in 2000. With an area of over 1 million hectares, it protects ecosystems of Palm Savannah, Lowland Tropical Rainforest and Highland Tropical Rainforest, between 200 and 2,450 m.a.s.l. It includes the

catchments of the Tambopata and Heath rivers. The most iconic protected fauna species are the Marsh Deer and the Maned Wolf.

58. The PNBS is adjacent to the Tambopata NR to the north. Population density is relatively high around the NPA and the anthropic pressure is high. The National Park is ancestral territory of the Ese'ija IPs. There are settlers living from Andean origin in the upper areas of the national park in the department of Puno. To the south, the PNBS is adjacent to the Madidi National Park in Bolivia and is part of the Vilcabamba Amoro conservation corridor.
59. The NPA is managed through an Administration Contract, whose current holder is the Association for Integral Research and Development (AIDER). AIDER also holds the administration contract for the Tambopata NR and executes the REDD + Tambopata - Bahuaja Sonene agroforestry project.

<b>Bahuaja-Sonene National Park</b>	
<b>Extension</b>	1,091,400 ha
<b>Department(s)</b>	Puno, Madre de Dios
<b>Principal ecoregions/ecosystems</b>	Southwest Amazon moist forest, cochas (cut meanders), aguajales Tropical premontane moist forest Pampas del Heath National Sanctuary ('Sabanas del Beni')
<b>Plan Maestro</b>	2023-2028
<b>Buffer zone (BZ)</b>	Defined, included in the project
<b>Population inside the NPA</b>	Indigenous people in isolation (PIACI), and 2 settler villages
<b>Population living in the BZ or nearby</b>	38 localities: <ul style="list-style-type: none"> <li>• 4 Native Communities (of the Tambopata NR)</li> <li>• Permanent and temporary settlers</li> <li>• Rondas campesinas</li> </ul>
<b>Subsistence activities and use of natural resources</b>	Coca leaf, citrus, pineapple and coffee cultivation. Collection of fruits such as chestnut, aguaje, extraction of non-timber forest resources. Tourism.
<b>Identified threats, possible sources of conflict, and other observations</b>	<ul style="list-style-type: none"> <li>• Informal and illegal alluvial mining (in buffer zone and inside the NPA).</li> <li>• Deforestation and water pollution by illegal mining.</li> <li>• Deforestation for coca cultivation associated with drug trafficking.</li> <li>• Lack of security in coca growing areas.</li> <li>• High human pressure.</li> <li>• Hunting and trafficking of natural species of flora and fauna (e.g. unsustainable collection of Taricaya turtle eggs)</li> <li>• Unregulated tourism activities.</li> <li>• Illegal and damaging practices to catch fish resources by foreigners, colonos and indigenous people (Ese' Eja)</li> </ul>

## 21. Otishi National Park

60. Extending over more than 300,000 hectares, Otishi National Park was created in 2003 in the upper part of the Vilcabamba mountain range, between 750 and 4200 m.a.s.l. It protects highland tropical rainforest ecosystems and the upper catchments of the Apurimac, Ene, Tambo and Urubamba rivers.
- The presence of IPs is significant, with indigenous communities and peasant communities in the BZ. Otishi National Park is surrounded by the Asháninka Communal Reserve (to the west) and the Machiguenga Communal Reserve (to the east).

Otishi National Park	
<b>Extension</b>	305,973 ha
<b>Department(s)</b>	Junin, Pasco
<b>Principal ecoregions/ecosystems</b>	Pajonales, Andean moist forest, Amazon moist forest, gorges, waterfalls, rivers
<b>Plan Maestro</b>	2016-2020
<b>Buffer zone (BZ)</b>	Small BZ in the south of the PN - the rest is surrounded by communal reserves
<b>Population inside the NPA</b>	2 native communities. Indigenous Peoples in voluntary isolation (of Ashaninka origin).
<b>Population living in the BZ or nearby</b>	36 or 37 native communities: Asháninka, Matsiguenga, Yine Yame, Kakinte. Peasant communities.
<b>Subsistence activities and use of natural resources</b>	Hunting, wood and leaves, snail gathering
<b>Identified threats, possible sources of conflict, and other observations</b>	<ul style="list-style-type: none"> <li>• NPA mostly surrounded by two Communal Reserves (Ashaninka and Machiguenga), proximity to the VRAEM area (the Apurimac, Ene and Mantaro Rivers Valley) with a liability of past and current conflicts, including remnants of the Shining Path (“Sendero Luminoso”) and insecurity, extreme poverty, illegal coca cultivation and cocaine trade to Brazil and Bolivia.</li> <li>• Potential land use changes in some sectors.</li> <li>• Potential forest fires (caused in the past by families settled in the buffer zone).</li> <li>• Potential opening of runways, camp sites and access road used for illicit activities.</li> <li>• There are sacred sites of spiritual importance for the Ashaninka indigenous people (the NPA is part of their cosmovision and identity).</li> </ul>

## 22. Alto Purús National Park

61. Established in 2015, the Alto Purús National Park, with over 2,500,000 hectares of Lowland Tropical Rainforest, is the largest of Peru's NPAs. It includes numerous hydrographic basins, among which is the Purús river basin, which does not originate in the Andes. Largely unaltered, Alto Purús NP is one of the priority areas for conservation in Peru. The most emblematic protected fauna species are the giant otter, the bush dog (*Speothos venaticus*), the maquisapa monkey, the charapa and taricaya turtles, the tucuxi 'gray bufeo' dolphin (*Sotalia fluviatilis*), the Amazon River dolphin (*Inia geoffrensis*), the otorongo jaguar, the paiche, the harpy eagle and the celestial-headed green macaw. Emblematic flora species are mahogany (*Swietenia macrophylla*) and American cedar (*Cedrela odorata*), two depleted species in the Amazon rainforest.
62. The Alto Purús NP is surrounded by three territorial reserves, the Manu National Park, and the Purús Communal Reserve (see Figure 1 below) and its buffer zone covers 1,700,000 hectares. IP presence is significant and there is presence of PIACI.

<sup>15</sup> The Reserved Zone of 5 million hectares created in 2000 was categorized into a National Park and Territorial Reserves.

Alto Purús National Park	
<b>Extension</b>	2,510,700 ha
<b>Department(s)</b>	Ucayali, Madre de Dios
<b>Principal ecoregions/ecosystems</b>	Tropical whitewater river floodplain forest of the Amazon (bajial) Bamboo forest of the southwest Amazon (forest with pacales) Seasonal evergreen forest of the southwestern Amazon plateaus (hill forest) Cochas and rivers
<b>Plan Maestro</b>	2019-2023
<b>Buffer zone (BZ)</b>	1,700,000 ha
<b>Population inside the NPA</b>	PIACI: Mashco Piro, Mastanahuas, Chitonahuas, Curanjeños
<b>Population living in the BZ or nearby</b>	73 native communities (Huni Kuin, Sharanahua, Yine, Culina, Ashaninka, Ashéninka, Mastanahua, Chaninahua, Amahuaca y Yaminahua) and settlers
<b>Subsistence activities and use of natural resources</b>	Coca leaf, citrus, pineapple and coffee crops. Harvesting of fruits such as chestnut, aguaje, others, extraction of non-timber forest resources.
<b>Identified threats, possible sources of conflict, and other observations</b>	<ul style="list-style-type: none"> <li>• Illegal mining (Madre de Dios-Pariamanu sector).</li> <li>• Illegal logging.</li> <li>• Illicit crops.</li> <li>• Drug trafficking routes (cocaine traffickers use routes across rivers in this NPA to transport cocaine to Bolivia and Brazil, Sepahua-Purús route).</li> <li>• Illegal hunting (personnel from forest concessions).</li> <li>• Trafficking of natural species of flora and fauna.</li> <li>• Local initiatives that promote contact with PIACI population.</li> <li>• Opening of roads for illegal timber harvesting (Sepahua sector) migration and colonization (Madre de Dios – Las Piedras watershed).</li> <li>• Change in land use for expansion of agricultural frontier and livestock (Sepahua sector).</li> <li>• Planning of road infrastructure that crosses the NPA from Puerto Esperanza to Iñapari.</li> </ul>

### 23. Tambopata National Reserve (and its BZ)

63. The Tambopata National Reserve, with an extension of 274,690 hectares, was established in 2000 in the middle and lower Tambopata River basin. It includes Lowland Rainforests and Palm Savanna ecosystems of the southern Amazon. Emblematic/threatened species are the giant otter, the otorongo jaguar, the maquisapa monkey and others.
64. The national reserve is adjacent to the Bahuaja Sonene National Park. There are IP communities (native communities) in the buffer zone and migrants in the Special Use Zone. Threats to the Tambopata National Reserve are relatively high, especially due to illegal gold mining.

Tambopata National Reserve	
<b>Extension</b>	274,690 ha
<b>Department(s)</b>	Madre de Dios
<b>Principal ecoregions/ecosystems</b>	Terrace forests, riparian forests, chestnut forests, low terrace, palm forests (aguajales, aguaje, ungurahui, palmiche), marshes, pacaes (with predominance of Amazonian bamboo or paca), clay licks, water bodies.
<b>Plan Maestro</b>	2019-2023
<b>Buffer zone (BZ)</b>	Defined, part of the project
<b>Population inside the NPA</b>	Settlers in the special use zone (Nueva América sector)
<b>Population living in the BZ or nearby</b>	Three Ese' Eja indigenous people local communities: Palma Real, Sonene, and Infierno. One Kotsimba indigenous people local community
<b>Subsistence activities and use of natural resources</b>	Tourism, fishing, harvesting of fruits such as Brazil nuts, aguaje and others, extraction of non-timber forest resources
<ul style="list-style-type: none"> <li>• Identified threats, possible sources of conflict, and other observations</li> </ul>	<ul style="list-style-type: none"> <li>• Illegal gold mining<sup>16</sup>.</li> <li>• Timber harvesting.</li> <li>• Opening of unauthorized motorable trails.</li> <li>• Forest burning.</li> <li>• Illegal hunting and trafficking of flora and fauna species.</li> </ul>

#### 24. Historic Sanctuary of Machupicchu (and its BZ)

65. The Historic Sanctuary of Machupicchu was created in 1981 and has been declared a UNESCO World Heritage site due to its outstanding natural and historical characteristics and related exceptional universal values. The Sanctuary covers 32,600 hectares, mainly of Highland Tropical Rainforest and Puna, and includes rivers and gorges, between the heights of 1,700 to 6,200 meters above sea level. Emblematic fauna species are the spectacled bear, the torrent duck (*Merganetta armata*), the cock-of-the-rock (*Rupicola peruvianus*) and the otter, and among the flora species, a variety of orchids. The Decentralized Directorate of Culture of the Subnational Government of Cusco is in charge of management of the National Archaeological Park of Machupicchu. There is a significant population, including Quechua speaking peasants, in the buffer zone.

<sup>16</sup> Note the existence of SERNANP's Strategy against Illegal Mining (2017-2021), RP N° 249-2017 SERNANP.

<b>Machupicchu Historic Sanctuary</b>	
<b>Extension</b>	32,600 ha
<b>Department(s)</b>	Cusco
<b>Principal ecoregions/ecosystems</b>	Snow caps, pajonales, dry and moist forest, valleys
<b>Plan Maestro</b>	2015-2019
<b>Buffer zone (BZ)</b>	Defined and included in the project
<b>Population inside the NPA</b>	No
<b>Population living in the BZ or nearby</b>	An estimated 8,000 people (some Quechua)
<b>Subsistence activities and use of natural resources</b>	Agriculture
<b>Identified threats, possible sources of conflict, and other observations</b>	<ul style="list-style-type: none"> <li>• A multiplicity of actors is involved in the NPA management.</li> <li>• Important commercial, tourism, transportation, urban development activities.</li> <li>• Fires provoked by peasants historically used to burn grasslands</li> <li>• Excessive and increasing number of visitors to the Citadel and the Inca Trail (no carrying capacity known, congestion in the Citadel, solid waste generation, etc.).</li> </ul>

## 25. Megantoni National Sanctuary

66. The Megantoni National Sanctuary was created in 2004 to protect the high biodiversity and endangered species of the Megantoni mountains between 500 and 4,000 m.a.s.l. The Urubamba River passes through the Sanctuary. A relatively large population of 38 IP communities (native communities) live in the buffer zone, of which an estimated 600 persons are uncontacted, and settlers. The Sanctuary is adjacent to Manu National Park, to the Machiguenga Communal Reserve, and to the 'Kugapakori Nahua Nanti and others' Territorial Reserve, which protects Machiguenga and Yore peoples in initial contact. The objectives of the Master Plan include protecting the area where voluntarily isolated indigenous people live and providing a special use area for the indigenous people of Sababantiari.

Megantoni National Sanctuary	
<b>Extension</b>	215,900 ha
<b>Department(s)</b>	Cusco
<b>Principal ecoregions/ecosystems</b>	Magantoni mountains Puna, Yungas Southern Amazon moist rainforest and Ucayali moist rainforest
<b>Plan Maestro</b>	2022-2026
<b>Buffer zone (BZ)</b>	Defined
<b>Population inside the NPA</b>	No
<b>Population living in the BZ or nearby</b>	Native communities and settlers, probably totaling 8,000 inhabitants. 38 native communities: Machiguenga, Asháninka, Yine-Yami, Kakinte and Kugapakori/Nahua/Nanti), among which about 600 are non-contacted.
<b>Subsistence activities and use of natural resources</b>	Subsistence fishing and hunting, timber, subsistence agriculture, livestock by settlers, tourism and ecotourism
<b>Identified threats, possible sources of conflict, and other observations</b>	<ul style="list-style-type: none"> <li>• Occasional fires within the NPA caused by burning of grasslands for livestock activities.</li> <li>• Illegal entrance to seek archaeological remains.</li> <li>• Unplanned selective logging in the buffer zone.</li> <li>• Land use change for agricultural developments and road infrastructure projects in the buffer zone</li> <li>• Uncontrolled tourism.</li> <li>• Illegal fishing in the Pongo de Mainique.</li> <li>• Presence of PIACI.</li> </ul>

## **B. Project Description**

67. The Project aims to reduce CO<sub>2</sub> emissions and increase carbon storage in the Peruvian Amazon region, by improving the management of the 25 NPAs of the basin (listed above) and by orienting this management towards climate change mitigation and adaptation.
68. WWF-US will be the AE for the project. PROFONANPE will be the Executing Entity (EE) for Component 1 and serve as the financial manager and administrator of GCF resources and of the Project's co-finance that is pooled in the Transition Fund for this component. As the Project is centered around the effective management of Peru's Amazonian national protected areas (NPAs) to advance climate change mitigation and adaptation, SERNANP, Peru's public agency responsible for the management of NPAs, will play an indispensable role for Component 1. WWF-Peru will be the EE for Component 2 and serve as the financial manager of GCF resources for Component 2, with support from national and regional indigenous organizations and indigenous communities who will act as procured parties for this component.
69. The project has the following two components:
- Component 1. Addressing climate change through financially sustainable improved management effectiveness of natural protected areas in Peru.** This component is focused on climate change mitigation and includes a holistic roadmap of activities that will improve the effective management of SERNANP's 25 target NPAs, delivering reduced deforestation inside them and 4 of their buffer zones. Effective management conditions will generate significant climate

change mitigation benefits whilst, at the same time, strengthening and maintaining ecosystem service supplies and enhancing the climate resilience of surrounding communities. Integrated into Component 1 is a financial exit strategy that includes activities to improve SERNANP's existing sources of revenue to ensure the long-term financial sustainability of the project's investments allowing for continued progression towards the effective management of NPAs.

**Component 2. Strengthening the climate resilience of IPs communities within 5 NPAs and their buffer zones.** This component is focused on climate change adaptation, aimed at strengthening the climate resilience of 30 indigenous communities within or adjacent to 5 selected NPAs. This will be achieved through supporting the implementation of and capacity building for climate-resilient productive practices and ecosystem-based adaptation (EbA) for indigenous communities in and around the NPAs. To foster the scaling-up and replication of climate-resilient productive practices across local indigenous communities, the project will develop an enabling environment including capacity building of several indigenous federations, awareness raising and knowledge transfer across the communities they represent.

70. The project aims to achieve the following results:

- Significant improvement in the effective management of NPAs that delivers biodiversity conservation, ecosystem services and climate change mitigation and adaptation co-benefits.
- Important emission reductions from reduced deforestation and forest restoration.
- Protection of Amazon forests carbon stocks and carbon sink functions.
- Improved adaptive capacity and increased uptake of climate-resilient productive services and ecosystem-based adaptation in indigenous people local communities.
- Improved long-term financial sustainability of the NPAs.

71. For bio-businesses, the expected scale under this Project is in six PAs and, though their final selection will be finalized at the beginning of the Project implementation, an indicative list of four of the PAs that are likely to be selected include Pacaya Samiria National Reserve, Pucacuro National Reserve, Alto Mayo Protection Forest and Tingo María National Park. For each of the six PAs and/or their buffer zones, as per the PAs' zoning established in their management plans: (1) three natural resources will be prioritized for sustainable extraction (for example, these could include white-lipped peccary and collared peccary for smoked meat, and ungurahui for fruit and cosmetic); and (2) a product enhancement center will be established, namely a building/center in a location that is convenient for the communities. The scale of production will be established in the bio-business plans for each of these NPAs, and will depend on the number of potential producers, the demand for the products, and a sustainable rate of harvest that is compatible with the conservation of the NPAs.

72. It should be noted that , in relation to bio-businesses, infrastructure will be limited to the product enhancement centers, one associated with each NPA, which will contain the equipment for that NPA's bio-businesses. These centers are generally expected to be in already existing buildings in the community. Other activities that will include construction in component 1 are tourism (Activity 1.3.3) and surveillance and control (Activity 1.2.1). As detailed in Annex 4, tourism infrastructure will be limited to trails, piers, viewpoints, interpretation centers, signage, bathrooms and the like in 3 NPAs, and the impact of these will be minimized in

implementation. In the case of surveillance and control, construction will be limited to 6 strategically located control posts.

73. In the case of Ecosystem-based Adaptation (EbA) interventions, specific sites and types of EbA will be defined during project implementation through participatory processes involving Indigenous communities, Indigenous Organizations and SERNANP. This approach is intentional to ensure that the interventions respond to locally identified priorities and are culturally and ecologically appropriate. Consequently, as expressed in Activity 2.1.2, the project will first carry out spatial and participatory assessments of ecosystem and climate adaptation services in the five prioritized NPAs and their buffer zones. These assessments will identify the ecosystems that provide key climate adaptation services to reduce the exposure of communities and their livelihoods to climate-related hazards (e.g., water regulation, flood management, erosion control, soil fertility, stability, and reduced drought severity, forest cover for microclimate regulation). and the community livelihoods that depend on them.
74. Based on these results, the project will co-design Indigenous-led EbA interventions such as restoration of degraded riparian areas, wetlands, and forest patches to improve water availability regulation, flood and drought management, and soil stability, and reforestation with native species to enhance forest connectivity and reduce climate vulnerability. These interventions will be implemented in demonstration sites located within the five NPAs and/or in the territories of participating communities, depending on the results of the participatory planning process. Each demonstration site will serve as a learning space to promote exchange of knowledge and good practices across communities and protected areas.
75. In addition, Component 2, which entails the implementation of Climate-Resilient Productive Practices (CRPPs), presents potential for installation of small-scale elements, such as water tanks / towers, bases for monitoring equipment, etc.
76. All activities will undergo environmental and social risk screening in accordance with the protocol listed in the ESMF.
77. Table 4 below provides a detailed overview of the activities that would be financed by the project under each component. These activities will be implemented over a period of 9 years in the 25 NPA and 4 of their buffer zones. Additionally, 5 NPA and their buffer zones out of the 25 NPA covered by the project have been selected to implement activities to increase resilience and adaptive capacity to climate change of a set of IPs communities (under Component 2). It is expected that the project will include approximately one year of preparation, which includes all the necessary work to comply with safeguards requirements before activities effectively start in the NPAs and with the indigenous communities.

**Table 4. PdP A&C project activities and sub-activities<sup>17</sup>**

Activity	Sub-activity
<b>Component 1: Addressing climate change through financially sustainable improved management effectiveness of natural protected areas and buffer zones in Peru</b>	
<b><u>Output 1.1: Strengthened institutional capacity and sustainable management planning in 25 NPAs</u></b>	
Activity 1.1.1: Implement physical demarcation of boundaries to reduce threats across the 25 NPAs	<p>1.1.1.1 Analyze demarcation needs of the targeted NPAs.</p> <p>1.1.1.2 Identify the locations of demarcation infrastructure.</p> <p>1.1.1.3 Construct and install physical demarcation infrastructure.</p> <p>1.1.1.4 Maintain the physical demarcation infrastructure.</p> <p>1.1.1.5 Build the technical capacity of SERNANP staff on demarcation and their knowledge and application of regulations and procedures for physical demarcation of NPA boundaries.</p> <p>1.1.1.6 Support recognition of boundaries by local stakeholders.</p>
Activity 1.1.2: Enhance master plans for 25 NPAs to incorporate appropriate responses to climate change impacts on conservation targets and ecosystem services and support the implementation of adaptive management.	<p>1.1.2.1 Design a specific methodological protocol to integrate climate change and EbA solutions in the NPA master plans and a guide to applying this protocol in each NPA.</p> <p>1.1.2.2 Strengthen the capacity of SERNANP <u>UOFPyP staff and technical staff in the 25 NPAs</u> on climate change mitigation and adaptation, including incorporating climate considerations into NPA master plans using the new protocol and guide.</p> <p>1.1.2.3 Update master plans for the 25 NPAs to include climate change adaptation and mitigation considerations, including EbA and indicators for monitoring and evaluation, according to the new protocol and guide.</p> <p>1.1.2.4 Support NPA staff in implementing the new climate change considerations in the master plans through specialized training, communication materials and educational activities for relevant local stakeholders</p>
Activity 1.1.3: Strengthen governance in 25 NPAs by ensuring Management Committees are functioning and have the capacities needed to support NPA decision-making and advance toward participatory management through the adequate inclusion of women, indigenous peoples, and other underrepresented and other vulnerable groups.	<p>1.1.3.1 Hold the management committee general assembly in each of the 25 NPAs once per year, with a focus on training all members regarding effective management and planning for participatory management.</p> <p>1.1.3.2 Host the biannual assembly of the National Coordination Council of NPA management committees and annual meetings in each of the five Amazon macro-regions to strengthen the capacities of management committee presidents, especially regarding effective and participatory management.</p> <p>1.1.3.3 Support SERNANP monitoring the capacity of the 25 Management Committees and the inclusion of women, indigenous peoples and vulnerable groups, as appropriate to each NPA.</p>
<b><u>Output 1.2: Improved surveillance, control and monitoring of 25 NPAs to reduce deforestation</u></b>	

<sup>17</sup> Project management and monitoring components/activities are not shown in this table.

Activity	Sub-activity
Activity 1.2.1: Implement effective surveillance and control activities to reduce deforestation in 25 NPAs.	<p>1.2.1.1 Provide and maintain equipment (including vehicles) for control and prevention to reduce deforestation risks and negative impacts on ecosystems in the 25 target NPAs.</p> <p>1.2.1.2 Train SERNANP staff and strategic partners to implement control and prevention strategies in the 25 target NPAs.</p> <p>1.2.1.3 Implement surveillance and control patrols in accordance with each NPA's surveillance and control strategy.</p> <p>1.2.1.4 Build 6 control posts in strategic sectors in NPAs with a high risk of deforestation.</p>
Activity 1.2.2: Improve environmental and biological monitoring to reduce risks of deforestation in the 25 NPAs.	<p>1.2.2.1 Develop tools (protocols, guidelines, plans, and baseline studies) and train SERNANP staff on environmental and biological monitoring.</p> <p>1.2.2.2 Provide equipment, and technical support for adequate environmental and biological monitoring in 25 NPAs.</p> <p>1.2.2.3 Collect and analyze monitoring data and prepare reports with recommendations to serve as a basis for adaptive management of the 25 NPAs</p>
Activity 1.2.3: Expand existing monitoring programs to understand the impact of climate change on forest dynamics in Amazon NPAs.	<p>1.2.3.1 Install and monitor 18 new permanent monitoring plots in NPAs.</p> <p>1.2.3.2 Install meteorological monitoring stations associated with the permanent plots in NPAs.</p> <p>1.2.3.3 Process and analyze the data from the plots and stations.</p> <p>1.2.3.4 Build awareness on the results of the Permanent Plot Monitoring Program in NPAs among key stakeholders.</p> <p>1.2.3.5 Support the design and implementation of a virtual data platform to monitor forest dynamics.</p>
<b>Output 1.3: <u>Sustainable finance mechanisms established to secure long-term effective management of NPAs</u></b>	
Activity 1.3.1: Develop and implement new Mechanism for Retribution of Ecosystem Services (MERESE) schemes for water to conserve and restore NPAs.	<p>1.3.1.1 Strengthen capacity of indigenous communities, farming communities, and local communities generally, regional and local governments, water and sanitation companies, sanitation services administration boards, user groups, SERNANP and relevant ministries to replicate and expand MERESE water schemes.</p> <p>1.3.1.2 Design and implement 4 MERESE water schemes in NPAs, including restoration, with an intercultural, gender-sensitive and intergenerational approach.</p>
Activity 1.3.2: Strengthen policies and local capacity to develop and implement environmental compensation that supports conservation and restoration of NPAs	<p>1.3.2.1 Develop a portfolio of sites in NPAs in which to compensate using satellite imagery, field-based evaluations and analysis in accordance with the NPA master plans.</p> <p>1.3.2.2 Promote the implementation of environmental compensation through capacity-building of SERNANP specialists and workshops with project developers</p> <p>1.3.2.3 Update environmental compensation guidelines for NPAs</p> <p>1.3.2.4 Monitor the implementation of the mechanism.</p>
Activity 1.3.3: Improve tourism products in 3 NPAs to increase and	<p>1.3.3.1. Design tourism products to achieve high-value, sustainable tourism for 3 NPAs.</p>

Activity	Sub-activity
diversify tourism revenue streams to the system of NPAs.	<p>1.3.3.2 Put in place the needed enabling conditions (infrastructure and equipment) to implement the products.</p> <p>1.3.3.3 Strengthen the value chains linked to the tourism products in the 3 NPAs through training and awareness-raising campaigns.</p> <p>1.3.3.4 Support the design and implementation of promotional plans for the positioning of sustainable tourism products in the 3 NPAs to support their access to domestic and foreign markets.</p> <p>1.3.3.5 Promote sustainable tourism via certifications as well as the measurement, reduction and mitigation of the carbon footprint of tourism operations in the 3 NPAs.</p> <p>1.3.3.6 Monitor and support the results of the tourism strategies.</p>
<i>Output 1.4: Technical assistance provided to support the development of bio-businesses in 6 NPAs.</i>	
<u>Activity 1.4.1: Support the establishment and scaling of bio-businesses by expanding participatory mechanisms to achieve sustainable use of natural resources and reduce deforestation in 6 NPAs.</u>	<p><u>1.4.1.1 Develop and implement bio-business plans for prioritized resources in 6 NPAs.</u></p> <p><u>1.4.1.2 Establish new participatory mechanisms as set out in the bio-business plans.</u></p> <p><u>1.4.1.3 Implement product enhancement centers that contribute to strengthening the value chains of the prioritized resources from NPAs.</u></p> <p><u>1.4.1.4 Strengthen the Conservation Allies brand to promote NPA bio-businesses with potential buyers.</u></p> <p><u>1.4.1.5 Link bio-businesses in the 6 NPAs with commercial opportunities and public programs, including through technical assistance to bio-business models that can then be scaled through Amazon EBBF and other funds.</u></p> <p><u>1.4.1.6 Monitor the effectiveness of the participatory mechanisms</u></p>
<b>Component 2: Strengthening the climate resilience of local indigenous communities within 6 NPAs and their buffer zones Increased adaptive capacity of Indigenous Peoples living in and around 5 NPAs and their buffer zones through the implementation of locally led adaptation measures and improved governance for climate risk management.</b>	
<b>Output 2.1: Climate-resilient production practices and Ecosystem-based Adaptation implemented with 30 native communities in 5 NPAs and their buffer zones, supporting resilient livelihoods and hazard risk reduction under conditions of climate change</b>	
Activity 2.1.1: Implement climate-resilient productive practices with 30 native communities living in 5 NPAs and their buffer zones to support community-based adaptation.	<p>2.1.1.1. Undertake participatory adaptation planning, including climate risk and vulnerability assessments, and co-develop guidelines and protocols for nature-positive climate-resilient production.</p> <p>2.1.1.2. Co-design climate-resilient productive practices based on climate risk/vulnerability assessments and guidelines and protocols.</p> <p>2.1.1.3. Establish gender-inclusive demonstration sites for climate-resilient agriculture and natural resource-use in each community to promote practical learning and knowledge exchange within and between communities.</p> <p>2.1.1.4. Strengthen women leadership by supporting woman led climate-resilient productive practices solutions.</p> <p>2.1.1.5 Co-develop a monitoring, evaluation and learning framework for climate-resilient productive practices, with indicators and protocols determined by native communities, to assess effectiveness and conduct adaptive management.</p>

Activity	Sub-activity
	<p>2.1.1.6 Build capacity by strengthening the knowledge and skills of community members to implement, monitor and manage climate-resilient productive practices at the community level.</p> <p>2.1.1.7 Develop adaptation packages (based on sub-activities 2.1.1.1–2.1.1.6) showcasing applicable and effective climate-resilient productive practices that will be shared broadly within the Indigenous Peoples network and native communities (in Activity 2.2.2).</p>
<p>Activity 2.1.2: Implement Ecosystem-based Adaptation with 30 indigenous communities living in 5 NPAs and their buffer zones to enhance and/or restore climate adaptation services.</p>	<p>2.1.2.1 Undertake spatial and participatory assessments of climate adaptation services with native communities and SERNANP and co-develop guidelines and protocols for Indigenous-led EbA.</p> <p>2.1.2.2 Co-develop EbA interventions with native communities and SERNANP, based on ecosystem service assessments, climate risk assessments, and guidelines and protocols of Indigenous-led EbA (Sub-activity 2.1.2.1).</p> <p>2.1.2.3 Establish gender-inclusive EbA demonstration sites in each NPA and in community territories, focused on the restoration and/or improved delivery of climate adaptation services that support climate-resilient livelihoods, to promote practical learning and knowledge exchange.</p> <p>2.1.2.4 Co-develop a monitoring, evaluation and learning framework for EbA measures with indicators and protocols determined by native communities, Indigenous Organizations and SERNANP, to assess effectiveness and conduct adaptive management.</p> <p>2.1.2.5 Build capacity by strengthening the knowledge and skills of community members to implement, monitor and manage EbA interventions at the community level, and to support EbA at the landscape level in coordination with SERNANP.</p> <p>2.1.2.6 Develop adaptation packages (based on Sub-activities 2.1.2.1–2.1.2.5) showcasing applicable and effective Indigenous-led EbA measures that will be shared broadly within the Indigenous Peoples network (under Activity 2.2.1). and among protected area managers.</p>
<p><b>Output 2.2. Indigenous Peoples' governance for climate risk management strengthened to implement, manage, and scale climate change adaptation solutions across 192 native communities in 5 NPAs and their buffer zones.</b></p>	
<p>Activity 2.2.1: Strengthen technical and administrative capacities in 8 Indigenous Organizations supporting native communities living in 5 NPAs and their buffer zones.</p>	<p>2.2.1.1 Build the technical capacity of 8 Indigenous Organizations for climate risk management to lead adaptation activities with native communities (Activities 2.1.1. and 2.1.2) and implement three climate risk management mechanisms (Activity 2.2.2).</p> <p>2.2.1.2 Build the administrative capacity of 8 Indigenous Organizations to administer locally led indigenous adaptation fund grant resources and to develop funding proposals for additional adaptation efforts.</p>
<p>Activity 2.2.2: Institutionalize Indigenous-led climate risk management to scale climate-resilient productive practices and EbA measures across 192 native communities in 5</p>	<p>2.2.2.1 Develop a climate-risk management strategy led by Indigenous Peoples, that supports the institutionalization of climate risk management approaches, including the three CRM mechanisms and adaptation measures implemented by communities (CRPPs and EbA).</p> <p>2.2.2.2 Implement field schools (mechanism 1) at demonstration sites (established under Activities 2.1.1 and 2.1.2) to promote learning, knowledge exchange and replication of effective climate-resilient productive practices and EbA measures in additional native communities.</p>

Activity	Sub-activity
NPAs and their buffer zones	2.2.2.3 Strengthen monitoring systems (mechanism 2), including early-warning systems implemented by Indigenous Organizations and MEL systems from adaptation measures (implemented in Activities 2.1.1 and 2.1.2).  2.2.2.4 Implement advocacy programs (mechanism 3) with local and regional governments and additional regional Indigenous Organizations, to scale effective adaptation packages (developed in Sub-activities 2.1.1.6 and 2.1.2.6).

## **CHAPTER 2      LEGAL AND POLICY FRAMEWORK FOR ENVIRONMENTAL AND SOCIAL MANAGEMENT**

78. The activities outlined above will be implemented by the PdP A&C project within a robust legal, regulatory and policy framework punctuated by the Peruvian environmental and social policies and regulations, and by WWF's Environmental and Social Standards. In what follows, this chapter provides an overview of those applicable regulations.

### **2.1.      Main environmental legal framework**

79. The main legal framework for environmental management in Peru consists of:

- The Political Constitution of Peru (1993);
- Law No. 26821, Organic Law for the Sustainable Use of Natural Resources (1997);
- Law No. 26834, Law on Protected Natural Areas (1997) with Regulations of 2001 (Supreme Decree No. 038-2001-AG);
- Law No. 26839, Law on the Conservation and Sustainable Use of Biological Diversity (1997);
- Law No. 28611, General Environment Law (2005);
- Law No. 28245, Framework Law for the National Environmental Management, and Regulations of 2005 (Supreme Decree No. 008-2005-PCM);
- Law No. 27446, Law of the National System of Environmental Impact Assessment (SEIA) (2001) and its Regulations of 2009 (Supreme Decree No. 019-2009-MINAM);
- Law No. 39754, Framework Law on Climate Change (with 2019 Regulations).

### **2.2.      Main international agreements signed by the Government of Peru**

80. Peru has signed the following relevant international agreements:

- UNESCO Convention for the Protection of the World Cultural and Natural Heritage (1972)
- United Nations Framework Convention on Climate Change (UNFCCC) (1992) and Paris Agreement (2016)
- United Nations Convention on Biological Diversity (CNDB) (1992)
- United Nations Convention to Combat Desertification (UNCCD) (1992)
- ILO Convention No. 169: Convention on Indigenous and Tribal Peoples (1993)
- United Nations Declaration on the Rights of Indigenous Peoples (2007)
- Treaty for Amazonian Cooperation
- Convention for the Conservation and Management of the Vicuna
- Convention on the Conservation of Migratory Species of Wild Animals
- Kyoto Protocol to the United Nations Framework Convention on Climate Change (1997)
- Convention on Wetlands of International Importance especially as Waterfowl Habitat
- Convention on International Trade in Endangered Species of Wild Fauna and Flora
- United Nations Convention against Transnational Organized Crime<sup>18</sup>
- United Nations Convention against Corruption (2004)

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<sup>18</sup> Which cover crimes that are associated with those that harm the environment and natural resources.

### 2.3. Main Environmental Laws and Regulations

- **Law No. 27446 of the National System for Environmental Impact Assessment (SEIA), with its Regulations approved by Supreme Decree No. 019-2009-MINAM**, defines the environmental assessment and certification procedures for projects, plans and programs. Projects that are subject to the SEIA are listed in Annex II of the Regulation of the Law. MINAM is the main government body responsible for environmental management. Projects proponents must request an environmental certificate from the Competent Environmental Authority, which assesses the project's environmental risk category. The Law defines three risks and three types of Environmental Management Instrument (IGA). Category I projects require an Environmental Impact Statement (EIS), Category II projects a semi-detailed Environmental Impact Assessment (EIA-sd) and Category III projects a detailed Environmental Impact Assessment (EIA-d). This law also requires the identification and management of impacts on historical and cultural heritage. According to this, it is expected that the project activities concerning productive practices with communities will all fall under Category I, as they are generally low-impact and fail to meet enough criteria to advance to Category II. For other project activities, it is also likely that they will remain in the Category I range with some exceptions - notably, the construction of 6 control posts which, although are unlikely to exceed 100m<sup>2</sup>, might need assessment beyond the EIS. This will depend on the technical file developed and the specific placement sites, all of which will be determined during implementation.
- **The General Environment Law No. 28611 of 2005** defines the purposes, principles and tools of environmental management. Indigenous Peoples and indigenous and peasant communities have preferential rights for the sustainable use of natural resources within their lands, duly titled, except in case of State reservations or rights of third parties, in which case they have the right to a fair and equitable participation in the economic benefits that may derive from the use of said resources. The law creates the registry of Natural Protected Areas. The Competent Environmental Authorities leading the environmental impact assessment process are Ministries, Regional Governments, or provincial Municipalities, according to the economic sector, size and location of the project. For the impact assessment process, the Competent Environmental Authority requests the technical opinion of other authorities (e.g. from SERNANP in case of projects that can impact protected natural areas and their buffer zones).
- **The Forest and Wildlife Law (No. 29763)** of 2011 creates the National Forest and Wildlife Management System (SINAFOR). Forest management units (permanent production forests, local forests, reserve forests, protection forests, forests on land of peasant and native communities, forests on private lands) are registered in the national forest cadaster and before the National Superintendence of Public Registries (SUNARP). The use and exploitation of goods and services from forest ecosystems and from other natural ecosystems by peasant and native communities, on their lands titled or ceded in use, does not require an authorization. However, for any commercial or industrial use, the communities must have an approved management plan, and the forest destined for this purpose must be delineated. Concessions of various kinds, as well as the land titles of native communities, are considered enabling titles, giving the right to access benefits from forest ecosystems.
- **Law No. 30215 – Law on Mechanisms for Remuneration for Ecosystem Services (MRSE)**, with **Regulations** approved in 2016, promotes, regulates and supervises mechanisms for remuneration for ecosystem services derived from voluntary agreements that define actions for the conservation, restoration and sustainable use of ecosystems.

- **Law on Protected Natural Areas No. 26834 of 1997**, with Regulations approved in 2001 (hereinafter 'NPA Law') establishes that all NPAs have the status of National Heritage and are part of the public domain. Protected natural areas include: i) the national administration areas of the SINANPE; ii) the regional administration areas, called Regional Conservation Areas (ACR in Spanish); and iii) the private conservation areas. The 'NPA Law' requires that, for any construction, commissioning or use of infrastructure inside state-managed NPAs, project owners must request a favorable prior opinion. The Supreme Decree No. 003-2011-MINAM extends this obligation to the BZ, specifying that for the 'granting of rights for the use of natural resources and/or the implementation of infrastructure in the NPA of national administration and/or in its buffer zones, and in the Areas of Regional Conservation', SERNANP must issue a Compatibility Opinion or a Favorable Prior Technical Opinion, establishing among others that the activity is compatible with the zoning of the NPA and with its management objectives. According to the NPA Law, NPA management should prioritize securing traditional uses and life systems of the native and ancestral peasant communities that inhabit the Protected Natural Areas and its surroundings, respecting their self-determination.

The NPA Law recognizes and promotes private participation in NPA management, granting to this end, among others, NPA Administration Contracts, concessions for the provision of economic services within the area, and contracts for the use of resources. The types of instruments that could be relevant for the PdP A&C project are: i) conservation agreements (all types of actors, activities compatible with conservation in NPA and BZ); ii) rights to use renewable natural resources; and iii) concessions for tourism activities.

SERNANP may also grant rights for sports hunting or for scientific research in NPAs. In the buffer zones of the NPA, the use of wildlife and forest resources is authorized either by SERFOR or by the subnational Technical Administrations for Wild Flora and Fauna (ATFFS). SERNANP issues its binding prior technical opinion (SERNANP, 2015b).

Lastly, the NPA Law establishes that patrolling the NPA for control and surveillance is a function of SERNANP rangers (see Resolution RD-2015-SERNANP-DGANP). These activities are organized by sectors, defined according to their level of threats (which may correspond, for example, to greater accessibility, presence of tourism infrastructures, etc.) and which can include areas outside NPAs, in buffer zones, and even in adjacent areas.

- **Forest fire management in the SINANPE** is mainly governed by: i) SERFOR's Forest Fire Risk Prevention and Reduction Plan (2018); ii) The Strategic Guidelines for Forest Fire Risk Management in the SINANPE (Law No. 29664); and iii) Presidential Resolution N° 012-2018 that approves the Forest Fire Risk Management Strategy for the SINANPE.
- **Law No. 26505 of July 17, 1995. 'Law of Private Investment** for the development of economic activities in the lands of the national territory and of the peasant and indigenous communities'<sup>19</sup>, which is known as the 'Land Tenure Law' (*Ley de Tierras*).
- **Law No. 28736 ('Law on PIACI')** and its Regulations of 2007. This Law establishes the responsibility of the Peruvian State, through the Vice Ministry of Interculturality of the Ministry of Culture (MINCUL), to protect the rights of indigenous or native peoples in a situation of isolation or in a situation of initial contact (PIACI). According to this law, specific protection

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<sup>19</sup>Modified by Laws No. 26570, 26597, 26681.

mechanisms for PIACI include the delimitation of intangible areas in Territorial Reserves (as defined by Law No. 22175 of 1978 on Native Communities) and Indigenous Reserves (as defined by Law No. 28736 of 2007 on PIACI), or in NPA (see also Table 5 below).

**Table 5. Indigenous people recognized in the Peruvian legislation**

Name/translation	Year	Description	Law
<b>Comunidades nativas / Native Communities</b>	1978	Groups of families related through language, cultural and social characteristics, and common and permanent possession and usufruct of one territory, with nucleated or dispersed settlement; and who have their origin in the tribal groups of the rainforest.	Ley de Comunidades Nativas y de Desarrollo Agrario de la Selva y de Ceja de Selva – Decreto Ley 22175 de 1978 (Art. B)
<b>Comunidades campesinas / Peasant Communities</b>	1987 (regl. 1991)	Public interest organizations, with legal existence and legal personality, consisting of families that inhabit and control certain territories, linked by ancestral, social, economic and cultural ties, expressed in communal land ownership, communal work, mutual aid, a democratic governance and the development of multisectoral activities, with the aim at full realization of its members and of the country.	Ley General de Comunidades Campesinas – Ley 24656 de 1987 (Art. 2)
<b>Pueblos Indígenas Aislados / IP in Isolation</b>	2006 (regl. 2007)	(Fraction of) an indigenous people that has not developed sustained social relations with other members of national society or that, having done so, has chosen to discontinue them.	Ley para la Protección de Pueblos Indígenas u Originarios en Situación de Aislamiento y Situación de Contacto Inicial (PIACI) – Ley 28736
<b>Pueblos Indígenas en Contacto Inicial / IP in Initial Contact</b>		(Fraction of) an indigenous people that has begun a process of interrelation with the other members of the national society.	
<b>Pueblos Indígenas / Indigenous Peoples</b>	2002	Indigenous peoples with rights prior to the formation of the Peruvian State, who maintain their own culture and territorial space, and recognize themselves as such. This includes peoples in voluntary isolation or uncontacted, as well as Peasant and Native Communities. The term 'indigenous' includes and can be used as a synonym for 'native', 'traditional', 'ethnic', 'ancestral', or other words.	Ley que establece el Régimen de Protección de los Conocimientos Colectivos de los Pueblos Indígenas Vinculados a los Recursos Biológicos – Ley 27811 de 2002
<b>Pueblos indígenas u originarios / Indigenous or original peoples</b>	2012	Objective criteria: a) Direct descent of the original populations of the national territory. b) Lifestyles and spiritual and historical links with the territory that they traditionally use or occupy. c) Own social institutions and customs. d) Cultural patterns and lifestyles that are different from those of the other sectors of the national population. Subjective criterion: collective awareness of possessing an indigenous or original identity.	Ley del derecho a la consulta previa a los pueblos indígenas u originarios, reconocido en el Convenio 169 de la Organización Internacional del Trabajo – Ley n° 29785

Source: Author's compilation of the mentioned legislation

- **Law No. 22175 on Native Communities (1978) and Law No. 24656 on Peasant Communities (1987):** establish procedures to recognize the property rights of native and peasant communities. The 1993 Political Constitution of Peru determines that the ownership of the lands of the native and peasant communities is imprescriptible, except in the case of abandonment<sup>20</sup>. Land categorized as forest land or as protection land (as in the case of NPA) is national heritage and public property, and can only be given to the native communities under 'cession in use'<sup>21</sup>.
- **Law No. 29785 on Prior Consultation (2012):** affirms the right of Indigenous People to be consulted on those legislative or administrative measures that directly affect their collective rights, relating to their physical existence, cultural identity, quality of life, and development. Prior consultation is also necessary for national and regional development plans, programs and development projects, that directly affect these rights. The consultation is implemented on a mandatory basis by the State only and is governed by Ministerial Resolution No. 209-2015-MEM / DM. Indigenous Peoples participate in the consultation processes through their representative institutions and organizations, chosen according to their traditional customs and uses. With the 2012 Law, Peru has developed a new practice of identification of Indigenous Peoples, with the purpose of determining which groups have the right to be consulted. To determine the belonging of a community to an Indigenous People for the purpose of the Law, the Ministry of Culture (MINCUL) uses the Law's criteria, which follow the principles of the ILO. The MINCUL holds the official Database of Indigenous or Native Peoples (BDPI), which is referential but not considered exhaustive. In a prior consultation process, the promoter should collect their own information to identify the Indigenous Peoples who have rights to be consulted.
- **Ministerial Resolution N.º 103-2016-MC (2016)** which approved the document entitled "**Life Plan. Guide for Collective Planning**". A Life Plan is based on a participatory process of self-diagnosis and project development. Life Plans generally contain: i) information about the community, its resources and its needs; ii) the long-term vision of the community and changes it aspires to; and iii) projects that are recommended to achieve these changes.
- **Peru's regulatory framework for involuntary resettlement** mainly consist of: i) the **SEIA Law (2001)**, which mentions for instance in its **Article 38** that any project needing processes of "resettlement, displacement or relocation of populations" will be classified as a Category III project; ii) **Law No. 30025 (Easement Law)** that facilitates the acquisition, expropriation and possession of real estate for infrastructure works and declares of public utility the acquisition or expropriation of affected real estate for the execution of infrastructure works (2013); and iii) **Law No. 30327, Law for the Promotion of Investments for Economic Growth and Sustainable Development (Regulation of 2016)**. **Article 37** of this Law mentions cases of precarious occupation, saying that the Law "is applicable even when said property is not owned by the active subject." Besides the national regulations, there exists a practice of involuntary resettlement policies aligned on the policies of multilateral development banks (e.g. World Bank, IADB, etc.) for Category III projects. The guidelines are different by sector. For example, there are Compensation and Involuntary Resettlement Plans (PACRI) for infrastructure public

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<sup>20</sup> See also Law No. 24657 Law of Demarcation and Titling of the Communal Territory of Peasant Communities.

<sup>21</sup> As mentioned in the baseline chapter, this is the case of about half of the indigenous territories titled to date.

investment projects in the transport sector and Resettlement Programs for public investment projects in the energy sector.

- **General Law N°28296 (2006) of the Cultural Heritage of the Nation.**
- **Regulations for Archaeological Interventions (RIA), (2014).**
- **Law 27811 (2002). Regime for the Protection of Indigenous People's Collective Knowledge linked to Biological Resources.** Law. This law establishes a special regime for the protection of the collective knowledge of indigenous peoples linked to biological resources.
- **Law No. 29783, Law on Safety and Health at Work,** with regulations approved by Supreme Decree No. 005-2012-TR, as amended by Law No. 30222 of 2014, is the main instrument governing occupational health and safety in Peru.
- **Law on Equal Opportunities between Women and Men. Law N° 28983. (2007)**
- **Supreme Decree N° 008-2019-MIMP,** which approved the **National Gender Equality Policy (2019)**
- **Law No. 27942 (2003), Law No. 29430 and Supreme Decree No. 014-2019-MIMP** focus on the prevention and punishment of sexual harassment in various workplaces, including public and private sectors, educational institutions, and military and police institutions. These establish obligations for employers to maintain respectful conditions, train employees on harassment policies, and provide protection measures for victims. The law also allows victims to seek compensation and protection against retaliation.
- **Law No. 30057 (2013),** known as the Civil Service Law, was enacted to modernize and professionalize public administration by promoting meritocracy, efficiency, and quality in delivery across state institutions.
- **Supreme Decree No. 042-2011-PCM,** issued in May 2011, established the mandatory requirement for all public sector entities to maintain a Book of Complaints to ensure citizens' rights to express grievances and receive information about public services.
- **Law N° 31991 (2024)** and its bylaws (**Supreme Decree 007-2024-MINAM**). Among many protections for park rangers, the law provides specifically for a principle for SERNANP to protect rangers from risks; provides work-related insurance; provides that in situations of risk to the rangers, SERNANP will work with the Ministry of Justice and Human Rights to activate a mechanism for their protection based on Supreme Decree 004-2021-JUS, as well as additional protocols with short-, medium-, and long-term actions to guarantee the rangers' safety; capacity building related to risk, logistic and operating capacity to handle such risk, personal protection equipment (including for fires); and establishes that in a situation of risk a ranger may be removed from the high-risk area (these areas are defined as those that are declared under state of emergency, or others that the executive branch may determine).

### 2.3.1 Additional laws applicable to expected project activities

81. The overarching national legal framework that will apply to this project's activities has been listed above. However, it is worth stressing that, for activities that pertain to development of productive practices and/or bio-businesses with IPs inside a PA or in its BZ, the following regulations are the likeliest to apply:

- ILO Convention N° 169
  - Political Constitution of Peru (1993)
  - Law No. 27446, Law of the National System of Environmental Impact Assessment (SEIA) (2001) and its Regulations of 2009 (Supreme Decree No. 019-2009-MINAM);
  - Law No. 26834, Law on Protected Natural Areas (1997) with Regulations of 2001 (Supreme Decree No. 038-2001-AG) and its Regulations of 2009 (Supreme Decree No. 019-2009-MINAM), which altogether define the environmental assessment and certification procedures for projects, plans and programs.
  - Master Plans of the PAs involved in the aforementioned activities, as these establish the allowable uses and where these activities can unfold according to the zoning of the area. The PAs where this type of activities will be developed are: Pacaya Samiria National Reserve and its BZ; the BZ of Siera del Divisor National Park; Tambopata National Reserve; Manu National Park and its BZ; and Bahuaja Sonene National Park.
  - Use Plans or Management Plans, depending on the resources to be utilized (chestnut, huicungo, aguaje, etc.). This will be determined with the communities involved during implementation.
  - If the communities of the Pacaya Samiria BZ decide to continue utilizing paiche under sustainable management, then the following Ministry of Production regulations should be considered: General Fisheries Law, Decree Law N° 25977 and its regulation, DSN° 001-94-PE
  - If sustainable productive activities are related to non-timber forest activities and are developed in a BZ, then the applicable regulations are Law 29763, Forestry and Wildlife Law and its Regulation for Forest Management approved by DS N° 018-2015-MINAGRI
82. In addition, Presidential Resolution N° 219 - 2021- SERNANP, whereby the national government of Peru approved a “Environmental and Social Management Framework” (MGAS for its Spanish acronym), is applicable. This document was developed in the context of the WWF supported PFP called Patrimonio del Peru, with the aim of contributing to the management of the thirty-eight (38) protected natural areas of the Amazon biome through the establishment of guidelines and criteria for the implementation of social and environmental safeguards in the activities of the PNA management teams.
83. Because the PDP PFP initiative closed in 2019 had financing from various cooperating sources, each presenting their own safeguard frameworks or environmental and social policies, the PdP developed a strategic vision regarding safeguards so that these issues were addressed in a manner compatible with SERNANP's regulatory procedures and the processes carried out under these guidelines. Notably, the ESMF that SERNANP developed is based on the environmental and social policies of the cooperating institutions working with the initiative, namely PROFONANPE and WWF, both of which are GCF's accredited entities. have also been considered. Because of this, SERNANP's 2021 ESMF is entirely compatible with this ESMF. As with other applicable national laws, whenever there are discrepancies, the more stringent standards or requirements will be applied (which are those listed within this present document).

#### 2.4. WWF's Environmental and Social Standards

84. As a GCF funded project, PdP A&C must comply with the relevant GCF policies, namely the [Revised Environmental and Social Policy](#) and its [interim ESS standards](#) (IFC Performance Standards), [Indigenous Peoples Policy](#), [Information Disclosure Policy](#) and [Updated Gender Policy](#). Because WWF US is a GCF Accredited Entity, the manner in which GCF policies are applied are defined in the GCF master agreement with WWF US, which stipulates that WWF US shall apply its own rules, policies and procedures in order to ensure compliance with the Fund's standards, policies and procedures.
85. The specific application of WWF's network-wide Environmental and Social Safeguards Framework (ESSF) to GCF projects is detailed in the SIPP (Safeguards Integrated Policies and Procedures), which has been approved and conforms with GCF's safeguards framework<sup>22</sup>.
86. Thus, the PdP A&C project will comply with WWF's Environmental and Social Safeguards Framework (ESSF) as detailed in the SIPP<sup>23</sup>, which describes the procedures that avoid (or minimize) negative environmental and social impacts of the project, and how to take advantage of the opportunities to accentuate its positive effects. Through application of the SIPP, management of environmental and social risks and impacts are integrated into the project design, and safeguards are an intrinsic part of the entire project cycle.
87. This project was categorized by WWF US as a Category B project and the following social and environmental standards were triggered:
- Procedural Standards, always triggered:
- Environmental and Social Risk Management
  - Stakeholder Engagement
  - Grievance Mechanism
- Substantive Standards, triggered for this project:
- Natural Habitats
  - Restriction of Access and Resettlement
  - Indigenous Peoples
  - Cultural Resources
  - Community Health, Safety and Security
88. The project should also comply with WWF's Guidance Notes on: i) Labor and Working Conditions, ii) Ranger Principles, and iii) Gender Based Violence and Sexual Exploitation, Abuse, and Harassment.

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<sup>22</sup> WWF's SIPP is found to be in compliance with GCF's Environmental and Social Policy (<https://www.greenclimate.fund/document/environmental-and-social-policy>) and Indigenous Peoples Policy (<https://www.greenclimate.fund/document/indigenous-peoples-policy>)

<sup>23</sup> WWF Environment and Social Integrated Policies and Procedures: [https://c402277.ssl.cf1.rackcdn.com/publications/1204/files/original/Safeguards\\_Manual.pdf?1578070066](https://c402277.ssl.cf1.rackcdn.com/publications/1204/files/original/Safeguards_Manual.pdf?1578070066)

## 2.5. Gap between WWF's Environmental and Social Standards and the National Legislation

89. The aforementioned safeguards correspond to the best environmental and social management practices that are generally required by the national legislation. However, there may be gaps between the safeguards and the national legislation, or, when legislation and safeguards are similar, there may be gaps in the implementation of legislation. In Peru, the legislation is often compliant with (or exceeds the requirements of some WWF's safeguards), but there are gaps in the implementation. In the case of the NPAs, one of the main reasons for these gaps is the difficulty of accessing some remote NPAs and core areas inside NPAs (transport logistics is non-existent or very expensive). The state institutions, as well as local governance organizations, would need significant human and financial resources to be able to fully apply the existing legislation.
90. The table below (Table 6) presents WWF's safeguards, identifies how they apply to the project, explains which gaps have been observed between the AE's safeguards and the national legislation, and explains how the ESMF will implement processes to guarantee that the safeguards are applied to all project activities.
91. **The PdP A&C project is required to comply with all applicable national, regional and/or local laws and regulations at all times.** It is the responsibility of the ESS and Gender staff to ensure that the project is compliant as well as to be up-to-date on new regulations that might become sanctioned during implementation.
92. **For the purposes of the PdP A&C, the provisions of the WWF's ESSF and SIPP (which reflect GCF's policies) shall prevail over Peruvian legislation in all cases of discrepancy given that these constitute more stringent requirements.**

**Table 6. Application of WWF safeguards to the project**

WWF safeguards	Application to the project	Gaps with national legislation	Role of the ESMF
<b>WWF Standard on Environment and Social Risk Management</b>			
<p>WWF’s safeguards policies require that any potentially adverse environmental and social impacts are identified, avoided, or mitigated.</p> <p>The specific objectives of this policy are to:</p> <ul style="list-style-type: none"> <li>• Ensure appropriate planning—especially in the identification and selection of alternatives to enhance environmental benefits—and avoid or, if avoidance is not possible, minimize, mitigate, and offset or compensate for adverse impacts on the environment and on affected communities;</li> <li>• Ensure the effective management of environmental and social opportunities and risks at all stages of the project life cycle from conception to closure; and</li> <li>• Provide for the engagement of diverse stakeholders and key parties, so that interested and affected parties have timely access to information and are empowered to meaningfully engage in issues that may affect them through all stages of the project life cycle.</li> </ul>	<ul style="list-style-type: none"> <li>• This standard is relevant because the PdP A&amp;C project intends to support activities that might result in adverse environmental and social risks and impacts (see Chapter 5).</li> <li>• The project is classified as Category B (moderate risk) based on initial analysis.</li> <li>• Adverse environmental and social impacts that may occur as a result of project activities are expected to be site-specific.</li> <li>• However, the context in which the project will be implemented is complex and challenging.</li> <li>• The exact location, technical design, beneficiaries and impacts and risks of specific activities cannot be determined at this stage. They will be known during project implementation.</li> </ul>	<ul style="list-style-type: none"> <li>• Peru has a robust legal framework for environmental and social management.</li> <li>• However, managing environmental and social risks in a relatively high number of interventions that are geographically dispersed requires early screening of those risks and impacts, and a dedicated team of social and environmental professionals to ensure that the projects’ social and environmental performance complies with WWF’s standards and Peru’s regulations.</li> <li>• SERNANP has competency for E&amp;S management but does not have systematic procedures in place and sufficient human resources.</li> <li>• There are principles of citizen participation included in the Peruvian Law, especially for NPA management, and are compliant with WWF’s policies. However, the application of these principles is always a challenge, and specific participation processes will be developed for the project.</li> <li>• NPA Management Committees are designed as participatory bodies</li> </ul>	<ul style="list-style-type: none"> <li>• The project’s ESMF sets out guidelines and procedures on how to identify, assess and monitor environmental and social impacts, and how to avoid or mitigate adverse impacts. An activity-level social and environmental screening has been included in the ESMF for annual assessment of activities by the PMU. ToRs for fir-for-purpose ESIA and site-specific ESMPs are also included here.</li> <li>• The project ESMF also provides guidance on how to prepare Livelihood Restoration Plans (LRPs) through the Process Framework, in case of restrictions to access natural resources (imposed on IPs or other vulnerable groups) historically used for subsistence and ancestral purposes.</li> </ul>

WWF safeguards	Application to the project	Gaps with national legislation	Role of the ESMF
		for NPA management, but their role should be reinforced.	
<b>WWF Standard on Protection of Natural Habitats</b>			
<p>WWF's mission is to protect natural habitats, and it does not undertake any projects that would result in conversion or degradation of critical natural habitats, especially those that are legally protected, officially proposed for protection, or identified as having high conservation value.</p>	<ul style="list-style-type: none"> <li>This standard is relevant to the project given that its area comprises 25 Natural Protected Areas (NPA) of Peru (14 million ha, more than 10% of the country) and their buffer zones. This standard applies because the project entails on-the-ground activities, such as demarcation and construction of demarcation and surveillance and control infrastructure, in legally natural protected areas which host unique and critical natural habitats.</li> <li>Overall, project activities will produce significant conservation benefits. Any potential adverse impacts on environmentally important areas including forests, grasslands and other natural habitats are expected to be very limited.</li> </ul>	<ul style="list-style-type: none"> <li>Peru has a legal framework for E&amp;S management, but regulations for projects with impacts and risks (such as in the PdP A&amp;C project activities) within NPAs have traditionally lacked specific environmental and social risk management instruments.</li> <li>There is the firm belief that a biodiversity conservation through NPA management generates positive social and environmental impacts which might result in ignoring adverse ones. In turn, this affects relationships between SERNANP and adversely affected groups.</li> <li>The Peruvian Law includes principles for the protection of natural habitats, but there are gaps between these regulations and WWF safeguards (for example: WWF's requirement to demonstrate compliance with the mitigation hierarchy, monitoring requirements), which will have to be established per activity during the implementation phase.</li> <li>SERFOR defines the rules for fighting invasive species.</li> </ul>	<ul style="list-style-type: none"> <li>The ESMF is prepared to manage the risk of any unforeseen adverse environmental impact on natural habitats, including critical natural habitats, as well as measures to enhance the project's positive environmental outcomes through restoration of ecosystem services and ecosystem-based adaptation. The project also aims to incorporate concepts such as ecosystem-based adaptation and resilience into the NPA Master Plans and through capacity development in SERNANP (headquarters and NPA head offices management teams).</li> <li>Activities involving exotic and invasive species will not be funded by the PdP A&amp;C project.</li> </ul>

WWF safeguards	Application to the project	Gaps with national legislation	Role of the ESMF
<b>WWF Standard on Restriction of Access and Resettlement</b>			
<ul style="list-style-type: none"> <li>The WWF's standard seeks to ensure that adverse social or economic impacts on resource-dependent local communities as a result from conservation-related restrictions on natural resource access and/or use are avoided or minimized.</li> <li>Resolution of conflicts between conservation objectives and local livelihoods is sought primarily through voluntary agreements, including benefits commensurate with any losses incurred.</li> <li>Involuntary resettlement is not permitted, and voluntary resettlement is avoided or minimized including through assessment of all viable alternative project designs and, in limited circumstances where this is not possible, resettled persons are assisted in improving or at least restoring their livelihoods and standards of living relative to pre-resettlement or pre-project levels (whichever is higher).</li> </ul>	<ul style="list-style-type: none"> <li>This standard is relevant to the project. Between 30,000 and 50,000 people are estimated to live within NPAs, and up to 200,000 in their buffer zones. A significant population derives their livelihoods from the natural resources (e.g. subsistence fishing, hunting, collecting) in NPAs and from agriculture (subsistence and commercial) in the NPAs and their buffer zones.</li> <li>It is not expected that the project may cause physical displacement. However, economic displacement can occur during project implementation and has been occurring in the past in some NPAs. Land acquisition, land titling or physical displacement will not occur nor will be financed.</li> <li>Economic displacement due, for instance, to restrictions of access to natural resources and livelihoods, will be avoided as much as possible under the project through a combination of risk screening checklist, extensive consultations, a project-level grievance redress mechanism and implementation of a Process Framework (and LRPs).</li> </ul>	<ul style="list-style-type: none"> <li>Possible gaps between the national regulations and this WWF standard could be given by the definition of restrictions on natural resource access and/or use and measurements for compensation. There are latent conflicts and disagreements between SERNANP and IP communities in some of the NPAs supported by the PdP A&amp;C project.</li> <li>Some IP&amp;LCs complain that SERNANP imposes restrictions on natural resources access that they want to use for ancestral and subsistence purposes.</li> <li>SERNANP has limited technical and administrative capacity to discern when there is a real restriction (e.g. imposed by NPA rangers) in the IP&amp;LCs' livelihoods,</li> <li>The lack of land titling, especially in the case of native communities, is a challenge for NPA management.</li> <li>However, economic displacement due to project activities may occur, and have been occurring in the past with and without land titling.</li> <li>SERNANP has developed processes to avoid conflicts in cases of physical demarcation of NPA limits.</li> </ul>	<ul style="list-style-type: none"> <li>Physical resettlement is not expected from the project, but economic displacement might occur.</li> <li>If economic displacement impacts are unavoidable, mitigation measures will be taken to reduce and mitigate such impacts (through a Process Framework where adversely affected parties participate in designing activities to restore their livelihoods, e.g. Livelihood Restoration Plan).</li> <li>Guidance to implement a Process Framework and LRPs is included in this ESMF to ensure that adverse social or economic impacts on resource-dependent local communities as a result of NPA effective management-related restrictions on natural resource access and/or use are avoided or minimized.</li> <li>Properly documenting and processing restrictions to natural resource access will be critical during the project implementation.</li> </ul>

WWF safeguards	Application to the project	Gaps with national legislation	Role of the ESMF
<b>WWF Standard on Indigenous Peoples</b>			
<ul style="list-style-type: none"> <li>This WWF standard requires to ensure that indigenous rights are respected, that Indigenous Peoples do not suffer adverse impacts from projects, and that Indigenous Peoples (IPs) receive culturally appropriate benefits from conservation.</li> <li>The standard mandates that projects respect Indigenous Peoples' rights, including their rights to FPIC processes and to tenure over traditional territories; that culturally appropriate and equitable benefits (including from traditional ecological knowledge) are negotiated and agreed upon with the Indigenous Peoples' communities in question; and that those potential adverse impacts are avoided or adequately addressed through a participatory and consultative approach.</li> </ul>	<ul style="list-style-type: none"> <li>This standard is relevant because the project will involve IPs from all over the Amazon basin, located in the highlands and the Amazon jungle.</li> <li>According to the Peruvian Ministry of Culture's database, there are 55 IPs in Peru, 51 from the Amazon and 4 from the Andes, denominated "native communities" and "peasant communities" respectively.</li> <li>Indigenous Peoples live in or around at least 24 of the NPAs, and there are PIACI in at least 6 NPAs.</li> <li>The legal definition of IP in Peru is compliant with WWF's Indigenous People policy.</li> <li>Some of the project's activities may impact IPs' livelihoods.</li> <li>The impact of the project on IPs is expected to be positive because it is intended to offer them benefits (through resilient productive systems and increased adaptive capacity through habitats restoration).</li> <li>However, there are risks related to: (i) access barriers to project benefits because of linguistic and cultural differences (e.g. the participating IPs are usually not fluent in Spanish and might not understand the details or requirements of the project processes) and technological issues (many of them do not have access to internet, email, phone), among other</li> </ul>	<ul style="list-style-type: none"> <li>Peruvian regulations on IPs are consistent, in their principles, with the WWF's standard on Indigenous Peoples.</li> <li>Peru has regulations for prior consultation that are almost compliant with this WWF's standard. However, while Peru has ratified ILO Convention 169, this requirement centers on consultation but not consent, in most cases. Consent is only explicitly required for relocation of Indigenous Peoples. On the contrary, WWF and GCF require that free, prior and informed <i>consent</i> is obtained prior to implementation of activities that could impact the collective rights of IPs (see IPPF).</li> <li>The Peruvian regulations exceed compliance with WWF's standard in determining the groups with the right to be consulted.</li> <li>The project will not: (i) acquire/affect IPs' land/natural resources; (ii) cause relocation of IPs from their land or natural resources; or (iii) have significant impacts on their cultural heritage, identity and/or culture, ceremonial, or spiritual aspects. If FPIC is deemed necessary during implementation, processes will be put in place to seek consent and</li> </ul>	<ul style="list-style-type: none"> <li>Indigenous Peoples are considered direct and indirect beneficiaries (Component 2) and indirect beneficiaries (Component 1) of the PdP A&amp;C project.</li> <li>The IPPF includes guidelines to examine the vulnerability of the diverse groups for each NPA where activities will be implemented, depending on the impact of the activities.</li> <li>The IPPF describes principles for a participatory approach to project design that includes IPs and ensures that they receive equitable benefits from conservation.</li> <li>Additional stakeholder engagement activities with other key IP stakeholders will continue during project implementation, and the feedback obtained will be summarized and incorporated into an updated IPPF.</li> </ul>

WWF safeguards	Application to the project	Gaps with national legislation	Role of the ESMF
	<p>limitations; (ii) limits to access the project grievance mechanisms (for the same reasons mentioned); and (iii) risks of GBV in the subprojects, mainly in those located in remote areas.</p> <ul style="list-style-type: none"> <li>Considering the project's identified social risks and its activities (under Component 2) involving IPs, the stakeholder engagement process will need to be performed in a manner that is accessible, linguistically and culturally appropriate, and inclusive for IPs, and should be developed from the earliest stages of activities design.</li> </ul>	<p>develop (and socialize) Indigenous Peoples Plans in advance of activity execution (see IPPF in this ESMF).</p>	
<b>WWF Standard on Grievance Mechanisms</b>			
<ul style="list-style-type: none"> <li>WWF's Grievance Mechanism is an additional avenue of grievance redress, complementary to the project- and country-level dispute resolution and redress mechanisms.</li> <li>For GCF projects, WWF also requires a project-specific GRM as part of its standard on Stakeholder Engagement.</li> </ul>	<ul style="list-style-type: none"> <li>This safeguard applies to all projects.</li> </ul>	<ul style="list-style-type: none"> <li>SERNANP has recently developed and adopted an institutional-level GRM (MAQS for its acronym in Spanish) as part of the GEF-6 project, <i>Asegurando el Futuro de las Áreas Protegidas del Perú</i>.</li> <li>Since then, the MAQS has been extended to cover all of Peru's SINANPE and recent trainings and socialization materials have been done.</li> </ul>	<ul style="list-style-type: none"> <li>The MAQS will be used as the project-level GRM. The ESMF presents the initial guidelines to adapt this mechanism to this project in order to meet all of WWF and GCF's requirements, though the minute details will be finalized during the first six months of project implementation. Stakeholders will be made aware of the project-level GRM, as well as the other GRMs applicable to this project (see Chapter 8) throughout the life of the project.</li> </ul>

WWF safeguards	Application to the project	Gaps with national legislation	Role of the ESMF
<b>WWF Standard on Cultural Resources</b>			
<ul style="list-style-type: none"> <li>• This WWF standard ensures that Cultural Resources are appropriately preserved and their destruction, damage or loss is appropriately avoided.</li> <li>• Physical cultural resources (PCR) include archaeological, paleontological, historical, architectural, and sacred sites including graveyards, and burial sites, of unique natural values.</li> <li>• Intangible cultural resources include traditional ecological knowledge, performing arts, oral traditions and expressions, traditional craftsmanship and social practices, rituals and events.</li> </ul>	<ul style="list-style-type: none"> <li>• This safeguard is relevant and applies to project activities that might have unintended adverse impacts on physical cultural resources due to construction of infrastructure activities.</li> <li>• The project will not finance activities that involve significant excavations.</li> <li>• The project will not finance activities that could significantly damage physical cultural resources or limit access to cultural resources</li> <li>• The project will not finance activities consisting of the commercial use of intangible cultural resources</li> </ul>	<ul style="list-style-type: none"> <li>• Peruvian legislation includes principles for the protection of physical cultural resources and intangible cultural resources, that are compliant with this WWF standard.</li> <li>• Nevertheless, mechanisms will be developed as part of the ESMPs developed during implementation to guarantee enforcement of these principles during execution of project activities.</li> </ul>	<ul style="list-style-type: none"> <li>• This ESMF presents guidelines for the development of ESIA's and ESMPs during implementation. The ESMPs developed for relevant project activities include prescriptions for avoiding damage to physical cultural resources. A chance finding procedure is also included in the ESMF.</li> </ul>
<b>WWF Standard on Stakeholder Engagement</b>			
<ul style="list-style-type: none"> <li>• This Standard on Stakeholder Engagement was developed in 2018 and ensures that WWF is committed to meaningful, effective and informed stakeholder engagement in the design and implementation of all GEF and GCF projects. Requirements are to: <ul style="list-style-type: none"> <li>○ Engage with stakeholders throughout the project life cycle as early as possible in the project development stage, and in a time frame that enables meaningful consultations with stakeholders on project design.</li> <li>○ Engage in meaningful consultations with all stakeholders. For projects that affect rights and interests, lands, resources and territories of Indigenous</li> </ul> </li> </ul>	<ul style="list-style-type: none"> <li>• This WWF's standard is relevant to the PdP A&amp;C project.</li> </ul>	<ul style="list-style-type: none"> <li>• The national law, especially the NPA Law, and SERNANP's working guidance, include advanced principles for stakeholder engagement. But there are very significant gaps in implementation, due to the inaccessibility of the NPAs, the lack of personnel, the diversity of relevant stakeholders, different languages, and education levels.</li> </ul>	<ul style="list-style-type: none"> <li>• A full stakeholder engagement process has been executed: (1) as part of project design and (2) as part of the ESMF development. The process is described in Chapter 8. A Stakeholder Engagement Plan (SEP) has been developed for the project (see Annex 7).</li> </ul>

WWF safeguards	Application to the project	Gaps with national legislation	Role of the ESMF
<p>Peoples, ensure Free Prior Informed Consent (FPIC).</p> <ul style="list-style-type: none"> <li>○ Provide stakeholders with timely, understandable and accessible information and consult with them in a culturally appropriate manner which is free of manipulation, interference, coercion, discrimination and intimidation.</li> </ul>			
<b>WWF Standard on Community Health, Safety and Security</b>			
<ul style="list-style-type: none"> <li>• Avoid, where feasible, or minimize the risk of community exposure to disease and other relevant health risks, taking into account differentiated levels of exposure, and the needs and exposure of disadvantaged or vulnerable groups or individuals.</li> <li>• Security arrangements to safeguard personnel or property should be proportional and consistent with applicable national laws and good international industry practice.</li> <li>• WWF projects will screen and assess: <ul style="list-style-type: none"> <li>• The potential exposure of communities to both accidental and natural hazards,</li> <li>• The particular risks that may be present in a conflict or post-conflict context;</li> <li>• The project impacts on ecosystem services, as they are directly relevant to community health and safety; and</li> <li>• The current or projected effects of climate change and other natural hazards.</li> </ul> </li> </ul>	<ul style="list-style-type: none"> <li>• The safeguard applies to the project, mainly because the project involves travel and transport to and into NPAs, with associated risks of spreading diseases to IP&amp;LCs and PIACI and of transport accidents, and because some activities such as control and surveillance may involve direct safety and public security risks (due to illegal and illicit activities). Detailed impacts are assessed in Chapter 5.</li> </ul>	<ul style="list-style-type: none"> <li>• Please note that security threats posed by illegal activities in NPA may have an impact on project activities in certain areas.</li> </ul>	<ul style="list-style-type: none"> <li>• The ESMF includes provisions for assessing and minimizing the risk of exposure of communities and project workers to disease and other relevant health risks.</li> <li>• The ESMF includes a Security and Safety Protocol.</li> </ul>
<b>A note on Disclosure</b>			
<ul style="list-style-type: none"> <li>• Disclosure is implemented to ensure that the Project Team: a) conducts meaningful consultations with relevant stakeholders</li> </ul>	<ul style="list-style-type: none"> <li>• This requirement is relevant to the PdP A&amp;C project.</li> </ul>	<ul style="list-style-type: none"> <li>• The national ESIA law is compliant with this and requires meaningful consultations with</li> </ul>	<ul style="list-style-type: none"> <li>• Relevant consultations are carried out as part of the ESMF and this document</li> </ul>

WWF safeguards	Application to the project	Gaps with national legislation	Role of the ESMF
<p>(including affected groups, indigenous peoples, CSOs, and local authorities) regarding the project's environmental &amp; social impacts as per the Standard on Stakeholder Engagement; b) to take their views into account; and c) to make the results of such engagements available to the general public.</p> <ul style="list-style-type: none"> <li>The following documents constitute the minimum documents that must be made publicly available to comply with this requirement: <ul style="list-style-type: none"> <li>Environmental and Social Management Framework (ESMF).</li> <li>Stakeholder Engagement Plan (SEP)</li> </ul> </li> <li>All key safeguards documents are going to be publicly disclosed on the WWF Safeguards Resource web page (<a href="http://www.worldwildlife.org/pages/safeguards-resources">http://www.worldwildlife.org/pages/safeguards-resources</a>) and should also be published on national websites of the Executing Entities and be translated into appropriate local languages in Hard Copy formats and made available in specific locations to ensure accessibility to affected communities.</li> </ul>		<p>stakeholders during project design and preparation of environmental and social risk management instruments.</p>	<p>will be disclosed in compliance with the requirements. See Chapter 8 for details.</p>
<b>WWF's Guidance Note on Labor and Working Conditions, including principles for park rangers</b>			
<ul style="list-style-type: none"> <li>WWF will ensure that any funding of activities complies with WWF's Environment and Social Safeguards Framework (ESSF), as detailed in the Safeguards Integrated Policies and Procedures (SIPP) and more specifically international labor and working condition standards (...) including: <ul style="list-style-type: none"> <li>occupational health and safety.</li> <li>zero-tolerance policy for child labor and for all forms of forced or compulsory labor.</li> </ul> </li> </ul>	<ul style="list-style-type: none"> <li>Areas of potential unintended adverse impacts are: <ul style="list-style-type: none"> <li>work of the NPAs rangers</li> <li>construction of administrative buildings, watch towers, accommodation for NPAs rangers. In such cases, these activities are usually executed by third party contractors who employ qualified construction</li> </ul> </li> </ul>	<ul style="list-style-type: none"> <li>On labor issues, Peru's labor regulations exceed the standards of the WWF guidance, but there is a lack of enforcement of regulations.</li> <li>Consultations with NPAs rangers and with institutional stakeholders have shown that there are gaps in insurance coverage for rangers.</li> </ul>	<ul style="list-style-type: none"> <li>The ESMF includes procedures to guarantee that any worker employed by the project benefits from working conditions compliant with this WWF's standard.</li> <li>ESMPs will be prepared for construction activities and will serve to include labor</li> </ul>

WWF safeguards	Application to the project	Gaps with national legislation	Role of the ESMF
<ul style="list-style-type: none"> <li>- elimination of discrimination in respect of employment and occupation.</li> </ul>	<p>workers including sub-contractors.</p>		<p>requirements in construction contracts.</p> <ul style="list-style-type: none"> <li>• Implementation of ESMPs for infrastructure construction will be monitored to ensure compliance with occupational health and safety regulations.</li> </ul>
<b>WWF's Guidance Note on Gender Based Violence and Sexual Abuse, Exploitation and Harassment</b>			
<ul style="list-style-type: none"> <li>• The WWF has a zero-tolerance policy for gender-based violence as well as Sexual Abuse, Sexual Exploitation and Sexual Harassment (SEAH). WWF has developed a guidance note on processes for preventing SEAH in its projects<sup>24</sup>.</li> </ul>	<ul style="list-style-type: none"> <li>• This Guidance Note for preventing SEAH is relevant to the project.</li> </ul>	<ul style="list-style-type: none"> <li>• As shown in the project's gender assessment, Peru has policies against gender-based violence but lacks resources for effective implementation. Unfortunately, gender-based violence is still common in areas where the PdP A&amp;C project will be implemented and can be aggravated due to the presence of outsiders supporting the project implementation.</li> </ul>	<ul style="list-style-type: none"> <li>• In addition to training measures implemented in the GAP and the GRM, the ESMF includes processes to identify risks related to the presence of external workers in NPAs.</li> </ul>

<sup>24</sup> <https://www.worldwildlife.org/safeguards-resources>

## CHAPTER 3 ENVIRONMENTAL AND SOCIAL CONDITIONS

93. This chapter provides a general description of the environmental and social conditions in the areas where both of the project's components will be implemented.
94. The following paragraphs summarize the environmental and socio-economic conditions of the 25 NPAs of the project and of their buffer zones. The sources of information for the baseline were the current and prior NPAs Master Plans, the available documentation about the NPAs (such as their "*diagnósticos*" and "*expedientes técnicos*"), the consultative process undertaken between 2020 and 2024, and documentation from SERNANP's website.
95. The depth and availability of baseline information is variable between NPAs. The paragraphs below explain the methodology used in this report for the baseline summaries.
96. Social baseline. Data about populations living in the NPAs, or using the NPA's resources for a living, are very disparate. Furthermore, finding data about population living in the buffer zone is difficult because available documents generally refer to "neighboring areas" of the NPAs, as the limits of the BZ are not well-known in the field. Another difficulty in establishing the social baseline of the NPAs is that variable names are used for communities and/or localities, thus forbidding the establishment of a clear population overview. The tables below present the best available data on population numbers, separately identifying IPs whenever possible. According to the consultations that were held for the ESMF, the NPA head offices have a good practical knowledge of the number of communities living in or near the NPAs, something that should be harnessed during project implementation for any social safeguards work.
97. Environmental baseline. Though most NPAs have detailed data on forest cover (in grid format), biodiversity baselines are not available for all the NPAs, which explains why improving biodiversity monitoring is part of the objectives of many Master Plans. The biodiversity baselines that are available in the documents vary in their methodology, and it is difficult to establish a unified summary for all the NPAs. In some cases, lists or numbers of species are available, especially for the Lowland Rainforest NPAs, where the number of registered species is extremely high. But the number of registered species is proportional to the research effort and may not be entirely representative of the biodiversity in the NPA. The Master Plans mention lists of species as most worthy of protection or most emblematic, but the list of these species is not clearly determined following scientific guidelines and may not be representative. To provide a first overview of ecology for the ESMF, a simplified approach consisting in describing the main ecosystem types encountered in the NPAs has been adopted, using a typology that comes the nearest possible to WWF's definition of ecoregions. We have then outlined the level of threats to which the ecosystems are exposed, which gives a broad indication of the conservation status of the NPA. Almost all NPAs have been zoned, and this zonation, available in the Master Plans, provides an indication of the state of conservation of the different areas of the NPAs.
98. Maps. SERNANP now has a well-organized digital database of vector geographic information, but there are few good overview maps available either in physical documents or online. A few maps outlines have been generated for the ESMF. Some of the NPAs have published high-quality maps, others do not.

### 3.1. Climate Change

99. Peru emitted 210,404.42 Gg CO<sub>2</sub>eq per year in 2019. The main GHG emission source is the 'Land Use, Land Use Change and Forestry' (LULUCF) sector due to conversion of forest and pastures, which represents over 90% of the sector's emissions (WWF, 2019a).
100. According to the Ministry of Environment's 'National Forest Conservation Program for Climate Change Mitigation', Peru has lost 2,284,889 hectares of Amazonian rainforest between 2001 and 2018, due to impacts of extractive industries, expansion of small-scale and large-scale agriculture and livestock, and infrastructure development (MINAM, 2019).
101. Peru has six out of nine features by which the United Nations Framework Convention on Climate Change (UNFCCC) recognizes a country as "particularly vulnerable to climate change". These features are a low-lying coastal area, arid and semi-arid lands, flood zones, desertification, fragile mountain ecosystems, and urban areas with high atmospheric pollution. According to Peru's National Climate Change Strategy (ENCC), negative impacts of global warming are currently visible, among others, in the retreat of glaciers, in changes in precipitation patterns and availability of water resources, changes in temperature patterns, changes in the coastal upwelling system, and in an increase in the intensity and frequency of extreme weather events.

### 3.2. Territories and land titling in the Amazon

102. After a difficult colonial history, during which the largest part the indigenous population was exterminated, Peru began to recognize Indigenous Peoples and to title their collective lands in the beginning of the 20th century. For the native communities of the Amazon, the territory is understood as a whole, a unit, which a) belongs to a group of people and b) is the space that belonged to their ancestors and will belong to their descendants. It is the space where their history has taken place, where they live their present and develop their future. This is why the protection of the rights of Indigenous Peoples, in the international legal framework as well as in the Peruvian legal framework, is related to the protection of their territories.
103. The Ministry of Culture's database for Indigenous Original Peoples in Peru includes 51 native communities in the Amazon region and 4 peasant communities in the Andean region (MINCUL, 2024)<sup>25</sup>. According to the Institute for Common Good (*Instituto del Bien Común*), on September 21, 2022, there were 2,260 native communities recognized, 1,580 native communities registered and 713 native communities to be recognized. Thus, there exists a gap of 700 native communities pending of obtaining their land titles. Loreto is the region with the higher land titling gap.
104. In 2006, according to the COFOPRI, among the 1,497 native communities recognized by that time, 1,260 have received land titles for almost 11 million ha, of which half are under 'cession in use'<sup>26</sup>. Smith (2013) estimates that in 2013, the territories of 3350 peasant communities and 663 native communities were not secured yet. This information is consistent with the results of the Third Census, which indicate that only 77% of the native communities owns titles to their lands.
105. The 2017 INEI census also identifies conflicts around indigenous lands. Of the 2,703 listed Amazonian communities, 808 declared being engaged in a conflict about the community's lands.

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<sup>25</sup> <https://bdpi.cultura.gob.pe/pueblos-indigenas>

<sup>26</sup> See legal framework: land belonging to the State, as is generally the case of land in the ANPs because the forests are declared national heritage and as such, of public domain, can only be 'transferred in use'.

The persons or entities with which the communities indicated being in conflict include: other native or peasant communities (45%); individuals (27%); wood trade companies (14%), oil companies (7%), mining companies (5%) and informal miners (2%).

106. The results of the Third Census indicate that, of the total number of native communities, 73% are affiliated with a representative organization or a local, regional or national federation. Among the purposes of the representative organizations are to defend the collective rights of native peoples, and to connect the national political agenda with the needs of the communities. These organizations generally follow the customs of the IP or native people.

### 3.3. Socio-economic aspects

#### Indigenous Populations

107. The Indigenous Peoples who will be participating in the PdP A&C project are mainly: (i) Quechuas (from Cusco, Junín, Pasco, among other regions); (ii) Ashaninkas (from Junin, Pasco and Ucayali Departments); (iii) Machiguengas (from Cusco and Madre de Dios Departments); (iv) Yaneshas (from Pasco and Huánuco Departments); (v) Awajun and Wampis (from the Amazonas Department); and (vi) Cocama-cocamilla (from Loreto and Ucayali Departments), among others.
108. Most IP communities in the Amazon region practice traditional ancestral subsistence activities. The Third Census mentions that 2,015 communities (out of 2,703) practice traditional agriculture, 1,504 fishing, 1,423 hunting, 687 forest management, 500 livestock breeding and 434 management and exchange of seeds. Other practiced traditional activities are typical dances (13 communities), water seeding and harvesting (97 communities), textile (207 communities) and ceramics (307 communities).
109. A majority of Amazonian native communities also practice commercial agricultural and livestock activities. Another important economic activity is the commercialization of art or craft objects, carried out by 607 communities. Transport and tourism activities are carried out as business by 30 native communities. Around 12 native communities do not carry out any productive or business activity.
110. The Third Census identifies the levels of assets of which the native Amazonian communities may benefit, as shown in the table below. The data show, among other things, that in 2017, 57% of the communities were without any radio or telephone service. The census also shows how a typical feature of these communities is their inaccessibility, as most communities are only accessible by river.

**Table 7. Assets in the Amazonian IP communities (native communities)**

Type	% of the 2703 communities who have access to:
<b>Communication</b>	
Satellite radio	21,6%
Landline	19,9%
Cable or satellite TV	4,9%
Radio	3,6%
Internet	2,9%
Cell phone	0,5%
No communication service	57,0%

<b>Communal infrastructure</b>	
Community house	68,7%
Community storage place	13,9%
Overnight accommodation	4,5%
Shop	1,3%
No communal infrastructure	24,3%
<b>Access routes from the district capital to the community</b>	
By river/water	70,6%
Dirt track	20,9%
Hardened track	15,1%
Road – non asphalted	12,8%
Asphalt road	4,5%
By air	0,2%

Source: INEI, 2017. Third National Census of Amazonian Native Communities.

111. Indigenous Peoples are present in and around the project's NPAs, under the following circumstances:

- PIACI inside the NPA limits (Manu NP, Alto Purus NP, Cordillera Azul NP, Sierra del Divisor NP, Megantoni NS, and Matsés NR);
- Indigenous People, mostly organized as native communities, inside the NPA limits;
- Indigenous People, mostly organized as native communities, in the buffer zone (or very near the NPA).

112. In the case of PIACI, the State's policy, as well as SERNANP's, is to avoid any type of undesired contact. In the case of non PIACI IPs established within NPAs of indirect use before the NPA creation, SERNANP supports their land titling process and favors the subscription of agreements on the use of renewable natural resources in the NPA. In addition, pre-existing activities practiced by IP&LCs, such as agriculture, fishing and hunting, can also be recognized through the establishment of a special use zone within the NPAs known as Special Use Zone.

113. In the case of the Cordillera Azul NP, in the process of elaboration of the Master Plan, IPs in isolation were identified in the southeastern area of the national park, and a special use zone was hence established for their protection, covering 221,131 ha. This allowed the installation of control posts in the native communities for the MINCUL protection agents responsible for PIACI, in order to prevent the entry of loggers and the monitoring of signs of presence of these people.

114. In some NPAs and their buffer zones, the number of indigenous communities may reach more than a hundred. Representative organizations of the indigenous communities are members of the NPA Management Committees in at least 18 NPAs of the PdP A&C project where IPs are present. Tensions or conflicts may exist, mostly due to land tenure issues, or as a remnant of past conflicts. During the consultations held for the preparation of the ESMF, it appeared that a significant driver of conflicts with IP in the NPAs is the existence of large energy or infrastructure projects. Other sources of tension may exist around the definition and categorization of the NPAs themselves. The last series of consultations with indigenous communities held in July 2024 showed that some communities face restrictions and bans on the use of, or access to, natural resources imposed by SERNANP rangers. Some communities argued they want to practice traditional uses while others

mentioned they want to harvest or hunt within the NPA for commercial purposes. This situation is a source of tension between SERNANP and the IP communities.

115. As mentioned, Indigenous Peoples (according to the definition of WWF and GCF, which is consistent with Peru's legal definition) are present in the 25 NPA. PIACI are identified in at least 6 NPA (see Table 8).
116. Settlers or “*colonos*”, who are migrants from other parts of the country (mainly from the Andean region), settle informally (sometimes illegally) in NPAs or buffer zones. These settlements are generally established by migrants seeking new land, whereby they practice deforestation to clear land for agriculture or even to gain legal tenure. When they come from regions with a different climate or vegetation, such as the Sierra (the Andean region), they can be ignorant of locally sustainable agricultural practices and their economic activities can, therefore, result in negative environmental impacts. There is, unfortunately, a lack of verifiable data on the frequency, size and constitution of these settlements, owing to both remoteness, uncertainty of tenure and the complexities inherent to migratory practices<sup>27</sup>.

**Table 8. Summary of Indigenous People present in the project's NPA and their BZ**

Northern rainforest	Northwestern rainforest	Central rainforest	Southern rainforest
PN YAGUA MURUI, OCAÍNA, KICHWA, YAGUA, BORA Y TIKUNA.	PN RIO ABISEO -	PN YANACHAGA CHEMILLEN YANESHAS.	SH MACCHU PICCHU (QUECHUA)
RN ALLPAHUAYO MISHANA (TBD)	PN CORDILLERA AZUL YINE, SHIPIBO CONIBO, CASHIBO KAKATAIBO Y KECHWA LAMISTA. <b>(PIACI)</b>	BP SAN MATIAS SAN CARLOS YANESHAS.	SN MEGANTONI MATSIGUENGA, YINE- YAMI, KAKINTE Y ASHÁNINKA, KUGAPAKORI-NANTI Y NAHUA-YORA. <b>(PIACI)</b>
RN PUCACURO KICHWA.	BP ALTO MAYO AWAJUN.	SN PAMPA HERMOSA -	PN MANU MATSIGUENGA, YINES, HARAKMBUT, YORA, NANTIS. <b>(PIACI)</b>
RN MATSES MATSÉS. <b>(PIACI)</b>	SN TABACONAS NAMBALLE -	PN TINGO MARIA -	RN TAMBOPATA ESE' EJA, HARAKMBUT.
RN PACAYA SAMIRIA KUKAMA KUKAMILLA, KIWCHA, SHIPIBO CONIBO, SHIWILU, URARINAS.	PN ICHIGKAT MUJA AWAJUN, WAMPIS.	BP PUI PUI -	PN BAHUAJA SONENE ESE'EJA.
PN SIERRA DEL DIVISOR MATSES, SHIPIBO CONIBO, ISCONAHUAS, ASHÉNINKA, HUAMBISA. <b>(PIACI)</b>	SN CORDILLERA DE COLAN AWAJUN.		PN OTISHI ASHANINKA, YINE YAMI, MACHIGUENGA, CAQUINTE

<sup>27</sup> Menton, M. and Cronkleton, P., 2019. Migration and forests in the Peruvian Amazon: A review.

<p><b>PN GUEPPI SAKIME</b> KISHWA, SECOYA, HUITOTO.</p>			<p><b>PN ALTO PURÚS</b> AMAHUACA, ASHÁNINKA, YINE, YAMINAHUA, CHITONAHUAS, MASTANAHUAS. <b>(PIACI: MASHCOPIRO Y MADIJÁ)</b></p>
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## Livelihoods

117. The indigenous population of the indigenous communities involved in the project usually engage in family farming with small crops of cassava, plantain, corn, *sachapapa*, among others, primarily for food security. They also practice artisanal fishing and hunting for family subsistence, as well as gathering fruits such as *aguaje*, *ungurahui*, among others, depending on the resources available in a given area. Indigenous women utilize seeds, resins, and medicinal plants for use in their handicrafts and, in the case of medicinal plants, for family health.
118. In addition, depending on where a given community is located (for example, if it is near Tambopata or Pacaya Samiria National Reserves), its individuals might be able to seasonally engage in community-based tourism, offering guided tours to small groups of tourists and selling hand-made objects or crafts as a complimentary activity.
119. Specifically in relation to the areas of Component 2, the following is known based on the Protected Natural Area Master Plans for Pacaya Samiria National Reserve, Manu National Park, Tambopata national Reserve, Baguaja Sonene National Park and Sierra del Divisor National Park:
- Manu National Park and its buffer zone (based on Master Plan 2024-2029):  
Most of the indigenous communities in the area reside adjacent to the PA, while there are 2 indigenous communities—Tayacome and Yomibato—inside the PA. Overall, these communities rely on traditional subsistence farming and organic gardens, subsistence hunting and artisanal fishing, as well as resource gathering (*huasai*, *pona*, *shapaja*, *ungurahui* and *pijuayo*). The buffer zone includes small-scale colonist farmers and mestizo settlers who engage in subsistence agriculture (mainly cassava, plantain, and rice), small-scale livestock raising (chickens, pigs), and wage labor in informal gold mining activities. These populations face challenges too, related to limited access to healthcare services, educational infrastructure, and formal employment opportunities. Food security is often dependent on seasonal harvests and vulnerable to climate variability
  - Tambopata National Reserve and its buffer zone (based on Master Plan 2025-2030):  
In essence, the population present here relies on harvesting and selling Brazil nuts (*Bertholletia excelsa*) through concession agreements with the Peruvian State (SERNANP). Additionally, the indigenous communities engage in artisanal and substance fishing, community-based tourism and other related activities such as handicrafts and cultural heritage interpretation. Other vulnerable population are primarily of mestizo agricultural colonists, migrant workers from highland regions (Andean migrants), and informal Brazil nut collectors without concessions. These groups depend on seasonal agricultural work (coffee, cacao, banana cultivation), day labor in ecotourism lodges, and informal economic activities. They often lack secure land tenure, adequate housing, and

access to potable water and sanitation services. Health access is limited, with many relying on sporadic mobile health campaigns.

- Bahuaja Sonene National Park and its buffer zone (based on Mater Plan 2023-2028):

The population engages in subsistence fishing and the collection of *taricaya* turtle eggs for their own consumption. Some communities are involved in the harvesting and sale of Brazil nuts (*Bertholletia excelsa*), which is one of the main economic activities for indigenous families in these native communities. The population also maintains a traditional health system based on the use of medicinal plants, passed down through generations. The park's natural and cultural landscape offers opportunities for ecotourism and experiential tourism, especially related to clay licks, the Pampas del Heath landscape, and the Ese'Eja culture. The other vulnerable populations include mestizo settlers, small farmers, and informal miners in the buffer zone who practice subsistence agriculture (rice, cassava), small-scale cattle ranching, and seasonal gold panning. These populations experience high rates of poverty, limited educational attainment (particularly at secondary level), and inadequate transportation infrastructure that isolates them from regional markets and services. Access to electricity and telecommunications is sporadic or non-existent in many settlements.

- Sierra del Divisor National Park and its buffer zone (based on Master Plan 2023-2027):

The population engages in subsistence activities such as hunting and fishing, and the collection of seeds for family consumption inside the PA. In its buffer zone, the indigenous population engages in small-scale artisanal fishing for commercial purposes, experiential tourism and complementary activities such as the production and sale of handicrafts made from fibers and seeds. Some indigenous families in the communities practice the management and re-nesting of turtles (*taricayas*). The mestizo colonist communities, riverine populations (ribereños), and migrant agricultural workers who cultivate small plots for subsistence (maize, beans, yucca) and engage in timber extraction (often informal or illegal), are other type of population vulnerable. These groups face extreme remoteness, with limited river transportation as the primary access route, resulting in high costs for goods and services. Healthcare facilities are virtually absent, and educational opportunities rarely extend beyond primary school. Income generation is irregular and heavily dependent on extractive activities.

- Pacaya Samiria National Reserve and its buffer zone (based on Master Plan 2024-2028):

The indigenous communities present in the area are primarily engaged in regulated artisanal fishing of *paiche* and *paco*, with quotas and permitted seasons. Some communities also practice sustainable management of aquatic turtles (*taricayas* and *charapas*), promoting incubation and protection. Because it is an area of palm swamps, the population utilizes the aguaje fruit (*Mauritia flexuosa*) for commercialization and subsequent processing. Part of the population may engage in experiential tourism on a seasonal basis. The mestizo riverine communities (ribereños), landless fishermen, and seasonal laborers who depend on artisanal fishing (often with less access to formal quotas than indigenous communities), aguaje harvesting, and small-scale agriculture on floodplain land, are vulnerable population. These populations are highly vulnerable to annual flooding cycles that can destroy crops and homes. They face challenges including inadequate sanitation, contaminated water sources, high rates of parasitic diseases,

malnutrition (particularly among children), and limited economic diversification. Access to markets is constrained by transportation costs and seasonal river navigability.

120. As we can see from previous paragraphs, in all the buffer zones of the aforementioned PAs, there are some small rural or riverside communities composed of a mix of indigenous (migrant populations from the Andean region to the Amazon) and mestizo or settler populations (who do not self-identify as indigenous) who, overall, are primarily engaged in small-scale shifting cultivation (cassava, plantain, corn), livestock farming and artisanal fishing for commercial purposes.

### **3.4. Population data**

121. Based on available data, it is estimated that approximately 40,000 people reside within the boundaries of the NPAs. The majority of these, or approximately 23,000 people are classified as IPs and are distributed across 120 indigenous groups (the remainder are *colonos* or migrant populations). According to MINCUL (2023) there is an estimate of 7,500 people considered as PIACI; of which 5,200 are in isolation and 2,300 in initial contact<sup>28</sup>.
122. The data do not allow for accurate estimates regarding the number of inhabitants or IPs living in the buffer zones or on land that is adjacent to the NPAs. The minimum estimate is that there are at least 200,000 inhabitants living adjacent or within the NPAs and their buffer zones. It is further estimated that about 50,000 of these inhabitants (spread across 300 communities) would be classified as indigenous. However, official data is not available for large or remote areas such as Manu, Alto Purús and Sierra del Divisor national parks, which would likely increase these population estimates.

#### ***Afro-Peruvian people***

123. Though the Peruvian state recognizes the figure of “Afro-Peruvian people”, this demographic group is not considered Indigenous People. Rather, they are recognized as a distinct group with their own identity and a differentiated framework of rights, though not considered part of the Andean or Amazonian People. This recognition was granted via Law 32189 (2004), which constitutionally enshrined Afro-Peruvian people as a collective subject with their own cultural identity and right, separate from campesino and other native (indigenous) communities.
124. There are no concentrations of Afro-Peruvian people in the Amazon region. They have only been registered in Loreto (Northeast cluster) and San Martín (North Central cluster). According to the 2017 Census of Ethnic Self-Perception by the National Institute of Statistics and Informatics (INEI), 3.5% of the total Afro-Peruvian population is located in San Martín (26,925 people) and 2.1% in Loreto (12,585 people).
125. If, during implementation, the final sites selected for development of project activities in North East and North Central, the PMU (via the ESS officer) should ensure that targeted impact assessments and mitigation measures are developed for this demographic group so that any risks and benefit-sharing arrangements are adequately identified and addressed.

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<sup>28</sup> <https://www.gob.pe/institucion/cultura/noticias/759706-ministerio-de-cultura-reafirma-compromiso-de-fortalecer-implementacion-de-politicas-publicas-que-garanticen-los-derechos-de-los-piaci>

**Table 9. Population Data**

Name	NPA population estimates			Buffer Zones population estimates		
	Total	Indigenous communities	Indigenous peoples	Total	Indigenous communities	Indigenous peoples
Pui Pui PF	50	0	0	500	??	??
San Matias-San Carlos PF	6,800	29	5,800	N.A.	0	0
Alto Mayo PF	4,000	0	0	20,800	4	800
Tingo María NP	100	0	0	4,000	0	0
Manu NP	2,500	10	2,500	N.A.	N.A.	N.A.
Río Abiseo NP	0	0	0	10,000	N.A.	N.A.
Yanachaga-Chemillén NP	0	0	0	N.A.	N.A.	N.A.
Bahuaja-Sonene NP	1,000	1	100	7,600	4	800
Cordillera Azul NP	50	1	50	45,000	N.A.	N.A.
Otishi NP	600	3	600	N.A.	37	7,400
Alto Purús NP	200	4	200	N.A.	73	14,600
Ichigkat Muja-CC NP	0	0	0	4,800	24	4,800
Güepipi-Sekime NP	0	0	0	600	3	600
Sierra del Divisor NP	150	3	150	N.A.	N.A.	N.A.
Yaguas NP	0	0	0	1,500	28	1,500
Pacaya-Samiria NR	24,000	63	12,600	68,000	68	13,600
Tambopata NR	500	0	0	800	4	800
Allpahuayo Mishana NR	1,200	6	900	3,000	11	1,650
Matsés NR	0	0	0	450	3	450
Pucacuro NR	0	0	0	3,600	7	2,000
Machupicchu HS	0	0	0	8,000	0	0
Megantoni NS	0	0	0	8,000	40	7,000
Pampa Hermosa NS	0	0	0	500	N.A.	N.A.
Tabaconas-Namballe NS	100	0	0	1,060	0	0
Cordillera de Colán NS	500	0	0	1,400	2	400
<b>TOTAL</b>	<b>41,750</b>	<b>120</b>	<b>22,900</b>	<b>Over 189,610</b>	<b>Over 308</b>	<b>Over 56,400</b>

Source: compilation of the data given in chapter containing NPA profiles.

### 3.5. Identification of vulnerable groups in relation to the project activities

126. The vulnerability of IPs in the project area varies per community and per NPA and should be established before proposed project activities are implemented, in relation to their potential impacts.
127. Except for the PIACI, not all IPs are equally vulnerable. Some of them, especially the peasant communities, although poorer than the average population, may still benefit from relatively high levels of integration into the dominant society and public infrastructure services.

128. The vulnerability of settlers (“*colonos*”) and their inclusion under the various activities of the project will have to be assessed on a case-by-case basis. There may be cases when they live in conditions of poverty and lack basic services. There are also cases where they live in populated centers with higher levels of incomes and better access to public services than the indigenous populations. Due to their general informality and lack of organization, these populations are generally not well known or defined. There are, however, cases where the settlers or “*colonos*” reach a certain degree of formalization and the recognition of rights over the lands where they have settled. As a result of this complexity, it may be difficult to involve them in the management of the NPAs, even if explicitly provided for under the project.

## CHAPTER 4 PROJECT IMPLEMENTATION ARRANGEMENTS

### 4.1. Main project partners

129. Ministry of Economy and Finance (MEF). **The Ministry of Economy and Finance (MEF) is the National Designated Authority (NDA) for the Green Climate Fund (GCF).**
130. **Ministry of Environment.** The Ministry of the Environment (MINAM) is the public agency responsible for the environmental and natural resources management policy-making and is the lead sector that coordinates programs, policies and strategies to combat climate change through mitigation and adaptation actions set in the NDC.
131. **National Service for Protected Natural Areas (SERNANP).** The National Service of Natural Areas Protected by the State (SERNANP) will be the Implementation Partner for Component 1 of the project. Activities under this component will benefit not only staff at SERNANP headquarters but also the NPA head offices (NPA heads, technical specialists and park rangers). SERNANP is a Specialized Technical Public Body ascribed to the Ministry of the Environment (MINAM). It is in charge of the management of the country's NPA and of biodiversity conservation. SERNANP is the governing body of the National System for Natural Protected Areas (SINANPE). In its capacity as technical-regulatory authority, SERNANP carries out its work in coordination with regional and local governments and with private conservation areas. NPA head offices exercise the main responsibilities in their respective NPA. Typically, they include an NPA head, a few professionals (e.g. biologists, geographers, or other relevant disciplines) and park rangers.
132. **WWF US.** WWF US (World Wildlife Fund) is the Accredited Entity (AE) for this GCF-financed project. WWF's mission is to stop the degradation of the planet's natural environment and to build a future in which humans live in harmony with nature, by conserving the world's biological diversity, ensuring that the use of renewable natural resources is sustainable, and promoting the reduction of pollution and wasteful consumption.
133. **WWF Peru.** WWF Peru will be the executing entity for Component 2 (adaptation component) of the PdP A&C project that includes IP organizations and IP communities not only as beneficiaries but also as implementing partners. WWF-Peru is currently implementing the project "Indigenous Amazon: Rights and Resources" which aims to improve the participation of Indigenous Peoples in the sustainable economic development of the Amazon region, leading to the conservation of biodiversity and the reduction of emissions from forest loss. The project is implemented in Colombia, Ecuador, Peru, Brazil and at the regional level. Of particular relevance to the design and execution of this PdP A&C proposal are WWF Peru's more than 20 years of experience in the Peruvian Amazon region working with IP communities, farmers, ranchers, forest engineers, local governments and conservation authorities on a variety of conservation and sustainable production projects to, among other things, strengthening community forest management, communal management of their resources and their ancestral knowledge and practices, as well as expanding the benefits for climate and biodiversity; and promoting the certification of forest products and ecological reforestation. In recent years, WWF Peru has prioritized productive activities such as agroforestry, artisanal crafts, fish farming, tourism, and small-scale timber harvesting; managing to support 51 enterprises that benefit more than 120 indigenous people local communities in the Peruvian Amazon region.
134. **Peruvian Trust Fund for Protected Natural Areas (PROFONANPE).** PROFONANPE is a private non-profit entity, created in 1995 and specialized in the efficient fund raising and

administration of financial resources for the execution of programs and projects that contribute to the conservation of biodiversity through NPA effective management, and the mitigation and adaptation of climate change. PROFONANPE will act as the executing entity of Component 1. PROFONANPE is the only National Implementation Entity (NIE) accredited for GCF programs and projects in Peru, and it designed and negotiated the first project approved by the GCF in Peru, "Building the resilience of wetlands in the province of Datem del Marañón".

#### **4.1.1. Institutional Capacity of Project Partners**

135. As the AE, WWF conducted legal (Annex 9a) and financial and operational (Annex 9b) due diligence assessments of Project Executing Entities, WWF-Peru and PROFONANPE. This includes an assessment of financial systems, controls, management framework, policies, and procedures to ensure both entities meet WWF's (AE) minimum fiduciary standards to manage the Project. In addition, PROFONANPE is a GCF Direct Access Entity whose policies and procedures have been vetted and approved by the GCF as part of the accreditation process. The legal due diligence assessment evaluates whether certain legal matters (e.g., tax, foreign exchange regulations, regulatory frameworks) would affect the implementation of the project as described in the Funding Proposal. As provided in clauses 4.05(b) and (c) of the Accreditation Master Agreement dated November 16, 2017, this due diligence was conducted in accordance with the AE's internal practice when dealing with funds for which it has management or investment responsibility. The AE conducted the due diligence that it would apply to its own portfolio or when using or investing its own funds or funds for which it has management or investment responsibility.
136. In addition, both entities have been requested to complete an additional WWF GCF Technical Evaluation Form, which includes safeguards aspects.. Overall, all entities involved demonstrate high-capacity levels in implementation of safeguards measures: 1) Profonanpe is a GCF Accredited Entity, which indicates that the GCF has evaluated this entity and approved its accreditation; 2) WWF Peru has been systematically applying safeguards since 2019 at the office level, and they also have experience working in the development of GEF projects (including dealing with grievances during said time); 3) as has been added to the ESMF, SERNANP has experienced significant advances in matters of safeguards as an ESMF governing 38 PAs and developed following Profonanpe and WWF's standards was approved by presidential resolution in 2021. The three entities also have operational GRMs.
137. Prior to the beginning of project execution, the AE will offer extensive training in ESMG, SEP and GAP implementation. In addition, a training program will be developed in collaboration with the EEs to enhance the necessary capacities as gaps are identified in the project's technical teams, WWF and indigenous organizations that support actions on the field. The EEs will develop training performance indicators and capacity improvement assessments with their respective means of verification.

#### **4.2. Project implementation arrangements**

138. For the PdP A&C project, WWF US will serve as the Accredited Entity (AE). PROFONANPE, and WWF Peru will serve as Executing Entities (EEs) in different capacities and SERNANP will serve as the Implementing Partner for Component 1. As Peru's public agency responsible for the management of NPAs, SERNANP have the skills, experience, and remit to perform their respective roles within the Project and, as such, will receive goods and/or services procured or provided directly by PROFONANPE to implement Component 1. As a co-EE, WWF Peru will be

responsible for implementing Component 2 with support from SERNANP, the indigenous organizations AIDSESEP and CONAP and the Indigenous People local communities. PROFONANPE will also serve as the financial manager and administrator of the GCF proceeds and most of the international co-finance of the PdP A&C project.

139. The Project Management Unit (PMU) will be hosted by PROFONANPE and embedded in the PdP PMU (or PdP “Equipo Núcleo”) that oversees management of the PdP Initiative. The PMU will comprise a: (i) Project Manager; (ii) Project Manager Assistant; (iii) Project Finance Manager; (iv) Procurement Specialist; (v) ESS Lead; (vi) Gender Lead; (vii) M&E Lead; and (viii) Indigenous People/Stakeholder Engagement Lead. Cooperation between Profonanpe (EE, Component 1) and SERNANP (Procured Party, Component 1) will be detailed in a cooperative agreement (see Section B4 of the FP).
140. As Component 1 of this Project contributes to a larger national initiative, it will nest under the governance of the PdP Board, which has oversight over the Transition Fund created by the Peru PfP. The PdP Board will ensure future alignment with country goals and that targets of the Peru PfP have been met. Other roles of the PdP Board, as described in its Operating Manual, include ensuring compliance with the Operating Manual, ensuring compliance with the objectives and goals established in the Peru PfP Conservation Plan, contributing to the financial sustainability of the basic and structural management levels and the maintenance of the investments of the enabling conditions of the optimal management level prioritized in the financial model for the target NPAs. As the Project will receive co-finance that contributes to the national PdP Initiative, the PMU will contribute to consolidated PdP reports, annual work plans, budgets, and recommendations to the PdP Board. The PdP Board will remain active for the duration of the GCF Project and, as appropriate, provide advice on whether disbursement conditions have been met for the year as long as there are funds available in the Transition Fund.
141. The Project PMU will coordinate closely with the PdP Initiative PMU (or PdP “core team”) that oversees management of that initiative; which includes a PdP coordinator, a NPA specialist, an economics specialist, an administrative assistant, a financial manager, and two communications specialists that will serve as co-finance.
142. To guide project implementation, the majority of the PMU members will be hosted within SERNANP. For SERNANP, these roles will include a project coordinator, an administrative assistant, and environmental and social safeguards coordinator/senior specialist, a gender coordinator, a stakeholder engagement officer and a M&E coordinator. For financial management, PROFONANPE staff will include a financial manager, a procurement coordinator, a financial assistant, and a HR analyst as part of the PMU.
143. For Component 2, Cooperation between WWF-Peru and the national Indigenous Organizations (AIDSESEP and CONAP) will be detailed in the relevant Grant Agreements to be entered by the EE with each of them to carry out technical coordination and financial management. To guide the implementation of Component 2, a Directive Board will be formed and include: (i) 1 representative of WWF Peru (who will chair this board and, as the EE, will have veto power over any decisions regarding the implementation of Component 2); and (ii) 2 representatives (with gender parity) from each of AIDSESEP and CONAP (accordingly, there will be 5 Directive Board members total). The technical team for Component 2 will be housed both within WWF Peru and each national Indigenous Organization. For WWF-Peru, this team will include a Project Coordinator,

Administrative and Communications Assistants, Safeguards and Gender Coordinator and an M&E Coordinator. For the national Indigenous Organizations, this team will include technical and community development specialist, which will be subject to the supervision of WWF-Peru.

144. The PMU will closely coordinate with SERNANP directorates and NPA head offices and all the stakeholders in the NPAs.
145. As the Accredited Entity, WWF US will assume the duties and responsibilities of the Accredited Entity as described in the Accreditation Master Agreement between GCF and WWF, providing oversight and quality assurance in accordance with its policies and procedures, and any additional specific requirements contained in the Subsidiary Agreements with both SERNANP and PROFONANPE. This may include, but is not limited to, monitoring missions, spot checks, facilitation, and participation in project steering committee meetings, quarterly progress and annual implementation reviews, and audits at project level or at Executing Entity level on the resources received from WWF.
146. According to the procedures of the WWF-GCF Accreditation Master Agreement, the Accredited Entity will:
  - Sign the Funded Activity Agreement (FAA) with the GCF;
  - WWF-US (AE) will enter into a Subsidiary Agreement with PROFONANPE after the signing of the FAA, which will cover, among other things, their role as the financial manager for the GCF resources for Component 1. The Subsidiary Agreement with PROFONANPE will include the terms and conditions of the FAA that are required to be flowed down thereunder (including policy requirements such as safeguards, gender, fiduciary, AML/CFT and prohibited practices);
  - WWF US and WWF Peru (local branch office) will formalize an Internal Project Memorandum which will cover, among others, WWF-Peru's role for Component 2. WWF US will provide GCF resources to WWF Peru for Component 2 and a locally-led Indigenous Adaptation Fund (LLIAF) will be set up by WWF-Peru under Component 2, co-administered by WWF Peru, AIDSEP and CONAP.
147. The Accredited Entity will ensure that all relevant terms of the GCF-AE FAA are carried over into the Accredited Entity-Executing Entities agreements, including but not limited to WWF's environmental and social safeguards.
148. Implementation arrangements for this project ESMF are described below.

#### **4.3. Institutional arrangement for the ESMF implementation**

149. The ESMF will be implemented by the following team of environmental and social risk management specialists:
  1. **A lead environmental and social safeguards specialist in the PMU-SERNANP** will be responsible for implementing safeguards for Component 1 and for overseeing safeguards compliance for the whole project. This specialist will plan and oversee implementation of the ESMF and hold overall responsibility for ensuring adequate implementation of safeguards in collaboration with WWF Peru, including the Stakeholder Engagement Plan (SEP, in coordination with the lead mentioned in point 3 below) as well as the Grievance Redress

- Mechanism (in coordination with SERNANP) and other safeguard instruments listed in this ESMF.
2. The lead safeguards specialist will be supported by a **Profonanpe support safeguards specialist**. This person will be responsible for supervising the project's overall compliance with WWF's and GCF's ESS and policies. They will also support the work of the ESS lead as appropriate and needed.
  3. The PMU will also host a **stakeholder engagement lead with expertise on Indigenous People**, who will be responsible for leading the implementation the SEP.
  4. **A social safeguards specialist with expertise on Indigenous Peoples will be embedded within the WWF Peru Office**. This person will be accompanied by a **gender officer also within WWF Peru**. These specialists will mainly oversee social safeguards and gender for Component 2 and ensure compliance with the ESMF, SEP and GAP. They will also be responsible for leading stakeholder engagement in Component 2 and may support the safeguards specialists in the PMU if required. They will liaise with the safeguard, gender and stakeholder specialists in the PMU with regard to overall safeguards reporting on the project.
  5. These staff members will be supported by **two additional cluster-level focal points**, with each one covering two of the four clusters in the project. Experienced in safeguards and/or gender, these focal points will help coordinate communication flows and work tasks between the safeguards staff at the PMU and the 25 SERNANP's focal points for safeguards and gender in each of the targeted PAs (see point 6 below), as well as with the safeguards and gender staff in WWF Peru.
  6. Given the large geographical scope of the project and the remoteness of some of the targeted sites, it is important to have a **designated focal point for each PA** to support the safeguards and gender work on-the-ground. As such, in addition to the environmental and social safeguards team at the PMU and at WWF Peru, and the 2 cluster-level focal points, a SERNANP staff member in each NPA will be designated as the focal point for safeguards, SEP, gender and project-level Grievance Redress Mechanism (the MAQS, see Chapter 8) implementation (total of 25).
150. Specific arrangements and responsibilities related to the implementation of environmental and social standards requirements are as follows:
- **Executing Entity leading Component 1 will be PROFONANPE with SERNAP as overall project implementation partner** with specific responsibility for environmental and social risk management (safeguards) for Component 1 and overall responsibility for ensuring that environmental and social risk management actions are implemented across the project.
  - **Executing Entity leading Component 2 (WWF Peru)** with responsibility for ensuring environmental and social risk management actions are implemented for Component 2.
  - **WWF US GCF Accredited Entity** with responsibility for: (i) overall oversight and monitoring of compliance with environmental and social standards requirements, duties and obligations; and (ii) support and provision of specific recommendations on specific environmental and social standard issues if needed.
  - **Project Management Unit (PMU)** with responsibility for:

- (i) Ensuring that bidding documents and contracts include any environmental and social relevant technical specifications, particular clauses, code of conduct for contractors' personnel or conditions relevant to environmental and social risk management as set out in this ESMF. It is particularly important to include in bidding documents requirements related to environmental and social standards triggered (e.g. preparation of an Environmental and Social Management Plans, report of serious incidents, zero tolerance for sexual harassment, abuse and exploitation, adoption of the security and safety protocol, universal access, if possible, at control and surveillance check points, use of certified timber, etc.).
  - (ii) Implementing the ESMF, the Gender Action Plan, the Stakeholder Engagement Plan, and other safeguard instruments and regularly recording environmental and social risk management performance.
  - (iii) Supervision of Social and Environmental Safeguards Specialists.
  - (iv) Wide socialization of all the project's GRMs, particularly the project-level one.
  - (v) Disclosure of environmental and social safeguard documents in formats and channels that are culturally appropriate.
  - (vi) Reporting on environmental and social standards compliance and social and environmental risk management performance to the PMU and WWF GCF AE.
- **ESS Specialists** (two at SERNANP PMU for Component 1 specifically and overall compliance assurance, including the Stakeholder Engagement Lead, and one at WWF Peru for Component 2). Main responsibilities will include:
    - (i) Overall responsibility for compliance with provisions in the ESMF.
    - (ii) Review annual work plans, budgets and analyses, planned community/individual sub-projects by sub-grant partners and their environmental/social impacts, in order to identify safeguards risks and mitigation measures.
    - (iii) Provide oversight and coordinate the socio-economic surveys, as needed, to identify project affected people and prepare ToR for specific safeguard instruments.
    - (iv) Prepare and contribute to environmental and social risks/impacts screenings and documents as necessary in accordance with the ESMF and in close collaboration with the PMU, the focal points at the NPAs and the focal points at the cluster level.
    - (v) Ensuring the inclusion of environmental and social risk management requirements in all project bidding documents and contracts.
    - (vi) Monitoring contractors' compliance with WWF environmental and social standards requirements.
    - (vii) Identify and liaise with all the stakeholders involved in environment and social risk management related issues in the project.
    - (viii) Conduct consultation meetings with local stakeholders as required, informing and updating them on the latest project development activities.
    - (ix) Ensure that consultations with communities are carried out in an inclusive, respectful, culturally appropriate and participatory manner, and are well documented.
    - (x) Reporting on safeguards implementation and compliance to the PMU Project Manager.
    - (xi) Operate the project's Grievance Redress Mechanism (GRM) in collaboration with SERNANP, including compiling and reporting on project-related grievances, monitoring grievance resolution, and closing the feedback loop with the complainant.

- (xii) Overseeing dissemination of information regarding all the available GRMs among local communities by all the PMU staff.
  - (xiii) Monitor the state of safeguards implementation and ensure that activities are implemented in accordance with best practices and guidelines set out in the ESMF.
  - (xiv) Carry out field visits as necessary to monitor the implementation of project activities and their compliance with safeguard requirements.
  - (xv) Provide capacity building support to the PMU and other project related stakeholders on environmental and social risk management issues.
  - (xvi) Provide execution assistance and advise the Project Manager as necessary on safeguards related issues including adaptive management.
  - (xvii) Inform the PMU about overall safeguards compliance and environmental and social risk management performance.
  - (xviii) Work with the gender coordinators to ensure that the PMU and all executing, implementing and procured parties are trained on identifying, avoiding and minimizing SEAH-related risks.
  - (xix) Support the gender coordinators in the implementation of the Gender Action Plan (please refer to Annex 8 for more details).
- **25 NPA Focal Points and 2 Cluster-Level Focal Points**

In each NPA, a SERNANP member of the Head Office will be assigned as the PdP A&C focal point for safeguards and gender implementation as well as for managing the Stakeholder Engagement Plan and supporting the operation of the Grievance Redress Mechanism. These focal points will be supported by two additional focal points stationed at the cluster level who will sit or be assigned to 2 NPA Head Offices that, although remain to be determined at this time, will be selected due to their significance and/or proximity to the project's working sites.

Overall, this group of focal points will be responsible for:

- (i) Screening activities for environmental and social risk management and coordination with safeguards specialists to get advice about necessary mitigation plans and measures.
- (ii) Contributing to the preparation of safeguards documents (site-specific ESMPs or other safeguards plans) as needed
- (iii) Implementation of environmental and social risk management actions in project activities carried out in the NPAs and/or BZs in a concerted way.
- (iv) Follow up implementation of environmental and social risk management actions and measures in accordance with safeguards instruments described in this ESMF.
- (v) Conduct stakeholder engagement in project activities design and implementation in accordance with the Stakeholders Engagement Plan and to update local stakeholders on the latest project development activities.
- (vi) Monitor and report on stakeholder engagement and exchange information with the PMU.
- (vii) Collaborating with safeguards staff to ensure that safeguards requirements are included in all project-binding documents and contracts.
- (viii) Monitoring contractor's compliance with safeguards requirements.
- (ix) Carrying out regular site-inspections.

- (x) Managing the Grievance Redress Mechanism in collaboration with the project's ESS and Gender staff.

## **CHAPTER 5 ENVIRONMENTAL AND SOCIAL RISKS AND MITIGATION MEASURES**

151. An ESMF was selected as the preferred project safeguards instruments for environmental and social risk and impact management because specific location, technical details and beneficiaries of project activities are not fully known yet. Typically, the range of an ESMF may include: 1) projects with a limited number of large subprojects with potentially moderate to high impacts, with subprojects that will require an Environmental and Social Impact Screening or an Environmental Assessment with an Environmental and Social Management Plan; 2) projects with numerous small-scale subprojects that generally have less significant impacts; and 3) range from technical issues to system issues (i.e. management of multiple subprojects) in terms of review, evaluation and monitoring.
152. The PdP A&C project is characterized by including numerous and geographically dispersed small-scale interventions (sub-activities) with primarily less significant negative impacts, mostly low to moderate. As most ESMF, this ESMF will require: 1) greater prescription for screening and mitigation measures on the part of the project lead executing entities and implementers; 2) ensuring that sub-activities are socially and environmentally sustainable; and 3) the need for viable monitoring for a multitude of geographically dispersed small-scale sub-activities.
153. This Chapter includes a preliminary identification of potential environmental and social risks and impacts that might be caused during implementation of project activities as well as contextual risks that cannot be altered by the project but that can affect its smooth implementation. Therefore, these contextual risks need to be taken into account when designing and implementing project activities under both components. This ESMF also contains a set of tools and procedures that would guide the PMU to effectively address social and environmental risks and impacts and identify mitigation measures.
154. Main tools contained or referred to in this ESMF include:
- Safeguards Eligibility and Impacts Screening (Appendix 1)
  - ESIA and ESMP (Chapter 6 and Appendix 2)
  - Security and Safety Protocol, including emergency preparedness (Appendix 3)
  - Guidance on Labor and Working Conditions (Appendix 4)
  - Format for reporting occurrence of serious incidents (Appendix 5)
  - Protocol on chance sighting and contact with PIACI (Appendix 6)
  - Chance finds procedure in case of archaeological, historic or palaeontologic remains (Chapter 6)
  - Process Framework (Chapter 6) and indicative outline for LRP (Appendix 7)
  - An Indigenous Peoples Planning Framework (Chapter 7), as well as an indicative list of IPLC representatives (Appendix 8)
155. Potential social and environmental risks/impacts - including occupational health, safety and security risks/impacts - will be screened in detail during the design and planning of project activities under components 1 and 2 once the specific location, technical design, logistics and stakeholders involved be known. The following paragraphs described some contextual risks that might affect project implementation as well as the environmental and social risks and impacts

related to project activities that will need to be managed (e.g. prevented, minimized, mitigated or compensated):

### 5.1. Some contextual risks

156. **Chance encounters with perpetrators of environmental crimes (e.g. illegal gold mining, illegal logging, cocaine production and trafficking, illegal fishing, land grabbing, etc.).** Given the wide range of illegal activities in the NPAs included in the PdP A&C project, there exist the chance of encounters of project collaborators with perpetrators of environmental crimes, some of which may be violent and represent a serious and life-threatening risk. In addition, targeted killing of native community leaders defending their territories and natural resources and killing of community rangers have occurred in the past in NPAs and buffer zones<sup>29</sup>. Lastly, chance findings of laboratories used for cocaine production and airstrips used by drug traffickers within NPAs have been reported by rangers. To mitigate these risks, the following is recommended:

- i) NPA rangers that carry out surveillance and control activities in collaboration with native/local communities within NPAs and/or buffer zones should regularly map and update the security risks. This information should be discreetly scaled to NPA Head;
- ii) regular coordination between SERNANP and national institutions in charge of security and public order such as the National Police and the Navy to complement information gathered by rangers and native communities;
- iii) verifying security conditions in and around project sites during the activity planning process, asking feedback to NPA heads, rangers, community members, etc., few days before the field visit; iv) adopt the Security and Safety Protocol prepared for the PdP A&C project.

157. **Chance encounters with PIACI members with potential serious consequences.** This is an important contextual risk that must be carefully considered when planning activities in NPAs with PIACI presence, which has been reported in at least 6 of the project NPAs: these NPA are Manu NP, Alto-Purús NP, Sierra del Divisor NP, Cordillera Azul NP, and Matsés NR. The PIACI move across large areas of territory and it is not known when they may appear in a certain place. The most serious consequences may involve: i) injuries or death of community members or tourists from weapons used by PIACI when they feel threatened, ii) transmission of lethal diseases to members of the PIACI; iii) restriction on subsistence activities practiced by native communities and settlers in those areas where PIACI tend to appear; and iv) a state of permanent fear in native communities where the PIACI have entered (e.g. Shipetiari native community in Manu National Park)<sup>30</sup>. Among the measures to prevent encounters with PIACI during the implementation of Project activities, the following actions are recommended:

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<sup>29</sup> <https://es.mongabay.com/2024/04/peru-asesinan-guardaparque-victorio-dariquebe-reserva-comunal-amarakaeri/>

<sup>30</sup> In a recent community assembly in the Shipetari native community (Manu National Park) in March 2024, the community members expressed fear by potential new incursions by PIACI and urgently requested the presence of the Ministry of Culture (i.e. construction of a control check point).

- i) the NPA head offices, based on permanent coordination with the Ministry of Culture (MINCUL), regularly update NPA maps indicating the sectors where the presence of PIACI has been reported;
  - ii) avoid selecting project sites close to areas where the presence of PIACI has been reported;
  - iii) get familiar with the PIACI Protocol in case of activities carried out in NPAs where the presence of PIACI has been reported.
158. **Activities consisting of climate-resilient productive practices that can be identified for communal development** do not have adequate recognition and support by SERNANP because the native community is located within the ANP and does not have a title, which could generate frustration in the indigenous people local community and fuel conflicts with the ANP (SERNANP). It will be important to involve and keep informed SERNANP (NPA management team and rangers) about the design of these activities.
159. The table below (Table 9) illustrates main contextual risks by each of the 25 NPAs.

**Table 9. Contextual Risks in the PdP A&C project NPA**

Name	Area (ha)	Contextual Risks
<b>Tingo María NP</b>	4,777	Encroachment of non-sustainable activities, illegal logging, unplanned infrastructure development, illegal mining, species trade, fishing and/or poaching
<b>Manu NP</b>	1,716,295	PIACI, tourism related waste/pollution, UNESCO World Heritage Site, unplanned road infrastructure development, wild species illegal trade, fishing and/or poaching
<b>Río Abiseo NP</b>	274,520	Illegal logging, unplanned infrastructure development, illegal mining, species trade, fishing and/or poaching, UNESCO World Heritage Site
<b>Yanachaga-Chemillén NP</b>	122,000	Coca cultivation, drug trafficking routes, illegal logging, unplanned infrastructure development, illegal mining, species trade, fishing and/or poaching
<b>Bahuaja-Sonene NP</b>	1,091,416	illegal logging, unplanned infrastructure development, illegal mining, species trade, fishing and/or poaching, children abduction
<b>Cordillera Azul NP</b>	1,353,191	PIACI, illegal logging, unplanned infrastructure development, illegal mining, species trade, fishing and/or poaching, land grabbing
<b>Otishi NP</b>	305,973	Coca cultivation, drug trafficking, extreme insecurity (proximity to VRAEM)
<b>Alto Purús NP</b>	2,510,694	Drug trafficking routes, PIACI
<b>Ichigkat Muja-Cordillera del Cóndor NP</b>	88,477	Presence of army at the border and corresponding tracks/trails Presence of Ecuadorian Shuar (IP) communities illegal logging, unplanned infrastructure development, illegal mining, species trade, fishing and/or poaching
<b>Güeppí-Sekime NP</b>	203,629	Army presence in triple border (Ecuador, Colombia and Peru)
<b>Sierra del Divisor NP</b>	1,354,485	PIACI, coca cultivation, encounters with armed people that produce basic cocaine paste, entry of unauthorized persons threatening the lifestyle of PIACI illegal logging, illegal species trade, fishing and/or poaching
<b>Yaguas NP</b>	868,928	illegal logging, illegal mining, species trade, fishing and/or poaching
<b>Megantoni NS</b>	215,869	illegal logging, unplanned infrastructure development, illegal mining, species trade, fishing and/or poaching, PIACI
<b>Pampa Hermosa NS</b>	11,544	UNESCO Biosphere Reserve (together with Piu Piu Protection Forest)
<b>Tabaconas-Namballe NS</b>	32,125	Encroachment of livestock, tourism related waste/pollution illegal logging, unplanned infrastructure development, illegal mining, species trade, fishing and/or poaching
<b>Cordillera de Colán NS</b>	39,216	illegal logging, unplanned infrastructure development, illegal mining, species trade, fishing and/or poaching
<b>Machupicchu HS</b>	32,592	Archaeological remains, UNESCO World Heritage Site, solid waste generation, landslides
<b>Pacaya-Samiria NR</b>	2,080,000	Selective illegal logging of commercial timber species, illegal fishing and poaching for commercial purposes, illegal removal of eggs and hatchlings of aquatic chelonians, illegal harvesting the fruit of the aguaje palm tree for commercial purposes, expansion of the agricultural frontier, poorly developed oil exploitation activities and contamination of water bodies by oil spillovers and adverse impacts on fresh water resources
<b>Tambopata NR</b>	274,690	illegal logging, unplanned infrastructure development, illegal mining, species trade, fishing and/or poaching
<b>Allpahuayo Mishana NR</b>	58,070	Illegal gold mining and participation of native communities in illegal gold mining
<b>Matsés NR</b>	420,635	PIACI, illegal logging, unplanned infrastructure development, illegal mining, species trade, fishing and/or poaching
<b>Pucacuro NR</b>	637,954	Oil concessions and/or environmental degradation and tensions due to oil transport infrastructure, illegal logging, unplanned infrastructure development, illegal mining, species trade, fishing and/or poaching
<b>Pui Pui PF</b>	60,000	Encroachment of new settlements, illegal logging, unplanned infrastructure development, illegal mining, species trade, fishing and/or poaching
<b>San Matias-San Carlos PF</b>	145,818	Land trafficking, use of agro-chemicals

Name	Area (ha)	Contextual Risks
Alto Mayo PF	182,000	Land occupation and conflicts, illegal logging, unplanned infrastructure development, illegal mining, species trade, fishing and/or poaching

NP: national park; NR: national reserve; PF: protection forest; NS: national sanctuary; HS: historic sanctuary

Source: own elaboration

## 5.2. Potential PdP A&C project Environmental and Social Risks and Impacts

### Social Risks

160. **Restrictions on access to natural resources in NPAs to certain groups that have traditionally or historically used those resources, regardless of whether or not they have legal rights, due to the strengthening of control and surveillance actions by SERNANP.** Although the law in Peru protects the traditional and collective rights of native communities to use natural resources for subsistence purposes in their territories within or adjacent to NPAs, the project could impose restrictions to other local communities such as settlers (colonos) or peasant communities. If, as a result of strengthened surveillance and control actions, some groups (e.g. settlers, peasant communities) that have historically used land or natural resources in a given location within a NPA are imposed restrictions that affect their livelihoods, that in turn may cause economic displacement, then the project will need to prepare a Process Framework to compensate those individuals/families negatively affected by those restrictions. More specifically:

- *bio-businesses* are expected to generate only moderate and temporary economic displacement in the sense that local communities would shift some of the ways they generate an income from activities that are not compatible with conservation to sustainable livelihoods. The participatory mechanisms by which this shift occurs are conservation agreements and use rights, and, notably, the community is a full partner in the conversation around the shift in their economic activity. Furthermore, the studies for bio-business plans under the Project will consider those products that are available in the places where people live and the communities' Life Plans, where they have been established. Afterward, the Project will also follow SERNANP's practice of aligning conservation agreements and user rights that put into practice the bio-business plans with communities' Life Plans, where available, so that these documents respond to the communities' priorities, strengthen their governance, and contribute to the sustainable use of natural resources, ensuring long-term social, cultural, and environmental benefits. In addition, the activity provides support to ensure that livelihood is financially sustainable in the long term. That notwithstanding, the Process Framework development should guide implementation of these activities to ensure that the affected communities income is not negatively affected either during the transition towards those new productive process or during a reasonable amount of time after initial implementation, depending on when stabilization is expected based on their business plan
- In relation to *tourism*, the projected activities include support for local tourism operators present in the landscape. The activity is therefore expected to enhance their livelihoods and raise their income. It is likely that other local stakeholders will also shift their means of making a living to at least partly include tourism as tourism increases in some of these areas, by e.g. offering lodging and food near the NPAs selected for this activity. This development will be closely monitored by the PMU to ensure that those practices continue to be sustainable as they potentially scale up.

- Regarding *EbA activities*, the project does not anticipate economic displacement. The five EbA interventions will be implemented in areas that are not yet fully defined, but site selection will be carried out in close consultation with Indigenous communities and SERNANP. These areas will be prioritized based on ecological and climate adaptation considerations, and the project aims to maintain community access to these areas and the ecosystem services they provide. Because the concrete sites are still unknown, the screening applied to EbA activities during implementation will yield more specific information that will confirm whether the community access is preserved in its entirety or whether additional measures need to be put in place.
161. **Conflicts and tensions with local communities due to their opposition to the placement of milestones to demarcate NPA limits.** The placement of a milestone could generate a situation of tension or conflict between SERNANP and some members of the local communities, who associate said placement/construction with potential restrictions on access to land and natural resources. It is recommended that SERNANP: i) present in a didactic/graphic (e.g. using GIS) and culturally appropriate way to the members of said communities the SERNANP protocol for the placement of milestones and the context (e.g. Master Plan); ii) include at least a community member in the brigade that would participate in the construction of the milestone and its verification (the participation of a community member is also important because they know the safest routes to reach the demarcation site and can avoid that places of spiritual importance are entered, if any); iii) communicate in advance the native communities through whose territories the brigade in charge of the demarcation will transit so that they are informed and do not feel disrespected.
162. **Potential conflicts or tensions with local communities if they perceive benefits of tourism development in target NPAs are not shared with them or if the strategic tourism alliances exclude them.** Identification of strategic tourism alliances should be participatory and involve key stakeholders to define what tourism niche is preferred for developed to increase quality of visitor experience. The selection process of the tourism strategic alliances – reflected in specific criteria and procedures to be defined by relevant stakeholders - should be competitive, transparent and collaboratively co-designed with local communities in order to reduce the risk of inequities, elite-capture, inter-community conflict and/or complaints. Sample criteria that might be consider in the bidding process include: percentage of revenues reinvested in or shared with local communities, employment of community labor, gender equity, etc.
163. **Sexual Harassment, Abuse and Exploitation.** The SEAH risk rating for PdP A&C has been determined as Moderate, based on a screening of project activities and knowledge of the current context in the project area, which highlights such factors as outsiders/contractors working in Native communities, remote worksites, repeated community-facing engagements with multiple partners, history of sexual exploitation and human trafficking in some areas, and power asymmetry within communities, increasing the potential risks of SEAH in the project. Specifically, there is a risk of sexual harassment and abuse of women in native communities. Some native communities that will benefit from this project have reported that outsiders have committed rape and sexual abuse which resulted in unwanted pregnancies and/or contagion of sexual transmission diseases. The contracts of any procured or sub-implementing parties should include clauses of zero tolerance for sexual harassment and abuse of any woman and man, whether indigenous or non-indigenous. A code of conduct should also be included in contracts. The project-level GRM will be designed to be victim-centered and will be disseminated among native communities so they can report any misconduct of PdP A&C project workers (e.g. SERNANP, WWF, PROFONANPE, contractors, implementing

partners, etc.). In some NPAs there is a contextual risk, associated to human trafficking for sexual exploitation and child labor and native communities are highly vulnerable to these risks. Members of native communities should be vigilant with regard to the contact with outsiders that enter their territory.

164. **Regarding supply chain risks**, it should be noted that the risk of child or forced labor in project-related activities is low. Notwithstanding that, it is probable that children will accompany their parents to attend some of the project meetings or demonstrations. Furthermore, there is a cultural tradition of sharing productive spaces and daily activities with the family as part of their development, instilling in them the value of work and integration into family and community life. This is why indigenous children in their communities are involved in some family and community activities (such as farming, seed collection, and weaving and crafting), especially during vacations and weekends. It is believed that this developmental process involves the progressive acquisition of skills that are in accordance with the physical and social maturation of children. Given this context, although child labor will be completely forbidden in accordance with current national legislation and international standards, the project will ensure that any activity involving indigenous families includes monitoring and control procedures to prevent children's participation in exploitative activities that violate their fundamental rights. Regular training will also be provided to project technical teams on children's rights and safeguards, regional Indigenous organizations, and communities on prevention, early identification, and effective response to potential cases of child exploitation.
165. **Project workers' lack of proper intercultural communication and respect for the indigenous people and local communities' culture, traditions and language.** There exists the risk that certain project workers who will provide technical assistance to IP&LCs use very technical jargon (that adversely effects communication) and do not know about the indigenous economy and productive practices, thus imposing external productive models and practices that in the end are not adopted by said IP&LCs. In this context, in some indigenous people communities have pointed out that interpreters might be required to facilitate the learning process on ecosystem-based adaptation and other topics (under component 2). The following actions will be implemented by the project: 1) safeguards and gender specialists will train these parties and 2) within the trainings that the PdP A&C Project proposes for SERNANP staff, space will be included for training on this particular topic. Activities to be designed as part of the PdP A&C project will be carried out in consensus with the IP communities and on the basis of their updated Life Plans, if they had them.
166. **Indigenous People and PIACI.** The overall potential risks and impacts for IPs include: vulnerability of rights to land, natural resources, culture, and traditions, as well as impacts on social structure and Indigenous governance; and potential increase in inequalities and threats to the security of communities, especially women, in the face of the presence of external actors in Indigenous territories. For PIACI, the overall risks and impacts could include: physical and social impacts resulting from unwanted encounters, sightings, or contact with PIACI, which may affect their lives, health, well-being, and self-determination; high health vulnerability of PIACI due to a lack of adequate immune response to potential external diseases; and risks of violence or conflict arising from unplanned or accidental contact with PIACI. Chapter 7 (IPPF) deals with these in more detail.
167. **Lack of participation and insufficient information.** At the time of project's design, three main social risks were identified by IP in the 5 NPAs prioritized under Component 2: 1) Low participation of direct beneficiaries of activities in each stage of their execution; 2) Lack of access

to relevant information that could generate misunderstandings between representatives of executing entities/implementing partners (staff, consultants, contractors) and the IPs involved; and 3) Lack of understanding of the information that will be provided by the activities' beneficiaries. These risks will be managed by constantly monitoring the technical assistance carried out; and consulting beneficiaries to see if they understood the activities-specific information provided.

168. **Gender inequity.** There is always a risk of lack of inclusion of women in project activities. This is something that was systematically mentioned in consultation workshops with indigenous people local communities' leaders held in Pucallpa, Puerto Maldonado and Iquitos in July 2024. Understanding how roles are distributed among men and women, as well as key gender issues and aspects in the Amazon region, is critical to design project activities that actually give women the space and opportunity to participate in and lead project activities beyond the ones explicitly include women. The project has prepared a Gender Analysis and a Gender Action Plan to mainstream gender issues and aspect since the very beginning of activities design, thus preventing not only exclusion of women in project activities but also SEAH.

### **Environmental risks**

169. **Fatal or non-fatal accidents.** To be sure, these have a low probability of occurrence but if they occur, they may have serious consequences (e.g. fatalities). These accidents can involve any type of project worker as well as members of communities linked and not linked to the project, and they are associated with the logistics of transportation (river and ground) of people and goods to the remote project sites in the NPAs. Given the difficult geography that characterizes many of the Project's NPAs, the mighty Amazonian rivers used for said transportation and, in many cases, the long distance to health centers equipped to care for seriously injured people, the following is recommended as preventive measures for this risk the following: i) hire experienced drivers with a valid driving license appropriate to the type of vehicle they will drive, without a history of traffic accidents, knowledgeable about the route, respectful of speed limits and with a prudent/safe driving style; ii) ensure that all project vehicles and suppliers/subcontractors have Mandatory Traffic Accident Insurance (SOAT); iii) hire experienced motorists who know the river and its dangers and who do not risk navigating during river floods; iii) use of life jackets while traveling through river; iv) regular mechanical maintenance of project vehicles; iv) do not use the cell phone while driving the vehicle or stop the vehicle in blind spots/curves (risk of collision); and v) request a driver to reduce speed and report unsafe and reckless driving if necessary. These measures can be addressed by the Human Resources area. For example, requesting evidence/certificates of compliance with requirements from people interested in applying for driving positions and verifying that Project vehicles and other Project service providers have current SOAT insurance. Appendix 3 contains the Security and Safety Protocol and presents complementary detailed measures. That Protocol will be of mandatory compliance and will be periodically updated.
170. **Adverse health risks to project workers** (including direct and indirect workers and members of local communities and institutional partners that support the implementation of project activities). The PdP A&C Project involves a significant amount of field work for the implementation of a multiplicity of activities, which might sometimes entail long walks in remote areas with the presence of wildlife and diseases dangerous to human health, in very hot climates and with a lot of radiation. Thus, people supporting the project can be exposed to: i) dehydration due to exposure to high temperatures for many hours; ii) skin diseases due to high radiation, iii) poisonous snake bites,

iv) malaria, dengue and Leishmaniasis diseases; and v) gastrointestinal diseases due to the lack of safe drinking water sources. It is recommended to focus on hydration during workdays, use appropriate clothing and hats, including appropriate footwear to minimize the risk of stings/bites, and be accompanied by members of local communities who know the terrain and know how to move about the space to minimize risks.

**171. Accidents associated with construction and maintenance of infrastructure.** Contractors' personnel and community workers involved in construction and maintenance of SERNANP surveillance and control check points may be exposed to occupational health and safety risks such as: inhalation of solvents from painting and wood preservatives, dehydration, injuries due to sawing or cutting wood and falling from height, stings from poisonous insects, etc. The Environmental and Social Management Plans developed during implementation should include a description of personal protection equipment to be required from/provided to workers as well as provision for safe drinking water, clothing and footwear requirements, first aid kit, etc. The contracts of all procured parties should reflect their obligation to comply with the national labor legislation in terms of health and safety issues. The project-level GRM should be disseminated among contractors and their personnel. In case community workers are recruited by the procured parties for specific tasks/works in native communities, they should be informed in advance about benefits (salary, etc.), number of work hours, health and safety risks, etc. and provided personal equipped protection (e.g. helmet and harness in case carrying out works at height).

**172. Chance findings of physical cultural resources and entry to spaces of spiritual importance.** Peru is characterized by a rich material and intangible cultural heritage and some of the NPAs included in the project are designated UNESCO World Heritage Sites (Machupicchu NP, Rio Abiseo NP and Manu NP) and UNESCO Biosphere Reserves (Manu NP and adjacent NPAs, Pampa Hermosa HR, Piu Piu NP, Yanachaga-Chemillén NP). Although project activities are not expected to damage physical cultural resources located within NPAs and/or in their buffer zones, there is always the possibility of chance finding of physical cultural resources in the sites identified for construction of milestones, tourism infrastructure and surveillance checkpoints. In case of chance findings, the provisions established by the Ministry of Culture for such cases, which must be complied by procured parties/brigades, include: 1) informing the Ministry of Culture (the corresponding Subnational Directorate of Culture) if physical cultural resources were found during construction works, within the deadline set in the law; 2) suspending civil works or construction activities until archaeologists from the Ministry of Culture carry out a technical inspection; and 3) Ministry of Culture might recommend protection measures, which might imply that alternative locations for project infrastructure will have to be identified. Also, Amazon native communities, forests and some geographical formations (hills, lagoons, etc.) are considered of spiritual importance and project supporting team should avoid entering these sites without permission from the relevant communities. During implementation of project activities within territories of native communities, information on spiritual sites, if any of importance, and their location will be gathered from community members.

**173. Impacts on biodiversity.** As per the exclusion list included in this ESMF, this project shall not support activities that could result in the loss of biodiversity, alteration of the functioning of ecosystems and/or introduction of new invasive species. Beyond that, the project encompasses on-the-ground activities in legally protected natural areas which host unique and critical natural habitats (some of which are internationally recognized as well). As such, the following approach will be adopted for project activities:

1. Mitigation measures will be designed to achieve no net loss of biodiversity
  2. Ensure that the proposed activities in such areas are legally permitted;
  3. Ensure activities are consistent with any government recognized management plans for such areas;
  4. Consult protected area sponsors and managers, Affected Communities, Indigenous Peoples and other stakeholders on the proposed project, as appropriate;
  5. Conduct biodiversity assessments such as critical habitat screening and assessments as part of the ESIA and prepare any additional plans (such as a Biodiversity Action Plan), as may be needed during due diligence.
174. Table 10 below describes the proposed project activities and sub activities and provides preliminary information on the potential unintended negative environmental and social risks and impacts, mitigation measures and responsibility.

**Table 10 Potential Environmental and Social Risks/Impacts, Mitigation Instruments and Responsibility**

Activity	Sub-activity	Risks/Impacts	Mitigation Measures	Responsibility
<b>Component 1: Addressing climate change through financially sustainable improved management effectiveness of natural protected areas and buffer zones in Peru</b>				
<b>Output 1.1: Strengthened institutional capacity and sustainable management planning in 25 NPAs</b>				
<b>Activity 1.1.1: Implement physical demarcation of boundaries to reduce threats across the 25 NPAs.</b>	1.1.1.1 Analyze demarcation needs of the targeted NPAs.	<ul style="list-style-type: none"> <li>Some Indigenous People (e.g. native communities in the Peruvian Amazon region) members or other local population groups might be opposed to the construction of demarcation infrastructure given they believe perceived or real restrictions to access land and natural resources will be enforced once demarcation infrastructure is built.</li> <li>Destruction or vandalism of boundary infrastructure by individuals opposed to its construction</li> <li>Chance-find of cultural physical resources in some sites selected for demarcation infrastructure.</li> <li>Exposure to very high temperatures and radiation levels for several hours for staff installing demarcation (depending on the distance to locations for demarcation).</li> <li>Negative impacts on staff health due to physical effort to carry heavy weight (e.g. materials to build the demarcation infrastructure) for long distances.</li> <li>Exposure to poisonous wild fauna can be life-threatening to demarcation staff given, in many cases, the long distance to health centers.</li> </ul>	<ul style="list-style-type: none"> <li>Apply SERNANP’s Working Document 54, Technical Guide for the Physical Demarcation of ANP Boundaries, which includes the following measures:                             <ul style="list-style-type: none"> <li>Information on adjacent properties, whether or not they are registered in public records, is analyzed in order to plan outreach actions by type of neighbor.</li> <li>Action strategies and measures to be implemented by type of neighbor are established to resolve possible conflicts with neighbors.</li> <li>The means of communication available in the area are identified for public announcements and searching for neighbors.</li> <li>The process of disseminating information and the field phase will involve the participation of neighbors.</li> <li>Possible restrictions and difficulties for field work will be analyzed, considering possible situations of social conflict or crime.</li> </ul> </li> <li>Environmental and Social Screening Questionnaire to identify relevant social and environmental risks and mitigation measures to be</li> </ul>	Safeguards specialists at PMU-SERNANP, consultants
	1.1.1.2 Identify the locations for demarcation infrastructure.			
	1.1.1.3 Construct and install physical demarcation infrastructure.			
	1.1.1.4 Maintain the physical demarcation infrastructure.			
	1.1.1.5 Build capacity regarding demarcation for SERNANP staff.			
	1.1.1.6 Support recognition of boundaries by local stakeholders.			

Activity	Sub-activity	Risks/Impacts	Mitigation Measures	Responsibility
		<ul style="list-style-type: none"> <li>• Risk of vector-borne diseases to staff, such as malaria and dengue.</li> <li>• Serious incidents during the trip to install demarcation by road or river (e.g. robberies, car crashes due to poor conditions of some roads, etc.).</li> <li>• Encounters with PIACI (that could constitute life threatening situations to personnel in some cases).</li> <li>• Health impacts on PIACI (diseases transmission by outsiders).</li> <li>• Encounters with members of groups of persons devoted to illegal mining, illegal logging, cocaine trafficking, etc., which are armed and could be violent.</li> <li>• Technical or logistical difficulties in implementing physical demarcation. Habitat deterioration as a result of new trails to install demarcation.</li> </ul>	<p>adopted by SERNANP, PMU members, subcontractors, procured parties and local communities participating in the construction of demarcation infrastructure.</p> <ul style="list-style-type: none"> <li>• In the context of the Stakeholder Engagement Plan, inform local communities in the vicinity of the demarcation infrastructure site on the project's context (e.g. NPA Master Plan) and SERNANP's process for siting and building demarcation infrastructure. .</li> <li>• Involve at least one local community representative and, if applicable, an indigenous representative/community member from the very beginning of the planning process as part of the brigade for demarcation.</li> <li>• As applicable per NPA, ensure the participation of IPs in the planning process via regular, meaningful consultations.</li> <li>• As relevant in areas within the North East and North Central clusters, ensure that Afro-Peruvian communities are consulted</li> <li>• Hold at least 1 training session on GIS/map interpretation with local community members in the context of the milestone/demarcation work. If the NPA demarcation affects IPs, ensure they participate in the training session(s).</li> <li>• Fill in a form to report serious Incidents if they occur.</li> <li>• Follow the MINCUL's PIACI Protocol (Appendix 6) and the Security and Safety Protocol developed for this project to prevent entrance into areas used</li> </ul>	

Activity	Sub-activity	Risks/Impacts	Mitigation Measures	Responsibility
			<p>by PIACI and chance encounters with illegal activities (potentially life-threatening activities).</p> <ul style="list-style-type: none"> <li>• Potentially developing Livelihood Restoration Plans (LPRs) following the Process Framework included in this ESMF. This might be needed (on a case-by-case analysis) in the future if the strengthening of Master Plans in the 25 NPAs leads to real restrictions in access to natural resources and land traditionally used by certain groups (with and without legal rights, indigenous or non-indigenous).</li> <li>• Adopt MINCUL chance finds procedures (e.g. in case of archaeological remains).</li> <li>• In addition to following the requirements incumbent to applicable environmental impact national laws (such as SEIA), park rangers' protection laws (such as law N° 31991 of 2024), the Safety Protocol (Appendix 3) and general protocol for risk assessment and mitigation planning (section 6 of this ESMF and Screening Tool in Appendix 1), the Safeguards and Gender officers in the PMU are required to refer to WWF's Guidance Note on Labor and Working Conditions (Appendix 4) and ensure that all the applicable possible mitigation measures listed therein are incorporated to the project (i.e. written labor management procedures; OHS measures such as training, PPE, emergency prevention and preparedness) and that the applicable suggested OHS Standards are met.</li> </ul>	

Activity	Sub-activity	Risks/Impacts	Mitigation Measures	Responsibility
			<ul style="list-style-type: none"> <li>• Conduct proper, regular maintenance of demarcation milestones to ensure their integrity</li> <li>• Detailed planning of field campaigns, the use of drones, satellite imagery, and high-precision GPS, as well as the definition of operational windows that take seasonality into account.</li> <li>• Use of existing trails wherever possible and use of SERNANP protocols to minimize impact if new trails need to be created.</li> </ul>	
<p><b>Activity 1.1.2: Enhance master plans for 25 NPAs to incorporate appropriate responses to climate change impacts on conservation targets and ecosystem services and support the implementation of adaptive management.</b></p>	<p>1.1.2.1 Design a specific methodological protocol to integrate climate change considerations and EbA solutions in the NPA master plans and a guide to applying this protocol in each NPA.</p> <p>1.1.2.2 Strengthen capacity of SERNANP UOFPyP staff and technical staff in the 25 NPAs on climate change mitigation and adaptation, including incorporating climate considerations into NPA master plans using the new protocol and guide.</p> <p>1.1.2.3 Update master plans for the 25 NPAs to include climate change adaptation and mitigation considerations, including EbA and indicators for monitoring and evaluation, according to the new protocol and guide.</p> <p>1.1.2.4 Support NPA staff in implementing the new climate change considerations in the master plans through technical guidance, communication materials and educational activities for relevant local stakeholders.</p>	<ul style="list-style-type: none"> <li>• Limited participation of local actors in the process</li> <li>• Strengthening of Master Plans in the 25 NPAs leads to real restrictions in access to natural resources and land traditionally used by certain groups (with and without legal rights, indigenous or non-indigenous).</li> <li>• Capacity strengthening such as training activities, hiring of adaptation specialists, specialized training for SERNANP staff on mainstreaming EbA/NbS in NPAs Master Plans and development of methodological protocols do not cause adverse environmental risks but positive ones.</li> </ul>	<ul style="list-style-type: none"> <li>• Stakeholder Engagement Plan to ensure that key stakeholders were informed about the process for strengthening Master Plans for 25 NPAs and outcome, especially IPs.</li> <li>• Collect and include in strengthened Master Plans Indigenous Peoples' knowledge on EbA.</li> <li>• Activate consultation spaces and participatory workshops in each ANP, include communication materials adapted to local contexts, and coordinate on an ongoing basis with local governments, communities, and organizations in the territory.</li> <li>• Include in the process to update each plan an analysis of how land and use rights are affected.</li> <li>• Potentially develop Livelihood Restoration Plans (LPRs) following the Process Framework included in this ESMF on a case-by-case basis if the strengthening of Master Plans in the 25 NPAs leads to real restrictions in access to natural resources and land traditionally used by certain</li> </ul>	<p>PMU-SERNANP specialists, consultants</p> <p>safeguards</p>

Activity	Sub-activity	Risks/Impacts	Mitigation Measures	Responsibility
			groups (with and without legal rights, indigenous or non-indigenous).	
<b>Activity 1.1.3: Strengthen governance in 25 NPAs by ensuring management committees are functioning, have the capacities needed to support NPA decision-making, and advance toward participatory management through the adequate inclusion of women, indigenous peoples, and other vulnerable groups.</b>	<p>1.1.3.1 Hold the management committee general assembly in each of the 25 NPAs once per year, with a focus on training all members regarding effective management and planning for participatory management.</p> <p>1.1.3.2 Hold the biannual assembly of the National Coordination Council of NPA management committees and meetings in each of the five Amazon macroregions to strengthen the capacities of management committee presidents, especially regarding effective and participatory management.</p> <p>1.1.3.3 Support SERNANP in monitoring the capacity of the 25 management committees and the inclusion of women, indigenous peoples and vulnerable groups, as appropriate to each NPA.</p>	<ul style="list-style-type: none"> <li>• Holding annual meetings and an assembly and building Management Committees capacities do not cause environmental and social risks/impacts</li> <li>• Safety and security risks might be associated to trips by road or river made by Indigenous People representatives that will participate in the Management Committees annual meetings.</li> <li>• Underrepresented and vulnerable groups (e.g. women) are not convened to participate in NPA decision-making processes.</li> <li>• Lack of continuity or high turnover of representatives</li> </ul>	<ul style="list-style-type: none"> <li>• Implementation of the Stakeholder Engagement Plan, Gender Action Plan, and Security and Safety Protocol.</li> <li>• In order to ensure equitable access of vulnerable peoples to these meetings, assessments will be undertaken at the time of their planning to determine whether some form of additional logistical support is needed.</li> <li>• Train more than one representative per organization to ensure replacements, document and archive training materials for future use, and create rapid induction mechanisms to facilitate the incorporation of new members.</li> </ul>	<p>PMU-SERNANP specialists</p> <p>safeguards</p>
<b>Output 1.2: Improved surveillance, control and monitoring of 25 NPAs to reduce deforestation</b>				
<b>Activity 1.2.1: Implement effective surveillance and control activities to reduce deforestation in the 25 NPAs.</b>	<p>1.2.1.1 Provide and maintain equipment (including vehicles) for control and prevention to reduce deforestation risks and negative impacts on ecosystems in the 25 target NPAs.</p> <p>1.2.1.2 Train SERNANP staff and strategic partners to implement control and prevention strategies in the 25 target NPAs.</p> <p>1.2.1.3 Implement surveillance and control patrols in accordance with each</p>	<ul style="list-style-type: none"> <li>• Security risks for SERNANP staff in case of encounters with perpetrators of illegal activities (e.g. cocaine, illegal gold miners, illegal loggers, illegal poachers) and potential encounters with PIACI.</li> <li>• Occupational health and safety risks and impacts faced by rangers (SERNANP rangers and community rangers) such as exposure to high radiation levels, dehydration, bites by</li> </ul>	<ul style="list-style-type: none"> <li>• Form to immediately report the occurrence of serious incidents.</li> <li>• Process Framework.</li> <li>• For any NPA where PIACI live, develop a map with locations where presence of PIACI has been reported and avoid implementing activities in those locations.</li> <li>• As applicable, IPs participate in site selection if control post development could impact them and are informed about the</li> </ul>	<p>PMU-SERNANP specialists, contractors, NPA rangers and NPA head offices, and supervisors</p> <p>safeguards</p>

Activity	Sub-activity	Risks/Impacts	Mitigation Measures	Responsibility
	<p>NPA's surveillance and control strategy.</p> <p>1.2.1.4 Build 6 control posts in strategic sectors in NPAs with a high risk of deforestation.</p>	<p>poisonous fauna, malaria, dengue, etc.</p> <ul style="list-style-type: none"> <li>• Work conditions with health and occupational safety risks, and security risks for professional rangers and health and safety of workforce recruited in native communities (occasionally community workers accept the job but do not ask or get information about salary, working hours, etc.) and perform risky construction activities without personal protection equipment.</li> <li>• Culturally inappropriate behavior by some rangers and subcontractors, which might lead to conflicts with community members.</li> <li>• Chance of encounters with PIACI,</li> <li>• Chance of encounters with illegal logger, illegal miners, poachers, drug traffickers,</li> <li>• Accidents related to unsafe driving which not only can affect project workers but also local communities</li> <li>• Land and water contamination due to improper disposal of used oil from vehicles and boats.</li> <li>• Depending on the items, other control and prevention equipment could generate non-biodegradable solid waste such as plastics, metals or batteries if they are not properly maintained and disposed of</li> <li>• Control posts are built in locations with high vulnerability to natural hazards (e.g. floods, landslides)</li> <li>• Building of new control posts generates habitat fragmentation</li> </ul>	<p>location of SERNANP's check points.</p> <ul style="list-style-type: none"> <li>• Should FPIC be required, this consent should be sought and obtained and IPPs should be developed (following the IPPF available in this ESMF).</li> <li>• Regular consultations and monitoring of health, safety and public security risks.</li> <li>• Training offered to SERNANP staff to implement control and surveillance activities must include a space for awareness and sensitization of IP&amp;LCs affected/present in the territories, including elements on respecting their ways of life, their rights and traditional knowledge, among others.</li> <li>• PIACI protocol (approved by MINCUL in 2015)</li> <li>• Do not fly drones in PIACI territories and limit noise during infrastructure construction.</li> <li>• An ESMP will be developed to account for and offer management provisions for all the potential environmental and social impacts derived from the construction of infrastructure/civil works (and maintenance of surveillance and control check points).</li> <li>• The PMU shall ensure that any subcontracting partners (such as construction firms) can execute the indicated safeguards measures and that provisions for those are included in the submitted contracts</li> <li>• Security and Safety Protocol, which includes measures such as:</li> </ul>	

Activity	Sub-activity	Risks/Impacts	Mitigation Measures	Responsibility
		<p>and waste in the immediate surrounding.</p> <ul style="list-style-type: none"> <li>• CO<sub>2</sub> emissions from gasoline use for patrols.</li> <li>• Fauna is stressed due to noise from patrols.</li> </ul>	<ul style="list-style-type: none"> <li>○ Hire drivers who have a good driving record, are familiar with routes/geography and drive responsibly;</li> <li>○ Hire boat motorists who know when and how to navigate the river.</li> <li>• In addition to following the requirements incumbent to applicable environmental impact national laws (such as SEIA), park rangers' protection laws (such as law N° 31991 of 2024), the Safety Protocol (Appendix 3) and general protocol for risk assessment and mitigation planning (section 6 of this ESMF and Screening Tool in Appendix 1), the Safeguards and Gender officers in the PMU are required to refer to WWF's Guidance Note on Labor and Working Conditions (Appendix 4) and ensure that all the applicable possible mitigation measures listed therein are incorporated to the project (i.e. written labor management procedures; OHS measures such as training, PPE, emergency prevention and preparedness) and that the applicable suggested OHS Standards are met.</li> <li>• Participation/information mechanism for communities (including improvement of communication, as mentioned during consultations). Communities know very well their territories and are aware of the security status, so they are a key source of information on security issues before going to the field.</li> <li>• Regular mechanical and electrical maintenance of project</li> </ul>	

Activity	Sub-activity	Risks/Impacts	Mitigation Measures	Responsibility
			<p>vehicles and boats to prevent accidents and could respond to emergency situations.</p> <ul style="list-style-type: none"> <li>• As applicable, conduct regular maintenance on other equipment procured, including ensuring its proper use and disposal to prevent premature deterioration and potential contamination of its parts (ie batteries).</li> <li>• Purchase satellite telephones (VHF/UHF frequencies) to ensure communication in remote areas.</li> <li>• Declaration of environmental impact for control posts and implementation of measures to mitigate the impact, such as capacity building of relevant SERNANP staff, planning to build the structure in a place that is outside ecologically sensitive areas, use of sustainable local materials for the construction where possible, continuous environmental monitoring by park rangers, and waste management. Implement existing SERNANP operational protocols for the purchase of vehicles and boat engines. For example, prioritize the purchase of vehicles and engines with lower emissions, less pollution, and mufflers.</li> <li>• Implement SERNANP operational protocols for use of roads in NPAs. For example, use existing SERNANP routes that have been designed to minimize noise and waste impact from patrols on local fauna, restrict use of routes during sensitive periods for species (e.g., reproduction and migration).</li> </ul>	

Activity	Sub-activity	Risks/Impacts	Mitigation Measures	Responsibility
<b>Activity 1.2.2: Improve environmental and biological monitoring to reduce risks of deforestation in the 25 NPAs.</b>	<p>1.2.2.1 Develop tools (protocols, guidelines, and plans) and train SERNANP staff in environmental and biological monitoring.</p> <p>1.2.2.2 Provide equipment and technical support for adequate environmental and biological monitoring in the 25 NPAs.</p> <p>1.2.2.3 Collect and analyze monitoring data and prepare reports with recommendations to serve as a basis for adaptive management of the 25 NPAs.</p>	<ul style="list-style-type: none"> <li>• Development of protocols, provision of equipment for environmental/biological monitoring and analysis of monitoring data does not cause environmental and social risks and impact.</li> <li>• Security (e.g. robberies, encounters with perpetrators of illicit and illegal activities, PIACI) and occupational and health risks/impacts might be faced by people involved in monitoring in the field.</li> <li>• Depending on the equipment, lack of proper maintenance and criteria for adequate disposal could generate non-biodegradable solid waste such as plastics, metals or batteries.</li> <li>• Some occupational and health safety risks for SERNANP staff in NPAs (snake bite, high radiation levels and temperatures, etc.).</li> <li>• Drone flights and overflights generate noise that might distress PIACI.</li> <li>• Drone flights generate noise that generates stress for native fauna.</li> <li>• Overflights generate noise that generates stress for native fauna and generates CO2 emissions.</li> <li>• CO<sub>2</sub> emissions from gasoline use for patrols.</li> <li>• Fauna is stressed due to noise from patrols.</li> <li>• Habitat or species disturbance when accessing monitoring sites.</li> </ul>	<ul style="list-style-type: none"> <li>• Security and Safety Protocol</li> <li>• Use of proper clothing, footwear, hat, hydration, etc.</li> <li>• Format to immediately report the occurrence of serious incidents.</li> <li>• As applicable, the Safeguards and Gender officers in the PMU are required to refer to WWF's Guidance Note on Labor and Working Conditions (Appendix 4) and ensure that all the applicable possible mitigation measures listed therein are incorporated to the project (i.e. written labor management procedures; OHS measures such as training, PPE, emergency prevention and preparedness) and that the applicable suggested OHS Standards are met.</li> <li>• The PMU shall ensure that any subcontracting partners (such as construction firms) can execute the indicated safeguards measures and that provisions for those are included in the submitted contracts</li> <li>• As applicable, ensure that the technical support provided includes information on safe use and proper maintenance of equipment provided to prevent premature deterioration and potential contamination of its parts (i.e. batteries).</li> <li>• Limit drones and flights in PIACI territories as much as possible.</li> <li>• Maintain minimum overflight and drone altitudes where compatible with monitoring methodology. Avoid overflights</li> </ul>	<p>PMU-SERNANP safeguards team and consultants</p>

Activity	Sub-activity	Risks/Impacts	Mitigation Measures	Responsibility
			<p>and drone use during sensitive periods (e.g., reproduction of noise-sensitive species). Plan to avoid sensitive areas. Prioritize the use of quieter, lower-emission technology.</p> <ul style="list-style-type: none"> <li>• Implement SERNANP operational protocols for use of roads in NPAs. For example, use existing SERNANP routes that have been designed to minimize noise and waste impact from monitoring activities on local fauna, restrict use of routes during sensitive periods for species (e.g., reproduction and migration).</li> <li>• Prioritize the use of existing trails.</li> <li>• Establish a protocol that sets out biosafety guidelines for people carrying out monitoring activities, determines the paths and trails that do not affect sensitive species, and uses minimal equipment.</li> <li>• Train staff to minimize the impact when taking samples, according to a protocol.</li> </ul>	
<p><b><u>Activity 1.2.3: Expand existing monitoring programs to understand the impact of climate change on forest dynamics in Amazon NPAs.</u></b></p>	<p>1.2.3.1 Install and monitor 18 new permanent monitoring plots in NPAs. 1.2.3.2 Install meteorological monitoring stations associated with the permanent plots in NPAs. 1.2.3.3 Process and analyze the data from the plots and stations. 1.2.3.4 Build awareness on the results of the Permanent Plot Monitoring Program in NPAs among key stakeholders. 1.2.3.5 Support the design and implementation of a virtual data platform to monitor forest dynamics.</p>	<ul style="list-style-type: none"> <li>• Security (e.g. robberies, encounters with perpetrators of illicit and illegal activities, PIACI) and occupational and health risks/impacts might be faced by people involved in the establishment and monitoring of permanent monitoring plots and installation and maintenance of meteorological monitoring stations in NPAs.</li> <li>• Risk of vandalism, technical failures, or difficulties in maintaining the stations.</li> <li>• Little interest or poor understanding of technical</li> </ul>	<ul style="list-style-type: none"> <li>• Security and Safety Protocol</li> <li>• Implement regular maintenance protocols, protect equipment with adequate infrastructure, and coordinate with local communities for surveillance and early reporting.</li> <li>• Communicate results using simple materials, infographics, and context-specific workshops, highlighting the usefulness of monitoring for climate and protected area management.</li> <li>• Prioritize the use of pre-existing trails.</li> </ul>	<p><i>PMU-SERNANP safeguards team and consultants</i></p>

Activity	Sub-activity	Risks/Impacts	Mitigation Measures	Responsibility
		<p>information on the part of local actors, authorities, or decision-makers.</p> <ul style="list-style-type: none"> <li>Habitat alteration due to entry/access for monitoring and installation of meteorological stations.</li> </ul>	<ul style="list-style-type: none"> <li>Establish a protocol that sets out biosafety guidelines for people carrying out monitoring activities, determines the paths and trails that do not affect sensitive species, and uses minimal equipment.</li> <li>Train staff to minimize the impact when installing weather stations and taking samples, according to the protocol..</li> </ul>	
<p><b>Output 1.3: Sustainable finance mechanisms established to secure long-term effective management of NPAs</b></p>				
<p><b>Activity 1.3.1: Develop and implement new Mechanism for Retribution of Ecosystem Services (MERESE) schemes for water to conserve and restore NPAs.</b></p>	<p>1.3.1.1 Strengthen capacity of indigenous communities, farming communities, local community organizations, regional and local governments, water and sanitation companies, sanitation services administration boards, user groups, SERNANP and relevant ministries to replicate and expand MERESE water schemes.</p> <p>1.3.1.2 Design and implement four MERESE water schemes in NPAs.</p>	<ul style="list-style-type: none"> <li>Too technical and complex language used in the MERESE design process is not understood by IP&amp;LCs and they might perceive that they do not benefit from MERESE implementation.</li> <li>Some security risks might be faced depending on the location for fieldwork.</li> <li>Some occupational and health safety risks for consultants/project developers and SERNANP staff.</li> <li>When undertaking restoration actions, use of invasive species instead of native ones, use of agrochemicals for planted specimens, unmanaged plastic waste (e.g. bags for plant specimens).</li> <li>Generation of new roads or trails.</li> </ul>	<ul style="list-style-type: none"> <li>Culturally appropriate stakeholder engagement processes should be undertaken with the different actors targeted by this activity, and technical language intensive instruments should be transformed into culturally appropriate elements (see Stakeholder Engagement Plan).</li> <li>If a selection process needs to be done to determine which communities' capacities will be strengthened, a clear set of criteria for said selection should be established and adequately socialized.</li> <li>Security and Safety Protocol</li> <li>Ensure the use of native species, ideally from local greenhouses, and biofertilizers in restoration.</li> <li>Staff undertake regular biological monitoring, including to remove any waste from the restoration site and ensuring no new trails are created.</li> <li>Use of existing trails.</li> </ul>	<p>PMU-SERNANP safeguards team and consultants</p>

<p><b><u>Activity 1.3.2: Strengthen policies and local capacity to develop and implement environmental compensation that support conservation and restoration of NPAs.</u></b></p>	<p>1.3.2.1 Develop a portfolio of sites in NPAs for environmental compensation.</p> <p>1.3.2.2 Promote the implementation of environmental compensation through capacity-building of SERNANP specialists and workshops with project developers.</p> <p>1.3.2.3 Update environmental compensation guidelines for NPAs</p> <p>1.3.2.4 Monitor the implementation of the mechanism.</p>	<ul style="list-style-type: none"> <li>• Some security risks might be faced depending on the location for field-based evaluations.</li> <li>• Some occupational and health safety risks for consultants/project developers and SERNANP staff.</li> <li>• When undertaking restoration actions, use of invasive species instead of native ones, use of agrochemicals for planted specimens, unmanaged plastic waste (e.g. bags for plant specimens).</li> <li>• Generation of new roads or trails.</li> </ul>	<ul style="list-style-type: none"> <li>• Security and Safety Protocol</li> <li>• Use proper clothing, footwear, hat, sunscreen during field-based evaluations</li> <li>• Stakeholder Engagement Plan (e.g. engage relevant stakeholders during the design stage of the environmental compensation scheme)</li> <li>• As applicable for fieldwork of SERNANP and other project staff (personnel or contracted parties), the Safeguards and Gender officers in the PMU are required to refer to WWF's Guidance Note on Labor and Working Conditions (Appendix 4) and ensure that all the applicable possible mitigation measures listed therein are incorporated to the project (i.e. written labor management procedures; OHS measures such as training, PPE, emergency prevention and preparedness) and that the applicable suggested OHS Standards are met.</li> <li>• Ensure the use of native species, ideally from local greenhouses, and biofertilizers in restoration.</li> <li>• Staff undertakes regular biological monitoring, including to remove any waste from the restoration site and ensuring no new trails are created.</li> <li>• Use of existing trails.</li> </ul>	<p>PMU-SERNANP safeguards team and consultants</p>
<p><b>Activity 1.3.3: Improve sustainable tourism products in 3 NPAs to increase tourism revenue streams to the system of NPAs.</b></p>	<p>1.3.3.1 Design tourism products to achieve high-value, sustainable tourism for 3 NPAs.</p> <p>1.3.3.2 Put in place the needed enabling conditions (infrastructure and equipment) to implement the products.</p>	<ul style="list-style-type: none"> <li>• Exclusion of indigenous communities, women and other vulnerable groups in the design of tourism strategies and in the sharing of benefits from tourism.</li> <li>• Environmental impacts due tourism. These could include:</li> </ul>	<ul style="list-style-type: none"> <li>• All tourism operators for the 3 selected NPAs will be included in the design of the tourism products. Later in the process, capacity building will take place for tourism service providers of different kinds. Measures will be</li> </ul>	<p>PMU-SERNANP safeguards team and consultants</p>

	<p>1.3.3.3 Strengthen the value chains linked to the tourism products in the 3 NPAs through training and awareness-raising campaigns.</p> <p>1.3.3.4 Support the design and implementation of promotional plans for the positioning of sustainable tourism products in the 3 NPAs to support their access to domestic and foreign markets.</p> <p>1.3.3.5 Promote sustainable tourism via certifications as well as the measurement and reduction of the carbon footprint of tourism value chains in the 3 NPAs.</p> <p>1.3.3.6 Monitor and support the results of tourism products.</p>	<ul style="list-style-type: none"> <li>○ Tourist routes that impact wildlife through habitat fragmentation, light and noise pollution, stressing species and jeopardizing their reproduction or causing them to lose their natural fear of humans, thus increasing their vulnerability to hunters. They also impact vegetation cover due to the excessive number of tourists using the routes.</li> <li>○ Small infrastructure construction such as piers, viewpoints, interpretation centers and/or bathrooms</li> <li>○ Increased waste and garbage pollute the soil, affect water and forests, and impact the behavior of wildlife (e.g., use for food).</li> <li>○ Introduction of invasive species by tourists.</li> <li>● Incidents (e.g. occupational and health safety-related accidents) during construction of tourism infrastructure.</li> <li>● The strategies do not reflect local realities or are not accepted by communities and tourism stakeholders.</li> </ul>	<p>taken to include participants that are women, are from indigenous groups and/or are from other vulnerable groups. Further, when promoting the new tourism products as part of this activity, measures will be taken to include promotion of tourism providers that are led by or have high participation of women and indigenous groups.</p> <ul style="list-style-type: none"> <li>● No major infrastructure can be developed without an appropriate ESIA (or other Environmental Management Instrument) conducted in advance. This extends to trails-establishment, which should be done and/or supervised by skilled technicians with low-impact trail clearing knowledge and experience.</li> <li>● In addition to following the requirements incumbent to applicable national laws (such as SEIA), the Safety Protocol (Appendix 3) and general protocol for risk assessment and mitigation planning (section 6 of this ESMF and Screening Tool in Appendix 1), the Safeguards and Gender officers in the PMU are required to refer to WWF's Guidance Note on Labor and Working Conditions (Appendix 4) and ensure that all the applicable possible mitigation measures listed therein are incorporated to the project (i.e. written labor management procedures; OHS measures such as training, PPE, emergency prevention and preparedness) and that all the applicable suggested OHS Standards are met.</li> </ul>	
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			<ul style="list-style-type: none"> <li>• Detailed ESMP for tourism infrastructure and associated equipment (during construction and operation) will be developed.</li> <li>• The PMU shall ensure that any subcontracting partners (such as construction firms) can execute the indicated safeguards measures and that provisions for those are included in the submitted contracts</li> <li>• Bidding documents should include the ESMP requirement and specific clauses (e.g. zero tolerance to sexual harassment, abuse and exploitation, use of certified timber, universal access, etc.).</li> <li>• Bidding documents or request for proposals, for the design of high-value tourism strategies should include criteria on Indigenous People participation by which their proposals are scored. For example, the level of indigenous labor hired and trained, the provision of services by indigenous groups (e.g. guides), etc.</li> <li>• Develop site plans that establish carrying capacity by zone and season, zoning, trails and their signage, monitoring and closure seasons, infrastructure, and waste management, to minimize the impact of tourism products on ecosystems, species, and water. The site plans will be developed following the methodological guidelines for site plan development approved by SERNANP (Presidential Resolution 325-2016-SERNANP).</li> </ul>	
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			<ul style="list-style-type: none"> <li>Consider the risk of introducing invasive alien species in site plans.</li> </ul>	
<i>Output 1.4: Technical assistance provided to support the development of bio-businesses in 6 NPAs.</i>				
<p><b>Activity 1.4.1: Support the establishment and scaling of bio-businesses by expanding participatory mechanisms to achieve sustainable use of natural resources and reduce deforestation in 6 NPAs.</b></p>	<p>1.4.1.1 Develop and implement bio-business plans for prioritized resources in 6 NPAs.</p> <p>1.4.1.2 Establish new participatory mechanisms as set out in the bio-business plans.</p> <p>1.4.1.3 Implement product enhancement centers that contribute to strengthening the value chains of the prioritized resources from NPAs.</p> <p>1.4.1.4 Strengthen the Conservation Allies brand to promote NPA bio-businesses with potential buyers.</p> <p>1.4.1.5 Link bio-businesses in the 6 NPAs with commercial opportunities and public programs, including through technical assistance to bio-business models that can then be scaled through Amazon EBBF and other funds.</p> <p>1.4.1.6 Monitor the effectiveness of the participatory mechanisms</p>	<ul style="list-style-type: none"> <li>Potential for moderate and temporary access restriction</li> <li>Low risks associated with small scale infrastructure adaptation of existing spaces to work as product enhancement centers.</li> <li>Potential for conflict among local communities regarding distribution of benefits, if these are not deemed to be fair. For example, if criteria for selection to be prioritized for participatory mechanisms and bio-business support are not sufficiently transparent.</li> <li>In addition, there is potential risk for elite-capturing within communities in the sense that certain community leaders, such as those from grassroots organizations with greater power, could disproportionately capture the benefits of participatory mechanisms, leading to unfair or inequitable distributions for other members.</li> <li>Indigenous women and youth may be excluded from the benefits of bio-businesses due to existing barriers in decision-making, access to information, and training.</li> <li>Although this output is entirely based on sustainable use of natural resources, there is a latent possibility, though unlikely, that prioritizing bio-businesses could favor production chains at the expense of biodiversity conservation, negatively impacting the project's objectives.</li> </ul>	<ul style="list-style-type: none"> <li>Ensure that affected communities are full partners in the conversations and processes by which economic activities will shift.</li> <li>Should FPIC be required, ensure that said consent is obtained and that IPPs are developed.</li> <li>Ensure that participatory mechanisms are utilized to plan and implement these activities, such as conservation agreements and use rights.</li> <li>Ensure that distribution of benefits is transparently designed, such as via clear and well socialized selection criteria, and monitor for potential friction in the community regarding selected beneficiaries for participatory mechanisms.</li> <li>Develop participatory protocols within grassroots organizations involved in bio-businesses to create participatory and culturally appropriate mechanisms for transparency and accountability, in accordance with their governance.</li> <li>Strengthen the capacities of members of the communities involved to ensure adequate oversight of the maintenance and strengthening of communal values.</li> <li>Promote rotational representation in decision-making structures, respecting communal cultural practices.</li> <li>Establishment of a minimum participation quota (for example,</li> </ul>	<p>PMU-SERNANP safeguards team</p>

		<ul style="list-style-type: none"> <li>• Tools used for bio-business activities are left in the field as waste, affecting water and forests (e.g. ropes used to collect acai fruit).</li> <li>• Generation of new roads or trails.</li> <li>• Bio-business product enhancement centers produce waste that is not managed appropriately, negatively impacting forests, water and nearby communities.</li> </ul>	<p>of at least 30%) for women and youth in participation mechanisms,</p> <ul style="list-style-type: none"> <li>• Design of training programs with a differentiated approach, considering schedules, languages (where necessary), and specific needs, in accordance with the project's gender action plan.</li> <li>• Periodically assess the state/status of benefit distribution to check for equity and adjust strategies in a participatory and culturally appropriate manner as needed.</li> <li>• Follow the Process Framework included in this ESMF and develop LRPs, as needed, to ensure that the affected communities' income is not negatively affected either during the transition towards those new productive process or during a reasonable amount of time after initial implementation, depending on when stabilization is expected based on their business plan .</li> <li>• Though new infrastructure is unlikely to be developed, there is a possibility that workers will be hired for minor repairs or adaptation. As such, the Safeguards and Gender officers in the PMU are required to refer to WWF's Guidance Note on Labor and Working Conditions (Appendix 4) and ensure that all the applicable possible mitigation measures listed therein are incorporated to the project (i.e. written labor management procedures; OHS measures such as training, PPE, emergency prevention and preparedness) and that the</li> </ul>	
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			<p>applicable suggested OHS Standards are met.</p> <ul style="list-style-type: none"> <li>• Include clear and specific criteria that prioritize bio-businesses compatible with biodiversity conservation, excluding production chains that promote exotic or invasive species.</li> <li>• Prioritize native species and incorporate sustainable agricultural practices, such as the use of permitted biofertilizers or the development of environmentally friendly ancestral techniques.</li> <li>• Develop a plan per bio-business in a participatory way establishing required permits and utilization parameters, such as harvest periods and extraction volume limits, to guarantee environmental sustainability.</li> <li>• Prioritize use of existing trails.</li> <li>• No major infrastructure can be developed without an appropriate ESIA (or other Environmental Management Instrument) conducted in advance. This extends to any trails-establishment, which should be done and/or supervised by skilled technicians with low-impact trail clearing knowledge and experience.</li> <li>• Waste management is integrated into the bio-business plans, participatory mechanisms and trainings, wherever relevant.</li> </ul>	
<b>Component 2: Strengthening the climate resilience of local indigenous communities within 5 NPAs and their buffer zones</b>				
<b>Output 2.1: Climate-resilient production practices and Ecosystem-based Adaptation implemented with 30 native communities in 5 NPAs and their buffer zones, supporting resilient livelihoods and hazard risk reduction under conditions of climate change</b>				
<b>Activity 2.1.1: Implement climate-resilient productive practices with 30 indigenous communities living in</b>	2.1.1.1. Undertake participatory adaptation planning, including climate risk and vulnerability assessments,	<ul style="list-style-type: none"> <li>• Most sub-activities under this activity may face the following risks: i) communication barriers</li> </ul>	<ul style="list-style-type: none"> <li>• Gender Action Plan</li> <li>• Stakeholder Engagement Plan (e.g. prior to implementation)</li> </ul>	WWF Peru safeguards team, consultants

<p><b>5 NPAs and their buffer zones to support community-based adaptation.</b></p>	<p>and co-develop guidelines and protocols for nature-positive climate-resilient production.</p> <p>2.1.1.2. Co-design climate-resilient productive practices based on climate risk/vulnerability assessments and guidelines and protocols.</p> <p>2.1.1.3. Establish gender-inclusive demonstration sites for climate-resilient agriculture and natural resource-use in each community to promote practical learning and knowledge exchange within and between communities.</p> <p>2.1.1.4. Strengthen women leadership by supporting women led climate-resilient productive practices solutions.</p> <p>2.1.1.5 Co-develop a monitoring, evaluation and learning framework for climate-resilient productive practices, with indicators and protocols determined by native communities, to assess effectiveness and conduct adaptive management.</p> <p>2.1.1.6 Build capacity by strengthening the knowledge and skills of community members to implement, monitor and manage climate-resilient productive practices at the community level.</p> <p>2.1.1.7 Develop adaptation packages (based on sub-activities 2.1.1.1–2.1.1.6) showcasing applicable and effective climate-resilient productive practices that will be shared broadly within the Indigenous Peoples network and native communities (in Activity 2.2.2).</p>	<p>(e.g. technical language/jargon) for consultants/project staff to transmit native communities technical concepts in an understandable and culturally appropriate manner; ii) incidents faced by consultant/project staff during trips to native communities (accidents, robberies, illnesses); (iii) traditional household work load distribution between men and women might prevent the later from leading climate-resilient productive practice solutions; iv) sexual harassment and abuse; and v) environmental risks (including occupational and health safety issues) associated to some climate-resilient practices (agriculture and natural resource use).</p> <ul style="list-style-type: none"> <li>• There is a probability that children will accompany their parents to attend some of the project meetings or demonstrations.</li> <li>• There is a potential for uneven recognition and support by SERNANP because some of the indigenous communities located within certain NPAs do not have formal titles to the land.</li> </ul>	<p>include early consultations with selected indigenous people local communities on best practices, existing knowledge, and prospects for sustainable economic benefits).</p> <ul style="list-style-type: none"> <li>• Obtain FPIC as needed from indigenous communities and develop IPPs</li> <li>• Protocol on Security and Safety</li> <li>• Clauses and code of conduct in consultants 'contracts</li> <li>• Dissemination of the GRM to selected IPs</li> <li>• Use of interpreters in some cases.</li> <li>• Activities carried out according to priorities set in their Life Plans.</li> <li>• Proactive monitoring and control procedures to prevent children's participation in exploitative activities that violate their fundamental rights.</li> <li>• Regular training provided to project technical teams on children's rights and safeguards</li> <li>• Training provided to regional Indigenous organizations and communities on prevention, early identification, and effective response to potential cases of child exploitation.</li> <li>• To avoid discrimination or unequal treatment of communities based on their (non)possession of land titles:             <ul style="list-style-type: none"> <li>• Create spaces for dialogue between SERNANP, regional and national indigenous organizations, the communities involved, and the project's Management Unit (PMU) in order to evaluate the proposed productive activities in relation to the conservation of the</li> </ul> </li> </ul>	
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			<p>protected area and its zoning.</p> <ul style="list-style-type: none"> <li>• The PMU and indigenous organizations will ensure that the agreed-upon climate-resilient productive practices are incorporated into the updating processes of the master plans for the protected natural areas involved, to guarantee their inclusion in the management documents of the protected natural areas.</li> <li>• The PMU will facilitate the signing of conservation agreements between the heads of the protected natural areas involved and the communities that carry out these agreed-upon productive practices.</li> <li>• Training will be provided to the SERNANP team on the rights of Indigenous Peoples and respect for their traditional uses, as well as to indigenous communities on the sustainable management of resources. Technical support will also be provided for the development of Management Plans that document their traditional practices.</li> </ul>	
<p><b>Activity 2.1.2: Implement Ecosystem-based Adaptation with 30 native communities living in 5 NPAs and their buffer zones to enhance and/or restore climate adaptation services.</b></p>	<p>2.1.2.1 Undertake spatial and participatory assessments of climate adaptation services with native communities and SERNANP and co-develop guidelines and protocols for Indigenous-led EbA.</p> <p>2.1.2.2 Co-develop EbA interventions with native communities and</p>	<ul style="list-style-type: none"> <li>• Most sub-activities under this activity may face the following risks: i) communication barriers (e.g. language/jargon) for consultants/project staff to transmit native communities technical concepts in an understandable and culturally appropriate manner; ii) incidents</li> </ul>	<ul style="list-style-type: none"> <li>• Gender Action Plan</li> <li>• Security and Safety Protocol</li> <li>• Stakeholder Engagement Plan (e.g. consultations with communities and IPs on best practices, existing knowledge, and possibilities for benefit sharing, all activities should</li> </ul>	<p>WWF Peru safeguards team, consultants</p>

	<p>SERNANP, based on ecosystem service assessments, climate risk assessments, and guidelines and protocols of Indigenous-led EbA (Sub-activity 2.1.2.1).</p> <p>2.1.2.3 Establish gender-inclusive EbA demonstration sites in each NPA and in community territories, focused on the restoration and/or improved delivery of climate adaptation services that support climate-resilient livelihoods, to promote practical learning and knowledge exchange.</p> <p>2.1.2.4 Co-develop a monitoring, evaluation and learning framework for EbA measures with indicators and protocols determined by native communities, Indigenous Organizations and SERNANP, to assess effectiveness and conduct adaptive management.</p> <p>2.1.2.5 Build capacity by strengthening the knowledge and skills of community members to implement, monitor and manage EbA interventions at the community level, and to support EbA at the landscape level in coordination with SERNANP.</p> <p>2.1.2.6 Develop adaptation packages (based on Sub-activities 2.1.2.1–2.1.2.5) showcasing applicable and effective Indigenous-led EbA measures that will be shared broadly within the Indigenous Peoples network (under Activity 2.2.1) and among protected area managers.</p>	<p>faced by consultant during trips to native communities (accidents, robberies, illnesses); (iii) traditional household work load distribution between men and women might prevent the later from leading climate-resilient productive practice solutions; iv) sexual harassment and abuse; and v) environmental (including occupational and health safety issues associated to some climate-resilient practices.</p> <ul style="list-style-type: none"> <li>• There is a probability that children will accompany their parents to attend some of the project meetings or demonstrations.</li> </ul>	<p>entail meaningful participation/consultation).</p> <ul style="list-style-type: none"> <li>• Obtain FPIC as needed from indigenous communities and develop IPPs</li> <li>• Use of interpreters in some cases.</li> <li>• Activities carried out according to priorities set in their Life Plans.</li> <li>• Proactive monitoring and control procedures to prevent children's participation in exploitative activities that violate their fundamental rights.</li> <li>• Regular training provided to project technical teams on children's rights and safeguards</li> <li>• Training provided to regional Indigenous organizations and communities on prevention, early identification, and effective response to potential cases of child exploitation.</li> </ul>	
<p><b>Output 2.2. Indigenous Peoples' governance for climate risk management strengthened to implement, manage, and scale climate change adaptation solutions across 192 native communities in 5 NPAs and their buffer zones.</b></p>				
<p><b>Activity 2.2.1: Strengthen technical and administrative capacities in 8 Indigenous Organizations supporting native communities living in 5 NPAs and their buffer zones.</b></p>	<p>2.2.1.1 Build the technical capacity of 8 Indigenous Organizations for climate risk management to lead adaptation activities with native communities (Activities 2.1.1. and 2.1.2) and implement three climate</p>	<ul style="list-style-type: none"> <li>• This activity is focused on capacity building of 8 Indigenous Organizations. No environmental and social risks are identified at this stage.</li> </ul>	<ul style="list-style-type: none"> <li>• No mitigation measure required</li> <li>• Stakeholder Engagement Plan (e.g. consultations with communities and IPs on best practices, existing knowledge, and possibilities for benefit</li> </ul>	<p>WWF Peru safeguards team, consultants, regional and national indigenous people organizations.</p>

	<p>risk management mechanisms (Activity 2.2.2).</p> <p>2.2.1.2 Build the administrative capacity of 8 Indigenous Organizations to administer locally led indigenous adaptation fund grant resources and to develop funding proposals for additional adaptation efforts.</p>		<p>sharing, all activities should entail meaningful participation/consultation).</p>	
<p><b>Activity 2.2.2: Institutionalize Indigenous-led climate risk management to scale climate-resilient productive practices and EbA measures across 192 native communities in 5 NPAs and their buffer zones</b></p>	<p>2.2.2.1 Develop a climate-risk management strategy led by Indigenous Peoples, that supports the institutionalization of climate risk management approaches, including the three CRM mechanisms and adaptation measures implemented by communities (CRPPs and EbA).</p> <p>2.2.2.2 Implement field schools (mechanism 1) at demonstration sites (established under Activities 2.1.1 and 2.1.2) to promote learning, knowledge exchange and replication of effective climate-resilient productive practices and EbA measures in additional native communities.</p> <p>2.2.2.3 Strengthen monitoring systems (mechanism 2), including early-warning systems implemented by Indigenous Organizations and MEL systems from adaptation measures (implemented in Activities 2.1.1 and 2.1.2).</p> <p>2.2.2.4 Implement advocacy programs (mechanism 3) with local and regional governments and additional regional Indigenous Organizations, to scale effective adaptation packages (developed in Sub-activities 2.1.1.6 and 2.1.2.6).</p>	<ul style="list-style-type: none"> <li>• Restrictions on access to natural resources could be imposed on local communities.</li> <li>• There is a probability that children will accompany their parents to attend some of the project meetings or demonstrations.</li> <li>• In addition, parents taking children with them to field schools could put them at risk (e.g. accidents, injuries, dehydration, etc.).</li> <li>• Risks of injuries when using tools in demonstration sites.</li> <li>• Security risks in some areas.</li> </ul>	<ul style="list-style-type: none"> <li>• Social and environmental screening of activities proposed in the climate-risk management strategy.</li> <li>• Security and Safety Protocol.</li> <li>• Proactive monitoring and control procedures to prevent children's participation in exploitative activities that violate their fundamental rights.</li> <li>• Regular training provided to project technical teams on children's rights and safeguards</li> <li>• Training provided to regional indigenous organizations and communities on prevention, early identification, and effective response to potential cases of child exploitation.</li> </ul>	<p>WWF Peru safeguards team, consultants, regional and national indigenous people organizations</p>

## CHAPTER 6 ENVIRONMENTAL AND SOCIAL RISK MANAGEMENT TOOLS

### 6.1. Exclusion List

175. The following list includes activities that will not be financed by the PdP A&C project:
- i. Activities that lead to land management practices that cause degradation (biological or physical) of the soil and water. Examples include, but are not limited to, the felling of trees in core zones and critical watersheds, activities involving quarrying and mining, commercial logging, or dredge fishing.
  - ii. Activities that negatively affect areas of critical natural habitats or breeding ground of known rare and endangered species.
  - iii. Activities that significantly increase GHG emissions.
  - iv. Activities that use genetically modified organisms or modern biotechnologies or their products.
  - v. Activities that involve the procurement and/or use of pesticides and other chemicals specified as persistent organic pollutants under the Stockholm Convention or within categories IA, IB, or II by the World Health Organization.
  - vi. Activities that develop forest plantations.
  - vii. Activities that involve significant excavations
  - viii. Activities that result in the loss of biodiversity, alteration of the functioning of ecosystems, and/or introduction of new invasive alien species.
  - ix. Activities that involve the procurement or use of weapons and munitions or fund military activities.
  - x. Activities that lead to private land acquisition and/or physical displacement and voluntary or involuntary resettlement of people, including non-titled and migrant people.
  - xi. Activities that contribute to exacerbating any inequality or gender gap that may exist.
  - xii. Activities that involve child labor, forced labor, sexual exploitation or other forms of exploitation.
  - xiii. Activities that adversely affect indigenous peoples' rights, lands, natural resources, territories, livelihoods, knowledge, social fabric, traditions, governance systems, and culture or heritage (physical and non-physical or intangible) inside and/or outside the project area; as well as any activity that is identified as unacceptable by the affected indigenous peoples
  - xiv. Activities in territories where Indigenous Peoples in Isolation and Initial Contact (PIACI) are known to reside or traverse
  - xv. Activities that negatively impact areas with cultural, historical, spiritual or transcendent values for individuals and communities beyond reversible risks that can be readily addressed through mitigation measures.

- xvi. Activities that could represent grand, irreversible, or unprecedented adverse environmental or social risks in areas with critical cultural heritage, such as UNESCO World Heritage Sites.
- xvii. Activities that would take place in known mined areas, unless specialized institutions certify that unexploded ammunitions and antipersonnel mines have been disabled and removed.

## 6.2. Safeguards Eligibility and Impacts Screening Questionnaire

176. The screening process is the first-level environmental and social risk assessment of **project activities**, which occurs annually during the preparation of the project Annual Work Plan and Budget (AWPB) as well as in advance of the initiation of any project that has not been screened during said process. The PMU team, SERNANP members supporting Component 1 and WWF Peru team members supporting Component 2, including the environmental and social safeguard specialists, will identify the upcoming activities in the Annual Work Plan. The focal points at the 25 NPAs and the 4 focal points at the cluster level will begin the process of screening the activities under both components regarding social and environmental risks and impacts using the *Safeguards Eligibility and Impacts Screening questionnaire* in Appendix 1. This activity will be completed with the support of the safeguards specialists at the PMU and at WWF Peru which will then send these screenings to the AE's safeguards specialist for approval and guidance on next steps.
177. In the case of the PdP A&C project, "project activity" will mean that the project should be screened at the Output level for each of the four identified clusters: Northeast (Loreto), North Central (Amazonas-San Martin), South Central (Pasco-Junin) and Southeast (Madre de Dios). This means that all activities under a given Output will be considered together in the same screening, but they must be considered within the context of each of the clusters where they will take place. As such, if the same Output is relevant to project sites in the four clusters in a given year, then that output will have four screenings conducted, one for each of the four project clusters. Since it is unlikely that each Output will progress at the same rate in a given site, only those Outputs that are relevant to a given landscape/cluster in a given year will be screened. Because this project will work in an extensive array of sites involving different stakeholders, it is necessary to screen the clusters individually, even though some of the Outputs are applicable to the entire scope of project activities.
178. Part 1 of this form comprises of basic information regarding the activity. Part 2 contains basic "pre-screening" questions. If the response to any of the questions in these two parts is "Yes," the activity will be deemed ineligible for funding under the project. The executing partners will thus be required to change the nature or location of the proposed activity so that it complies with all WWF safeguard requirements, so all responses are negative.
179. If the activity is deemed eligible according to Part 2, an environmental and social screening procedure will be conducted in accordance with Part 3, which is based on the WWF's SIPP. The executing partners shall respond to the specific questions in Part 3 of the form, provide general conclusions regarding the main environmental and social impacts of each proposed activity, outline the required permits or clearances, and specify whether any additional assessments or safeguard documents (e.g., ESIA, ESMP, IPP, LRP, CHMP, etc.) should be prepared, per the outcomes of the screening.

180. Category C activities should have no expected significant environmental and social impacts and therefore do not require any further assessments beyond that which is done through the screening.
181. The Senior Environmental and Social Safeguards Specialist within the PMU/SERNANP (responsible for Component 1 and project overall safeguards compliance in both components), in coordination with others safeguard specialists in WWF Peru (Component 2) should organize and undertake the screening of each relevant activity, with the on-the-ground support of the 25 NPA focal points and cluster-level focal points. If the screening process indicates that additional assessments or safeguards documents needs to be prepared, the Senior Environmental and Social Safeguards Coordinator will ensure that those are completed either by project staff (preferred) or specialized consultants prior to the start of activities.

### **6.3. Development of Fit-for-Purpose ESIA and Environmental and Social Safeguards Management Plan (ESMP)**

182. For Category B activities with limited impacts, a fit-for-purpose ESIA and an ESMP, with a more limited focus as may be appropriate, that describes the potential impacts, as well as appropriate mitigation, monitoring and reporting measures will be required. The Safeguards Specialists, in collaboration with the Project Manager and in consultation with any other relevant parties (such as affected parties, technical leads, focal points in NPAs, special assessors if needed, etc.), should develop a site- and activity-specific ESMP.
183. The fit-for-purpose ESIA will focus on the selected and clearly delineated environmental and social issues identified during the screening process. As such, it does not provide a full analysis of policy, legal, and administrative framework but is very specific to the topic. Also, the collected baseline data is targeted. The required limited ESIA report for all Category B projects should include the elements listed below
- Description of the project and the environmental setting;
  - Consideration of technical alternatives to improve the environmental benefits;
  - Explanation of how the concerns of local communities are addressed;
  - Analysis of the potential environmental and social impacts;
  - An environmental and social management plan; and
  - Summary of the consultation, its results, and recommendations
184. More information is provided in Appendix 2.
185. The ESMP should be prepared before the initiation of the project activity and closely follow the guidance provided in this ESMF. It should describe adverse environmental and social impacts that are expected to occur because of the specific project activities and in a specific site. The ESMP should also outline concrete measures that should be undertaken to avoid or mitigate environmental and social impacts, specify the implementation arrangements for the management of mitigation measures and include indicators or a monitoring plan. For more information and additional guidelines on ESMP development, please consult Appendix 2.
186. Following the preparation of the ESMP (or other relevant social and environmental risk management instruments), it must be reviewed and cleared by the WWF GCF AE Safeguards Specialist. Once this clearance has been given, the ESMPs and other relevant documents will be

sent for approval to the GCF. No funding will be disbursed for project activities prior to the clearance of such activities by the WWF GCF AE and the Fund. Please refer to Chapter 10 for more information on the disclosure process for sub-project ESS Packages.

187. Upon receiving approval from the GCF, the ESMP must be disclosed for a 30-day period in English and in the appropriate local languages on the Executing Entities' and the AE's websites. In the cases of those project sites where IPs are located, the ESMP or guidelines documents must also be disclosed for 45 days locally in a language and manner suitable to those communities.
188. A note on management of activities with potential affectation to biodiversity: As stated above, given the project locations being in natural habitats and legally protected areas/internationally recognized areas, the following approach will be adopted for project activities:
  - Mitigation measures will be designed to achieve no net loss of biodiversity;
  - Ensure that the proposed activities in such areas are legally permitted;
  - Ensure activities are consistent with any government recognized management plans for such areas;
  - Consult protected area sponsors and managers, Affected Communities, Indigenous Peoples and other stakeholders on the proposed project, as appropriate;
  - Conduct biodiversity assessments such as critical habitat screening and assessments as part of the ESIA and prepare any additional plans (Biodiversity Action Plan), as may be needed during due diligence.

#### **6.4. Compliance with WWF's Guidance Note on Gender-based Violence (GBV) and Sexual Exploitation, Assault and Harassment (SEAH) and the project Gender Action Plan.**

189. According to the gender analysis prepared for the PdP A&C project, gender-based violence is present in the rural Amazon. It is a reality that reproduces within families and is often accepted as normal. There are women's support centers that seek to eliminate violence against them and against the most vulnerable population, but they are not yet sufficient given the size of the region. The Gender Action Plan (GAP) recommends integrating or mainstream any strategy related to reducing violence against women in the mitigation and adaptation actions that will take place in the following years.
190. The GAP also mentions one derivation route (grievance redress mechanism) for gender violence cases. Each NPA will have a gender focal point.
191. The following measures are included in the ESMF:
  - GBV and sexual harassment will be mentioned in the PdP A&CC project code of conduct to be attached to project worker's contracts.
  - A standard clause in contracts requiring any grantees or project executors to adopt policies that prohibit SEAH and take measures to prevent or report any instances of GBV or SEAH.
  - A systematic vetting procedure in place for job candidates with mandatory self-declarations and potentially reference checks where appropriate.
  - Mandatory trainings for project employees on SEAH, GBV and any relevant procedures

- GBV risks and occurrence will be monitored in the construction ESMP and if necessary, specialized NGOs will be contracted to apply mitigation measures.
  - Immediate escalation of any complaints received through the GRM that relate to SEAH, GBV or human rights abuses.
192. Furthermore, depending on the results of the screening questionnaire (presented in Appendix 1), a detailed plan to address SEAH risks will be developed within the first six months of project start-up, using both information already included in the GAP and updated procedures for SEAH-specific grievances. This will include:
- Inclusion of any identified SEAH-related risk mitigation measures into the project's annual workplan and budget and annual reporting requirements.
    - This will require the participation of the entire PMU in reviewing any identified risks and mitigation measures to ensure that all staff understand their responsibilities and the responsibilities of EEs, project partners, contractors, and any other entities who will receive GCF funding for this project.
  - Development of a communication mechanism between the local project staff and the PMU's Gender Specialist to address in a timely manner any SEAH situation that may arise at the project site level. This will require:
    - Reporting any such grievances or challenges within a defined time period of no more than 5 business days. This shall hold true even if grievances are informally submitted (i.e., not through the channels at the project-level GRM).
    - The confidentiality of anyone who has received a complaint or become aware of a SEAH-related situation, including protecting the personal identifiable information of all parties- both the potential victim(s) and potential perpetrators(s).
  - Strengthen the capacities of the project's implementing partners on prevention of GBV and SEAH as well as on WWF policies and codes of conduct to address SEAH risk. These trainings will be done in partnership by the project's Gender and Environmental and Social Safeguard Specialists and should include:
    - Training within the first 3 months of project implementation that has been prepared with oversight and final approval from the WWF GCF AE Safeguards and Gender Leads.
    - Mandatory training for all project staff and implementing partner staff who will be involved in the GCF-financed activities.
  - Strengthen the capacities of the technical teams in each project site, so that they can establish rapid response mechanisms to address issues associated with threats to environmental leaders and gender-based violence. This includes, but is not limited to:
    - In cases of such threats, provide them with additional resources to ensure a timely response that is focused on the well-being of anyone who is threatened.
    - Provide these technical teams GBV and SEAH training like the one that the implementing partners will receive.

## **6.5. Security and Safety Protocol**

193. Given the public security risk context that characterizes some sectors inside and outside the 25 NPAs supported by the PdP A&C project, where a variety of illegal and illicit activities such as

gold mining, coca cultivation related to drug trafficking, logging, fishing, and poaching are carried out, a Security and Safety Protocol is required to manage related risks.

194. Consequently, a Security and Safety Protocol has been prepared for this project and is offered as an appendix to this ESMF (see Appendix 3). This protocol is an integral part of Environmental and Social Management Framework of the PdP A&C project and will promote the strengthening of a safety culture based on taking appropriate precautionary and preparative actions aimed at reducing the probability of health and safety risks as well as of public security risk incidents. Thus, the protocol will provide guidance on how to: i) apply practical techniques to manage security and safety risks and deal with difficult circumstances; and ii) react appropriately in the event of actual danger, threat, or injury. This protocol also contains an Emergency Preparedness and Response Framework.

#### **Conflict Sensitivity Assessment (CSA)**

195. Depending on the results of the Activity-Level ES Screening, a site-specific conflict sensitivity assessment might need to be developed and attached to the ESIA (see Appendix 2). As a process for evaluating how environmental projects might interact with existing conflict dynamics, this assessment should clearly explain how the project activities might affect those as well as how the context itself might influence the interventions.
196. The site-specific conflict sensitivity assessment should expand on the answers provided to the screening questions that address conflict and thus include the following:
- Context analysis: This section should identify the political, economic, social and environmental factors fueling conflict or tensions in the area specific to the project activities. As relevant, a history and trends on the identified conflict or factors should be provided, documenting past incidents or escalation patterns. This analysis should also identify the actors and stakeholders involved in the area conflict or tensions.
  - Interaction Analysis: Once the main factors have been identified, the CSA should clearly explain how they interact with the project's planned activities and, in turn, how these might either exacerbate or mitigate conflict.
  - Risk Assessment: If the CSA is not part of a fit-for-purpose ESIA, then it should assess the likelihood and magnitude of the risks identified.
  - Mitigation Measures: If the CSA is not part of a fit-for-purpose ESIA, then it should propose a series of measures to avoid, minimize or mitigate the identified risks.
  - Monitoring and Evaluation: If the CSA is not part of a fit-for-purpose ESIA, then it should propose a series of conflict-sensitive indicators to track any changes in the identified factors as well as protocols to monitor and evaluate the effectiveness of the mitigation measures suggested.
197. In addition, when developing CSAs and determining management procedures, the PMU and/or technical team/s should consult the [IFC's Good Practice Handbook: Use of Security Forces: Assessing and Managing Risks and Impacts](#), as applicable. With the aim of providing practical, project-level guidance, this tool focuses on risk assessment, managing private security, managing the relationship with public security, preparing a security management plan, and assessing allegations or incidents related to security personnel.

## 6.6. Form for Notification of Serious Incidents

198. A serious incident is defined as any social, labor, safety and security, or environmental incident that has or would reasonably be expected to have a negative impact on the project. This may include road traffic accidents, workplace accidents resulting in serious or multiple injuries, encounters with violent people devoted to illegal activities, hazardous substance spills or major contamination, encounters with PIACI, and workplace violence and harassment (sexual, etc.).
199. Any serious incident that occurs at a given project activity site that is caused, for instance, by construction activities, road traffic accident where a vehicle serving the project is involved and encounters with PIACI or perpetrators of illegal activities, among others, will be reported to the PMU by the construction contractor, WWF Peru (personnel and implementing partners), NPA rangers in its capacity as the lead implementing entity of the PdP A&C project and any other relevant actor. The PMU/SERNANP in turn will report to WWF as soon as possible and no more than 24 hours after the incident occurred.
200. In addition to reporting to the AE of a serious incident, the PMU is required to: i) conduct a thorough investigation analyzing the root cause; ii) providing time-bound corrective actions and/or plans to prevent incidents such as the reported one from happening in the future; ensuring full documentation of incident and investigation reports; iv) timely reporting to the AE, who will in turn notify the GCF; and v) monitoring of the implementation of the outlined corrective actions.
201. Appendix 5 includes a sample form for notification of serious incidents.

## 6.7. Protocol in case of encounters with or sighting of PIACI

202. The “Protocol for Action when Finding, Sighting or Contact with Indigenous Peoples in isolation and for Relationships with Indigenous Peoples in a Situation of Initial Contact” was developed by the Ministry of Culture in 2015 and provides specific procedures on how to behave in case of:
- i) *Finding evidence of the presence of PIACI.* The main objective is to prevent such a finding from turning into a sighting or contact, whether peaceful or violent. The main strategy is to proceed to leave the place of finding in an orderly and calm manner as much as possible;
  - ii) *PIACI sightings.* If a PIACI sighting occurs, the main objective is to prevent it from turning into contact, whether peaceful or violent. The main strategy in the event of a sighting is to proceed to leave the scene of the sighting in an orderly and calm manner as much as possible. The protocol also provides specific procedures in the event of: i) a sighting of PIACI on the bank of a river from a boat, ii) a sighting of PIACI in the vicinity of a community or camp; and iii) a sighting of PIACI inside the forest, far from a community or camp.
203. In the event that contact occurs because of PIACI seeking contact, the main objectives are that it does not bring negative consequences such as illnesses for the PIACI, it develops without any type of violence and in the shortest possible time. If contact occurs in the forest, far from a camp or community, there could be a violent reaction on the part of the PIACI, feeling that their territory has been invaded. Appendix 6 contains the complete protocol with procedures for each situation.

## 6.8. Cultural Resources Management

### a. Cultural Heritage

204. Following WWF's and GCF's policies on cultural resources, cultural heritage refers to (i) tangible or physical forms of cultural heritage such as tangible movable or immovable objects, property, sites, structures, or groups of structures, human settlements and landscapes having archaeological (prehistoric), paleontological, historical, cultural, artistic, and religious values; (ii) unique natural features or tangible objects that embody cultural values, such as sacred groves, trees, rocks, lakes, and waterfalls; and (iii) intangible cultural heritage, which includes practices, representations, expressions, knowledge, oral literature, craft and artistic skills as well as the instruments, objects, artifacts and cultural spaces associated therewith, that communities and groups (and in some cases individuals) recognize as part of their cultural heritage, as transmitted from generation to generation and constantly recreated by communities and groups in response to their environment, their interaction with nature and their history, and provides them with a sense of identity and continuity, thus enabling the transmission and preservation of cultural heritage between generations and promoting respect for cultural diversity and human creativity.
205. Though Component 1 activities will be confirmed in different NPAs during project implementation, the expected activities that will encompass all PAs are not expected to damage physical cultural resources within PAs and their BZ nor to have potential significant adverse environmental and/or social risks and impacts that, individually or cumulatively, are diverse, irreversible, or unprecedented. Rather, the activities planned across all PAs pertain to demarcating boundaries, enhancing Master Plans, strengthening management committees, improving the surveillance and control of deforestation drivers, strengthening biological monitoring capacity and strengthening stakeholders' understanding of the impact of climate change on forest dynamics through expanding monitoring programs on carbon stocks in Amazon PAs. The risks these activities could pose in sites of high cultural relevance can be highly avoided and/or largely mitigated through the mitigation measures offered throughout the ESMF.
206. In addition, other activities that could affect World Heritage Sites are those that aim to advance the sustainable use of natural resources by developing bio-businesses and participatory mechanisms with local communities in 6 PAs. However, the PAs permitted uses based on their category (and UNESCO status) are criteria that will be employed to make the final selection of those PAs such that only PAs that permit the targeted uses are selected.
207. Lastly, Component 2 activities in Manu National Park will be implemented in consultation with local communities, specifically Tayacome, Santa Rosa de Huacaria, Yomibato and Diamante. Potential environmental and social risks may arise from the implementation of Indigenous-led EbA interventions, such as the restoration of degraded riparian areas, wetlands, and forest patches to enhance climate adaptation services. However, since these interventions are primarily designed to enhance ecosystem services, careful planning and coordination with communities and SERNANP will ensure that any potential risks and impacts are minimized or avoided.
208. If, during the screening process listed above (see sections 6.1 and 6.2), it is determined that there is a chance of medium risk impacts to significant cultural heritage, the EEs, through the PMU and coordinated by the ESS Specialist, will develop a Cultural Heritage Management Plan (CHMP). Please note that, should any activity be found to lead to grand, irreversible, or unprecedented adverse environmental or social risks, those will be rendered ineligible to receive funding from this project (see Exclusion List). If, upon confirmation of array of activities in individual NPAs, the

screening surfaces that there is a potential for largely reversible impacts that can be readily addressed through mitigation measures, then the aforementioned plan should be developed in direct collaboration with relevant national and local stakeholders. In addition, the EEs are required to engage competent professionals to assist in the identification, protection and safeguarding of cultural heritage, and/or support independent community-led cultural heritage assessments.

209. Please note that there are 3 project sites that are considered part of the UNESCO World Heritage List. Deemed “critical cultural heritage”, these areas are important for the protection and conservation of cultural heritage and, as such, additional measures might be needed for any project activities planned for those sites. Consequently, the PMU shall ensure that all applicable national laws are observed and that the following requirements are met:

- Compliance with defined international, national or local cultural heritage regulations or the protected area management plans;
- Compliance with UNESCO's (2025 update<sup>31</sup>) Operational Guidelines for the Implementation of the World Heritage Convention (especially Chapter IV on monitoring and Chapter V on periodic reporting).
- Consultation with the protected area managers, local communities and other key stakeholders on the proposed activity;
- Implementation of additional programs, as appropriate, to promote and enhance the conservation aims of the protected area; and
- Development of a Heritage Impact Assessment, if deemed necessary, for those sites within the project's scope of work that have been designed as World Heritage sites.

**b. Basic guidelines for CHMP development:**

210. If the activity level screening indicates that some of the planned activities have potential impacts on cultural heritage, the following list provides a series of key elements or guidelines that should guide the process of cultural heritage management:

- **Further assessment:** further analysis will be necessary to ascertain the nature and scale of these impacts and proposed mitigation measures. The breadth, depth, and type of analysis should be proportionate to the nature and scale of the proposed project's potential adverse impacts on cultural heritage resources
- **Procurement of specialists:** competent professionals should be obtained to assist in the identification, protection and safeguarding of cultural heritage, and/or support independent community-led cultural heritage assessments.
- **Development of a CHMP**, which at a minimum should include
  - Rationale for preparation of CHMP, including references to all applicable international, national and local regulations;
  - Description of the location of the activity area, including: 1) relevant cadastral details or coordinates (if the area covered by the CHMP is a sub-section or somehow different from the general location, details of the location of the boundaries of the activity area should be provided); 2) list and description of owners, occupiers and/or primary users

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<sup>31</sup> UNESCO (2025). The Operational Guidelines for the Implementation of the World Heritage Convention. Accessible here: <https://whc.unesco.org/en/guidelines/>

- of the land/area where the activity is projected; 3) list of all tangible and intangible heritage potentially affected and their boundaries;
  - Description of the activity or activities to be undertaken, which should provide clear and relevant information about the nature and extent of the proposed activity to assess the scope for potential impact on cultural heritage;
  - Description of consultations/engagement done with relevant stakeholders to develop the CHMP (including documentation as attachments);
  - Assessment of impact and significance (the national regulation on this matter might dictate specific requirements);
  - Mitigation measures (to avoid, minimize, and mitigate potential project impacts to the identified cultural heritage)
  - Capacity assessment and training needs: Identify the capacity needs of local/regional/national institutions to implement the recommendations of the environmental and social risk assessment during the operation phase, reviewing their institutional mandates and capacity including recommendations for their strengthening.
  - Monitoring and Reporting arrangements;
  - Budget
  - Annex: Protocol for Chance Finds (see below)
- **Disclosure:** This CHMP should be disclosed for at least 30 days (or if IPs exist in the project area, for at least 45 days) before implementation can begin, in a place accessible to key stakeholders, including project-affected groups and CSOs, in a form and language understandable to them. In addition, the CHMP will follow the rules for sub-project ESS disclosure (see Chapter 10).

211. A note on resource utilization: Where feasible and subject to overriding safety and security considerations, continued access to cultural resources in consultation with stakeholders should be arranged when a project activity introduces restrictions to stakeholder access to cultural resources.

### **c. Chance finds protocol (physical cultural resources)**

212. Chance find procedures are project-specific procedures. In the case of Peru, if objects of historic, archaeological or paleontological interest are found during the construction work (e.g. SERNANP control and surveillance check points or delimitation infrastructure), , the corresponding subnational Directorate of Culture must be notified.

213. In the event of a chance find of archaeological, historic or paleontological nature, the works or work in the area must be immediately suspended in the place where the chance find was verified, until a technical inspection is carried out by experts from the National Directorate of Cultural Heritage.

214. In the event of a chance find of archaeological, historic or paleontological nature, and after having carried out the corresponding technical inspection, the Subnational Directorate of Culture may establish the protection measures it deems necessary, which may include the carrying out of

archaeological, historic or paleontological studies, following the regulations established for this purpose.

### 6.9. Process Framework (PF)

215. As shown in the environmental and social risk assessment at the beginning of this chapter, the likelihood of physical displacement caused by the PdP A&C project is nil but the likelihood of economic displacement due to restrictions to access grazing, hunting or fishing areas inside NPAs is a latent social risk. Specifically, this potential impact is associated with activities under Output 1.1 and 1.2 which will reduce deforestation by strengthening NPA management practices and include more rigorous demarcation and control of the NPA borders. In this context, it is conceivable that, by improving control and surveillance over these NPAs, the project could restrict access to some local groups (e.g. IP&LCs and settlers).
216. This triggers the WWF's Standard on Restriction of Access and Resettlement as the proposed project has the potential to restrict access to natural resources and livelihoods activities within the areas where the project will work. To provide a formalized process for engagement around access restriction and livelihood restoration, a Process Framework (PF) is described below. Should such access restrictions occur under the project, a Livelihood Restoration Plan (LRP) must be developed to support the project affected persons (see Appendix 7).
217. Please note that, while the Project will fund any measure required to mitigate an access restriction risk created by a project activity, the Project will not provide funding to land titling processes nor regularization of land rights. As indicated in the Project's SEP (see Annex 7), communities confirmed their understanding that participation in the project does not affect their existing land rights.
218. A key aspect to note is that during the implementation of these activities, the project will proceed in a participatory manner whereby the project stakeholders and potentially affected people are engaged in establishing livelihoods-related support. Specifically, the participatory processes through which the following activities will be carried out are as follows:
  - a) *The project activities that will be designed and implemented.* The LRP document must briefly describe the project and the components or activities that may imply new or more rigorous restrictions on the use of natural resources. The process by which potentially affected people participate in the design of project activities should also be described. This activity may require conducting a social assessment process to generate necessary baseline information, such as the extent of restriction of access to resources along with suitable mitigation and enhancement measures, including options for alternative access to similar resources.
  - b) *Eligibility criteria for affected individuals will be determined.* The document must establish that potentially affected communities will participate in the identification of adverse impacts, the assessment of the importance of the impacts and the definition of eligibility criteria for the necessary mitigation or compensation measures.
  - c) *Measures will be identified to assist affected people in their efforts to improve their livelihoods or restore them (e.g. through a Livelihoods Restoration Plan), in real terms, to levels prior to the economic displacement, while maintaining the sustainability of the natural protected area.* The document must describe the methods and procedures by which

communities will identify and choose possible mitigation or compensation measures to be provided to adversely affected people, and procedures by which negatively affected community members will decide between options that they have at their disposal.

d) *Any possible conflicts or claims within or between the affected communities will be resolved.* The LRP must describe the dispute resolution process in relation to restrictions on the use of resources that may arise among affected communities, and claims that may arise from community members who are not satisfied with the eligibility criteria, community planning measures, compensation or actual implementation. Since this project will have a project-level GRM, the MAQS, this should be referenced in the document and filing a grievance through it should be listed as the first step in the appeal process. If additional modifications need to be made or if a dedicated dispute resolution mechanism will be developed, then this needs to be described in full in the LRP.

219. The LRP should also describe arrangements for the following:

e) *Administrative and legal procedures.* The document should review the agreements reached regarding the approach to the process with the relevant administrative jurisdictions and line ministries (including a clear description of the administrative and financial responsibilities under the project).

f) *Monitoring of agreements.* The document should examine arrangements for participatory monitoring of project activities as they relate to impacts (beneficial and adverse) on people within the project impact zone, and to verify the effectiveness of the measures adopted to improve (or at least restore) incomes, livelihoods and living standards.

220. Development of locally appropriate LRPs will include the following elements: (1) identifying and ranking of site-specific impacts; (2) setting out criteria and eligibility for livelihood assistance; (3) outlining the rights of persons who have been either customarily or legally/illegally using forest, water or land resources for subsistence to be respected; (4) identifying and describing available mitigation measures alternatives, taking into account the provisions of applicable local legislation, the available measures for mitigation promoted via project activities and any additional sound alternatives proposed by the affected persons; and (5) outlining specific procedures on how compensation can be obtained. Please review Appendix 7.

221. In cases where monetary compensation is awarded, it shall be calculated based on the replacement value of these livelihoods (economic market value plus any replacement costs) in a participatory manner (and following FPIC) by community representatives and the Safeguards Specialist, in collaboration with relevant Government Officials and Local Authorities. In cases where compensation will consist of the allocation of alternative resources (e.g., alternative agricultural areas), measures will include identification of these resources with the active involvement of the affected persons/communities and assistance to access these resources. This should also be determined as part of an FPIC process. Detailed procedures on how compensation should be calculated and awarded should be provided in each site-specific LRP based on local conditions.

222. The approach for implementing the PF will be developed independently for each NPA as required. This will ensure that the PF mechanism for engagement and support are tailored to the needs and practices of each NPA. The safeguards specialists at the PMU, with the support of the 25 NPA focal points and 2 cluster-level focal points, will undertake screening of the planned activities for likely restrictions of access to and use of natural resources for IP&LCs.

**223. A note on restriction of access to Indigenous Peoples and consultation with IP&LCs**

224. In addition the aforementioned guidelines to conduct a participatory process, the PMU should ensure that, should FPIC be required for any of the project activities that could lead to restriction of access, *said consent will be sought first, before any implementation can commence*. If consent from the affected IPs is not obtained, the activities need to be suspended until said consent is obtained or collaboratively modified through a negotiation process with the IPs, should they have interest in so doing. If they do not wish to continue the negotiation process, the project will be redesigned in such a way that they are not part of said activities moving forward. To better understand when FPIC is required, please consult Box 1 in Chapter 7 of this ESMF.

225. Furthermore, the PMU should ensure compliance with the existing legal framework that will regulate the project activities that could lead to access restriction. Specifically:

- New categorization or changes in regulations governing the use of NPAs (including modifications to Master Plans):

Changes in regulations governing the use of protected natural areas (NPAs) or changes in zoning could result in restrictions on public access. In view of this, it should be noted that Article 24 of Presidential Resolution No. 202-2021-SERNANP, which approves the Complementary Provisions for the Regulations of the Law on Protected Natural Areas in relation to Master Plans, states that zoning measures regulate the development of the different activities that occur or could occur in the area.

In this regard, in accordance with Article 25 of Presidential Resolution No. 202-2021-SERNANP, it is provided that in cases where it is identified that the proposed zoning or modification directly affects the collective rights of indigenous or native peoples, the respective prior consultation process shall be carried out, in accordance with the provisions of Law 29785, the Law on the Right to Prior Consultation of Indigenous Peoples. Please note that, in this event, the project should follow the most stringent of requirements which means that, per WWF's and GCF's IP policies, *consent* should be sought.

In the case of local communities that are not part considered indigenous, Presidential Resolution No. 202-2021-SERNANP provides in Article 30 that the Master Plan must undergo a validation process through workshops in which all interested parties may submit to the NPA Headquarters their recommendations or observations on the preliminary version of the Master Plan, duly substantiated. In this regard, if a possible access restriction is identified during the zoning definition process, interested parties may submit their contributions during the validation phase.

- New establishment, expansion or modification of NPAs boundaries:

In accordance with Presidential Resolution No. 099-2022-SERNANP, proposals to expand existing protected natural areas follow the same phases as proposals to establish new protected natural areas. In this regard, in accordance with Article 43 of the Regulations of the ANP Law, approved by (D.S. No. 038-2001-AG), the consultation process is provided for in the following cases:

The process for the definitive categorization or establishment of a Protected Natural Area must be carried out on the basis of transparent consultation processes with the

local population concerned, including rural or indigenous communities, in accordance with the consultation procedures established in the International Labor Organization's (ILO) "Convention No. 169 concerning Indigenous and Tribal Peoples in Independent Countries." In the latter cases, such participation shall be carried out in particular through their local organizations and, as far as possible, using the most relevant language of the area. The PMU should ensure that these consultations are done in a transparent and accessible manner. Because WWF's and GCF's IP Policies are more stringent in this case (as noted in Chapter 2), the PMU will ensure that FPIC is obtained should the process of establishment, expansion or modification of NPAs boundaries affects the collective rights of Indigenous Peoples (see Chapter 7 for further details on when FPIC is needed and when IPPs should be developed).

Protected Natural Areas may be established or definitively categorized on communal property, provided that the prior, free, and fully informed consent of the owners of such property has been obtained, whose fundamental rights are explicitly recognized in the creation provision. In any case, the provisions of Article II of the Preliminary Title of the Environment and Natural Resources Code, Legislative Decree No. 613, shall apply.

If there are reasonable indications of the existence of human groups in voluntary isolation or in initial or sporadic contact, the provisions for the creation of the Protected Natural Area shall safeguard their property rights and other acquired rights.

- Strengthening of monitoring or stricter enforcement on existing management plans/Master Plans:

As mentioned above, the Master Plan is the highest-level planning document for a Protected Natural Area and these are developed through participatory processes. Valid for five years, they define: a. Zoning, strategies, and general policies for the management of the area; b. The organization, objectives, specific plans required, and management programs; and c. The frameworks for cooperation, coordination, and participation related to the area and its buffer zones.

As indicated above, in accordance with Article 25 of Presidential Resolution No. 202-2021-SERNANP, it is provided that in cases where it is identified that the proposed zoning or modification directly affects the collective rights of indigenous or native peoples, the respective prior consultation process shall be carried out, in accordance with the provisions of Law 29785, the Law on the Right to Prior Consultation of Indigenous Peoples. Again, in the event that a project activities triggers the need for FPIC, the project should follow the most stringent of requirements which means that, per WWF's and GCF's IP policies, *consent* should be sought (please refer to Chapter 7). And, in the case of local communities, Presidential Resolution No. 202-2021-SERNANP provides in Article 30 that the Master Plan must undergo a validation process through workshops in which all interested parties may submit the ANP Headquarters their recommendations or observations on the preliminary version of the Master Plan, duly substantiated. In this regard, if a possible access restriction is identified during the zoning definition

process, interested parties may submit their contributions during the validation phase.

Therefore:

- 1) any modification for the stricter application of a NPA master plan that is reflected in the zoning of the NPA, contained in the master plan, must undergo a prior consultation process with indigenous or native peoples or a validation process by law.
- 2) All the NPAs targeted in this project currently have master plans, which were obtained in the manner described above. However, it is unclear at this point whether their enforcement is consistent with what is specified in each of those master plans and how that varies per PA. As such, to prevent a negative impact on communities that rely on natural resources from these PAs as a result of the intended strengthening of control and surveillance actions by SERNANP, socioeconomic baselines will be drawn prior to implementation of these activities.

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## CHAPTER 7 INDIGENOUS PEOPLE PLANNING FRAMEWORK (IPPF)

226. In line with the relevant international legal framework, WWF Standard on Indigenous People and the GCF's Indigenous People's Policy, the following Indigenous Peoples Planning Framework (IPPF) has been developed to ensure that all efforts will be made to respect, include and promote Indigenous Peoples' rights during project implementation. The IPPF will constitute the basis for: i) the engagement of Indigenous Peoples as key project stakeholders, ii) the promotion of continued consultations throughout the project lifespan as well as the establishment of a feedback and complaint mechanism, iii) the minimization and mitigation of any potential adverse effects; and iv) the implementation of project activities in a culturally appropriate way.

### 7.1 Indigenous People in Peru

227. The Indigenous Peoples are defined as populations whose origins predate the establishment of the state and who maintain many of their social, economic, and political customs. They possess a collective governance and awareness of their indigenous heritage, and are therefore subjects of collective rights recognized as such by international and national legislation. These populations can be Andean (organized primarily in peasant communities) or Amazonian (organized in indigenous communities) The existence of Indigenous Peoples in Peru is recognized historically and is reflected in Peru's legal framework. The term 'Indigenous People' is used in this ESMF document as per the definition of the International Labor Organization (ILO) and GCF IP Policy. The ethno-linguistic map of Peru published in 2010 by the 'Instituto Nacional de Desarrollo de Pueblos Andinos, Amazónicos y Afroperuanos', identified at least 15 ethno-linguistic families in Peru: Arawak, Aru, Cahuapana, Harakmbut, Huitoto, Jíbaro, Pano, Peba-Yagua, Quechua, Romance, Tacana, Tucano, Tupi-guaraní, Uro-chipaya and Zaparo, and 76 ethnicities, among which 60 are present in the Peruvian Amazon region. Throughout history, ethnic groups have mixed with each other, integrated into colonial society or disappeared, depending on the degree of contact with the rest of society and on threats to which they have been exposed over time, such as conflicts, diseases, rubber production, illegal logging and mining, terrorism or other types of violence. Some ethnic groups have migrated to new territories.

228. With the proclamation of Law N°29785 on the Right to Prior Consultation in 2012, the Ministry of Culture started establishing a database on Indigenous Peoples. In 2023, the Ministry of Culture's database on Indigenous Peoples included 55 ethnic groups (51 in the Amazon region and 4 in the Andean region). These 55 indigenous peoples are: Achuar, Aimara, Amahuaca, Arabela, Ashaninka, Asheninka, Awajún, Bora, Cashinahua, Chamicuro, Chapra, Chitonahua, Ese Eja, Harakbut, Ikitu, Iñapari, Iskonawa, Jaqaru, Jíbaro, Kakataibo, Kakinte, Kandozi, Kapanawa, Kichwa, Kukama Kukamiria, Madija, Maijuna, Marinahua, Mashco Piro, Mastanahua, Matsés, Matsigenka, Muniche, Murui-Muinani, Nahua, Nanti, Nomatsigenga, Ocaina, Omagua, Quechuas, Resígaro, Secoya, Sharanahua, Shawi, Shipibo-Konibo, Shiwilu, Ticuna, Urarina, Uro, Vacacocha, Wampis, Yagua, Yaminahua, Yanesha, and Yine.

229. To the question of "how many persons are Indigenous People", the Ministry of Culture answers that, based on data from the 2017 census<sup>32</sup>, *'it is estimated that 2,014,534 citizens belonging to indigenous or original peoples live in localities of indigenous or original peoples, which represents 6,9% of the*

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<sup>32</sup> <https://centroderecursos.cultura.pe/sites/default/files/rb/pdf/Cartilla%20Peru%202020.pdf>.

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*national population. Of these, approximately 470,591 persons live in native localities, while 1,543,943 persons live in cities of the Andes'.*

230. Peasant communities are the most frequent organization in the Andean region, and indigenous communities the most frequent in the Amazon region. Smith (IBC, 2013) proposed the following practical categorization:
- Peasant communities, which include:
    - Indigenous communities from the Andean;
      - Riverine communities from the Amazon
      - “Rondas campesinas” (peasant watch) from the north (Cajamarca, Amazonas, San Martín, etc.)
    - Indigenous communities from the Peruvian Amazon.
231. The “rondas campesinas” are social organizations of rural villagers, recognized by the Law of Rondas Campesinas<sup>33</sup>, who take on different responsibilities, of which the most important include security patrolling and peace-keeping. Migrant communities who move from the northern regions of Peru may bring these types of organization to the Amazonian rainforest. In the project, there are rondas campesinas mainly in Tabaconas Namballe national sanctuary, Alto Mayo protection forest, Cordillera de Colán national sanctuary, and Bahuaja Sonene national park.
232. Indigenous territories cover more than 16 million ha of the Amazonian forest in Peru (WWF, 2017) and IPs (peasant communities and/or native communities) live in the 25 NPAs that are part of the PdP A&C project. SERNANP’s policies, as well as WWF’s and PROFONANPE’s recognize the importance of protecting the rights of Indigenous People and of engaging them in the management of protected areas.
- 7.2. Indigenous Peoples in Voluntary Isolation and Initial Contact (PIACI)**
233. About 20 indigenous groups are in a situation of isolation and/or of initial contact. Among others the Amahuaca, Isconahua, Chitonahua, Matsigenka, Mashco Piro, Mastanahua, Kakataibo, Murunahua and Yora<sup>34</sup>. In the Peruvian Amazon region, there are Indigenous People who have not developed sustained relationships with other people of the national dominant society – or have discontinued such relationships – and people who have initiated a first level of relationships. Both groups are highly vulnerable to contacts with populations who are external to their groups, or with systems unrelated to their lifestyles. PIACI generally migrate seasonally over vast territories, practicing fishing, hunting and gathering. Several groups of PIACI (e.g. Mascho Piro, Katataibo, Mastanahua, Remo, Mayoruna, Matses, Marubo, Kapanawa) are present in territories adjacent to some of the project’s NPAs (Manu NP, Alto Purus NP, Cordillera Azul NP, Matsés NR and Sierra del Divisor NP).
234. Over the past decades, the Peruvian State has developed targeted policies and a legal framework intended at protecting these PIACI, respecting the exercise of their right to self-determination and their decision not to maintain contacts with the rest of the national society – or to control the degree of contact they wish to sustain (Ministry of Culture, 2020)<sup>35</sup>.

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<sup>33</sup>Law N°27908 with Regulation dated 2003.

<sup>34</sup> <https://centroderecursos.cultura.pe/sites/default/files/rb/pdf/Cartilla%20Peru%202020.pdf>.

<sup>35</sup> <https://bdpi.cultura.gob.pe/piaci>

Figure 1. Four of Peru's five PIACI Territorial Reserves



235. Five Territorial Reserves for the protection of PIACI exist in Peru. The map to the left shows the location of the four Territorial Reserves that are part of the forest ecosystem in Ucayali, Cusco and Madre de Dios departments, also encompassing Manu NP, Megantoni NS and Alto Purús NP. The fifth reserve, Isconahua in Ucayali, is adjacent to Sierra del Divisor NP. The three reserves located in Ucayali (Isconahua, Mashco Piro and Murunahua) were categorized as Indigenous Reserves in 2016<sup>37</sup>.

236. The Law does not prohibit exploitation of non-renewable natural resources, such as oil, in indigenous reserves. Projects for oil exploitation should be declared of public utility and should comply with all other applicable legislation (e.g. preparing an Environmental Impact Assessment)<sup>38</sup>. However, this also means that the protection of indigenous territories given by the status of Indigenous Reserve is sometimes considered weaker compared to the status of NPAs of 'indirect use'.

237. Though the exact location of PIACIs is not known at all times, the territories they have historically inhabited or utilized are, in effect, known<sup>[37]</sup> and the Peruvian government has built a robust legal scaffolding around these peoples.<sup>[38]</sup> Though the main Peruvian authority to protect the rights of PIACI is the Ministry of Culture, the legal framework includes provisions directly targeting and legally binding SERNANP. For example:

Article 7, Law No 28736-2006, establishes that: "In the case of Indigenous Peoples in Voluntary Isolation and Initial Contact (PIACI) living within protected natural areas, the Ministry of Culture, the leading, implementing and supervising body of the Special Trans-sectoral Regime, must coordinate with the National Service of Natural Areas Protected by the State (SERNANP), so that pertinent measures are taken to guarantee the physical and socio-cultural integrity and the rights of these peoples"<sup>[39]</sup>

Article 8, Second Title, Supreme Decree No. 008-2007-MIMDES, establishes that the Ministry of Culture (MINCUL), through the Vice-ministry of interculturality (VMI, for its Spanish name), is required to coordinate control, surveillance and monitoring with SERNANP to prevent the unauthorized entry of people from outside the Indigenous reserves.

<sup>36</sup> <https://centroderecursos.cultura.pe/sites/default/files/rb/pdf/LasreservasterritorialesdelPeruparalospueblosenaislamientoyencontactoinicial.pdf>

<sup>37</sup> Supreme Decree N°007-2016-MC.

<sup>38</sup> Law N°28736 for the Protection of Indigenous People (see legal framework section of the report), Article 5, Literal C.

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Article 34, Chapter II, Supreme Decree No. 008-2007-MIMDES, establishes that the VMI will coordinate with SERNANP to issue a technical opinion whenever peoples in initial contact carry out resource extraction activities for purposes other than their own subsistence

Article 40, Chapter IV, Supreme Decree No. 008-2007-MIMDES, requires that SERNANP request a technical opinion from VMI before categorizing protected natural areas where there is a presumption of the existence of PIACI and, if this is confirmed, SERNANP must coordinate any actions to be taken with the VMI beforehand, as that governmental unit is the highest authority responsible for guaranteeing these peoples' protection.

Article 42, Chapter V, Supreme Decree No. 008-2007-MIMDES established the creation of a Protection Management Committee to guarantee the inviolability of the indigenous reserve and determining that one of its members should be a SERNANP representative

Article 7, Supplementary Amending Provision, Legislative Decree No. 1374, explains that in the case of PIACI living within protected natural areas, the Ministry of Culture, as the leading authority in PIACI protection must coordinate with SERNANP to ensure that appropriate measures are taken to guarantee the physical and sociocultural integrity and the rights of these peoples.

238. The purpose of this IPPF is to ensure that IPs rights are respected in the PdP A&C project, that IPs do not suffer adverse impacts from the project, and that they benefit from project activities co-designed with them on the basis of meaningful consultations and implemented in a culturally appropriate way, in compliance with WWF's Standard on Indigenous Peoples.

239. The PdP A&C project is committed to:

- Respecting Indigenous Peoples' rights, including their rights to FPIC processes and to tenure over traditional and ancestral territories.
- Negotiating and agreeing on culturally appropriate and equitable benefits with the Indigenous Peoples' communities in question.
- Avoiding or adequately addressing potential adverse impacts through a participatory and meaningful consultative approach.

240. The IPPF for the PdP A&C project has been developed after extensive consultations. It consists of a series of steps and processes that are fully embedded in the procedures and plans of the ESMF and are likewise fully integrated in the project planning and budget.

### **7.3. Overview of relevant stakeholders for engagement with IPLC**

241. In Peru, the national IP federations are generally considered as representative of the interests of Indigenous Peoples and are important political stakeholders whose support is necessary for the project. MINAM, in the case of the National Strategy on Forest and Climate Change (ENBCC), consulted with seven national federations (gremios) that usually participate in national consultative groups, such as the 'Grupo de Trabajo de Políticas Indígenas (GTPI)' of the Ministry of Culture.<sup>39</sup> Four of these organizations are also relevant for the Peruvian Amazon basin:

- Asociación Interétnica de Desarrollo de la Selva Peruana – AIDSESP.
- Confederación de Nacionalidades Amazónicas del Perú – CONAP.

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<sup>39</sup> Source: consultation with MINAM

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- Organización Nacional de Mujeres Indígenas Andinas y Amazónicas del Perú – ONAMIAP.
  - Federación Nacional de Mujeres Campesinas, Artesanas, Indígenas, Nativas y Asalariadas del Perú – FENMUCARINAP.

Other organizations also generally involved at national level is:

- Organización Regional de los Pueblos Indígenas del Oriente – ORPIO, a large regional organization that is important in the Peruvian Amazon basin.

Locally in the NPAs, the relevant stakeholders representing communities are:

- regional and local indigenous federations;
- rondas campesinas;
- community organizations of mothers, youth and the elderly;
- various community associations (such as those aggregating artisanal fishers or agricultural producers);
- community leaders.

242. Many representatives of communities, IP leaders and representatives of regional or national federations are members of the NPA Management Committees. Indicative lists of these local organizations are presented in Appendix 8. The SERNANP staff in the NPAs has generally a good and up-to-date knowledge of these stakeholders<sup>38</sup>.
243. Some NGOs have experience in defending the rights of Indigenous People and have a good knowledge of their interests and ways of life. Examples include ACCA, CEDIA, CI, CIMA, IBC, ECOAN, SPDA, SZF, DAR, etc. The Defensoría del Pueblo (national Ombudsman) is the main defender at national level of the collective rights of IP.
244. It is also necessary to consider vulnerable persons in communities, or persons who do not feel represented by the traditional or dominant power structures. Several observers agree that some stakeholders do not feel represented by traditional power and representation structures within communities<sup>40</sup>. To reach such stakeholders, consultation with smaller groups, directly on location, is generally necessary, often with trustful facilitators/translators (such as schoolteachers)<sup>41</sup>. Non-contacted Indigenous People or people in early contact stages (PIACI) can generally not be included in stakeholder engagement, depending on their level of integration.
245. The next sections first explain the background and principles that have guided the IPPF design, and then present the implementation arrangements and the contents of the IPPF.

#### **7.4 Guiding Principles**

246. The following guiding principles will be applied in the development of foreseen consultation activities within the ESMF of the project.
247. The focus is based on human rights: these include the right to self-determination, the right to development with identity, the right to Free, Prior and Informed Consent (FPIC), the right to full and effective participation at every stage of any action that may affect them directly or indirectly, the rights over land and other natural resources upon which Indigenous Peoples depend for survival, collective rights that include recognition of their specific histories, languages, identities and cultures but also recognition of their collective rights to the lands, territories and natural resources.

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<sup>40</sup> Mentioned by WWF-Peru's director for Forest and Indigenous People program, by FEPKIMET, and by SERNANP in the case of Yaguas NP.

<sup>41</sup> Consultation with WWF-Peru's director for Forest and Indigenous People program.

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248. Another important right of Indigenous Peoples relates to cultural distinctiveness and their right not to be subjected to forced assimilation or destruction of their cultures. In fact, Indigenous Peoples are entitled to live in accordance with the traditions and the customs that underlie their integrity and way of life. In this regard, the State must respect and acknowledge the different institutions and representative authorities, as well as the decision-making process of Indigenous Peoples. As such, processes and procedures must be in line with their cosmovision, traditions and customs. In order to ensure this, that State must ensure:

- *Equality of rights.* Assure the recognition of prerogatives inherent to all people because of their human condition.
- *Good faith.* To assure an honest and fair interaction that is not misleading and based on the value of the word, building a harmonious and honest relationship, respecting the agreements that ensure trust.
- *Multiculturalism.* Based on respect for cultural and geographical diversity, implying the management of relationships in a horizontal and equitable manner.

#### **7.5. Principles for inclusion of other communities and for benefit-sharing**

249. WWF and the GCF have clear policies stating that Indigenous People should benefit from their projects, and they also state that other local communities should preferably be integrated in the planning instruments. The processes described in the ESMF therefore also include non-indigenous local communities. In most areas, Indigenous Peoples will be more vulnerable than settlers, but this is not systematically the case. In some areas, migrant workers, who are typically non-indigenous, may be defined as vulnerable populations and should therefore also be considered by the project. This is complicated by the fact that these populations may often engage in illegal activities or illegally settle on land (*'invasiones'*).

250. The ESMF recommends that principles for benefit-sharing be defined as much as possible in a consultative way throughout the project and based on socio-economic baselines. It should be understood that benefit-sharing issues may occur not only between indigenous communities themselves, but also among indigenous communities (or individuals).

#### **7.6. Principles for engagement with IP&LC during project implementation**

251. Engagement with IP&LCs will be organized both at the national level and at the level of each activity in the NPAs. IP&LC representatives will be engaged in activity design, impact screening, activity monitoring, and conflict resolution.

252. Participation of Indigenous Peoples in the project will be guaranteed through the IPPF by the following measures:

- Identification in baseline assessments;
- Incorporation of the views of IPs in preliminary studies;
- Participation in activity design and monitoring when relevant;
- Consistent screening for impacts of all project activities, including the views of representatives of Indigenous People;
- Meaningful consultations for any activities that may impact IPs;
- Specific consultation and consent processes.

These measures are also included in the Stakeholder Engagement Plan (SEP).

#### **7.7. Consultation held with indigenous peoples**

253. Indigenous People have been consulted during the ESMF preparation and the views received during the consultations have been incorporated in the project design.
254. In particular, the project design is based on a request made by the indigenous communities that co-manage 10 NPAs (2.2 million ha.) as Communal Reserves to SERNANP to exclude these NPAs from the project, as they have advanced a stand-alone project for those 10 NPAs.
255. While some consulted national IP organizations have asked to be directly responsible for the engagement with their regional and local branches, the project will seek significant stakeholder engagement at the protected area level. Indeed, given the nature of project activities in 25 NPAs under Component 1, it will be important to create and include instances of direct interaction between NPA management, other local stakeholders, and local IP organizations at NPA level.
256. The indigenous organizations consulted have generally asked to receive more detailed information on activities location and contents. This information will have to be confirmed at a more local level when project implementation starts, which is why the IPPF includes important provisions for stakeholder engagement at project-wide level as well as at NPA level.
257. Expectations management will be necessary, to explain that the project activities will only moderately impact the daily life of local communities and that they will not address basic needs such as drinkable water, energy access, sanitation, health, education, etc.
258. Lastly, these consultations yielded that intercultural communication will be critical not only in terms of expectation management but also during project implementation.
259. For further information on stakeholder engagement for PdP A&C, please refer to Chapter 2 of this project's SEP (Annex 7) which provides an account of Results from consultations with Indigenous Peoples.

#### **7.8. Summary of the screening of project impacts on Indigenous People and local communities**

260. The environmental and social risk preliminary screening (see Chapter 5) has identified a series of potentially adverse risks and impacts for Indigenous People and local communities.
261. The overall risks and impacts for IPs are:
- Vulnerability of rights to land, natural resources, culture, and traditions, as well as impacts on social structure and Indigenous governance.
  - Potential increase in inequalities and threats to the security of communities, especially women, in the face of the presence of external actors in Indigenous territories.
262. The overall risks and impacts for PIACI are:
- Physical and social impacts resulting from unwanted encounters, sightings, or contact with PIACI, which may affect their lives, health, well-being, and self-determination.
  - High health vulnerability of PIACI due to a lack of adequate immune response to potential external diseases.
  - Risks of violence or conflict arising from unplanned or accidental contact with PIACI.

263. Table 11 below recapitulates these risks and identifies the main mitigation measures to be considered as part of this IPPF.

**Table 11. IPPF Actions to be Implemented**

Main anticipated risks, impacts and opportunities affecting IPLC	Mitigation measures to be implemented in the IPPF
The project includes significant reinforcement of surveillance and control in all NPAs. This activity can have positive as well as negative impacts on IPs that will vary per NPA, though they are difficult to identify at this stage.	Early consultation with IPs in the preparation studies. Grievance Redress Mechanism at project-level (MAQS) widely disseminated at NPA-level
Community member participation in surveillance and control activities are exposed to specific health, safety and public security risks.	Regular consultations and monitoring of health, safety and public security risks. Capacity building.
Physical demarcation of already defined NPA boundaries requires the establishment of clear definition of limits with local communities, and to prevent and manage potential conflicts.	Meaningful consultations with all local communities relevant for demarcation activities. Possibly, seeking FPIC and development of IP plans. Application of Process Framework/development of LRPs when necessary. Conflict resolution mechanism at NPA/activity level.
Potential construction activities of moderate scale (SERNANP surveillance and control check points, etc.) will generate reversible and manageable site-specific impacts such as forest vegetation removal, nuisances, waste, etc. and risks such as poisonous bites for wild fauna and minor injuries (e.g. cuts) or health risks (dehydration, insolation, etc.).	Development ESIA's and thorough ESMPs to manage all the potential risks. IPs participate in site selection if could impact them and are informed about the location of SERNANP's check points.
Safeguards on pest management and on combating invasive species are important for application in all agroforestry or forest restoration activities, as they may impact the health of local communities.	These impacts are managed in the ESMPs or guidelines for climate resilient productive practices and ecosystem-based adaptation actions. Regular consultations and monitoring of health and safety risks. Capacity building.
There is a possibility that conflict might arise among different indigenous communities over selection of candidates to participate in various project activities, such as bio-businesses.	Clear selection criteria should be developed. Selection criteria need to be well socialized.

264. As mentioned, Indigenous peoples will be more vulnerable than settlers in most areas, but this is not systematically the case. In some, migrant workers, who are typically non-indigenous, may be defined as vulnerable populations, and should therefore also be considered by the project<sup>42</sup>. This is complicated by the fact that these populations may often engage in illegal activities, or illegally settle on land (*'invasiones'*).

265. The ESMF recommends that principles for benefit-sharing be defined as much as possible in a consultative way, during project preparation, in the preliminary studies, and based on socio-economic baselines. It should be understood that benefit-sharing issues may occur not only between indigenous communities themselves, but also among indigenous communities (or individuals).

## 7.9. IPPF Implementation

### Personnel and responsibilities

266. The responsibility for implementing the IPPF lies with:

<sup>42</sup> Note that indigenous populations can themselves be relatively recent migrants.

- the safeguards specialists in the PMU and WWF Peru, with support from the PMU Project Manager on logistical matters (e.g. conducting field visits, reaching out to IP communities, convening meetings, etc.);
- the focal points at the cluster-level; and
- the safeguards focal points in the NPA head offices.

267. Please note that a gender specialist will also be appointed at the PMU and can advise on gender aspects related to IPs.

268. It will be important to ensure that the project staff have a sufficient budget to be able to travel and to hold meetings and workshops to engage effectively with stakeholders.

### IPPF Processes

269. The table below (Table 12) details the plans and processes that will be implemented, at project level and for each activity in NPA, as part of the IPPF. These plans and processes are part of the ESMF but pertain more specifically to Indigenous People. Please note that there are many cases of 'intersectionality' where a measure pertains not only to the WWF standard on Indigenous Peoples but also to WWF standards on ecosystems, cultural heritage, or others.

**Table 12. Measures, plans and processes of the IPPF**

Project activity	IPPF Activities (included in the ESMF)
Socio-economic baselines and impact assessment	Socio-economic baseline assessment of target indigenous people groups living in the NPA and the BZ, before activities start in the NPAs. This will be particularly salient for those activities that might impact access to natural resources.
Indigenous People safeguards for construction in NPA if applicable ( <i>such as if it will take place in their lands, waters, traditional territories or have any impact on their livelihoods</i> )	Procedures for selection of alternatives for construction sites and access roads (this covers components 1 & 2). Processes to be included in construction ESMP. - Cultural heritage, other access restrictions: consult Indigenous People (with signing off of agreements) about all infrastructure siting and access track location.
Training of project staff in safeguards and E&S management	NPA staff and local implementors will be trained in engagement with communities, management of land tenure issues, conflict resolution, obtention of Free, Prior and Informed Consent (FPIC), labor and working conditions, and environmental safeguards. This is mainly the task of the project safeguards staff (who will be trained by the AE) and is included in the existing trainings.
Training of indigenous local communities	Measures for training local communities are included in each of the activities, see below.
<b>IPPF elements to be integrated into activities under Component 1</b>	
Activity 1.1.1: Implement physical demarcation of NPA boundaries	Consultations with communities for validating the delineation in the field
	Seeking FPIC if required
	Apply the procedures for selection of construction sites (including consultation with the environmental specialist and with IPs) and access tracks
Activity 1.1.2: Strengthen the Master Plans for 25 NPAs to incorporate appropriate responses to climate change impacts on conservation targets and ecosystem services.	Include training of SERNANP staff on engagement with communities, on management of land tenure issues, on conflict resolution and application of FPIC
	Reminder to collect, include and disseminate indigenous knowledge in this component

<p><b>Activity 1.1.3:</b> Strengthen governance in 25 NPAs by ensuring Management Committees are functioning and have the capacities needed to support NPA decision-making and advance toward participatory management through the adequate inclusion of women, indigenous peoples, and other underrepresented and vulnerable groups.</p>	<p>Use the developed IPPF as a baseline to assess representativity and efficiency of participation.</p>
<p><b>Activity 1.2.1:</b> Implement effective control activities to reduce deforestation in 25 NPAs.</p>	<p>Seek FPIC and develop Indigenous People Plans (IPPs) in NPAs related to the impacts of the control and surveillance plans, though it can also include other issues (needs to be determined during consultations). If access restriction is a proven risk for these communities, efforts should be made to include livelihood restoration measures within the IPP. If this is not possible, then a stand-alone LRP should be developed.</p> <p>Stakeholder engagement with communities for 1.2.1</p> <p>Incorporation of principles for avoidance of contact with PIACI (non-contacted Indigenous People, or in early contact stages) in patrolling guidelines</p> <p>Apply the procedures for selection of construction sites (including consultation with the environmental specialist and IP sign-off) and access tracks.</p>
<p><b>Activity 1.2.2:</b> Improve environmental and biological monitoring to reduce risks of deforestation in the 25 NPAs.</p>	<p>Inclusion of indigenous knowledge in the studies and monitoring plans, which will possibly require FPIC.</p> <p>Consultations with communities (especially IP) to define principles for participatory monitoring</p> <p>Participatory monitoring (especially with IP): capacity building for communities</p> <p>Include community representatives and IP representatives in all workshops and trainings related to the activity</p>
<p><b>Activity 1.3.1:</b> Establish and scale participatory mechanisms to achieve sustainable use of natural resources and reduce deforestation in 5 NPAs.</p>	<p>During preparation studies, include consultations with communities and IP on best practices, existing knowledge, and possibilities for benefit sharing.</p> <p>Define principles for selection of beneficiaries and develop an equitable benefit sharing plan</p> <p>Ensure beneficiaries are prioritized and conflict resolution available</p>
<p><b>Activity 1.3.2:</b> Implement and manage payment schemes for ecosystem services related to water supply to conserve NPAs.</p>	<p>Obtain opinion from IP representatives on the PES methodology</p> <p>Inclusion of IP representatives in capacity building and stakeholder engagement on the PES systems</p>
<p><b>Activity 1.3.3:</b> Strengthen environmental compensation and user rights to support conservation of NPAs.</p>	<p>Obtain opinion from IP representatives on the methodology (non-binding)</p>
<p><b>Activity 1.3.4:</b> Improve tourism products and services in 3 NPAs to increase and diversify tourism revenue streams to the system of NPAs.</p>	<p>Include consultation with communities to develop benefit sharing principles</p> <p>Include benefit sharing principles if possible.</p> <p>IP consultations (with signing off of agreements) about infrastructure siting and access track location when necessary.</p>

<p><b>Activity 1.3.5:</b> Expand existing monitoring programs on carbon stocks in forests and soils in Amazon NPAs to support national monitoring and FREL design.</p>	<p>Include local community representatives and IP representatives in all workshops and trainings related to the activity</p>
<p><b>Activity 1.4.1:</b> Support the establishment and scaling of bio-businesses by expanding participatory</p>	<p>Include local community representatives and IP representatives in the selection processes. Ensure that a clear set of participating criteria are developed and that those are adequately socialized.</p>
<p><b>IPPF elements to be integrated into activities under Component 2</b></p>	
<p><b>Activity 2.1.1:</b> Implement climate-resilient productive practices with 30 native communities living in 5 NPAs and their buffer zones to support community-based adaptation.</p>	
<p><b>Activity 2.1.2: Implement</b> ecosystem-based adaptation with 30 native communities living in 5 NPAs and their buffer zones to enhance and/or restore climate adaptation services.</p>	<p>Ensure participatory processes and a clear focus on IP for the establishment of the demonstration sites and for the selection of training material and beneficiaries</p>
	<p>Advice on the beneficiaries to be prioritized/selection process and conflict resolution within prioritized communities</p>
	<p>Inclusion of indigenous knowledge and hiring of project technicians able to have effective communication and trusted intercultural dialogue with IP.</p>
<p><b>Activity 2.2.1:</b> Strengthen technical and administrative capacities in 8 Indigenous Organizations supporting native communities living in 5 NPAs and their buffer zones.</p>	<p>Inclusion of indigenous knowledge and indigenous communities in all engagements</p>
	<p>Ensure that information disseminated under this activity is accessible to indigenous groups and (i.e. verbal communication must be included as a mode of transmission)</p>
	<p>Advise on the beneficiaries to be prioritized and conflict resolution</p>
<p><b>Activity 2.2.2:</b> Institutionalize Indigenous-led climate risk management to scale climate-resilient productive practices and EbA measures across 192 native communities in 5 NPAs and their buffer zones</p>	

## 7.10. Free, Prior and Informed Consent

270. Free, Prior and Informed Consent (FPIC) is an approach for ensuring that the rights of IPs are guaranteed in any decision that may negatively affect their lands, territories or livelihoods. It ensures that they have the right to give or withhold their consent to these activities without fear of reprisal or coercion, in a timeframe suited to their own culture, and with the resources to make informed decisions.

271. FPIC is composed of four separate components:

- *Free*—Without coercion, intimidation, manipulation, threat or bribery.
- *Prior*—indicates that consent has been sought sufficiently in advance, before any project activities have been authorized or commenced, and that the time requirements of the indigenous community's consultation/consensus processes have been respected.
- *Informed*—Information is provided in a language and form that are easily understood by the community, covering the nature, scope, purpose, duration and locality of the project or activity as well as information about areas that will be affected; economic, social, cultural and environmental impacts, all involved actors, and the procedures that the project or activity may entail.
- *Consent*—The right of IPs to give or withhold their consent to any decision that will impact their lands, territories, resources, and livelihoods.

272. The processes of consultation and obtaining FPIC will be applied to all the aspects of the project (financed under WWF) that may negatively affect the rights of the IPs and ethnic minorities. FPIC will be required on any matters that may negatively affect the rights and interests, water areas, lands, resources, territories (whether titled or untitled to the people in question) and traditional livelihoods of the IPs concerned.

273. Thus, FPIC is integral to the execution of the proposed project, as the project areas includes diverse indigenous communities. WWF recognizes the strong cultural and spiritual ties many IP groups have to their lands and territories and is committed to strengthening these ties in all GCF funded projects. FPIC gives IPs the freedom to determine their own development path to promoting conservation sustainably. The following checklist (Box 1) may assist in helping to determine whether some Project activities may require an FPIC process

#### ***When is FPIC Needed?***

274. The Box below (see Box 1) presents a series of questions that should be utilized when assessing a project activity prior to implementation. If the answer is 'Yes' to any of these questions, it is likely that FPIC will be required of the potentially affected indigenous peoples for the activity that may result in the impacts identified in the questions.

#### **Box 1. Checklist for appraising whether an activity may require an FPIC Process**

1. Will the activity involve the use, taking or damage of cultural, intellectual, religious and/or spiritual property from IPs?
2. Will the activity adopt or implement any legislative or administrative measures that will affect the rights, lands, territories and/or resources of IPs (e.g. in connection with the development, utilization or exploitation of mineral, water or other resources; land reform; legal reforms that may discriminate de jure or de facto against IPs, etc.)?
3. Will the activity have impacts on lands and natural resources subject to traditional ownership or under customary use?
4. Will the activity involve natural resource extraction such as logging or mining or agricultural development on the lands/territories of IPs?
5. Will the activity involve any decisions that will affect the status of IPs' rights to their lands/territories/water resources, resources or livelihoods?
6. Will the activity entail or lead to the relocation of IPs from lands and natural resources subject to traditional ownership or under customary use? (please note that WWF will not support activities that could lead to involuntary resettlement)

7. Will the activity involve the accessing of traditional knowledge, innovations and practices of indigenous and local communities?
8. Will the activity affect IPs' political, legal, economic, social, or cultural institutions and/or practices?
9. Will the activity have impacts on cultural heritage that is essential to the identity, cultural, ceremonial, or spiritual aspects of indigenous peoples' lives, including practice of traditional livelihoods, natural areas with cultural or spiritual values such as sacred groves, sacred bodies of water and waterways, sacred trees, and sacred rocks?
10. Will the activity involve making commercial use of natural resources on lands subject to traditional ownership and/or under customary use by IPs?
11. Will the activity involve the use of cultural heritage, including knowledge, innovations or practices of indigenous peoples for commercial purposes?
12. Will the activity involve decisions regarding benefit-sharing arrangements, when benefits are derived from the lands/territories/resources of IPs (e.g. natural resource management or extractive industries)?
13. Will the activity have an impact on the continuance of the relationship of the IPs with their land or their culture?
14. Will the interventions/activities restrict access to NTFPs, timber, lands, etc. and other sources of livelihoods and community resources?

275. For ease of assessment, the questions in Box 1 are included in the ESS Activity-Level Screening (see Appendix 1), which should be applied on a yearly basis while developing the AWPB or whenever new activities (not originally included in the AWPB) are added (please refer to section 6.2). This means that, should any of these questions be answered positively and FPIC determined to be required, then the EEs should proceed with consent seeking and IPP development (please refer to section 7.11, Indigenous Peoples Plans below for further information).
276. When an FPIC process is required, a stakeholder consultation process will need to be initiated to define and agree on an FPIC process with the community or communities. The IPs who may be affected by the Project will have a central role in defining the FPIC process, based on their own cultural and governance practices. The consultation process should be launched as early as possible to ensure full, effective and meaningful participation of IPs.
277. All consultations with IPs should be carried out in good faith with the objective of seeking agreement or consent. Consultation and consent is about IPs' right to meaningfully and effectively participate in decision-making on matters that may affect them. Consultations and information disclosure are integral parts of FPIC process and any development support planning for IPs to ensure that the priorities, preferences, and needs of the indigenous groups are taken into consideration adequately. With that objective in view, a strategy for consultation with IPs has been proposed so that all consultations are conducted in a manner to ensure full and effective participation. The approach of full and effective participation is primarily based upon transparent, good faith interactions, so that everyone in the community is empowered to join fully in the decision-making process. It includes providing information in a language and manner the community understands and, in a timeframe, compatible with the community's cultural norms.
278. The affected IPs will be actively engaged in all stages of the project cycle, including project preparation, and feedback of consultations with the IPs will be reflected in the project design, followed by disclosure. Their participation in project preparation and planning has informed project

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design and will continue to actively participate in the project execution. Once the IPP or LRP is prepared, it will be translated into local languages (as applicable) and made available to them before implementation, including in formats other than written documents if and when requested by the communities.

279. PROFONANPE and WWF Peru shall ensure adequate flow of funds for consultation and facilitation of planned activities within the IPP. Project brochures and pamphlet with infographic containing basic information such as sub-project location, impact estimates, and mitigation measures proposed, and implementation schedule will be prepared, translated into a language understandable to the IPs, and distributed among them. If literacy is low in the communities, other means of communication must also be agreed upon with them, especially targeting community members who may have lower literacy levels.
280. A range of consultative methods will be adopted to carry out consultation including, but not limited to: focus group discussions (FGDs), public meetings, community discussions, and in-depth and key informant interviews; in addition to the censuses and socioeconomic surveys.
281. The key stakeholders to be consulted during screening, impact assessment; design and implementation of IPP, LRP and Process Framework (PF) include:
- All affected persons belonging to IPs/marginalized groups;
  - Appropriate government Departments/Ministries
  - Provincial and municipal government representatives;
  - Insert relevant community cooperatives, management structures, umbrella bodies, etc.;
  - The private sector;
  - Academia representatives.
282. The project will ensure adequate representation of each group of stakeholders mentioned above while conducting consultations using various tools and approaches.
283. The views of IPs communities are to be considered during execution of project activities, while respecting their practices, beliefs and cultural preferences. The outcome of the consultations will be documented into the periodical reports and included in project's trimester progress reports. The Project Manager with support of the Safeguards Specialist will also ensure that affected persons are involved in the decision-making process.

### ***Procedures to seek FPIC***

284. Project interventions and activities adversely affecting the IPs, therefore, need to follow a process of free, prior, and informed consent, with the affected IPs in order to fully identify their views and to seek their broad community support to the project; and development of project-specific measures to avoid adverse impacts and enhance culturally appropriate benefits.
285. Community involvement is a critical component of FPIC, as FPIC is a collective process, rather than an individual decision. In practice, FPIC is implemented through a participatory process involving all affected groups that is carried out prior to the finalization or implementation of any project activities, decisions or development plans. FPIC is established through good faith negotiation between the project and affected IPs. A facilitator should support this process, a person who will be available throughout the Project, who speaks the necessary languages and is aware of the project context. This person may or may not be part of the PMU but should be agreeable to all parties involved.
286. Box 2 below outlines some generic steps to be followed for FPIC with the affected IPs in order to seek their broad community support.

### **Box 2. Steps for Seeking FPIC from Project Affected Indigenous Peoples**

1. Identify communities, sub-groups within communities, and other stakeholders with potential interests/rights (both customary and legal) on the land or other natural resources that are proposed to be developed, managed, utilized, or impacted by the proposed project activity.
2. Identify any rights (customary and legal) or claims of these communities to land or resources (e.g., water rights, water access points, or rights to hunt or extract forest products) that overlap or are adjacent to the site(s) or area(s) of the proposed project activity;
3. Identify whether the proposed project activity may diminish the rights, claims, or interests identified in Step 2 above as well as the natural resources that may be impacted by this project and the legal and customary laws that govern these resources;
4. Provide the details of proposed project activities to be implemented along with their likely impacts on IPs either positively or negatively, as well as the corresponding proposed mitigation measures in a language or means of communication understandable by the affected IPs;
5. All project information provided to IPs should be in a form appropriate to local needs. Local languages should usually be used and efforts should be made to include all community members, including women and members of different generations and social groups (e.g. clans and socioeconomic background);
6. Selection of facilitator, who will be available throughout the Project, who speaks the necessary languages and is aware of the project context and is culturally and gender-sensitive. The facilitator should be trustworthy to affected IPs. It will also be helpful to involve any actors which are likely to be involved in implementing the FPIC process, such as local or national authorities
7. If the IP communities are organized in community associations or umbrella organizations, these should usually be consulted.
8. Provide sufficient time for IPs' decision-making processes (it means allocate sufficient time for internal decision-making processes to reach conclusions that are considered legitimate by the majority of the concerned participants)
9. Support a process to create a mutually respected decision-making structure in cases where two or more communities claim rights over a project site.
10. If FPIC is not familiar to the community, engage in a dialogue to identify existing decision-making structures that support the principles underlying FPIC.
11. Identify the community-selected representative(s) or "focal people" for decision making purpose--identification of the decisionmakers and parties to the negotiation.
12. Agree on the decisionmakers or signatory parties and/or customary binding practice that will be used to conclude the agreement, introducing the chosen representatives, their role in the community, how they were chosen, their responsibility and role as representatives;
13. If consent is reached, document agreed upon outcomes/activities that are to be included into the project and agree on feedback and a project grievance redress mechanism. Agreements reached must be mutual and recognized by all parties, taking into consideration customary modes of decision-making and consensus-seeking. These may include votes, a show of hands, the signing of a document witnessed by a third party, performing a ritual ceremony that makes the agreement binding, and so forth;
14. When seeking "broad community consent/support" for the project, it should be ensured that all relevant social groups of the community have been adequately consulted. This may mean the project staff have to seek out marginalized members, or those who don't have decision-making power, such as women. When this is the case and the "broad" majority is overall positive about the project, it

would be appropriate to conclude that broad community support/consent has been achieved. Consensus building approaches are often the norm, but "broad community consent/support" does not mean that everyone has to agree to a given project;

15. When the community agrees on the project, document the agreement process and outcomes including benefits, compensation, or mitigation to the community, commensurate with the loss of use of land or resources in forms and languages accessible and made publicly available to all members of the community, providing for stakeholder review and authentication;
16. The agreements or special design features providing the basis for broad community support should be described in the IPs Plan; any disagreements should also be documented; and
17. Agree on jointly defined modes of monitoring and verifying agreements as well as their related procedures: how these tasks will be carried out during project implementation, and the commission of independent periodic reviews (if considered) at intervals satisfactory to all interest groups.

### **7.11. Indigenous Peoples Plans (IPP)**

#### ***When should IPPs be developed?***

287. Per WWF and GCF policies on Indigenous People, an Indigenous Peoples Plan should be prepared *whenever a project may potentially have adverse or positive impacts on, or have direct interventions with, indigenous communities.*
288. Typically, project activities that could represent said impacts to IPs also carry the requirement of FPIC; put differently, because FPIC is required whenever a project activity might affect IPs collective rights to lands, territories, livelihoods, access to natural resources, cultural heritage (including indigenous knowledge), cultural practices and spiritual property, among others (see Box 1), it is likely that the development of an IPP will be pursued in tandem with seeking FPIC. Thus, if it is determined that FPIC is needed in order to implement a project activity after completion of the Activity-Level ESS Screening (Appendix 1), an IPP should be developed.
289. However unlikely, should there be a project activity that does not require FPIC but which, nonetheless, could pose potential collective risks and impacts to Indigenous Peoples, an IPP will also be developed following the guidance in this IPPF.
290. Each EE is responsible for safeguarding their own activities, as described in the FP, with PROFNANPE.SERNANP as the EE for Component 1 and WWF Peru the EE for Component 2. This means that each EE should lead the FPIC and IPP processes as applicable to each of their respective activities. That notwithstanding, should there be opportunities for joint efforts in FPIC seeking and IPP development—such, as for example, if the sites, affected communities and timelines for activities pertaining to both components overlap—then these should be taken in order to lessen the burden on IPs and streamline administrative processes.
291. As has been noted elsewhere (see section 6.9), SERNANP, the main implementing partner for Component 1, already has instituted provisions and procedures governed by laws (such as Presidential Resolution No. 202-2021-SERNANP and, more broadly, the 2011 Law on Prior Consultation) that regulate the process of prior consultation with IPs whenever collective rights are affected. However, although Peruvian laws are in line with WWF's and GCF's policies, there is an identified gap between the nature of the requirements when it comes to consent of IPs (see Chapter 2). For the purposes of this project, then:

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- whenever it is determined that a “prior consultation”, as instituted in Peruvian law, is required to fulfill a project activity, the PMU will employ and build upon the procedures already legislated for SERNANP with the goal of obtaining *consent* from the affected communities and will thus not conclude after a prior consultation has been conducted. The process followed and the consent obtained should be documented and attached to the IPP (see also 7.12 below and Chapter 10 for information on disclosure of IPPs).
  - whenever it is determined that FPIC is required to fulfill a project activity as a result of the completion of the Activity-Level Screening (Appendix 1), even if the requirement exceeds what is currently established by Peruvian law as triggering of prior consultation, the PMU will ensure that an adequate FPIC process is followed and consent obtained and documented, following the guidelines offered in this ESMF (see also 7.12 below and Chapter 10 for information on disclosure of IPPs).
292. As a WWF office, WWF Peru, the EE for Component 2 activities, is governed by the same ESS requirements and policies extensively described in this document. However, there is likely to be discrepancies between how WWF Peru safeguards their work as an office compared to how they should safeguard this work as an EE. For the purposes of this project, the WWF Peru PMU will ensure that the procedures and steps laid out in this ESMF, especially in this IPPF, are followed.
293. In each case, namely for activities under Component 1 and 2, IPPs should be developed with the affected communities, approved by the AE and by the GCF, and disclosed for 45 days *before* implementation of the targeted activities can commence. Consequently, *early yearly completion of the Activity-Level ESS Screening and adequate planning are strongly encouraged.*
294. Please note that, should FPIC be sought but not obtained, the project cannot proceed with the implementation of the activities that triggered this requirement in the first place. As such, these will need to be modified to either exclude the community who has not given consent, redesigned in their nature or paused until such a time when the community offers their free, prior and informed consent.

### ***Developing IPPs***

295. The contents of the IPP will depend on the specific project activities identified and the impacts these activities may have on IPs in the project area. As a minimum, the IPP should include the following information:
- o Description of the IPs affected by the proposed activity;
  - o Summary of the proposed activity;
  - o Detailed description of IPs’ participation and consultation process during implementation;
  - o Description of how the project will ensure culturally appropriate benefits and avoid or mitigate adverse impacts;
  - o Budget;
  - o Mechanism for complaints and conflict resolution; and
  - o Monitoring and evaluation system that includes monitoring of particular issues and measures concerning indigenous communities.
296. For project activities that may result in changes in IPs’ access to livelihoods, the provisions of the Process Framework (see Chapter 6) should be followed.

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297. Lastly, provisions have been added to the project-level GRM in order to ensure that the MAQS works a culturally appropriate grievance mechanism and respects currently existing traditional conflict resolution mechanisms. Please see Chapter 8, section 8.1 (specifically, under 8.1.1.)

#### **7.12. Disclosure of IPPs**

298. The site specific IPPs will be disclosed on the website of the executing agency PROFONANPE and WWF Peru, and the website of WWF US, and made available to affected IPs. Information dissemination and consultation will continue throughout project execution. Summaries of IPPs and mitigation measures proposed in IPPs will be translated into the appropriate language as deemed by the indigenous communities and paper copies will be made available to the affected persons in the office of relevant local authorities. Please note that it is possible that a community may wish to disclose an IPP in some other/additional way, which should be supported by the project as appropriate.

299. Also, before on-the-ground disclosure can commence, the IPP needs to be approved by the AE and the GCF. As such, these plans should follow the disclosure policy indicated in Chapter 10, Section 2.

#### **7.13. Budget**

300. It is likely that, for Component 1, the PMU will need budget to seek FPIC and elaborate IPPs for some of its activities, while Component 2, in addition, will require budget to consistently and systematically engage with the 30 indigenous communities that will be co-developing its listed activities.

301. At this time, it is unclear what the exact cost of the activities pertaining to this IPPF will be. However, it is estimated that funds from budget notes CoF1, CoF2, 1D, CoF14, CoF45, 1AA, 1AY, CoF67, CoF69, 1AK, 1AN, CoF59, CoF62, 1AE, 1AJ and CoF64 can and should be utilized for these purposes for Component 1 (which total around US\$888,317). For Component 2, WWF Peru should utilize funds from budget notes 2R, 2Y, 2D, 2B, and 2H (which total around US\$2,188,358) to ensure that all the requirements and procedures laid out in this IPPF (and ESMF) are adequately implemented.

#### **7.14. Indigenous Knowledge**

302. Indigenous knowledge can be defined as “a network of knowledge, beliefs, and traditions that are intended to preserve, communicate, and contextualize indigenous relationships with their culture and landscape over time” (Bruchac, 2014). Because IPs have collective rights over their cultural heritage and traditional knowledge, FPIC should be sought whenever these elements are going to be utilized in a project. As such, the aforementioned sections in this IPPF should be followed to obtain consent, develop IPPs and disclose those.

303. In addition, the specific steps to be taken to integrate indigenous knowledge to project activities are:

1. The project will conduct a participatory process to recognize and document the traditional knowledge of the various communities involved in Component 2, specifically regarding ecosystem management, sustainable management practices, and climate change adaptation.
2. Indigenous knowledge will be adapted and incorporated into the co-creation of Ecosystem-based Environment (EbA) solutions, ensuring that best practices and diverse Indigenous worldviews are considered in the planning, implementation, and monitoring of activities.
3. Measures will be taken to protect the intellectual property of indigenous knowledge, prevent its misappropriation by the project and its members, and promote the use of ethical protocols and tools for handling sensitive and consensual information.

4. The cultural identity and capacities of indigenous communities will be recognized at all times, fostering and highlighting their leading role in conservation, environmental management, and resilience.

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## CHAPTER 8. GRIEVANCE REDRESS MECHANISM

267. As per GCF's Environmental and Social Policy as well as WWF's SIPP, a grievance mechanism needs to be established at the activity-level to receive and facilitate the resolution of complaints about the environmental and social performance of GCF-financed activities. Given that there already exists an applicable grievance redress mechanism in Peru, namely the Mecanismo de Atención de Quejas, Consultas o Sugerencias, known as MAQS, this project will employ said resource as the activity-level mechanism.
268. Although complaints should be resolved at the lowest possible level (unless the nature of the complaint precludes it), there are four other grievance-redress mechanisms (GRMs) applicable to the PDP A&C: PROFONANPE's, WWF Peru's GRM, WWF US's GRM and the GCF's IRM.
269. **A note on anonymity:** Given the complex social and security context in some locations within some NPAs and their buffer zones (e.g. lack of trust, fear of retaliation, contract killings of environmental leaders and community rangers, etc.), it is recommended to make it possible submission of anonymous complaints, which is good practice in most GRMs for international cooperation projects. Some people, for instance, may fear retribution if they include their name and identity document number in the information requested when filing a complaint. However, neither the MAQS, WWF Peru's nor GCF's IRM mechanisms can process an anonymous complaint, though the later two can ensure confidentiality.
- That notwithstanding, if a complainant wishes to remain anonymous, they should be instructed to use a different available GRM, such as PROFONANPE's or WWF US'. In effect, these three mechanisms are prepared to receive anonymous complaints and can do so in Spanish as well.
270. In light of this, the AE will allow flexibility, as needed and based on the community's needs and context, to ensure that the activity-level GRM is efficient, responsive and accessible to the stakeholders in the project areas.

### 8.1 The MAQS

271. Originally developed in the context of the GEF 6-PdP, "Securing the Future of Peru's National Protected Areas," to have an effective mechanism through which local community members could raise concerns pertaining to the four PAs targeted by the project, the MAQS has now gained nationwide adoption. Indeed, SERNANP has now institutionalized MAQS, effectively extending its scope to all of Peru's PAs instead of just the 4 targeted by GEF 6-PdP.
272. To be sure, SERNANP had already established a grievance mechanism in 2011, known as the MAR (Mecanismo de Atención de Reclamos). However, the MAQS was designed to avoid redundancies and draw synergy from already built infrastructures and practices, thus complementing the MAR. As such, there are three elements that characterize MAQS, thus differentiating it from the MAR:
- Whereas the MAR is limited by its legal framework to only dealing with complaints, the MAQS scope is wider as it not only handles grievances but is also open to receiving concerns, suggestions or questions. The form designed to capture the content of grievance does not place the responsibility of classifying the item on the community member making a complaint. Rather, while the first page of the form, filled out by the citizen, collects the substance of the complaint, suggestion or question—as well as other demographic information such as gender, race and primary language, all of which were not included in MAR form—it is the second page where the nature of the grievance is identified, which is only filled out by trained staff.

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- Another strength of MAQS is its accessibility: while the MAR requires that people travel to a SERNANP office, such as the headquarters in Lima, the MAQS was designed as an itinerant instrument. Certainly, people can approach a park ranger or other trained staff to file a complaint, suggestion or question but the safeguards specialists can go out to the field carrying one of the 438 MAQS books distributed to all the PAs and actively seek out complaints, suggestions or questions during these rounds. It is also possible for communities to digitally access the MAQS (the form is available online). This mobile nature of MAQS enhances the accessibility of the mechanism by making it friendlier to communities that lack access to the Internet or cannot travel to an office to file a grievance. This characteristic also increases the likelihood of participation by local stakeholders as they can fill out the form post facto (for example, after a workshop).
273. Since its creation, the GEF 6-PdP PMU as well as the PdP Coordination Unit have made significant efforts in socializing and promoting this mechanism. For example, to increase awareness of the MAQS, the GEF 6-PdP PMU decided to invest significant efforts in promoting the use of the tool amongst project stakeholders, from national actors to indigenous communities, in the project's PAs. As such, SERNANP's communications teams partnered with a media production company to develop a [short video](#), as well as other supporting materials, explaining the newly incorporated mechanism. This video is available on different platforms—from YouTube to WhatsApp to Facebook, where they make sure to repost it every 3 months—and to diverse audiences—as reflected in the myriad of available subtitles.
274. A series of posters depicting the same characters introduced in the video were also distributed to the PAs. Although these were made to match the dimensions of the *MAR*'s posters, which are required to be displayed in offices by law, they reflect the qualitative difference between these mechanisms: this new material contains a QR code that leads people not only to the explanatory video but also to the online MAQS form itself, so that they can take with them the ability to submit a question, suggestion or grievance as they go
275. A note on grievance eligibility: As a nationally established mechanism, any citizen, regardless of whether they are a representative of an indigenous community, social organization, legal entity or public/private entity, can use the SERNANP MAQS to register complaints, inquiries and suggestions related to the management of Protected Natural Areas. For the purposes of this project, and irrespective of whether it is filed by a community member or a project worker, a grievance will be eligible in so far as it pertains to GCF funded project-activities. For worker related grievances that extend beyond the scope of this project, the following mechanisms are also available: i) SERNANP's Complaint Book ([Libro de Reclamaciones](#)), as per Supreme Decree No. 042-2011-PCM; ii) PROFONANPE's [GRM](#); WWF Peru's GRM. In addition, workers can file grievances directly with the Labor Ministry as per Law No. 27942, Law No. 29783 and Supreme Decree No. 003-97-TR. In addition, if the worker who wants to lodge a complaint is a park ranger, they are also under the protection of Peruvian civil servants' law, No. 30057.

### ***Institutional arrangements and operation***

276. Since MAQS is a SERNANP operated mechanism, and as a result of the significant training on the MAQS that the PdP project has done to date, all the staff in the 25 NPAs should be trained and able to receive and register any complaint, concern or suggestion raised by a community member or project-affected person as well as give redress to the lodged grievances within 10 working days. However, capacity assessment and training will be done and provided on this matter to the 25 focal points assigned to this project to ensure that these SERNANP individuals are familiar with the MAQS and able to follow the protocol for operation laid out in this ESMF (see *Submitting*

*Complaints*). Enhancing the capacities of these focal points is of salient importance because, whether it is a park ranger, the chief of the NPA or the safeguards focal point of the NPA who lodges a complaint, it is the responsibility of the focal point of the area to notify the PMU safeguards specialists immediately (if not possible, within 24 hours) whenever a grievance related to project-activities is received. Similarly, the safeguards specialists at the PMU can also receive, register and give redress to any grievance within 10 working days, and they should inform SERNANP as applicable.

277. In addition, ensuring that SERNANP's focal points, the ESS staff in the PMU and in WWF Peru are familiar with the mechanisms' operation is also salient because some of the communities affected by this project, specifically some indigenous communities, prefer oral modes of communication. As such, it will be incumbent on the aforementioned staff to know how to interpret what is relayed verbally and fill out the appropriate form. Because the MAQS has been in operation for some time now, some SERNANP staff have direct experience conducting this exercise.
278. It is imperative for the smooth operation of the mechanism that SERNANP and the NPA staff work in close collaboration with the project's PMU and vice versa, prioritizing the timely sharing of information.
279. It should be noted that whether the grievance is received by SERNANP or the PMU staff, and filed in person or electronically, it should be registered using the established template and this information should later be entered into SERNANP's system, where all grievances are centralized in a database, to enable follow up. The PMU safeguards specialists will also keep record of all grievances and will report to the AE who will, in turn, report to the GCF (see Figure 2 below)



Figure 2: schematic of the progression of a grievance

280. In what follows, this section provides further information about the operation of the MAQS. Further details and the final aspects of the mechanism, especially as it pertains to its integration with the project's PMU, will have to be settled and finalized within the first six months after implementation begins.

### 8.1.1 Submitting complaints

281. A grievance, query or suggestion can be submitted:

- In situ: If a person approaches a SERNANP office, a form will be facilitated so that they can fill out the information themselves, either if they are the party directly affected or they are representing someone else. Alternatively, NPA staff or PMU safeguards specialists can fill out the form on their behalf.
- Via written text, such as through a letter, provided it has some information about the affected party.

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- Virtually, such as through an email.
  - Orally, such as through a phone call or WhatsApp.

282. It will be important for the PMU staff to identify and propose additional measures to ensure the mechanism's equity as it is fundamental to guarantee equal access to vulnerable and minority populations such as women, seniors, youth and/or IPs, who might display varying levels of education, access to technology, communication skills, etc. For example, it will be important that the PMU and NPA staff are able to provide interpreters in a timely fashion, as some of the different IPs involved in this project might need it.

*MAQS and traditional conflict resolution mechanisms (responsiveness to indigenous communities):*

283. The Indigenous Peoples of the Amazon in Peru have their own justice systems, recognized in the Peruvian Constitution, which vary from community to community. These systems aim to repair harm, assign community service as a form of punishment for subsequent reintegration, and thus restore community equilibrium. Decisions are usually made through community assemblies and implemented by the governing councils of the indigenous communities.

284. Accordingly, the project will establish mechanisms for effective intercultural coordination through representative regional Indigenous organizations and will develop an intercultural protocol for handling complaints that:

- Ensures that complaints can first be channeled through their own Indigenous community authorities (who have no conflict of interest) specially trained for this purpose (handling and confidentiality of sensitive information, gender, and rights) and who will serve as bridges of coordination—not subordination—between both systems (the Indigenous system and the project system)
- Includes training to staff who will handle complaints not only in "intercultural perspective" and Indigenous rights, but also in specific Indigenous justice systems and conflict management.
- Establishes that information on MAQS will be disseminated by trained project staff, respecting the oral traditions of Indigenous communities. Therefore, oral and audiovisual formats in Indigenous languages will be prioritized, and written requirements that constitute cultural barriers will be worked around (for example, as mentioned above by having SERNANP and the PMU ESS staff collaborate with the complainant to bring an orally raised grievance into written format).
- The protocol should also state that, in addition to being communicated formally, responses and solutions to complaints will be communicated personally, through workshops or community meetings, ensuring that the complainant and the community have clarity on how the complaint was analyzed, the steps taken and the closure of the case, ensuring that the resolution process is fully understood.

285. The Indigenous Peoples of the Amazon have broad and dynamic territorial conceptions linked to their living spaces, and many communities are in remote areas with limited access to state institutions. Because one of MAQS affordances is its itinerancy, it is a particularly well positioned mechanism to gather grievances from communities that do not have an ingrained practice of approaching a place to lodge a complaint or adequate comfort levels with formal, written processes. As such, the ESS officers in the PMU and WWF Peru should:

- Coordinate visits in advance with regional indigenous organizations and community authorities, respecting their schedules, festival calendars, and assembly spaces.
- Be accompanied by professionals from regional indigenous organizations who are familiar with indigenous languages and local cultural codes for entering communities where necessary.
- Participate in legitimate community spaces (assemblies) where the community traditionally discusses its affairs, rather than imposing external spaces or formats
- Document oral complaints, respecting informed consent regarding the use of information, especially considering the historical vulnerability of these peoples to the State and external actors. To this end, carry the MAQS books/records while participating in events, workshops, or field visits to Indigenous communities and other locations.
- Depending on the governance structure of the indigenous communities, project staff could strike agreements with representatives for periodic check-ins to discuss and/or report grievances.

MAQS and gender responsiveness

286. Additionally, in order to make the MAQS a gender-responsive mechanism, it will be important to have a mix of men and women in the NPA and PMU staff as some women, especially indigenous, feel more comfortable if complaints or grievances are received by or submitted to other women. Furthermore, because the GRM needs to be SEAH responsive, additional measures need to be put in place to ensure that the approach to receive GBV or SEAH related complaints is survivor centered, trauma-informed and culturally competent. Among this, a dedicated hotline and/or email address need to be created to direct gender, GVB or SEAH related grievances to the Gender Officer/staff hired for the project.
287. Special training will be provided to the PMU safeguards and gender specialists and NPA focal points within the first 6 months of project implementation (or before the GRM is finalized) to ensure they have the capacity to address SEAH-related grievances in a culturally sensitive and victim-centered way. The training should also include references to currently available services in the country that people who file gender-grievances that sit outside the scope of the project can be redirected to.
288. In Peru, for gender related grievances that extend beyond the scope of this project, affected people can access specialized grievance and support services for gender-based violence (GBV) and sexual exploitation, abuse, and harassment (SEAH) through Line 100 (national helpline), Emergency Women's Centers (CEM), Temporary Shelter Homes (Hogares de Refugio Temporal), the Ministry of Justice's itinerant "Justice Fairs," and civil society initiatives, other NGOs and Women's Rights Organizations who offer legal aid, psychosocial support and advocacy. A preliminary list identifying services for victims of gender-based violence has been added below. This information will be refined during the first 6 months of project implementation.

Service	Phone/Location	Availability	Observations
National Aurora or Warmi Ñam Program: Line 100  (Ministry of Women and Vulnerable Populations - MIMP)	100	24 hours	Service is provided by phone in Spanish, Quechua, and Aymara

Women's Emergency Center (CEM), also under the Ministry of Women and Vulnerable Populations - MIMP	Loreto (Iquitos, Yurimaguas, and Nauta), San Martin (Moyobamba, Lamas, Riojas), Madre de Dios (Puerto Maldonado, Huepetue), Amazonas (Bagua, Condorcanqui), Ucayali (Pucallpa, Atalaya, Padre Abad)	Service is in-person and limited	Service is in-person and limited
National Police of Peru - Emergencies	105	24 hours	Limited rural coverage
Ombudsman's Office	0800-15-170 +51947951412	24 hours	National
InfoSalud - Ministry of Health (MINSA)	113 option 5	24 hours	Health guidance for women who suffer sexual violence. Health facilities nationwide, including at the community level (but not in all communities), provide emergency kits.
Legal Clinics of NGOs	Flora Tristán Peruvian Women's Center <a href="http://www.flora.org.pe">www.flora.org.pe</a>  DEMUS - Study for the Defense of Women's Rights <a href="http://www.demus.org.pe">www.demus.org.pe</a>	Standard working hours	They address cases of sexual violence

*8.1.2 Processing complaints:*

289. All grievances submitted to executing partners and to the PMU shall be registered and considered, and a tracking registration number should be provided to all complainants.
290. Because the MAQS, unlike the MAR, is itinerant, PMU and NPA staff can carry some of the already available “MAQS books/registers” with them as they participate in events, workshops or field visits. As per the template, the information to be collected includes: name; gender; ID number or fingerprint; community, district, province or region; Indigenous Peoples individual belongs to;

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description of complaint/grievance/suggestion/concern; date; code number<sup>43</sup>; type (grievance, query or suggestion); project name; measures implemented for resolution; status of redress; verification means/methods; signature or fingerprint.

291. Once a grievance is received by the NPA staff, it should be assessed 1) whether it is applicable to this project (the MAQS is a mechanism of national scope and, as such, is liable to receive grievances that are not relevant to this project as they are not related to the project's activities) and, if so 2) who will be tasked with investigating and redressing it (i.e.: NPA staff, focal points, cluster-level focal points or PMU staff or a combination of the aforementioned).
292. If a relevant grievance is filed directly in SERNANP's headquarters in Lima, the individual receiving it should register it as mentioned above utilizing the same template and determine who the grievance will be redirected to, either the NPA staff or the PMU staff. In either case, the PMU safeguards specialists should be notified immediately of the grievance.
293. If a grievance is received directly by the PMU, it is the responsibility of the safeguards specialists to redress it.
294. Lastly, In the context of the GEF 6-PdP, the MAQS was established as a three-tiered mechanism and the same approach can be followed now for the GCF PDP A&C project. The first level pertains to complaints received and resolved by the NPA/focal points and PMU staff. In the event that they cannot resolve the grievance, this moves on to the second level where an additional 10 days are granted for its resolution. At this level sit the PMU safeguards specialists and an ad-hoc specialist identified by SERNANP based on the unit or office best positioned to resolve the complaint. If the complaint cannot be adequately resolved by these individuals, the PM and director of the relevant SERNANP office are notified by SERNANP and should proceed to develop a work plan to give it redress.
295. In the event that a grievance cannot be resolved at that stage, it is escalated to the last internal level and an additional 10 working days are granted. This stage is triggered by the PM who should organize a meeting with representatives of SERNANP, PROFONANPE, WWF Peru and WWF US in order to elaborate a work plan.
296. Please note that although the MAQS follow this hierarchical order for processing grievances, an individual can lodge a complaint in any of these levels (i.e.: directly with SERNANP or the PMU). Similarly, although the MAQS is the mechanism best positioned to resolve project-level complaints, individuals are also free to lodge their complaints with any of the available grievance mechanisms in this project (see below).

### 8.1.3 Investigating complaints:

297. Executing and implementing partners and/or the PMU safeguards specialists will gather all relevant information, conduct field visits as necessary, and communicate with all relevant stakeholders as part of the complaint investigation process. The implementation partner/PMU personnel dealing with the investigation should ensure that the investigators are neutral and do not have any stake in the outcome of the investigation. As mentioned previously, the safeguards and gender specialists at the PMU as well as the NPA focal points will receive additional training to ensure they have the

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<sup>43</sup> In order to classify the relevant area/sector the grievance refers to, MAQS borrows from SERNANP's categorization. This facilitates an easy identification at the moment of registering the complaint as well as for its systematization and analysis. The assigned codes are: 001 – Categorization; 002 – Master Plans; 003 – Control and Surveillance; 004 – Committees; 005 – Natural Resource Management; 006 – Tourism; 007 – Contract Executor (ECA); 008 – Delimitation and demarcation; 009 – Environmental Education; 010 – Environmental pollution; 011 – Biological monitoring; 012 – Infrastructure maintenance.

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capacity to investigate SEAH or GBV grievances, which require additional protections for the grievant. A written response to all grievances will be provided to the complainant within 10 working days. If further investigation is required, the complainant will be informed accordingly and a final response will be provided after an additional period of 10 working days. Grievances that cannot be resolved by grievance receiving authorities/office at their level should be referred to a higher level for verification and further investigation.

298. The resolution information of the grievances needs to be entered into the template/form so that appropriate follow-up can be made and the status of the complaints updated. This information will be verified and routinely updated by the NPA and PMU staff.

#### 8.1.4 Appeal

299. In the event that the parties are unsatisfied with the response provided by the GRM, they will be able to submit an appeal to the co-EE, the WWF GCF AE or the GCF's IRM (see below) within 10 business days of receipt of decision. If the parties are unsatisfied with the decision of the appeal committee, they can submit their grievances to the Court of Law for further adjudication.

#### 8.1.5 Monitoring and evaluation

300. The monitoring of grievances and their resolution status should be a permanent activity, and it is crucial that SERNANP's staff in charge of coordinating and centralizing grievances are in direct and constant communication with the PMU safeguards specialists. These individuals shall coordinate and share the respectively gathered grievances forms/templates whenever no conflict of interests is present, as well as ensure that redress strategies are jointly devised and implemented. To facilitate that collaboration, both parties should develop a quarterly report with full information on the grievances they have received as well as their investigation status and share it with each other.
301. In turn, the PMU safeguards specialists will report on the overall activity of the GRM as part of the annual and semi-annual progress report to the AE.
302. Information about channels available for grievance redress shall be widely communicated in all project affected communities and to all relevant stakeholders. The contact details (name, phone number, mail and email address, etc.) of the executing partners and the PdP A&C PMU shall be disseminated as part of all public hearings and consultations, in executing partner offices, in the local media, in all public areas in affected communities, and on large billboards in the vicinity of project activity sites and workers' camps.
303. The GRM seeks to complement, rather than substitute, the judicial system and other dispute resolution mechanisms. All complainants may therefore file their grievance in local courts or approach mediators or arbitrators, in accordance with the legislation of the Government of Peru. In addition to the project-specific GRM, a complainant can submit a grievance to Profonampe, WWF Peru, WWF GCF AE or the GCF's IRM.
304. Since it is also possible to present positive comments and suggestions through the MAQS GRM, it is recommended that this aspect be exposed and emphasized when presenting and disseminating the PdP A&C project.
305. In general, no personal details should be made public and details of the complaint will only be provided to those directly involved in the investigation process. If confidentiality cannot be guaranteed due to government regulations, the project may suggest filing complaints under an alias. Also, it is recommended that personal data contained in the complaint log be retained only as long as necessary to investigate the complaint and implement a solution. Personal data will be transferred to an archive for the duration of the project to control for recurring grievances or affected people

## 8.2 PROFONANPE – Mecanismo de Atención y Quejas (MAQ)

306. Accredited by the GCF since 2015, PROFONANPE has an operating Environmental and Social Management System that includes a Grievance Redress Mechanism called MAQ (for its name in Spanish, Mecanismo de Atención de Quejas). This GRM is aimed at the different actors involved in the actions of Profonanpe, it seeks to resolve, in a pertinent and timely manner, the complaints of the citizens involved in the interventions it carries out in order to establish necessary and immediate actions that allow harmony to prevail between those involved.
307. Complaints may be directed to the institution, suppliers, collaborators and consultants linked to the institution. Grievances can be submitted:
- *In person:* There is a complaint registration form that is used in spaces such as assemblies, information sessions, workshops, trainings and any other events that convene project-affected actors. Additionally, a grievance can be submitted at the Profonanpe office, located at Av. Parque Gonzales Prada No 396, Magdalena del Mar, Lima.
  - *Virtually:* Profonanpe's website has a virtual mailbox, accessible at <https://profonanpe.org.pe/quejas/>. A grievance can also be electronically mailed in at [quejasydenuncias@profonanpe.org.pe](mailto:quejasydenuncias@profonanpe.org.pe)

## 8.3 WWF Peru Grievance Redress Mechanism

308. **WWF Peru** has established a mechanism to receive and respond to complaints raised by stakeholders who may be affected by WWF Peru conservation activities. This mechanism is part of WWF's Social Policies and Safeguards. Any individual, group or community who believe it is or may be negatively affected by WWF Peru failure to follow its Social Policies and Safeguards in the design or implementation of a WWF Peru project activity is considered an "Affected Party". Any Affected Party may file a complaint. Representatives filing a complaint on behalf of an Affected Party must provide concrete evidence of authority to represent them.
309. The WWF Peru's Complaints Resolution Process is overseen by a team in WWF Peru office. Complaints should be directed to the WWF Perú Complaints Team by any of the following means:
- Via email: [reclamoproyecto@wwfperu.org](mailto:reclamoproyecto@wwfperu.org) (Español)  
or [projectcomplaint@wwfperu.org](mailto:projectcomplaint@wwfperu.org) (English).
- By message: Attention WWF Peru: Project complaints
310. The complaints should include the following information:
- Complainant's name and contact information
  - If not filed directly by the complainant, proof that those representing the affected people have authority to do so
  - The specific project or program of concern including location
  - The harm that is or may be resulting from it
  - The relevant WWF social policy provision (if known)
  - Any other relevant information or documents (e.g. date of event)
  - Any actions taken so far (if any) to resolve the problem, including contact with WWF
  - Proposed solution
  - Whether confidentiality is requested (stating reason)
  - The complaint can be filed either in English or Spanish

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311. WWF Peru strongly disapproves of and will not tolerate any form of retaliation against those who report complaints in good faith. Any WWF Peru employee who engages in such retaliation will be subject to disciplinary action up to and including termination of employment. WWF Peru will take all feasible actions to protect complainants against retaliation. Anyone who has made a report of suspicious conduct of a WWF Peru employee and who subsequently believes he or she has been subjected to retaliation of any kind should immediately report it by the same channels as noted herein.

#### **8.4 WWF US (Accredited Entity Grievance Mechanism)**

312. In addition to the MAQS, which should be the main GRM for the PdP A&C project, Profonanpe's and WWF Peru's, a complainant can submit a grievance to the WWF GCF AE. A grievance can be filed with the Project Complaints Officer (PCO), a WWF staff member fully independent from the Project Team, who is responsible for the WWF Grievance Mechanism and who can be reached at:

Email: [SafeguardsComplaint@wwfus.org](mailto:SafeguardsComplaint@wwfus.org)

Mailing address:

Project Complaints Officer  
Safeguards Complaints,  
World Wildlife Fund  
1250 24<sup>th</sup> Street NW  
Washington, DC 20037

Stakeholders may also submit a complaint online through an independent third-party platform at <https://secure.ethicspoint.com/domain/media/es/gui/59041/index.html>.

#### **8.5 GCF Independent Redress Mechanism**

313. The GCF has an Independent Grievance Redress Mechanism (IRM) that, amongst other functions, provides a process for assessing and resolving any grievances resulting from negative impacts of a project or project activities funded by the GCF. There are no formal requirements for filing a grievance or complaint. However, the name, address, telephone number, email, and other contact information of the complainant must be provided. If a grievance or complaint is submitted on behalf of a complainant by a different person or entity, the identification of the complainant on whose behalf the grievance or complaint is being submitted should be provided. In addition, evidence of authorization by the complainant for the grievance or complaint to be submitted, and acknowledgment of that authorization by the person or entity concerned should be provided. In addition, a complainant should provide the following information:

- (a) The name, location, and nature of the project or program that has caused or may cause adverse impacts;
- (b) A brief explanation as to how the complainant has been, or may be, adversely affected by the GCF funded project or program; and
- (c) An indication of whether confidentiality is requested by the complainant.

314. A complaint with the IRM can be filed by:

- (a) Sending it via email: [irm@gcfund.org](mailto:irm@gcfund.org)
- (b) Sending a voice or video recording
- (c) Filling out the [online complaints form](#).

315. Where a grievance or complaint has been found eligible, the IRM will within sixty (60) calendar days engage with the complainant, including but not limited to meetings at the place the complainant or the project or program is located, to:

- (a) understand the issues in the complaint;
- (b) provide further information regarding problem solving and compliance review;
- (c) ascertain whether the complainant would like to pursue problem solving and/or compliance review; and
- (d) ensure that the complainant is able to make an informed decision.

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## CHAPTER 9. STAKEHOLDER ENGAGEMENT AND CONSULTATIONS

316. The purpose of stakeholder engagement during project preparation has been:

- to inform key stakeholders about the project and provide an opportunity for feedback and participation in project design;
- to collect socio-economic information as available and required;
- to improve understanding of potential impacts and risks of the project activities;
- to allow for participation in development of specific safeguards instruments, such as the Indigenous Peoples Planning Framework.

317. The project implementing team will engage in further consultations in a way that is commensurate to the project risks and impacts, and with the aim to obtain representativity of views of the consulted stakeholders. Consultations should be meaningful; that is, they should provide stakeholders with information that is relevant for them and enable them to express concerns and suggestions that are also relevant for project design and implementation.

### 9.1 Brief overview of stakeholder consultations held during project preparation

318. A first series of consultations was carried out via phone and videoconference between February and May of 2020 with participation of the MINAM, NGOs, NPA staff, representatives from indigenous federations, a native community in Tambopata and local private companies working in conservation and tourism. In August 2020, SERNANP also engaged in consultations at national level with AIDSEP and CONAP, the main national IP organizations in Peru.

319. For the gender assessment, a series of local stakeholder consultations were held in four NPAs in January and February 2020. The project was also presented to local communities in four NPAs (San Matías-San Carlos PF, Yanachaga Chemillén NP, Manu NP, and Megantoni NS).

320. For the development of the ESMF site visits and local stakeholder consultations were initially planned from the 16<sup>th</sup> of March 2020 to the 15<sup>th</sup> of May 2020 in 15 NPAs. These visits had to be put on hold due to the Covid-19 pandemic lockdown, which became effective on March 16<sup>th</sup>, 2020.

321. In September 2020, the GFC reiterated that it would be indispensable to hold a minimum number of consultations with local communities and IPs for validation of the ESMF. The project team therefore developed an alternative plan to consult local stakeholders fully at distance, including IPLCs. One of the principles of this plan was to ask the cooperation of national indigenous federations, as well as SERNANP's Jefaturas (NPAs head offices), to help contact local communities in a culturally appropriate way and in compliance with all relevant health and safety protocols – especially with the communities' own view on allowing access to their premises. However, this methodology progressed at a slow pace, firstly because indigenous organizations were very much affected by the pandemic and secondly because all activities in NPAs had considerably slowed since 2020 and SERNANP staff had been unavailable to assist. By March 2022, the plan had mostly been fulfilled with some outstanding local consultations and validation processes (see table 14 below). The team managed to interview 12 park rangers and a series of institutional and private sector stakeholder.

322. A further series of engagements were held specifically for the development of Component 2 in December 2021. These included virtual interviews with the management teams (NPA head, technical

specialists and rangers) for each of the 6 NPAs prioritized under Component 2 at that time and a workshop with two indigenous organizations (AIDSESP & CONAP) that represented indigenous communities in the same 6 NPAs.

323. In 2022, another series of consultations took place (refer to 4.3 in Table 14 below) in the form of workshops with 22 native communities from the 6 NPAs prioritized under Component 2 at that time. In order to return to the communities to socialize how the project design had continued to evolve as a result of their feedback, a final set of workshops with native communities (26 in total) from the now 5 NPAs prioritized by Component 2 took place in early 2024. Lastly, in order to also update IPs on the status of Component 1, a hybrid meeting was organized by WWF Peru and SERNANP in August of 2024. Please refer to the project's Stakeholder Engagement Plan (Annex 7) for further information.

**Table 14. History of stakeholder engagement in project preparation**

	Phases	Stakeholders	Engagement mechanisms	Evidence
1	Consultation meetings with main project partners and comments on project design	Ministries, IP organizations, regional and local authorities, scientific institutes, NGOs etc.	Meetings held by SERNANP since 2019 + consultations by safeguard consultants in February-May 2020 and consultations for the development of Component 2 in December 2021	50 meetings held (approx.)
2	Disclosure of written project information in all NPAs with opportunities for stakeholders to comment in writing or by phone	SERNANP ANPs management and staff, NPAs management committee members, (including local authorities, community representatives and productive organizations),	Preparation of an information leaflet by the core group, the safeguard consultants and a communication specialist. Diffusion of the leaflet by SERNANP to the 25 NPAs head offices and to the NPAs Management Committee members, who were invited to further disclose the information. Leaflet also uploaded to SERNANP's website.	Dissemination of information in 25 NPAs
3	Public validation workshops/webinars	NPAs management committees + open to the public upon registration	Video conferences in NPAs headquarters of the 4 landscapes, with presence of local stakeholders in the headquarters if possible.	-
4	Consultation with IP and communities	4.1 National level	Online meetings with national IP organizations	AIDSESP, CONAP, COICA
		4.2 Local level	WhatsApp, phone or radio meetings.	FERIAAM
		4.3 Consultation workshops with 22 indigenous communities from 6 NPAs prioritized under Component 2. The following information was collected: 1) quick identification of main socioeconomic activities; 2) identification of events, climate hazards and possible livelihood responses; and 3) Gender perspectives and leadership roles: adaptive capacity in the face of climate change in the territory.	Consultation workshops (face-to-face). Before the workshops, virtual meetings with focal points of SERNANP, WWF, AIDSESP and CONAP were held.	<b>Pucallpa. July 14, 2022.</b> Native communities from Sierra de El Divisor NP (Korin Bari, Nuevo Saposoa, Saasa, Patria Nueva and Alfonso Ugarte). <b>Iquitos. July 18, 2022.</b> Native communities from Allpahuayo Mishana NR (15 de Abril, El Porvenir, San Juan de Raya and Samito). <b>Iquitos. July 19, 2022.</b> Native communities

	Phases	Stakeholders	Engagement mechanisms	Evidence
				<p>from Pacaya Samiria NR (Shapajilla, Puerto Victoria, Berlín, San Antonio, Vista Alegre and Bellavista). <b>Puerto Maldonado. July 21, 2022.</b> Native communities from Manu NP (Tayakome and Yomibato) and buffer zone (Santa Rosa de Huacaria), Tambopata NR (Infierno) and Bahuaja Sonene NP (Palma Real and Sonene)</p>
5	<b>Consultation with producer's organizations</b>	Producer's organizations	Zoom, WhatsApp or phone	3 meetings
6	<b>Park rangers</b>	SERNANP park rangers	Phone	12 individual telephone meetings
7	<b>NPAs Management teams</b>	SERNANP Management for the 6 NPAs prioritized for adaptation interventions	Zoom/Phone	5 meetings (one meeting included management from 2 NPAs)

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## 9.2 Results of the consultations held during project preparation

### 9.2.1 Stakeholder opinion on the project and on potential unintended environmental and social impacts and risks of project activities

324. The comments on the general project's scope and design were positive. Several stakeholders suggested including regional conservation areas in the project.

325. The consulted stakeholders identified few potential negative risks and impacts of planned activities such as surveillance<sup>44</sup>, natural resources management, sustainable tourism<sup>45</sup> or reforestation, but mentioned constraints and risks that could prevent successful implementation:

- risks related to weak governance of NPAs, as current resources are not always sufficient for efficient control, management and stakeholder participation;
- benefit sharing issues, in particular between native communities and recent settlers or "colonos"; or risk for competition among stakeholders about access to technical assistance, training, equipment, assessments, etc.
- security risks posed by illegal activities in NPAs<sup>46</sup>.

326. Stakeholders mentioned the need to develop more efficient participatory processes, with more meaningful consultations, and resulting in effective commitments and actions. Stakeholders in NPAs also generally expressed the wish that SERNANP would better share information on their activities and report on their impacts.

### 9.2.2 Information collected on current environmental and social management capacity, and on safeguards compliance

327. The consultations show that the activities of conservation planning, surveillance, natural resources management, sustainable tourism and reforestation, as executed in recent years by SERNANP and by its conservation partners such as NGOs, seem globally in compliance with most of WWF's safeguards. SERNANP applies the relevant environmental legislation for all its activities and has internal competency for environmental management. However, the number of staff able to exert this competency is insufficient to cover all SERNANP's activities. Project partners such as NGOs who implement activities in the field are aware of good practices such as sustainable pest management and use of local species for restoration.

328. Park rangers' working conditions are demanding because they work in remote areas (some travel 3 days to their workstation) where they stay either 22 days (with 8 days off) or 45 (with 16 days off), though the consulted rangers seemed generally satisfied with their working conditions. Some mentioned that they were lacking equipment (e.g. Wi-Fi, gasoline, raincoats, tents, cameras, first aid kits), others mentioned that the coverage of their health insurance was insufficient (insurance not accepted in local hospitals) and many stated that the organization of (emergency) healthcare was difficult in remote areas. SERNANP also works with volunteer rangers, comparable to interns, who receive only food and lodging, and do not have insurance. Gender relations and gender equity were

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<sup>44</sup> Encounters with PIACI and safety risks.

<sup>45</sup> Waste generation.

<sup>46</sup> Women in native communities in NPAs and buffer zones feel unsafe due to the presence of outsiders that enter their territories (human trafficking), coca growing linked to cocaine production and drug trafficking, murder of environmental community leaders and voluntary community rangers, violence and contract killings linked to illegal gold mining and illegal logging, fishing and poaching.

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mentioned to be good, but separate cloakrooms for men and women would be welcome. Employer-employee relationships were also mentioned as good.

329. According to interviews held with NGOs, MINAM, SERNANP and its partners have relatively advanced policies and practices of working with Indigenous People. Since 2012, SERNANP has developed a practice of Prior Consultation which explicitly refers to the ILO Convention N° 169 and is mostly consistent with international standards<sup>47</sup>. However, though prior consultation is used by SERNANP for designation and categorization of protected areas, more concrete participatory processes should be developed for NPA management and field level activities. Also, SERNANP respects and protects the rights of non-contacted Indigenous People to remain in isolation (PIACI).
330. It should be mentioned that there is a history of tensions between Indigenous People and the State regarding activities such as oil, mining or road development projects executed by third parties in NPAs. This was mentioned relatively often during consultations, although the project activities will not include any oil, mining or road projects. There is also a history of (more limited) tensions between some Indigenous People and the State around the creation of some of the NPAs, but this is unlikely to cause problems as the PdP A&C project activities will not include the creation of NPAs.

### 9.3 Results from consultations with indigenous peoples

331. The consulted national indigenous organizations have shown a strong interest to be involved in the PdP A&C project. The indigenous organizations are aware that they play an essential role in the mitigation of climate change from REDD+ at a global level and intend to receive the benefits they are entitled to in this respect. Any project targeting nature protected areas is considered as affecting indigenous territories and there is a strong request for co-ownership, co-development, and co-management of all activities touching these areas. Some consulted organizations have said that they would request the implementation of FPIC from the project.
332. Some consulted indigenous organizations have required the articulation of their own planning instruments, such as Life Plans (Planes de Vida), with the project. Thus, for Component 2, adaptation planning and the co-design of adaptation measures will be integrated into community Life Plans. The project may also provide additional opportunities for such integration as part of the strengthening of 25 NPAs master plans, including with respect to surveillance and control activities in each NPA, and the ESMPs that will be developed for some infrastructure activities.
333. There are often expectations that internationally financed projects will assist communities in land titling. The project will have to communicate in the clearest way possible that this will not be the case here.
334. During the consultations held with 32 communities of Río Abiseo NP, Pacaya Samiria NR, Allpahuayo Mishana NR and Tingo María NP in 2018 for the preparation of the PdP-GEF6 project, it transpired that the communities were well aware of the location of the NPA limits. The communities expressed the needs for improved information exchanges between SERNANP and native communities and other people when they participate in patrolling and control.
335. Consultation workshops recently held (in July 2024) in Pucallpa, Puerto Maldonado and Iquitos, as part of the co-design of Component 2 with IP organizations living in 5 NPAs and their buffer zones, allowed community members attending those consultation workshops to share from their perspective

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<sup>47</sup> See also Table 6. in section 5.1. The main non-compliance of Peruvian 'Consulta Previa', as executed by public administrations, with FPIC, lies in the fact that the process is fixed in advance by law and that the government necessarily has the final say, even if disagreements are officially recorded.

information on a wide range of risks (e.g. social, environmental, contextual, associated to project implementation, etc.). Table 15 present those risks.

336. A Stakeholder Engagement Plan for the project implementation phase has been prepared and is included in the Annex 7 of the Funding Proposal presented to the GCF.

**Table 15. Environmental, Social, and Contextual Risks identified by Indigenous People Organizations during Consultation Workshops (July 2024)**

<p><b>Pucallpa, July 03, 2024</b> NPA: Sierra del Divisor National Park</p>	<p><b>Puerto Maldonado, July 05, 2024</b> NPAs: Manu National Park, Bahuaja Sonene National Park, Tambopata National Reserve</p>	<p><b>Iquitos, July 09 and 15, 2024</b> NPA: Pacaya Samiria National Reserve</p>
<ul style="list-style-type: none"> <li>• “Vector-borne diseases (dengue)”;</li> <li>• “Bites of poisonous reptiles”;</li> <li>• “Exposure to traps set by illegal hunters”;</li> <li>• “Exposure to risks during productive activities”;</li> <li>• “Exposure to physical integrity due to the presence of foreign people who engage in illegal activities”;</li> <li>• “Sexually transmitted diseases transmitted by outsiders (e.g. rape) and unwanted pregnancies”;</li> <li>• “Contacts with PIACI”;</li> <li>• “Workplace accidents during the transfer of personnel”;</li> <li>• “Cuts with machete, axe, chainsaw”;</li> <li>• “Delay in meeting goals due to weather conditions (droughts, heavy rains, etc.)”</li> <li>• “Exclusion of women in activities”</li> <li>• “Impacts on the health of the indigenous population” (due to viral diseases brought from the city to the community such as flu, fever, cough, etc.);</li> <li>• “Cultural impact”;</li> <li>• “Difficult to accept external teachings”;</li> <li>• “The project technicians use words that are difficult to understand”;</li> <li>• “That the communities do not take the project as theirs”;</li> <li>• “Non-production of crops due to the effects of climate change”</li> <li>• “Pest attacks on crops”;</li> <li>• “Risks of injuries, accidents when implementing the project”;</li> <li>• “Spending project money on other things (embezzlement)”;</li> </ul>	<ul style="list-style-type: none"> <li>• That the community does not get involved in the project;</li> <li>• Rescue multidisciplinary teams with local technical capabilities;</li> <li>• New proposals that are not consistent with reality. Failure. Work on targeted proposals;</li> <li>• That the project is not implemented properly due to poor communication (use of interpreters);</li> <li>• Community does not identify with the project (identify incentives that contribute to the family economy);</li> <li>• Lack of prior consultation with the community regarding activities;</li> <li>• Lack of participation of women and youth in project activities;</li> <li>• Lack of continuity of projects;</li> <li>• Pollution of soil, air and water;</li> <li>• Bites from snakes, insects, etc.;</li> <li>• Mammal attack (jaguar, peccary);</li> <li>• River accidents;</li> <li>• That cultural beliefs and practices are not respected in the use of natural resources;</li> <li>• People from other places with bad habits;</li> <li>• Foreign diseases (STD, ARI, IGI);</li> <li>• Intoxication due to consumption of food contaminated by the use of agrochemicals;</li> <li>• Introduction of exotic species (flora and fauna) (e.g. breeding of small animals);</li> <li>• Alcohol consumption, loss of ancestral customs;</li> <li>• Greater entry of foreign people into the community that affects biodiversity and nature;</li> </ul>	<p><b>July 09, 2024</b></p> <ul style="list-style-type: none"> <li>• The project does not provide financial sustainability when it ends;</li> <li>• Men from (hired by) the project come to my community and get women pregnant (by rape or with consent);</li> <li>• Receiving technical advice that is not in accordance with our ancestral customs;</li> <li>• That the project activities do not have a real impact on local economic development;</li> <li>• That WWF hire professionals who do not speak the community's native language and who the residents do not understand;</li> <li>• Technical professionals hired by WWF abuse other people's women;</li> <li>• Native communities cannot develop pilots of productive practices resilient to climate change without first analyzing the cultural and agricultural context in the native communities (imposition of models);</li> <li>• Administrative personnel who do not have knowledge of linguistic and indigenous organization and its purposes;</li> <li>• Technical personnel hired by the project must know their profession to carry out their work in the community;</li> <li>• Ban on hunting animals for commercial purposes;</li> <li>• Ban on wood harvesting for commercial purposes;</li> <li>• Ban on fishing for commercial purposes;</li> <li>• That the communities do not have the material inputs for the crops;</li> <li>• Professionals who are not familiar with or used to the way of living in native communities (customs, food, heat, etc.);</li> <li>• Hiring personnel who speak technically so people in the community do not understand them;</li> </ul>

<p><b>Pucallpa, July 03, 2024</b> <b>NPA: Sierra del Divisor National Park</b></p>	<p><b>Puerto Maldonado, July 05, 2024</b> <b>NPAs: Manu National Park, Bahuaja Sonene National Park, Tambopata National Reserve</b></p>	<p><b>Iquitos, July 09 and 15, 2024</b> <b>NPA: Pacaya Samiria National Reserve</b></p>
<ul style="list-style-type: none"> <li>• “Lack of inclusion of women in activities”;</li> <li>• “Risk due to radiation and dehydration”;</li> <li>• “Risks due to non-fatal accidents”;</li> <li>• “Risk due to snake bites”;</li> <li>• “Reforestation with exotic species”;</li> <li>• “Communication with cultural relevance (language)”;</li> <li>• “Risks of assaults in the Ucayali River”;</li> <li>• “Snake bites”;</li> <li>• "Diseases";</li> <li>• “Injuries from farming activities (cuts, fractures)”</li> <li>• “Loss of river equipment and vehicles during river floods”;</li> <li>• “Exposure to viral diseases (flu, bronchitis) due to the change in rainfall”;</li> <li>• “Consumption of poisoned fish” (poisoning due to unproper handling).</li> </ul>	<ul style="list-style-type: none"> <li>• That detailed information about the project is not provided to the Population;</li> <li>• Loss of identity;</li> <li>• Accidents with tools (machete, chainsaw, etc.)</li> <li>• Land accidents;</li> <li>• Lack of personal protection (boots, glasses, helmets, gloves, machetes);</li> <li>• Burning of leaf litter in farms;</li> <li>• The transit of leaders and community members for project activities can expose them to assaults and accidents);</li> <li>• Use of insecticides to manage pests;</li> <li>• Fall from the top of trees and palm trees during harvesting;</li> <li>• That the project activities take a lot of community members' time;</li> <li>• That activities are carried out but that there is no follow-up or subsequent maintenance (sustainability);</li> <li>• Workplace accidents associated with productive activities;</li> <li>• Deforestation for the use and construction of project Infrastructure;</li> <li>• That sustainable productive activities involve more effort in resources, but are not profitable;</li> <li>• Risk of expanding friction for agriculture.</li> <li>• Use of technical language in training;</li> <li>• Deforestation for monocultures;</li> <li>• Generation of solid waste.</li> </ul>	<ul style="list-style-type: none"> <li>• The project cannot generate in the native community by imposing training on women without first doing a cultural and experiential analysis in the native communities.</li> <li>• We cannot strengthen technical capabilities if the personnel hired by the project does not provide confidence in gathering information in the community. <b><u>July 15, 2024</u></b></li> <li>• Lack of collaboration among community members can put at risk, or delay, the implementation of Management Plans (for natural resources);</li> <li>• Risk of fatal accidents on river routes (when traveling at night there can be crashes and landslides can be dangerous);</li> <li>• Lack of communication between those in charge of the project with the population or community;</li> <li>• Change of local authorities in the district. When the authority does not inform then there are risks to the rights of the community;</li> <li>• That the use of foreign technologies or practices for the management of natural resources is not adapted to ancestral knowledge;</li> <li>• Use of exotic plants;</li> <li>• Lack of protocols for project professionals;</li> <li>• Regulation of the intake of alcoholic beverages;</li> <li>• The authorities do not inform the population about the projects that can benefit their community;</li> <li>• Scam risks. The population must be well informed about the project so as not to be surprised by third parties;</li> <li>• Risk of homicide (community members can be confronted by former community members who threaten to deforest a sector of the NPA). (project conservation activities could generate confrontation with illegals who do not support reforestation);</li> <li>• Diversion of project funds by the organizations;</li> <li>• Loss of goods and equipment in the implementation of the project due to mismanagement;</li> </ul>

<p><b>Pucallpa, July 03, 2024</b> <b>NPA: Sierra del Divisor National Park</b></p>	<p><b>Puerto Maldonado, July 05, 2024</b> <b>NPAs: Manu National Park, Bahuaja Sonene National Park, Tambopata National Reserve</b></p>	<p><b>Iquitos, July 09 and 15, 2024</b> <b>NPA: Pacaya Samiria National Reserve</b></p>
		<ul style="list-style-type: none"> <li>• Not having a Work Plan and an Activities Execution Plan unified with the communities;</li> <li>• That our minor children are not included in the scheduled activities;</li> <li>• Risk of insecurity for women in the population (their rights are violated);</li> <li>• Human trafficking by third parties (abandonment, violence);</li> <li>• The insecurity of women due to people outside the communities (pregnancy, abuse);</li> <li>• That agreements are not fulfilled due to lack of information shared with the community;</li> <li>• Lack of transparency on budget execution;</li> <li>• Not having qualified personnel;</li> <li>• Inexistence of intercultural relations;</li> <li>• Beneficiaries do not have information about the project budget;</li> <li>• Not having qualified personnel in interculturality;</li> <li>• Not understanding the project due to many technical words used by professionals;</li> <li>• The project hires people and does not reach the communities;</li> <li>• The authorities do not inform the community and there is no coordination about the project;</li> <li>• That there is no agreement at the community level to carry out a project.</li> </ul>

337. The aforementioned inputs and risks were systematically documented, categorized, and analyzed as part of the project's environmental, social, and gender risk assessment process. These risks covered a wide range of issues (as noted in the table), including occupational health and safety, exposure to illegal activities, gender-based violence and exclusion of women, cultural impacts, inappropriate technical approaches, lack of culturally relevant communication, environmental risks, governance and transparency concerns, and long-term sustainability of project benefits.
338. Since the overall technical structure of the project had already been co-developed with Indigenous Organizations through prior engagement processes, the inputs mentioned informed key design and implementation decisions, particularly through the safeguards, gender, and participation-related arrangements. Specifically:

- Safeguards: The Environmental and Social Management Framework (ESMF) was strengthened to address risks related to occupational health and safety (e.g., accidents during productive activities, river transport risks, exposure to wildlife and diseases), community health (e.g., transmission of viral and vector-borne diseases), environmental risks (e.g., use of exotic species, pollution, deforestation), and security risks linked to illegal activities. Mitigation measures include mandatory safety protocols, provision of personal protective equipment, restrictions on exotic species, culturally appropriate environmental management practices, and clear procedures for incident reporting and response.
- Gender: Given the strong concerns raised regarding exclusion of women, gender-based violence, and risks associated with the presence of external personnel, the Gender Action Plan (GAP) was reinforced to include dedicated measures to promote women's leadership, ensure safe participation, prevent sexual exploitation and abuse, and strengthen women's role in decision-making, monitoring, and grievance mechanisms. A dedicated support track for women-led climate-resilient productive practices (CRPPs) was also reinforced under Component 2.
- Participation, interculturality, and co-design: Concerns related to imposition of external models, lack of cultural relevance, and use of technical language informed a stronger emphasis on participatory planning, co-design of CRPPs and Ecosystem Based Adaptation (EbA) measures, and respect for traditional knowledge systems. Component 2 explicitly requires that climate-resilient productive practices be identified and prioritized by communities through adaptation planning processes, ensuring alignment with local livelihoods, cultural practices, and environmental conditions.
- Governance, transparency, and sustainability: Risks related to mismanagement of funds, lack of transparency, and weak community ownership were addressed by reinforcing roles and responsibilities of Indigenous Organizations under the Funding Proposal, including training and technical assistance to clarify eligible activities, processes and funding flows, and strengthening financial oversight arrangements, as well as emphasizing continuity, follow-up, and maintenance of project-supported activities beyond initial implementation.

## CHAPTER 10. ESMF DISCLOSURE AND BUDGET

### 10.1 Disclosure prior to project implementation

339. All relevant stakeholders shall be timely informed about this ESMF's requirements and commitments. The ESMF will be translated into Spanish and made available on the websites of SERNANP and PROFONANPE, as well as on the websites of WWF US and WWF Peru. Hard copies of the ESMF will be placed in appropriate public locations in all participating NPAs and BZs (e.g. NPA Head Offices). Safeguard specialists at PMU (SERNANP) and WWF Peru will be responsible to raise community awareness regarding the requirements of the ESMF, and will also ensure that NPS rangers and all external contractors and service providers are fully familiar and comply with the ESMF and other safeguards documents.
340. In addition to the above, in order to comply with WWF's Standard on Public Consultation and Disclosure, executive summaries should be translated into indigenous languages for local communities. Since there are stakeholders with low reading comprehension levels, additional efforts will be made during the disclosure period to ensure that this socialization is meaningful and culturally appropriate. Both EEs have ample experience producing videos, infographics and similar materials to communicate specific messages to these audiences.
341. Specifically, a disclosure strategy divided by stakeholder group is suggested:
- For national and regional indigenous organizations: A (hybrid) socialization meeting or workshop will be held to present the project as finalized, including safeguards (such as the grievance mechanism), and all communication materials that will be shared with the Indigenous population and local communities directly or indirectly benefiting from the project. These materials will also be shared by regional organizations and the protected natural areas (NPAs) involved in the project. It should be noted that AIDSESEP and CONAP will participate in the design of these communication materials for the communities beforehand.
  - For IPs and LCs in the 25 NPAs: Audio capsules in Spanish and some Indigenous languages where understanding Spanish is more difficult (this should be coordinated with AIDSESEP, CONAP, and regional organizations). The audio capsules can be shared via AIDSESEP's Indigenous radio station, community radio stations with which the regional organizations can share, or digitally. Infographics with culturally relevant iconography (but avoiding stereotypes) and minimal text. Physical copies of the infographics can be sent to each NPA to be displayed at the control posts closest to the communities, delivered to regional indigenous organizations to be displayed prominently at their headquarters, and sent to communities without digital connectivity. Infographics could also be shared digitally with communities that have digital access.
  - For other actors in the government, civil society, and businesses: A face-to-face or hybrid meeting will be held to present the project, its scope and intended impact, as well as the safeguards for the most vulnerable stakeholders.
342. Additionally, safeguards documents (ESMF, Gender Action Plan, etc.) should be disclosed for a period of at least 30 days, or at 45 days if IPs are present, prior to the implementation of any activities which are addressed in the safeguard documents.

343. **GCF Board Meetings:** Please note that the entire disclosure process, from the socialization event and posting of documents to the 30/45 day window, needs to be completed by the time the Board Meeting targeted for project approval takes place. In other words, the disclosure process cannot begin after or be ongoing during the aforementioned meeting; rather, all requirements need to have been met by that date.

## 10.2 Disclosure during implementation

344. During the implementation of the project, activity-specific ESMPs (e.g. infrastructure in SERNANP's surveillance and control check points, tourism infrastructure, etc.) shall be prepared in consultation with affected communities and disclosed to all stakeholders prior to start of construction works. All draft ESMPs shall be reviewed and approved by the PMU (SERNANP) in advance of their public disclosure. The PMU must also disclose to all affected parties any action plans prepared during project implementation, including gender mainstreaming.
345. Disclosure should be carried out in a manner that is meaningful and understandable to the affected people. For this purpose, the executive summary of ESMPs or the terms and conditions in environment clearances should be disclosed on the PMU (SERNANP) and WWF Peru websites.
346. Specifically, following the creation of the ESMP or other relevant safeguards management plans (i.e. ESIA, Indigenous Peoples Plans, Livelihood Restoration Plans, the plan(s) must be reviewed and cleared by the PMU-SERNANP's ESS Specialist, the ESS Specialist at WWF Peru (as applicable) and the ESS Specialist within the WWF US GCF AE. No funding will be disbursed for project activities prior to the clearance of such activities by the WWF US GCF AE.
347. Upon reception of the package of documents, the WWF US GCF AE Safeguards Specialist will respond with approval or request for modifications within two (2) weeks. Once clearance has been given, the relevant safeguard management plan(s) will be sent by WWF US GCF AE to the GCF for their review and approval in accordance with the Sub-Project Disclosure Communication Procedure included within the FAA. The Procedure states that the GCF will review the Sub-Project Disclosure Package and, within five (5) GCF working days of receiving the Sub-Project Disclosure Package, confirm to the Accredited Entity that the Sub-Project Disclosure Package is in accordance with GCF's requirements and that it agrees with the assigned E&S risk category. If that is the case, the Accredited Entity and the respective Executing Entities shall disclose on its website the Sub-Project Disclosure Package no later than two (2) calendar days of receiving confirmation from the GCF and prior to the intended start of the Disclosure Period.
348. If the GCF does not agree with the assigned risk category on the Sub-Project Disclosure Package, it will inform the Accredited Entity within the same period of five (5) GCF working days. If the GCF and the Accredited Entity agree on any amendments to the Sub-Project Disclosure Package, the process will start again.
349. Following AE and GCF approval, the relevant safeguard management plan(s) must be disclosed for a 30-day period in both English and Spanish on the WWF US GCF and EEs websites. In the cases of those landscapes where Indigenous Peoples are located, the documents must also be disclosed for 45 days locally, in a language and manner suitable to those communities in coordination with PNNC.

The disclosure requirements are summarized in Table 18 below.

**Table 18: Disclosure framework for ESMF document and related safeguard instruments**

<b>Documents to be disclosed</b>	<b>Frequency</b>	<b>Where</b>
Environment and Social Management Framework	Once in the entire project cycle before the start of implementation of activities. Must remain on the website and other public locations throughout the project period.	On the website of SERNANP, WWF US and WWF Peru. Hard and digital copies should be available at the PMU of the leading executing entity (SERNANP) and co-executing entities (WWF-Peru), and in SERNANP's NPAs Head Offices.
Environmental and Social Management Plans	Once in the entire project cycle for every activity that requires an ESMP. Must remain on the website and other disclosure locations throughout the project period.	On the websites of SERNANP, WWF Peru and WWF US. Hard and digital copies should be available at SERNANP's Surveillance and Control check points in the NPAs and any other significant places where activities subject to ESMPs are located as well as in offices of IP federations and associations involved in the project.
Safeguards Quarterly Progress Report	Quarterly (every three months)	Copies should be available at the PMU office (SERNANP) and WWF Peru.
Minutes of Formal Public Consultation Meetings for activities that require consultations	Within two weeks of date of meeting	Notes of these meetings and attendants list should be developed and kept at the PMU office (SERNANP) and/or in other relevant places, such as WWF Peru. While a general register of these meetings can be posted online, it is not necessary to publish the minutes.
Grievance redress process	Quarterly, throughout the project cycle	On the website of SERNANP and WWF Peru.. Copies should be available at the PMU office

## 10.2 Budget

350. The ESMF implementation costs, including all costs related to compensation to project affected people, will be fully covered by the project budget. It will be the responsibility of the Safeguards Specialist to ensure that sufficient budget is available for all activity-specific mitigation measures that may be required in compliance with the ESMF.
351. Budget for capacity building on ESMF implementation (including all that pertains the subsections within it, such as the IPPF and PF, among others), travel costs, workshops and meetings for safeguards monitoring (including travel, workshops and meetings) will be included in the overall monitoring and evaluation budget (see Annex 4).

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- El segundo capítulo contiene una guía para la elaboración de planes de manejo de RRNN renovables en ANP, basada en la guía de Planes de Manejo desarrollada por el INRENA en el año 2005, y de los aportes de diez Jefaturas de ANP que cuentan con experiencias en la elaboración e implementación de planes de manejo.

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## Appendix 1. Safeguards Eligibility and Impacts Screening

This screening tool needs to be filled out for each activity or category of activities included in the annual work plan and budget.

The tool will be filled out by the Environmental and Social Safeguards Specialists. The decision on whether a fit-for-purpose ESIA, Site-Specific Environmental and Social Management Plan (ESMP), Livelihood Restoration Plan (LRP), Heritage Impact Assessment and Management Plan, Indigenous Peoples Plan (IPP) or any other relevant mitigation plans are required shall be made by the Environmental and/or Social Safeguard Specialists in consultation with the WWF GCF Agency Safeguards Specialist, based on the information provided in this screening form, as well as interviews with the PMU staff, local communities, and any other relevant stakeholders.

The result of this screening will inform the environmental and social risk category of the activities. [Per GCF policy](#), the risk categories that can be assigned to activities supported by the Fund are the following:

### Category A

Activities with potential significant adverse environmental and/or social risks and impacts that, individually or cumulatively, are diverse, irreversible, or unprecedented.

Examples of features of category A activities include: having large geographic scale; involving large-scale infrastructure; being located in valuable ecosystems and critical habitats; entailing adverse impacts to the rights, resources and lands of indigenous peoples; and entailing significant resettlement of affected peoples.

### Category B

Activities with potential limited adverse environmental and/or social risks and impacts that, individually or cumulatively, are few, generally site-specific, largely reversible, and readily addressed through mitigation measures.

Category B activities, or moderate risk activities, include those with risks and impacts that are less adverse than category A activities in terms of magnitude and likelihood of occurrence. Risks and impacts are considered limited, and the magnitude is expected to be low to moderate. The risks and impacts are few in number, contained within the footprint of the activities, largely reversible, and readily mitigated through generally accepted mitigation measures and good international industry practices.

### Category C

Activities with minimal or no adverse environmental and/or social risks and/or impacts, typically those that have no physical elements or defined footprints. However, in certain contexts, activities that have physical elements or a footprint may also be considered as low risk, particularly where the activities are small-scale, undertaken within an already built environment, do not involve physical and economic displacement of people or have minimal or no adverse impacts on indigenous peoples.

Some examples of category C activities include: Capacity development, planning support, institutional development and strengthening, advisory services, communication and outreach, and early warning and other monitoring systems; and small-scale facilities, smallholder production and community-based conservation, rehabilitation and maintenance of existing small-scale infrastructure within an already built-up area and with no additional footprint.

***For this project, no sub-activities/sub-projects identified as Category A will be supported.***

In order to facilitate the correct assessment of the level of risk potentially posed by the identified sub-activities, please fill out this screening in a thorough manner and provide detailed descriptions whenever possible.

**Part 1: Basic Information**

1	Activity Name	
	Description of Output (including activities under that output)	
2	Type of Activity:	New activity <input type="checkbox"/> Continuation of activity <input type="checkbox"/>
3	Activity location:	
4	Total size of site area	
5	Activity implementation dates	
6	Total cost	

(Move to Part 2 after filling in all information in the table above)

**Part 2: Eligibility Screening**

No.	Screening Questions: <i>Would the project activity</i>	Yes	No	Comments/Explanation
1	Lead to land management practices that cause degradation (biological or physical) of the soil and water? Examples include, but are not limited to: the felling of trees in core zones and critical watersheds; activities involving quarrying and mining; commercial logging; or dredge fishing.			
2	Negatively affect areas of critical natural habitats or breeding ground of known rare/endangered species?			
3	Significantly increase GHG emissions?			
4	Use genetically modified organisms or modern biotechnologies or their products?			
5	Involve the procurement and/or use of pesticides and other chemicals specified as persistent organic pollutants under the Stockholm Convention or within categories IA, IB, or II by the World Health Organization?			
6	Develop forest plantations?			
7	Involve significant excavations?			

No.	Screening Questions: <i>Would the project activity</i>	Yes	No	Comments/ Explanation
8	Result in the loss of biodiversity, alteration of the functioning of ecosystems, and introduction of new invasive alien species?			
9	Involve the procurement or use of weapons and munitions or fund military activities?			
10	Lead to private land accusation and/or physical displacement and voluntary or involuntary relocation of people, including non-titled and migrant people?			
11	Contribute to exacerbating any inequality or gender gap that may exist?			
12	Involve illegal child labor <sup>48</sup> , forced labor, sexual exploitation or other forms of exploitation? <sup>49</sup>			
13	Adversely affect IPs' rights, lands, natural resources, territories, livelihoods, knowledge, social fabric, traditions, governance systems, and culture or heritage (physical and non-physical or intangible) inside and/or outside the project area? Are considered unacceptable to the affected IPs?			
14	Take place <i>in</i> territories where Indigenous Peoples in Isolation and Initial Contact (PIACI) are known to reside or traverse?			
15	Negatively impact areas with cultural, historical, or transcendent values for individuals and communities beyond reversible risks that can be readily addressed through mitigation measures?			
16	Represent grand, irreversible, or unprecedented adverse environmental or social risks in areas with critical cultural heritage, such as UNESCO World Heritage Sites?			
17	Take place in known mined areas?			If Yes, please indicate if specialized institutions have certified that unexploded ammunitions and antipersonnel mines have been disabled and removed, and whether proof can be furnished.

No.	Screening Questions: <i>Would the project activity</i>	Yes	No	Comments/ Explanation
Please provide any further information that can be relevant:				

If all answers are “No”, project activity is eligible and move to Part 3

If at least one question answered as “yes”, the project activity is ineligible, and the proponent can reselect the site of project activity and do screening again.

### Part 3: Impacts screening

Answer the questions below and follow the guidance to provide basic information regarding the suggested activity and describe its potential impacts.

No.	Would the project activity:	Yes/No	Provide explanation and supporting documents if needed
<i>Environmental Impacts</i>			
1	Result in permanent or temporary change in land use, land cover or topography.		
2	Involve clearance of existing land vegetation		If yes, number of trees to be cut down: Species of trees: Are the trees protected: Total land area of vegetation cover removed: Estimated economic value of the trees, crops and vegetation to be cut down / removed and any replacement costs (e.g., fees, registration, taxes): Provide additional details:
3	Involve reforestation or modification of natural habitats? If yes, will it involve use or introduction of non-native species into the project area?		
4	Will pesticides be used? If so, are they on the list of those excluded by the Stockholm Convention?		
5	Result in environmental pollution? This may include air pollution, liquid waste, solid waste, or		

	waste as the result of earth moving or excavation for example.		
6	Trigger land disturbance, erosion, subsidence and instability?		
7	Result in significant use of water, such as for construction?		
8	Produce dust during construction and operation?		
9	Generate significant ambient noise?		
10	Increase the sediment load in the local water bodies?		
11	Change on-site or downstream water flows?		
12	Negatively affect water dynamics, river connectivity or the hydrological cycle in ways other than direct changes of water flows (e.g. water filtration and aquifer recharge, sedimentation)?		
13	Result in negative impacts to any endemic, rare or threatened species; species that have been identified as significant through global, regional, national, or local laws?		
14	Could the activity potentially increase the vulnerability of local communities to climate variability and changes (e.g., through risks and events such as landslides, erosion, flooding or droughts)?		
15	Based on the results of the questions above, what are the potential cumulative environmental effects to the given landscape?		
<b><i>Socio-Economic Impacts</i></b>			
16	Negatively impact existing tenure rights (formal and informal) of individuals, communities or others to land, fishery, and forest resources		
17	Operate where there are indigenous peoples and their lands/territories/waters are located?  OR  Operate where any indigenous communities have close cultural/spiritual or land use relationships? If yes to either, answer questions:		
	a. Has an FPIC Process been started?		

	b. Will any restrictions on their use of land/territories/water/natural resources be restricted?		
18	Restrict access to natural resources (e.g., watersheds or rivers, grazing areas, forestry, non-timber forest products) or restrict the way natural resources are used, in ways that will impact livelihoods?		
19	Restrict access to sacred sites of local communities (including ethnic minorities) and/or places relevant for women's or men's religious or cultural practices?		
20	Operate where there are any cultural heritage or religious or sacred sites that may be impacted by the project?		
21	Undermine the customary rights of local communities to participate in consultations in a free, prior, and informed manner to address interventions directly affecting their lands, territories or resources?		
22	Based on the results of the questions above, what are the potential cumulative socio-economic effects to the given communities?		
<b><i>Labor and Working Conditions</i></b>			
23	Involve hiring of workers or contracting with labor agencies to provide labor? If yes, answer questions a-d below:		
	<ul style="list-style-type: none"> <li>a) Are labor management issues prevalent in the landscape?</li> <li>b) Are illegal child labor issues prevalent in the landscape?</li> <li>c) Could workers be exposed to working conditions that might not comply with national labor legislation and/or international commitments? This could include: <ul style="list-style-type: none"> <li>i. Freedom of association and collective bargaining;</li> <li>ii. Discriminatory working conditions (such as making employment decisions on the basis of personal characteristics unrelated to inherent job</li> </ul> </li> </ul>		

	<p>requirements) and/or lack of equal opportunities</p> <ul style="list-style-type: none"> <li>iii. Use of forced labor</li> <li>iv. Absence of clear terms of employment</li> <li>v. Absence of mechanisms to prevent harassment (including SEAH) or exploitation.</li> <li>vi. Inadequate housing and hygiene conditions?</li> </ul> <p>d) Could the hired workers represent an influx of labor into sparsely populated areas? Will the workforce hired to develop this project activity/ies include migrant workers?</p>		
24	<p>Involve:</p> <ul style="list-style-type: none"> <li>a) working in hazardous environments such as steep, rocky slopes, areas infested with poisonous animals and/or disease vectors?</li> <li>b) other dangerous field conditions such as heat, inclement weather, terrain, or other dangerous wildlife?</li> <li>c) handling of hazardous materials?</li> <li>d) use of heavy machinery (particularly for construction related activities)?</li> <li>e) exposing hired workers or staff personnel to confrontations or potentially violent situations? (for example, vis a vis members of national authorities or local communities, armed poachers, ilegal fishers, etc.)?</li> </ul>		
<b><i>Vulnerable or Minority Groups</i></b>			
25	Negatively affect vulnerable groups (such as ethnic minorities, poorer households, migrants, and assistant herders) in terms of impact on their economic or social life conditions or contribute to their discrimination or marginalization?		
26	Stir or exacerbate conflicts among communities, groups, within families or individuals? Also considering dynamics of recent or expected migration including displaced people, as well as those who are most vulnerable to threats of sexual exploitation, abuse or harassment.		

27	Based on the results of the questions above, what are the potential cumulative effects to the given communities?		
<b><i>Indigenous People</i></b>			
28	Involve the use, taking or damage of cultural, intellectual, religious and/or spiritual property from IPs?		
29	Have impacts on cultural heritage that is essential to the identity, cultural, ceremonial, or spiritual aspects of indigenous peoples lives, including practice of traditional livelihoods, natural areas with cultural or spiritual values such as sacred groves, sacred bodies of water and waterways, sacred trees, and sacred rocks?		
30	Adopt or implement any legislative or administrative measures that will affect the rights, lands, territories and/or resources of IPs (e.g. in connection with the development, utilization or exploitation of mineral, water or other resources; land reform; legal reforms that may discriminate de jure or de facto against IPs, etc.)?		
31	Have any impacts (positive or negative) on lands and/or natural resources subject to traditional ownership or under customary use?		
32	Involve natural resource extraction such as logging or mining or agricultural development on the lands/territories of IPs?		
33	Involve any decisions that will affect the status of IPs' rights to their lands/territories/water resources, resources or livelihoods?		
34	Entail or lead to the relocation of IPs from lands and natural resources subject to traditional ownership or under customary use? (please note that WWF will not support activities that could lead to involuntary resettlement)		
35	Involve the accessing of traditional knowledge, innovations and practices of indigenous and local communities?		
36	Affect IPs' political, legal, economic, social, or cultural institutions and/or practices?		
37	Involve making commercial use of natural and/or cultural resources on lands subject to traditional ownership and/or under customary use by IPs?		

38	Involve the use of cultural heritage, including knowledge, innovations or practices of indigenous peoples for commercial purposes?		
39	Involve decisions regarding benefit-sharing arrangements, when benefits are derived from the lands/territories/resources of IPs (e.g. natural resource management or extractive industries)?		
40	Have an impact on the continuance of the relationship of the IPs with their land or their culture?		
41	Restrict access to NTFPs, timber, lands, etc. and other sources of livelihoods and community resources?		
<b><i>Occupational and Community Health and Safety</i></b>			
42	Involve any risks related to the usage of construction materials, working high above the ground or in canals where slopes are unstable or there is a risk of drowning?		
43	Generate societal conflicts, increased risk of sexual exploitation, abuse or harassment or pressure on local resources between temporary workers and local communities?		
44	Expose local community to risks related to construction works or use of machinery (e.g., loading and unloading of construction materials, excavated areas, fuel storage and usage, electrical use, machinery operations)		
45	Work in areas where forest fires are a threat? If yes, how recently was the last one?		
46	Work in areas where there the presence or history of vector-borne diseases (some examples include malaria, yellow fever, encephalitis)		
<b><i>Gender-based Violence/ Sexual Exploitation, Abuse and Harassment Risks</i></b>			
47	Is there a risk that the activity could pose a greater burden on women by restricting the use, development, and protection of natural resources by women compared with that of men?		
48	Is there a risk that persons employed by or engaged directly in the activity might engage in gender-based violence (including sexual exploitation, sexual abuse, or sexual harassment)? The response must consider risks not only at the beneficiary level, but also to		

	workers within all the organizations receiving GCF funding.		
49	Does the activity increase the risk of GBV and/or SEAH for women and girls, for example by changing resource use practices or singling out women and girls for training without complimentary training/education for men? The response must consider all workers within the organizations receiving GCF funding.		
50	Does any mandated training for any individuals associated with the activity (including project staff, government officials, park rangers and guards, other park staff, consultants, partner organizations and contractors) cover GBV/SEAH (along with human rights, etc.)?		
<b><i>Conflict Sensitivity and Risks</i></b>			
51	Are there any major underlying tensions, open conflicts, illicit activities or political or social instability in the landscape/seascape or in the country where the landscape/seascape is situated?  If yes, answer a-d below:		
	<ul style="list-style-type: none"> <li>a) Is there a risk that the activities interact with or exacerbate existing tensions and conflicts in the landscape/seascape?</li> <li>b) Do stakeholders (e.g. implementing partners, rights holders, other stakeholder groups) take a specific position in relation to the conflicts or tensions in the landscape/seascape or are they perceived as taking a position?</li> <li>c) How do stakeholders perceive WWF-Peru / SERNANP and its partners in relation to existing conflicts or tensions?</li> <li>d) Could the conflicts or tensions in the landscape/seascape have a negative impact on the activities?</li> </ul>		
52	Do the activities analyzed in this screening include support for the management of protected areas, including enforcement activities?		

	If Yes, answer a-c below		
	<p>a) Have there been any conflicts between the protected area management and IP &amp; LCs in the past 5 years? (e.g.: poaching, dispute over access rights and/or resource extraction, corruption, etc.) in this cluster/landscape?</p> <p>b) Even in the absence of documented conflict, did the establishment of the protected area take into account existing customary land rights? (e.g.: mapping, consultation, formal recognition)</p> <p>c) Have any formal complaints, inquiries or press articles concerning monitoring or law enforcement activities in the project area been published recently?</p>		
53	Could the activities create conflicts among communities, groups or individuals?		
54	Could the activities listed in this screening generate or exacerbate the exposure of IPLCs and/or other vulnerable populations such as women and children, to security risks related to monitoring and law enforcement activities?		
55	Could the activities listed in this screening generate or exacerbate the exposure of IPLCs and/or other vulnerable populations such as women and children to security risks in relation to interactions with eco-guards, park rangers, security forces, tourists or other authority figures, including in contexts of political instability?		
56	Are some groups (stakeholders, rights holders) benefiting more than others from the activities? And if so, how is that affecting power dynamics and mutual dependencies? (consider cases of elite-capturing)		
57	Do the activities provide opportunities to bring different groups with diverging interests positively together?		
58	Based on the results of the questions above, what are the potential cumulative effects of conflict (increasing or decreasing) in the given landscape on the relevant communities?		

### Risk analysis

Although the identified potential environmental and social impacts as well as security risks have been assessed at the cluster level to establish a baseline for understanding their nature, in practice these risks do not exist in every part of the cluster or even in all parts of an individual project area. To better understand these risks, they need to be assessed using a probabilistic risk assessment matrix. The table below works by analyzing the two aspects of that characterize risk: scale of impact and probability.

Table 1: Risk Assessment Matrix

	Negligible (1)	Minor (2)	Moderate (3)	Significant (4)	Severe (5)
Very Likely (5)	Medium	Medium	High	High	High
Likely (4)	Low	Medium	Medium	High	High
Possible (3)	Low	Medium	Medium	Medium	High
Unlikely (2)	Low	Low	Medium	Medium	Medium
Remote (1)	Low	Low	Medium	Medium	Medium

Using the Risk Assessment Matrix provided above, please fill out the following table in order to assess the overall impact of the main environmental and social risks identified, as well as those related to GBV or SEAH. Please note that triangulation of the Executing Entity/ies knowledge and experience on the territory should be triangulated with other sources that need to be consulted in order to better determine the probability of an identified risk, especially those that pertain to issues of public order. This triangulation work should be done on a regular basis through the lifecycle of the project through regular meetings or consultations with various stakeholders, such as applicable national ministries and secretaries, security advisory groups, humanitarian and development organizations, foreign embassies as applicable, other conservation NGOs and, crucially, IPLCs and their representative organizations whose direct on-the-ground knowledge works as a detailed guide to navigate the targeted territories.

Assessment of Main E, S & SEAH Risks Identified in this Screening for Cluster:						
#	Cause (id Activity)	Risk	Location	Probability	Impact	Rating
1						
2						
3						
4						
5						
6						
7						
8						
9						

**Screening Tool Completed by:**

Signed:

Name: \_\_\_\_\_

Title: \_\_\_\_\_

Date: \_\_\_\_\_

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**Screening Conclusions [TO BE COMPLETED BY Safeguards Specialist]**

- i. Main environmental issues are:
  
- ii. Permits/ clearance needed are:
  
- iii. Main social issues are:
  
- iv. Further assessment/ investigation needed and next step.
  - a. Need for fit-for-purpose ESIA:
  
  - b. Need for any special study or further assessment:
  
  - c. Preparation of Environmental and Social Management Plan-ESMP (main issue to be addressed by the ESMP):
  
  - d. Preparation of Livelihood Restoration Plan-LRP (main issue to be addressed by the LRP):
  
  - e. Preparation of Indigenous Peoples Plan:
  
  - f. Preparation of other management plans listed in the ESMF (CHMP, EPR, CSP, etc)
  
  - g. Any other requirements/need/issue etc.:

**Screening Tool Reviewed by:**

Signed:

Name: \_\_\_\_\_

Title: \_\_\_\_\_

Date: \_\_\_\_\_

## **Appendix 2. Terms of Reference for Fit-for-Purpose Environmental and Social Impact Assessment (ESIA) and Environmental and Social Management Plans (ESMP)**

In case that the environmental and social screening process identifies any adverse environmental or social impacts pursuant to a category B as a result of specific project activities that justifies the preparation of an Environmental and Social Management Plan (ESMP), the Safeguards Specialists in collaboration with the NPA focal points, the cluster-level focal points and/or other project staff should develop a fit-for-purpose ESIA and a site- and activity-specific ESMP. The ESMP should be prepared before the initiation of the project activity. In the case of activities involving infrastructure/civil works, the bidding documents for selection of construction contractors will require the preparation of an ESMP and specific clauses on compliance with WWF's environmental and social standards will be included in those contracts.

The structure of a Full ESIA should be as follows:

1. *Executive Summary*
2. *Legal and Administrative Framework:* Discusses the policy, legal, and administrative framework within which the ESIA is carried out. Identifies relevant international environmental agreements to which the country is a party. Explains the environmental requirements of any co-financing partners, if applicable
3. *Project Description:* Concisely describes the proposed project and its geographic, ecological, social, and temporal context, including any implications of the project outside the project site. Normally includes a map showing the project site and the project's area of influence. Attention should be paid to associated infrastructure (e.g., fencing for protecting natural areas). For example, describe the spatial location of the potential site for the infrastructure construction/maintenance, the estimated cost of the work and the size of the land for the work site, including the layout of waste, water sources (necessary during the construction phase) and access roads or trails to the construction site.
4. *Baseline E&S Information:* Assesses the dimensions of the study area and describes relevant physical, biological, and socioeconomic conditions, including any changes anticipated before the project commences. Also takes into account current and proposed development activities within the project area but not directly connected to the project. Data should be relevant to decisions about project location, design, operation, or mitigation measures. The section indicates the accuracy, reliability, and sources of the data. Socioeconomic analyses may be required.
5. *Anticipated E&S Impacts and Mitigation Measures:* Predicts and assesses the likely positive and negative impacts of the project proposal, in qualitative and, to the extent possible, quantitative terms. Identifies mitigation measures and any residual negative impacts that cannot be mitigated. Explores opportunities for environmental and social enhancement. Identifies and estimates the extent and quality of available data, key data gaps, and uncertainties associated with predictions and specifies topics that do not require further attention. The assessment takes into account all WWF's environment and social safeguards policies and procedures, but also covers all other impacts as identified during screening and scoping
6. *Analysis of Alternatives:* Systematically compares feasible, less-adverse alternatives to the proposed project site, technology, design, and operation— including the “without project” situation—in terms of their potential environmental impacts; the feasibility of mitigating these impacts; estimates on cost implications (capital and recurrent costs); their suitability under local conditions; and their institutional, training, and monitoring requirements.

7. *Information Disclosure and Stakeholder Engagement:* The stakeholder analysis carried out during the preceding steps of project conceptualization will be expanded by taking into account potential impacts identified in the screening phase. This might include adding new stakeholders (e.g., those that might potentially be affected by the identified impacts) as well as deepening the analysis. Compared with the existing analysis, more detail might be required on stakeholders' interests, roles, and responsibilities; their rights (covering both legal and non-legal rights); and requirements for effective consultation and participation. A summary of consultations carried out during the ESIA process and their recommendations should be included in the report, with an explanation of how these results have been taken into account.
8. *Grievance Redress Mechanism:* Ensure that all the GRMs available to this project are listed. If additional adjustments or adaptations need to be made to ensure that the project-level GRM is responsive to what is outlined in the ESIA and ESMP, this should be indicated as well (including how those modifications were consulted and/or negotiated with stakeholders).
9. *Environmental and Social Management Plan:* Propose an Environmental and Social Management Plan (ESMP) in tabular form using (see Table 1 in this appendix) in the context of which all prescribed mitigation and/or improvement measures will be carried out, specifying who will be responsible for implement these measures and the implementation schedule, the cost of implementing the measures, among others. An Environmental and Social Monitoring Plan in narrative form must also be prepared and it should describe the indicators that will be used to monitor the impact and the responsible people and institutions that will carry out the monitoring. This should include the parameters to be measured, the methods to be used, the sampling locations, the frequency of measurements and the definition of thresholds that will indicate the need for corrective actions, as well as a monitoring and reporting procedure which should itself include a time frame and implementation mechanism, staffing requirements, training and cost disbursements
10. *Implementation Arrangements:* Identify which party will be responsible for each step of the execution and monitoring processes as well as associated budget to be executed.
11. *Conclusion*
12. *Necessary Appendices:* This could include a myriad of things, such as an account of all legal and regulatory licenses and approvals obtained prior to commencement of activity to ensure they are in line with sound environmental management practices and compliance with all relevant existing national legislation. A specific map of the area (e.g. 1:50,000 scale) showing the site of the proposed activity, such as proposed infrastructure and existing establishments in and around the area is another example. Lastly, there should also be a record of interagency and consultation meetings, including consultations for obtaining the informed views of the affected people and local NGOs; the record specifies any means other than consultations (e.g., surveys) that were used to obtain the views of affected groups and local NGOs.
  - *Conflict Sensitivity Assessment:* Specifically, depending on the results of the Activity-Level ES Screening, a conflict sensitivity assessment might need to be attached to the ESIA. This assessment should clearly explain how the project activities might affect existing conflict dynamics as well as how the context itself might influence the interventions.

Please note that the description provided above corresponds to a full ESIA, which as per WWF's SIPP is typically relegated for Category A projects (which are not GCF projects as WWF is only accredited for projects that do not exceed medium risk). As per GCF requirements, category B subprojects or sub-

activities require a “fit-for-purpose” ESIA, which could either be a full or limited ESIA, depending on the extent of the risk.

For Category B projects, a partial ESIA is typically carried out, following the same structure and with the key elements as described above, but with a scope and depth of analysis that is clearly more limited than that of a full ESIA. It will focus on one or very few selected and clearly delineated environmental and social issues identified during the screening process. As such, it does not provide a full analysis of policy, legal, and administrative framework but is very specific to the topic. Also, the collected baseline data is targeted. Depending on the type of project and the nature and magnitude of the impacts, this report may include, for example, a limited ESIA or ESMP. The required limited ESIA report for all Category B projects should include the elements listed below. These items (not necessarily listed by importance) are:

- Description of the project and the environmental setting;
- Consideration of technical alternatives to improve the environmental benefits;
- Explanation of how the concerns of local communities are addressed;
- Analysis of the potential environmental and social impacts;
- An environmental and social management plan; and
- Summary of the consultation, its results, and recommendations

**Example, ESMP in tabular form**

Stage	1	2	3	4	5	6	7	8	9	10
	Project activity	Social and Environmental impact	Risk/potential opportunities	Mitigation measure	Location	Responsible person in charge of implementation of mitigation measure	Execution date	Expected result	Evidence provided for monitoring	Budget
Site Preparation										
Works in constructive phase										
Operation phase										

**Example, Environmental and Social Monitoring Plan**

Stage	Mitigation measure	Location/site for the mitigation measure	Responsible for implementation of mitigation measure	Execution date	Result	Evidence
Site preparation						
Works in constructive phase						
Operation phase						

### **Appendix 3. Security and Safety Protocol**

#### **INTRODUCTION**

The project "Effective Management of Peru's Amazonian Protected Areas for Climate Change Mitigation and Adaptation" (PdP A&C) will be implemented in 25 NPAs and 4 buffer zones that face public security risks in addition to the well-known safety risks of this kind of projects. The project is committed to creating a work environment in which the project personnel (staff, consultants, contractors, etc.) can carry out project activities in the safest possible way given public security risks as well as health and safety ones. These later risks are typically present in activities performed in remote rural areas in natural environments and topography that entail some dangers. Although, public security risks cannot be solved by the project itself, they can adversely affect (e.g. delay) project activities implementation in some NPAs. Thus, taking appropriate precautionary and preparative actions and creating a safer work environment requires project personnel (staff, consultants, contractors) playing an active role in keeping safe themselves and their colleagues.

This Security Protocol is an integral part of Environmental a Social Management Framework of the PdP A&C project and will promote the strengthening of a safety culture based on taking appropriate precautionary and preparative actions aimed at reducing the probability of health and safety risks as well as of public security risk incidents. Thus, this Protocol provides guidance on how to:

1. Apply practical techniques to manage security and safety risks and deal with difficult circumstances;
2. React appropriately in the event of actual danger, threat, or injury.

Table 1 below describes the public risk context that characterizes the 25 NPAs supported by the PdP A&C project. A variety of illegal and illicit activities such as gold mining and coca cultivation related to drug trafficking, logging, fishing, poaching can put at risk not only project personnel and implementation partners but also implementation of activities.

**Table 1. Contextual Risks in PdP A&C project NPAs**

Name	Area (ha)	Contextual Risks
Tingo María NP	4,777	Encroachment of non-sustainable activities, illegal logging, unplanned infrastructure development, illegal mining, species trade, fishing and/or poaching
Manu NP	1,716,295	PIACI, tourism related waste/pollution, UNESCO World Heritage Site, unplanned road infrastructure development, wild species illegal trade, fishing and/or poaching
Río Abiseo NP	274,520	Coca cultivation, illegal logging, unplanned infrastructure development, illegal mining, species trade, fishing and/or poaching UNESCO World Heritage Site
Yanachaga-Chemillén NP	122,000	Coca cultivation Drug trafficking routes, illegal logging, unplanned infrastructure development, illegal mining, species trade, fishing and/or poaching
Bahuaaja-Sonene NP	1,091,416	illegal logging, unplanned infrastructure development, illegal mining, species trade, fishing and/or poaching, children abduction
Cordillera Azul NP	1,353,191	PIACI, illegal logging, unplanned infrastructure development, illegal mining, species trade, fishing and/or poaching, land grabbing
Otishi NP	305,973	Coca cultivation, drug trafficking, extreme insecurity (proximity to VRAEM)
Alto Purús NP	2,510,694	Drug trafficking routes, PIACI
Ichigkat Muja-Cordillera del Cóndor NP	88,477	Presence of army at the border and corresponding tracks/trails Presence of Ecuadorian Shuar (IP) communities illegal logging, unplanned infrastructure development, illegal mining, species trade, fishing and/or poaching
Güeppi-Sekime NP	203,629	Army presence in triple border (Ecuador, Colombia and Peru)
Sierra del Divisor NP	1,354,485	PIACI, coca cultivation, encounters with armed people that produce basic cocaine paste, entry of unauthorized persons threatening the lifestyle of PIACI illegal logging, illegal species trade, fishing and/or poaching
Yaguas NP	868,928	illegal logging, illegal mining, species trade, fishing and/or poaching
Megantoni NS	215,869	illegal logging, unplanned infrastructure development, illegal mining, species trade, fishing and/or poaching
Pampa Hermosa NS	11,544	UNESCO Biosphere Reserve
Tabaconas-Namballe NS	32,125	Encroachment of livestock, tourism related waste/pollution illegal logging, unplanned infrastructure development, illegal mining, species trade, fishing and/or poaching
Cordillera de Colán NS	39,216	illegal logging, unplanned infrastructure development, illegal mining, species trade, fishing and/or poaching
Machupicchu HS	32,592	Rich archaeological heritage UNESCO World Heritage Site, solid waste generation, landslides
Pacaya-Samiria NR	2,080,000	Selective illegal logging of commercial timber species, illegal fishing and poaching for commercial purposes, illegal removal of eggs and hatchlings of aquatic chelonians, illegal harvesting the fruit of the aguaje palm tree for commercial purposes, expansion of the agricultural frontier, poorly developed oil exploitation activities and contamination of water bodies by oil spillovers and adverse impacts on freshwater resources
Tambopata NR	274,690	illegal logging, unplanned infrastructure development, illegal mining, species trade, fishing and/or poaching
Allpahuayo Mishana NR	58,070	Illegal gold mining and participation of native communities in illegal gold mining
Matsés NR	420,635	illegal logging, unplanned infrastructure development, illegal mining, species trade, fishing and/or poaching, PIACI
Pucacuro NR	637,954	Oil concessions and/or environmental degradation and tensions due to oil transport infrastructure, illegal logging, unplanned infrastructure development, illegal mining, species trade, fishing and/or poaching
Pui Pui PF	60,000	Encroachment of new settlements, illegal logging, unplanned infrastructure development, illegal mining, species trade, fishing and/or poaching
San Matias-San Carlos PF	145,818	Land trafficking, use of agro-chemicals

**Table 1. Contextual Risks in PdP A&C project NPAs**

Name	Area (ha)	Contextual Risks
Alto Mayo PF	182,000	Land occupation and conflicts, illegal logging, unplanned infrastructure development, illegal mining, species trade, fishing and/or poaching

*NP: national park; NR: national reserve; PF: protection forest; NS: national sanctuary; HS: historic sanctuary*  
*Source: own elaboration*

This security and safety protocol includes: 1) security actions in case there is any encounter with actors carrying out illegal and illicit activities and 2) actions that contribute to the safety of personnel when travelling to project sites and during implementation of project activities.

As an integral part of the project ESMF, this Protocol will be adopted as part of the project standard operating procedures and will be reviewed and updated every year to ensure it continues to meet the needs of the project personnel in terms of security and safety.

Project personnel (staff, consultants, and implementing partners) are required to read and comply with this Security and Safety Protocol. A security and safety briefing should be held at the beginning of the project once the PMU/SERNANP team members and the WWF Peru team members have been recruited.

## **SECURITY RISK ANALYSIS IN NPAs**

Due to their remote location and the weak presence of the State and law enforcement in remote areas, most of Peru's NPAs in the Amazon region face public security risks. These risks are mainly associated with environmental crimes or illicit and illegal activities and might represent a moderate to high contextual risk for the activities under the PdP A&C project.

In the case of Peru, it is known that criminal organizations involved in illegal logging, illegal mining and drug trafficking also carry out crimes such as human trafficking, child labor, forced labor and prostitution and that these organizations tend to intimidate public officials to ensure they can carry out their unlawful activities, encouraging corruption.

In the context of the PdP A&C project implementation, said public security risks could adversely affect: i) PdP A&C project workers such as PMU members, ii) contractors and subcontractors personnel supporting project implementation, iii) civil servants from SERNANP as lead executing agency (ANP heads, rangers) and WWF Peru personnel, iv) local implementation partners (e.g. local NGOs, IP national and regional federations); iv) indigenous community and peasant community members within and/or adjacent to NPAs, voluntary community rangers, settlers.

Converging crimes in the Amazon region can include: i) administrative-related crimes such as corruption, misrepresentation, embezzlement, administrative law crime and other crimes against public administration, ii) financial and tax-related crimes such as money laundering, tax evasion, smuggling, embezzlement, and other financial crimes; iii) violent crimes such as homicides, threats and other forms of physical violence. Such crimes also consist of illegal possession of guns, ammunition and explosives by those involved in illegal economic activities in the Amazon; iv) trafficking crimes such as drug trafficking and human trafficking, in addition to contemporary slave labor; and v) organized crime such as criminal association or belonging to a criminal organization.

The following sections describe situations associated with public security risk in many of the ANPs of the PdP A&C project, and their buffer zones, which can endanger the physical integrity, freedom and lives of people collaborating with project implementation as mentioned above. Focus is exclusively put on trafficking crimes and violent crimes since the scene for these crimes are the NPAs and their buffer zones.

### **A. Public Security Risks related to Traffic Crimes Activities**

***Illicit crops cultivation (coca growing).*** In several NPAs of the PdP A&C project, the corresponding NPA Master Plan report the existence of areas devoted to coca cultivation. This occurs in their core areas and/or buffer zones. In most cases, this coca leaf production is considered illicit since it is intended to produce basic cocaine paste, which is subsequently used in the production of cocaine.

The public security risks to which the PdP A&C project workers/personnel and implementing partners could be exposed, especially those supporting surveillance, control and demarcation activities are threats and violence. The fear that drug trafficking instills in the areas where it operates is undeniable. “I don't know anything, I didn't see anything, and I'm not commenting on anything” is the best way to avoid problems when someone encounters people working at coca leaf maceration wells. Casual findings, during monitoring and surveillance actions, of maceration wells for the production of basic cocaine paste and landing strips used by drug traffickers have been reported, for instance, in the Manu NP, Sierra del Divisor NP and the Otishi NP. In the case of Otishi NP, the conditions of insecurity are greater as it is very close to the Apurimac, Ene and Mantaro Rivers Valley (VRAEM) where coca leaves are produced to produce basic cocaine paste for the drug trafficking business and where there are still remnants of the Shining Path terrorist group allied or financed by drug traffickers. A chance encounter with members of gangs dedicated to these illicit activities, who could feel threatened by being identified and/or confusing the PdP A&C project personnel with law enforcement force, could result in threats, violence or attacks on their lives.

In the case of native communities, public security risks occur along rivers that cross NPAs (e.g. Alto Purús NP) and roads in buffer zones used as transportation routes to Bolivia and Brazil or inside their territories. The native communities and settlers established along these routes face fear and run the risk of being forced to provide logistical services, lodging and food to the members of said drug traffickers. There are native communities in some NPAs included in the PdP A&C project, or in their buffer zones, which have become transit points for drug trafficking. Also, some native communities have reported encounters with people (armed with long range firearms) working at coca leaf maceration wells when conducting surveillance activities in their communal territories (Sierra del Divisor NP). In some NPAs of the PdP A&C project, there is much fear, or even panic, of openly mentioning drug trafficking.

***Illegal logging.*** Illegal logging occurs within some NPAs and territories of native communities. This activity is facilitated by the construction of roads adjacent to NPAs or which cross their buffer zones. Past experience in the Peruvian Amazon region has shown that violent crimes have been committed against community leaders who lost their lives defending their territories from illegal loggers. NPA rangers, PdP A&C project workers and members of native communities might face threats and other forms of violence against them in case of confronting illegal loggers (who illegally possess guns and ammunition smuggled in through the borders with neighboring countries such as Colombia and Brazil).

***Land grabbing, traffic and invasion.*** It has been reported that indigenous communities adjacent to NPAs are experiencing land grabbing as an increasing numbers of outsiders are invading their territory and deforesting large swaths of indigenous land, largely to grow coca which is used to make cocaine. Residents report they are often subject to intimidation, threats and even murder attempts if they speak out about the incursions. As a result, an increase in land trafficking and illegal plantations occurs. This is the case, for instance, of the Santa Martha indigenous territory (one of the nine Cacataibo Indigenous People local communities between Huánuco and Ucayali) close to Cordillera Azul national park. To defend itself, the community formed surveillance committees, but this resulted in a series of threats from coca growers. Land grabbing has been reported only for Cordillera Azul national park.

***Human trafficking.*** In some native communities within or adjacent to ANPs, human trafficking is facilitated by road construction. Some native communities have experienced a situation of constant fear because, as a result of construction of roads that cross their territories or pass near them, strangers enter the native community to kidnap women who are generally young who have no other option to escape poverty and fall victims to human trafficking networks. For example, there have been incidents between outsiders and women in native communities adjacent to Manu NP. Additionally, some of the roads that have been built near some of the ANPs of the PdP A&C project have facilitated the trafficking of people

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(adult women and minors) who come from other parts of Peru to illegal gold mining centers for labor exploitation, sexual exploitation, child labor and slave labor. There is insecurity and fear in native communities that are transit areas for strangers or invaders. Some NPAs also are experiencing children abduction.

**B. Public Security Risks linked to activities involved in violent crimes by illegal economic activities.**

***Illegal gold mining.*** There exists illegal gold mining in several NPAs included in the PdP A&C project: it is well known that illegal mining is threatening and occurring inside the Tambopata National Reserve and Bahuaja Sonene National Park, located in the Madre de Dios Department, where illegal gold miners are threatening populations with extortion, robbery, and death threats, which could also potentially be faced by project personnel, implementation partners, contractors and indigenous communities. There is at least one recently documented instance of a community park ranger in the Amarakaeri Communal Reserve (adjacent to Manu National Park) who was murdered by four people presumably linked to illegal mining<sup>50</sup>, a phenomenon that is also reported to occur in the Ichigkat Muja – Cordillera del Cóndor National Park among other NPAs. Murder of settlers that confronted illegal miners who invaded their parcels or refused to sell their lands have also been reported. Some migrants are associated with the organized crime (e.g. hitmen) protecting illegal gold mining operations in the rivers of the Tambopata National Reserve. Allpahuayo Mishana national reserve near Iquitos also is experiencing the environmental and social impacts of illegal gold mining.

**C. Safety Risks due to Presence of Military Forces**

***Presence of military forces in NPAs adjacent to neighboring countries (Ecuador, Colombia and Brazil).*** In the case of the Ichigkat Muja – Cordillera del Condor NP, it has been reported that members of the Peruvian military hunt wild fauna within NPAs using their weapons/firearms. This situation possibly also occurs in the case of the Güeppí-Sekime NP, Pucacuro NR and Matsés NR where the Peruvian army also performs surveillance and patrolling on the border with Colombia, Ecuador, and Brazil. There can be a security/safety risk for PdP A&C project workers working on activities under Component 1 that are located too close to the military check points or areas where members of the military use to hunt.

***Existence of antipersonnel mines and remnants of war explosives in NPAs.*** A war between Ecuador and Peru, which ended in 1998 with a peace accord, was fought in some sectors of the Ichigkat Muja Cordillera del Cóndor National Park. The existence of antipersonnel mines and remnants of war explosives limits inventory and registration actions of flora and fauna using plot or other methods that require exploring the ANP along other unrecognized trails. Given the substantial risk to life due to accidental triggering of explosive devices, implementation of project activities within mined areas should be strictly forbidden, until specialized institutions certify that unexploded ammunitions and antipersonnel mines have been disabled and removed.

**D. Other security risks**

***Presence of Indigenous People in Isolation and Initial Contact (PIACI) in some NPAs.*** There are PIACI in and around the Cordillera Azul NP, Manu NP, Alto Purús NP, Sierra del Divisor NP and Matsés NR. From a security perspective, the following scenarios can be life-threatening or result in serious injuries if PIACI feel threatened: 1) chance encounters of PdP A&C project workers with PIACI member when implementing surveillance and control and demarcation activities in the aforementioned NPAs; ii) incursions of PIACI members in some of the PdP A&C project target native communities (the territories where they carry out their subsistence activities in general and villages where they live in particular) under Component 2. In this case, tourists visiting these native communities can be also at risk; iii) accidental incursions of PdP A&C project workers in PIACI territories.

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<sup>50</sup> <https://perusupportgroup.org.uk/2024/04/park-guard-assassinated-in-madre-de-dios/>

## **SECURITY AND SAFETY STRATEGIES**

### **GENERAL PROVISIONS**

All project workers (direct ones such as SERNANP and WWF staff, indirect ones such as advisors, consultants, contractors, subcontractors, other implementing partners, and community workers if any) must:

- Commit to respecting and complying with the Project's occupational health, safety and security policies and procedures;
- Always act responsibly, ensuring the health, safety and security of oneself and others;
- Take all due precautions to avoid injury and personal risks of an external nature;
- Weigh the identified risks of the activities to be performed and assess your comfort level with respect to those risks;
- Consult and obey travel warnings issued by government agencies and travel agencies and/or airlines for domestic travel;
- Take reasonable precautions for your health and safety when traveling to places where the travel warning is low or moderate, including taking preventive medicine, if recommended;
- All trips made for the project must have the corresponding approval (clearance) of the person responsible for the component. In the event that the destination is a place with a high security alert, authorization must be given prior to scheduling the trip;
- Travel to places that have an "extreme" security alert or declared as emergency zones by Supreme Decree is forbidden;
- Avoid travelling with "low cost" airlines, which are considered unsafe or unreliable in their flight schedules;
- Avoid travelling with companies offering charter flights that have a bad record/reputation (e.g. accidents, poor maintenance of airplanes, etc.).
- Project personnel and implementing partners should ensure that they have adequate medical and accident coverage/insurance to cover hospital and treatment costs, should they be required during a field trip.

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## **SECURITY ISSUES**

### **1. BEFORE ARRIVAL AND AT YOUR FINAL DESTINATION**

- Always make transportation arrangements with the office you will be visiting as they can give you safe recommendations for your trip to your hotel;
- If arrangements cannot be made in advance, take accredited transportation located within the airport premises or other private means of transportation. Do not use the public transportation service or unaccredited cabs waiting outside the airport;
- Have a device for others to communicate with you such as a mobile phone or WhatsApp and the telephone number of the hotel where you will be staying or mobile phone of a contact person in the place you will be visiting;
- Choose a person from your workplace (in the locality or country where you have arrived) with whom you have close contact and who knows about your trip (e.g. workshop or meeting) to keep them informed if you have any setbacks;
- When taking a cab, always lock the doors, keep the windows up or closed and wear your seat belt;
- Do not put the computer case on the driver's side seat. Store it in the trunk of the car;
- Do not share information with the cab driver;
- Never mention that you are traveling alone, nor provide personal information;
- Walk and act confidently and decisively. Do not leave the hotel unless you know where you have to go, as walking around consulting a map will attract thieves;
- If the contracted transportation does not show up, do not stay too long at the airport, take a cab from the airport;
- Do not talk about politics or local religion in public places;
- Trust your instincts; if something does not inspire confidence, avoid contact with it.

### **2. KEEPING A LOW PROFILE**

- Avoid wearing clothes with logos, unless the workshop, activity or event organizers expressly ask you to do so or confirm that it is safe to do so;
- Do not wear flashy jewelry;
- Avoid unnecessarily displaying electronic equipment, such as: cameras, video cameras, mobile phones, among others;
- Be cautious in public places when engaging in conversation, as you never know who may be listening;
- Do not participate in protests or demonstrations. If you see a large group of people, avoid them and turn in the opposite direction;
- Don't let your outings become predictable. Be aware of your actions at all times.

### **3. SECURITY AT THE HOTEL**

- Try to stay in a well-known hotel chain in a safe and central location. Preferably, the lodging will be coordinated by the Project Management Unit, depending on the location or venue to be visited;
- Identify emergency exits and/or safe areas for refuge, and location of fire extinguishers in case of incidents, especially in high-risk locations;
- Count the number of doors between your room and the exit doors. This could be vital if smoke fills the corridor;
- Practice the escape plan;
- Keep a mental inventory of all your belongings;
- When leaving the room, make sure that the windows are closed and the doors are locked;
- Do not open the door without first identifying the visitor;

- Never get into your room if you find the door is open. Ask a person from the front desk to inspect your room.
- Lock the door before going to bed.
- Do not accept package deliveries to your room unless they have been scheduled in advance and you are certain of the contents and provenance. Contact the front desk if you have any concerns;
- Meet visitors in the lobby;
- Always inspect your room upon entering;
- Do not leave confidential documents or equipment unprotected in the hotel room. If you need to do so, use the safe in your room; if there is no safe, talk to the hotel administration so that they can provide you with a safe place;
- Do not allow the front desk to hand you your room key by announcing your room number loudly;
- Never say your room number when you are in public;
- Never put your key on tables in dining rooms or other public spaces;
- Never leave your luggage unattended after packing;
- Report all suspicious activity to the front desk.

#### **4. SECURING YOUR PERSONAL COMPUTER**

- Keep your computer secure, as it is a prime target for theft. When not in use, keep it in a safety box or locked suitcase. Carry it in a backpack if needed;
- Never check the computer as baggage; take it on board the aircraft as carry-on baggage;
- Do not leave your computer unattended, especially in airports. Distracting yourself by looking away for just a moment can give a thief a chance to grab it and disappear into the crowd.
- Be very alert when going through the security inspection; thieves may exchange briefcases as they come out of the X-ray security machine;
- Keep in mind that the insurance company will only reimburse an equipment in case of an assault. If lost or stolen, it will be considered negligence and the replacement of the equipment will not be reimbursed;
- Do not leave your computer unattended at any time.

#### **5. ASSAULTS, ROBBERIES OR ANY OTHER AGGRESSION**

##### **Prevention:**

- Unless strictly necessary, avoid carrying too many things with you for a prolonged period of time;
- Avoid arbitrarily displaying your valuable belongings, such as jewelry, cell phones, watches, among others;
- Do not give out personal information or phone numbers to strangers;
- Walk in well-illuminated places and always with another person;
- Do not walk late at night; take a safe cab;
- Walk with determination;
- Be wary of suspicious approaches and move away immediately;
- Avoid going to ATMs at night and unaccompanied. If you see someone suspiciously loitering nearby, use the phone or assistance system inside the ATM to call for help;
- Act decisively; if you feel in danger, cross the street or enter a public place (restaurant, store, or other).

##### **During:**

- Do not resist the robbery and hand over everything they ask for. Remember that the most important thing is to protect your life or physical integrity;
- Avoid responding, provoking or opposing your attacker. Any action or attitude of opposition may endanger your life, your physical integrity or that of your companions;

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- Control yourself, submit and be submissive in front of your attacker, this will reduce the possibility of being assaulted;
  - Do not look or try to look at the offender, this will make him very nervous and could lead to a violent action against you or your companions;
  - Keep your hands in sight at all times and move slowly. Explain to the assailant what you are doing when you move to get your wallet or some other object;
  - If you are taken hostage, do not resist or try to escape, simply obey and give in to whatever they ask. Remember that they have the advantage of force or weapons and can cause injury or death.

**Afterwards:**

- Calm down and, if necessary, try to calm the people accompanying you;
- Evaluate if your companions need emergency medical assistance, ask for help and try to take them to a medical center as soon as possible;
- Do not touch, discard or contaminate the crime scene;
- If you have regained control, make an inventory of your losses;
- If possible, write down the data you can remember to facilitate the actions of the authorities;
- Report the incident to the nearest police station;
- Contact your immediate supervisor at the Project to report what happened, and then prepare a detailed report using the form for reporting serious incidents.

If your ID card is stolen or lost:

- Report the incident to the Peruvian National Police. If it is in foreign territory, report the incident to the local police of the country you are visiting, and contact the Embassy or Consulate.
- Protect yourself by carrying photos or copies (physical) of your identity documents.

**6. PROJECT ACTIVITIES CARRIED OUT IN HIGH-RISK PUBLIC SECURITY LOCATIONS**

- When planning project activities, map public security risks in a map of the NPA and its buffer zone and update it regularly (e.g. date of security incident, place of incident, parties involved, effects/impacts, etc.).
- Record in a file the incidents associated with public security risks that occur during the development of the various activities of the project, carried out by teams. It is recommended that the technical reports of each activity/sub-activity implemented include a paragraph to describe the type of public security risk faced, if any.
- Hold quarterly meetings with the NPA head office to update information on public security risks incidents and new related information.
- Before starting the field trip to a remote sector into the NPA, check: i) if there have been public security risk incidents recently; ii) that it is possible to establish communication (radio, telephone, etc.) with the PMU and NPA head office in case public security risk incidents that affect you occur and need to be immediately communicated; iii) if the public security risk in the NPA sector is high. In this case the field work will be postponed until changes in the circumstances make it possible.
- Avoid carrying out project activities in areas considered emergency zones declared as such by Supreme Decree;
- In the case of actions or activities close to areas where illegal activities are prevalent, project personnel (including individual consultants, and contractors) and implementing partners should mobilize in groups and with trusted members of the local community as much as possible;
- If illegal activities generate too much pressure in the implementation area, project staff (especially the safeguards experts at the PMU) and implementing partners will evaluate the possibility of suspending or otherwise postponing the activity until it can be safely resumed;
- No mediations with actors involved in illegal activities should be conducted;

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- If you have a GPS device, send a message through it as soon as a risk or imminent danger is perceived. Agree in advance which contact person in the PMU will be responsible for receiving warning messages.
  - Analyze, prior to field trips, with the leader of the activity/sub-activity and the NPA team (e.g. NPA head and/or park rangers), the security conditions in the activity area and along the route or routes.
  - Plan (together with the NPA team) the routes to be used and inform the safeguards specialist designated for security issues about the beginning, development and completion of the field trip. This could be done via WhatsApp assuming there is mobile phone signal. If there is no mobile phone signal, VHS/UHF radio or satellite phone should be used.
  - It is recommended to travel accompanied by other members of the team in charge of the activity/sub-activity and, if possible, by a trusted person from IPLCs who is familiar with the terrain/route, security conditions and natural dangers.
  - Night trips/nocturnal travel by road or river should not be made.
  - Recommendations or restrictions for field work due to security reasons, given by the PMU or communicated by security organizations, must be followed.
  - A list of telephone numbers of NPA head office, NPA check points, national police and army to be contacted in case of an emergency due to public security risks should be at hand at any time.
  - When preparing the ANP Annual Operations Plan, identify those remote, distant and isolated sectors of the ANP where the PdP A&C project will intervene where, for security and safety reasons, it is mandatory to enter carrying a satellite phone.
  - Since many of the project activities will require transport by river in isolated areas, gather in advance information on robberies and assaults (e.g. time of the day, places, modalities, etc.) along the route and adopt a strategy to minimize encounters with robbers. Do not bring your valuables (e.g. notebook, watch, jewelry, too much cash, etc.).

## **7. ENCOUNTERS WITH PEOPLE ENGAGED IN ILLEGAL AND ILLICIT ACTIVITIES**

- Before embarking on a trip, find out about the area you will be visiting; talk to, for instance, natural protected areas head offices personnel, local partners or local community people in the project area to get information on the dangers and threats you may face;
- In the event you encounter a poacher, illegal miner or logger, or people working at coca maceration wells, remain calm. Do not be belligerent and be aware of their body language;
- Try to leave the area of the encounter as soon as possible but remain calm;
- If you are threatened with firearms, obey the orders you are given;
- Do not make any brusque body movement because they could react violently;
- Give them your belongings and project goods if they ask to. Do not offer resistance;
- If you are shot, drop to the ground and remain lying down;
- If possible, crawl or move to a safe place;
- The best security measure against people carrying out illegal or illicit activities is to be alert and avoid them;
- If you know that there is illegal or illicit activity in an area of operation, avoid the area as much as possible and do not go to that area alone. Seek advice from the PMU, SERNANP, WWF Peru and trusted Indigenous People and local communities.

## **8. SIGHTING OF AND CONTACT WITH PIACI**

- When planning activities in NPAs where the presence of PIACI has been reported, contact the Ministry of Culture's control and surveillance check points (if there is one) or the Ministry of Culture's General Directorate in charge of PIACI issues in Lima, to get updated information about sector of NPAs where PIACI have been seen recently.
- Gather information from native communities close to the activity location to get additional information about PIACI in their territory and advice on precautions to be taken during the field work.

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- Follow the Ministry of Culture's protocol in case of sighting of and contact with PIACI<sup>51</sup>.

## 9. VEHICLE (PICK-UP TRUCK) USE SECURITY WARNINGS

### **Before:**

- Verify that the pick-up truck has all the necessary and complete documentation in accordance with the law (you do not want to be detained by the police due to lack of documentation);
- Carefully and attentively observe the people around the hotel and the office, analyzing their movements and if they are in or near any type of motorized vehicle, as you may be a target for tracking or stalking or your vehicle can be a target for robbery;
- It is best if the pick-up truck is driven by someone from the area where the activity will take place or someone familiar with the security conditions in the area or in similar areas, who should also be trusted personnel authorized by the PMU (e.g. only personnel hired as project drivers should drive a project vehicle);
- The pick-up truck should not be used for personal reasons;
- If possible, avoid using the pick-up truck to transfer money from the bank to the office or to the hotel;
- The person in charge of the travel arrangements must give a safety and security talk before the start of the trip to provide a reminder of the safety and security measures and precautions to follow in case of accidents and security related incidents;
- When the route to be traveled is very long and/or the trip will take several hours, it should be considered whether the driver has rested the day before and it is highly recommended that another person travels in the pick-up truck to replace him if necessary.

### **During:**

- Avoid traveling alone. Always travel with at least one other person, so that they can see that you are not alone;
- If you are going to conduct business outside the office, have your companion remain outside the vehicle in such a way that they have a panoramic view of the surroundings;
- In case of an accident, immediately activate the Compulsory Insurance for Traffic Accidents (SOAT) and contact the Project Coordinator to inform them of the situation;
- Complete the form to report serious incidents as soon as possible, if that is the case;
- In case you detect that you are being followed while traveling by van, try to approach a police station or, if not possible, change your route and try to get to safety;
- Concentrate on the road ahead and decrease speed if you detect something strange on the pavement (e.g. stones, a tree). It could be a trick mounted by robbers. Carefully assess the situation with your companions before resuming driving.
- In case you cannot escape and are caught by criminals, do not make brusque physical reactions; keep calm, do not offer resistance and try to memorize physical details of the assailants (tattoos, physical build, manner and/or way of speaking, nicknames, height, hair color, race, physical defect, etc.). After they have left, evaluate your condition and try to reach the nearest police station and contact the Project Manager to inform him or her your physical/psychological conditions and so your office can contact the insurance company in case the vehicle was robbed.

### **Afterwards:**

- At the end of your pick-up truck trip, park the vehicle in a safe place, either in a parking lot assigned by the office or the hotel where you are staying;
- Avoid leaving documents, packages, money or personal belongings inside the pick-up truck;
- Do not forget to connect the safety device to the pick-up truck before leaving (GPS, alarm, gas lock, steering lock, etc.);
- If the pick-up truck is rented, try to return it as soon as possible to avoid later complications or additional payments.

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<sup>51</sup> <https://cdn.www.gob.pe/uploads/document/file/213398/rm240.pdf?v=1539858425>

## **10. HOW TO BEHAVE DURING ROUTINE SECURITY OPERATIONS CARRIED OUT BY THE ARMY OR THE NATIONAL POLICE**

- Have your documentation at hand (e.g. personal identification document, vehicle certificate of property, driving license, etc.) since military or police personnel could ask them.
- Do not challenge law enforcement officers carrying weapons. Act in a non-threatening manner and obey orders courteously, without showing fear or distrust;
- Do not carry, touch or show interest in any type of weapon;
- Do not be photographed carrying weapons or wearing military or police uniforms or insignia;
- Do not accept gifts that are weapons (items such as bows and arrows may be accepted if such gifts are customary for the location visited);
- Do not accept gifts that are deactivated weapons, such as grenade caps, artillery ammunition, etc.
- Do not accept gifts that are considered national cultural heritage.
- Personnel that will support project activities (e.g. staff, consultants, contractors, etc.) should not be subject of a detention order issued by the national police, since they could be detained.
- In case of detention inform the PMU (Project Coordinator) immediately.

## **11. ARREST IN NATIONAL OR FOREIGN TERRITORY**

- Ask to be communicated with your contact person (e.g. a close relative or your lawyer) for emergency situations in case you are in your country's territory, or the nearest embassy or consulate in case you are abroad.
- Remain calm and do nothing to provoke the public force officer;
- Do not admit anything or provide any information;
- Do not sign any documents. Politely refuse until an attorney or a representative of the embassy or consulate examines the situation;
- If you are abroad and an embassy or consulate representative arrives, ask for some form of identification before discussing your situation;
- Do not agree to anything. If they do not accept your refusal, do not commit to anything or sign anything.

## **SAFETY ISSUES**

### **1. DOMESTIC TRAVEL**

- Project personnel and implementing partners (e.g. NGOs, national or regional IP federations, private contractors, etc.) should be keep informed of the social and political situation of the place where they will travel and report risks and dangers to the person responsible for the trip approval, if there are any;
- Project personnel and implementing partners should always research and respect local rules and customs;
- Avoid carrying anything that's not directly needed, such as extra credit cards or family photographs that cannot be replaced. Leave valuable items at home;
- Important phone numbers should be kept at all times, such as those of the offices that will be visited, contact persons, police, fire department and/or hospitals.

### **2. AT AIRPORTS**

- Early check-in is recommended and it is useful to have the airline's application on personnel's cell phones;

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- Early arrival at the airport is recommended (1 to 3 hours in advance) to accommodate for luggage drop-off, immigration (if international travel) and arrive at your boarding gate without rushing;
  - Being alert and keeping an eye on individual luggage and computer should be done at all times. Belongings should be identified but individuals' names should be kept out of sight;
  - No items from a stranger on board, or from someone who is not traveling with you, should ever be accepted;
  - Always be on the lookout for suspicious packages or behavior and report all such cases to the airport authorities;
  - Always be alert to possible "provoked" accidents, such as someone bumping into you or spilling a drink on you. Many times, this is a ploy to get you to neglect your personal items. Always be on the lookout for suspicious packages or behavior and report all such cases to the airport authorities;
  - Itinerary and lodging information should always be stored safely.

### **3. ON BOARD THE AIRCRAFT**

- Wear loose-fitting, natural-fiber clothing for comfort;
- Familiarize yourself with emergency procedures and exits. Observe your surroundings, especially those activities or situations that do not seem normal;
- Follow the instructions of the flight attendants on evacuation procedures and emergency exits;
- Keep your seat belt fastened while seated;
- Be cautious about sharing information about your work or personal life in casual conversations with other passengers.

### **4. HEALTH ON TRAVEL AND ENTRY TO THE FIELD**

- Bring the medications you require in the original containers and copies of the prescriptions;
- Carry a supply of medications and hygiene products as needed;
- Take personal responsibility for keeping up to date with immunizations and prophylaxis. Also, report health problems that require some level of special attention;
- Consult with Project management and local staff for possible places of care to go to and/or who to contact in case of a medical emergency;
- Have the procedures for using your health insurance handy according to your insurance company.

### **5. IMMEDIATELY REPORT ANY SERIOUS INCIDENT**

In the event that there is an incident that seriously affects the safety of the person traveling, report it to the personnel responsible for the event or meeting at the place being visited and request immediate attention and support. Likewise, it is important to prepare a report after an incident because it will allow to:

- Make informed decisions regarding operations and personnel movements, and ensure their well-being;
- Alerting others to potential threats and risks;
- Create an information base to indicate incidents and analyze them within the context of operations and occupational safety and health risk management.

### **6. MOTORCYCLE DRIVING**

Motorcycles that are used for field work trips must have the following documentation:

- Vehicle ownership card;
- Traffic Accidents Insurance (SOAT) of the motorcycle in force;
- Valid technical inspection certificate issued by an authorized center;
- Driver's license;
- Certificate of motorcycle operability;
- Verify that the motorcycle does not have a warrant for arrest/impoundment/seizure due to previous complaints;<sup>52</sup>
- Insurance policy against damage to third parties and/or theft.
- Driving personnel must have a valid driver's license with a minimum of 01 year after issue date; and a driving record issued by the MTC (Ministry of Transportation and Communications), preferably.
- Drivers must have: i) protective equipment, such as safety helmet, use of boots (rubber or footwear that does not expose the foot), pants, gloves, long-sleeved shirt, flashlight, whistle; ii) telephone (satellite or commercial) with GPS; and iii) First aid kit, sun block, insect repellent, hat, etc.

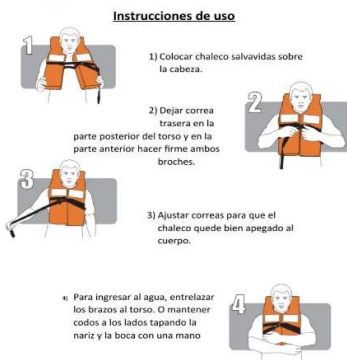
## 7. ROAD ACCIDENTS

- Stay calm; do not panic and pull over to the side of the road;
- Give first aid if necessary and possible. Call for help by cell phone, satellite phone or radio. Request help from the police, fire department or contact your office.
- Never leave an injured colleague alone. Request help from drivers, bystanders or local people.

## 8. RIVER OR SEA TRANSPORTATION

### Recommended equipment

- Lightweight backpack with waterproof bag to carry equipment (cellular mobile equipment with coverage in the area, if possible, satellite phone, GPS, binoculars, first aid kit, flashlight, whistle);
- Lifejacket (must check that it is in good condition, with the floats *-corchos-* in good condition and operative body straps);
- Wear hiking shoes, NOT rubber boots;
- Hat, repellent and/or sunscreen.



### Before:

- Verify that the river transport vessel is formal, observing that the navigation license is valid and that it has the corresponding navigation permit granted by the captaincy of the place where it belongs. It must be in good mechanical and electric condition (hull/roof/engine) and have reserve fuel tanks, fire extinguisher, first aid kit, life jackets, whistle;
- Verify that the river transportation company has insurance against accidents so that you can afford any medical assistance that may be required;
- Verify that the vessel is not more than 20 years old (desirable);

<sup>52</sup> Available at: <https://www.sat.gob.pe/website9/TributosMultas/Papeletas/Consultaslinea>

- Verify that the boat is driven by a motorist with experience on the route;
- Do not travel with large sums of money and valuables;
- Make sure that the boat is properly moored and the boarding board is in good condition before boarding;
- Carefully observe the people around or inside the boat, seeking to be close to the people who offer the greatest safety;
- Do not travel with intoxicated persons whose behavior could affect the safety of the vessel;
- It is not allowed to sail in a thunderstorm, nor after 6:30pm or before 4:45am when visibility is minimal;
- If the river is in full flood with waves, logs and trees and excessive shoveling before departure, you should wait for the flood to recede and return to normal conditions before setting sail. You never should sail under these conditions.

**During:**

- Wear your life jacket at all times, remember that it is the only emergency element that could save your life in the event of a boat capsizing;
- Do not attempt to stand up while the boat is underway, this could unbalance the weight of the sides and cause it to capsize;
- In case the boat runs out of fuel or has any damage while heading to your destination, stay calm and wait for the motorist or skipper to give you a solution;
- In case the boat capsizes, try by all means to remain calm and swim to shore, remember that you have a life jacket;
- In case you get caught in a flood with excessive waves, logs and/or shoals, in the middle of a sailing trip, it is best to approach and wait on a shore or, if it is very late, at a known point such as any of the lodges along the way;
- Upon arrival at a port, check that the boat is secured or moored before going ashore. Avoid accidents.

## **9. FALLING INTO THE WATER**

- The boats must have complete life jackets for each available seat with their respective whistle;
- The boats have to be equipped with a life ring and rescue rope in case a passenger falls into the river;
- The boat should stop immediately and observe the position taken by the person who has fallen overboard in order to initiate rescue;
- Throw the hoop life preserver 2-3 meters away for the person to hold on to. Never throw it directly at them, as they might get hit;
- Never bring the boat too close (2 m.) to avoid hitting or hurting the passenger;
- Use the rescue rope to approach the passenger to the boat and proceed to pull him/her up;
- In case the fallen passenger is unconscious, the passenger who can swim should jump into the river or sea with his life jacket and perform the corresponding rescue, keeping the passenger's head afloat;
- The unconscious passenger will be approached to the boat, lifted with the help of the other passengers and transferred to the nearest shelter or aid station while CPR is performed on the boat floor;
- Keep the passenger warm;
- Once the situation is under control, search pockets to remove and dry any passports, documents or money the passenger might have with them.

## **10. COLLISION OR SINKING OF A BOAT**

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- If this occurs, the trip leader must count the number of people and watch over the health and safety of the rest of the passengers. In case passengers fall into the water, their rescue will be organized among the passengers who know how to swim, depending on the water current;
  - In the event of a minor collision, keep calm and keep passengers in their seats. Check that everyone is all right.;
  - Check that no passengers are trapped or at risk of drowning;
  - If the sinking of the boat is imminent, take turns to dive into the water as a group in an orderly fashion to a specific destination. Use the rope to maintain a safe line;
  - Get out of the water, locate and go to a safe beach;
  - Call for help through a cellular or satellite phone, otherwise wait on the spot, do not separate the group but rather remain all together;
  - Do not go down the river or sea swimming for help, wait.

## 11. WATERBORNE DISEASES

Diseases transmitted by the consumption of unsafe water represent a serious threat in the northern and southern Amazon. These include diarrheal diseases, viral hepatitis, leptospirosis and malaria, all caused by the presence of bacteria, viruses and parasites in contaminated water.

### Recommendations:

- Use only potable or treated water for all needs, including drinking, cooking and personal hygiene. If local water quality is questionable, opt for bottled water as a safe alternative;
- If bottled water is not available, boil the water for 2 to 5 minutes to eliminate any pathogens. This method is simple and effective to ensure water safety.
- Be sure to bring enough potable or treated water to cover the needs of the entire group for the duration of your stay in areas with uncertain water supply.

## 12. WATER PURIFICATION

- **Boil water:** Heat water to boiling and keep it boiling for 2 to 5 minutes.
- **Purify with chlorine (liquid bleach):** According to the recommendations of the Peruvian Ministry of Health (MINSA):
  - To disinfect cloudy water or water of doubtful quality, add 2 to 4 drops of 4% bleach per liter of water.
  - Mix well and let stand for 30 minutes before consumption.
  - Treated water should have a slight residual chlorine odor, indicating effective disinfection.
  - It is important to use household bleach without additives or perfumes, and to strictly follow the proportions indicated to avoid an overdose of chlorine that could be harmful.
- **Purification tablets:** It is crucial to carefully follow the manufacturer's instructions regarding dosage and resting times to ensure effective water purification. To use them correctly, follow these steps:
  - **Find a water source:** Look for as clean a source as possible, such as a stream, river, or collected rainwater. Avoid stagnant or visibly polluted water.
  - **Filter the water:** Before adding the tablet, filter the water to remove large debris such as branches, soil or stones. You can use a tissue, cloth or portable filter.
  - **Pour the water into a clean container:** Pour the amount of water you wish to treat into a clean, sturdy container.
  - **Add the purification tablet:** Add the recommended amount of purification tablets to the water (follow the manufacturer's instructions).
  - **Shake or stir:** Mix the water with the tablet so that it dissolves completely.

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- **Leave to act for the indicated time:** Let the treated water stand for the time specified in the tablet's instructions, normally between 15 to 30 minutes to eliminate bacteria and viruses, and up to 2 hours to eliminate parasites such as Giardia and Cryptosporidium.
  - **Consume the treated water:** After the resting time, the water will be ready for consumption. It may have a slight chlorine taste, but it is safe to drink.

### 13. FOOD PREPARATION AND HYGIENE

- Wash your hands: Before and after handling any food, be sure to wash your hands thoroughly with soap and water;
- Keep the kitchen area clean: Use boiling water or a solution of water with a few drops of bleach to disinfect surfaces and utensils;
- Protect food: Store it in covered or wrapped containers to protect from insects, animals and dust. Keep it off the ground;
- Avoid spoiled food: Discard any food that shows signs of spoilage, mold or contamination;
- Boil water: If drinking water is not available, boil water for 2-5 minutes before drinking or cooking;
- Maintain personal hygiene: Wash your hands frequently, especially after using the bathroom. Keep your fingernails short and clean.

### 14. MEDICAL EMERGENCY IN THE FIELD

#### **Stabilize the patient:**

- Assess the severity of the situation and prioritize actions to stabilize the patient.
- Control any profuse bleeding by applying direct pressure on the wound;
- Provide emotional support and reassurance to the patient to reduce stress and anxiety.

#### **Seek medical help:**

- In remote areas, medical assistance may be distant. It is recommended to use a satellite phone to call for help and provide accurate details of the situation;
- It is important to make sure that the satellite phone has enough credit and battery power to make the emergency call effectively.

#### **Securing the area:**

- In a forested environment, securing the area involves assessing natural hazards and taking measures to reduce additional risks;
- Using improvised audible and visual signals can alert other members of the group and help rescue teams locate the scene.

#### **Consider evacuation:**

- Assess the need and feasibility of evacuating the patient to an appropriate medical facility;
- Take into account the patient's condition, severity of injury, availability of transportation, and weather conditions when deciding on evacuation.

#### **Documentation and communication:**

- Record in detail the events, actions taken and the patient's condition;
- Communicate this information to medical staff and SSOMA coordinators to facilitate ongoing medical care and logistical coordination, especially in remote areas where access to medical care may be limited.

### **Treatment of specific injuries and emergencies:**

#### **Superficial wound:**

- Washing the wound with soap and water helps to clean it and reduce the risk of infection.
- Drying with sterile gauze helps prevent the proliferation of bacteria in the wound.
- Avoid the use of iodine, alcohol or ointments, as they may irritate the wound.
- Covering with a dressing or gauze and fixing with adhesive tape helps protect the wound from external contaminants and facilitates healing.

#### **Deep Wound:**

- Washing with soap and water or applying gauze with hydrogen peroxide helps to clean the wound and reduce the risk of infection.
- Applying direct pressure with a compress or gauze helps stop the bleeding.
- Avoid the use of alcohol, disinfectants or dyes, as they may irritate the wound.
- In the absence of biosafety elements, apply indirect pressure to control bleeding.
- Avoid incorrect use of the tourniquet, as this may cause additional damage.

#### **Wound with foreign body:**

- Covering or immobilizing the area with gauze helps to avoid movements that may worsen the situation.
- Avoid manipulating the wound or removing the foreign body to avoid further complications.

#### **Burn:**

- Applying a cold, wet cloth helps relieve pain and reduce inflammation.
- Avoid the use of ointments, as they may retain heat and worsen the burn.
- Do not break the blisters, as they act as a natural barrier against infection.

#### **Foreign Body in Eye:**

- Wash with plenty of clean water to remove the foreign body.
- Cover the eye with an eye shield or gauze and adhesive tape to protect the eye and prevent further injury.
- Avoid manipulating the eye or removing the foreign body to prevent eye damage.

#### **Blows or Contusions:**

- Applying cold helps to reduce inflammation and relieve pain.
- Apply topical analgesic for additional pain relief.
- Use a compressive bandage to control swelling if necessary.
- Immobilize with a splint if fracture is suspected to prevent further damage.

#### **Bite/Sting:**

- Remove stingers if safe to do so and save the insect for identification.
- Apply cold to reduce inflammation and relieve pain.
- Take an antihistamine to reduce the allergic reaction if necessary.
- Make sure the person is stable and seek medical attention if necessary.

**Mite/Parasite:**

- Apply an analgesic cream or oral analgesic to relieve pain.
- Take into account explicit allergies to avoid adverse reactions to treatment.

**Note:** It is important that any participant who is under medical treatment carries the corresponding medication with them during the field visit. This is essential to avoid any health complications that may arise due to interruption or lack of their usual treatment. Ensure that each person is informed about the importance of maintaining their medical regimen and that they have sufficient supplies of medication for the entire field visit period

## 15. ANIMAL ATTACKS

**General considerations:**

- Never walk alone;
- Always try to walk accompanied by someone who is familiar with the area and dangers posed by wild fauna;
- Never approach, provoke, threaten or run towards a wild animal;
- Never assault or cause pain to a wild animal;
- Never try to pet a wild animal, especially large ones (major injuries may occur);
- Never feed a wild animal or try to care for an injured animal;
- If you are unexpectedly confronted by an animal on the road, retreat slowly away from the animal, giving it room to run if it feels trapped.

**How to respond to an animal attack:**

- If there is a tree you can climb, do so immediately;
- If you cannot run away from the animal, drop to the ground and get into a fetal position, protecting both your neck and stomach;
- Do not get rid of the backpack so that it can serve as protection;
- It is advisable to play dead at the last moment. However, never play dead if there is still time to run away or climb a tree;
- If the animal is a puma or jaguar, do not fight it. Do not run, as this makes the animal respond to its chase instinct.

## 16. FIRST AID IN THE FIELD

**Preventive measures:**

- **Staff Health Status Review:** Prior to going into the field, it is essential to conduct a complete health status review of each team member. This assessment allows for the identification of any pre-existing medical conditions that may require special attention during the visit;
- **Allergy Consideration:** In addition to the general health check, it is crucial that each team member report any known allergies. This allows us to take appropriate preventative measures and consider any potential risks related to allergens present in the field environment;
- **Vaccinations:** It is important that people heading to the field are up to date with the recommended vaccinations for the area, such as yellow fever, tetanus and hepatitis, among others;
- **Insect protection:** In the northern and southern Amazon landscapes, where the risk of mosquito-borne diseases such as malaria and leishmaniasis is high, it is essential to take protective measures. The use of insect repellents and wearing long-sleeved clothing are essential practices to prevent bites and reduce the risk of contracting these diseases;

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- **Good hydration:** Hydration is critical to prevent heat-related illness. Drinking water is recommended, which may require purification tablets if there is no access to safe water;
  - **Non-perishable food:** Carrying non-perishable food is important to ensure adequate nutrition, especially in remote areas where access to fresh food may be limited;
  - **Environmental Awareness:** It is essential that all personnel are familiar with the natural hazards of the area, including geological and climatic hazards such as landslides and floods. Understanding these risks is not only important for planning purposes, but also crucial to ensure safety throughout the stay in the field.

## EMERGENCY PREPAREDNESS AND RESPONSE FRAMEWORK

Emergency Preparedness and Response refer to the (i) the contingencies that could affect personnel and facilities of the PdP A&C project, (ii) the need to protect the health and safety of project workers and (iii) the need to protect the health and safety of the PAP. Thus, it is crucial that the EEs are able to address emergency preparedness and response in an integrated way, especially where a project activity might involve physical elements.

Although unlikely to occur, it is productive for the EEs to develop a full Emergency Preparedness and Response protocol that assumes and was designed assuming the worst possible scenarios, clearly laying out i) responsibilities for assessment of risks to life, property and environment; ii) procedures on who and with whom to communicate regarding different types of emergencies; iii) procedures on actions to take based on the emergency level classification (such as shutting down equipment, evacuations, designated meeting places); iv) specific training and practice as appropriate.

Some basic guidelines include:

1. Risk Identification and Assessment
  - Identify potential emergency scenarios (e.g., fire, chemical spill, natural disasters, civil unrest).
  - Assess likelihood and impact on workers, communities, and the environment.
  - Use hazard analysis and risk mapping tools.
2. Emergency Response Planning (ERP)
  - Develop site-specific ERP which should address:
    - Identification of the emergency scenarios
    - Specific emergency response procedures
    - Trained emergency response teams
    - Emergency contacts and communication systems/protocols (including communication with Affected Communities when necessary)
    - Procedures for interaction with government authorities (emergency, health, environmental authorities)
    - Permanently stationed emergency equipment and facilities (e.g., first aid stations, firefighting equipment, spill response equipment, personal protection equipment for the emergency response teams)
    - Protocols for the use of the emergency equipment and facilities
    - Clear identification of evacuation routes and muster points
    - Emergency drills and their periodicity based on assigned emergency levels or tiers

- Decontamination procedures and means to proceed with urgent remedial measures to contain, limit and reduce pollution within the physical boundaries of the project property and assets to the extent possible
3. Stakeholder Engagement and Communication
- Ensure that the ERP is accessible and understandable to all stakeholders
  - Inform and involve local communities, emergency services and any other national, regional or local relevant authority
  - Establish accessible and culturally-appropriate communication channels for alerts and updates
  - Align with local emergency response agencies, share plans and participate in joint exercises when possible and appropriate
4. Monitoring and Reporting
- Review and update the ERP based on lessons learned, changes in operations/established protocols or new risks
  - Fill out a serious incident report (example form is available in this ESMF) and keep other records of incidents, trainings and plan revisions.
  - Report emergencies and responses to the AE and relevant authorities and stakeholders.

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## Appendix 4. Guidance Note on Labor and Working Conditions

### Introduction

As a conservation organization, WWF does not typically fund large infrastructure activities in conservation projects implemented by WWF's GEF and GCF Agency and therefore does not directly adversely impact labor and working conditions. However, WWF GEF and GCF Agencies do implement projects in the forestry, agriculture and fisheries sectors, which may have potential unintended adverse impacts. This is mostly seen in financing activities necessary for strengthening protected area management systems, including construction of protected area administrative buildings, watch towers, accommodation for park guards. In such cases, these activities are usually executed by third party contractors who employ construction workers including sub-contractors. In such cases, WWF will ensure that any funding for such activities complies with WWF's Environment and Social Safeguards Integrated Policies and Procedures (SIPP) and more specifically international labor and working condition standards such as the International Labour Organization's (ILO) Declaration on the Fundamental Principles and Rights at Work<sup>53</sup> and any relevant local labor standards of the project specific countries. Although WWF's SIPP does not currently have a standalone policy on labor and working conditions, this guidance note has been developed for Project Teams to provide better understanding of impacts related to labour and working condition/s.

Although as mentioned above, WWF's SIPP does not have a mandatory safeguards policy on labor, at the institutional level, WWF as a leading conservation institution has in place several policies that provide protections and these are applied to all project implemented by WWF. This include the Child Safeguarding Policy<sup>54</sup> which ensures a zero-tolerance policy for child labor. Additionally, WWF has zero-tolerance for all forms of forced or compulsory labor. WWF recognizes the importance of the elimination of discrimination in respect of employment and occupation and has its own Non-Discrimination Policy<sup>55</sup> and Equal Employment Opportunity Policy.<sup>56</sup> Additionally, WWF has a Harassment-Free Work Environment Policy.<sup>57</sup>

For the purposes of this guidance note, a Worker means a person employed or engaged directly by an entity that executes a project or program to work specifically in relation to the project or program, or through third parties to perform work related to core functions of the project or program, regardless of location.

In order to identify potential impacts, the following questions may be helpful for project teams to keep when designing project activities during project proposal stage:

1. Will the project involve any of the following:
  - Working in conflict zones or areas that host other security issues or risks of hazards?
  - Safety of life at sea?

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<sup>53</sup> International Labour Organization's (ILO) Declaration on the Fundamental Principles and Rights at Work  
<https://www.ilo.org/declaration/lang--en/index.htm>

<sup>54</sup> WWF's Child Safeguarding Policy <https://worldwildlifefund.sharepoint.com/Policies/Pages/Child-SafeguardingPolicy.aspx>

<sup>55</sup> Non-Discrimination Policy <https://worldwildlifefund.sharepoint.com/Policies/Pages/Non-DiscriminationPolicy.aspx>

<sup>56</sup> Equal Employment Opportunity Policy  
<https://worldwildlifefund.sharepoint.com/Policies/Pages/HR/EEOPolicy.aspx>

<sup>57</sup> Harassment-Free Work Environment Policy  
<https://worldwildlifefund.sharepoint.com/Policies/Documents/Harassment-Free-Work-Environment-Policy.pdf>

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- Transport or handling of parasitic diseases or transmissible animal diseases?
  - Contact with dangerous and/or poisonous animals, reptiles and insects
  - mentioned above?
  - Construction and maintenance of facilities and vessels?
2. Is there a risk that the project might employ/engage children under 15 and as such may interfere with the child's education, or may be harmful to the child's health or to the child's physical, mental, spiritual, moral, or social development? Consider also forms of voluntary engagement/work, e.g. in community based natural resources management activities or livelihood restoration activities?
  3. Is there a risk the project is using forced labor, e.g. involuntary or compulsory labor (including forced child labor)?
  4. If the project employs forest workers, do project activities involve any health and safety risks? Would these risks be covered by the national forest laws for forestry workers?
  5. Will the project be able to seek opportunities for inclusion of disadvantaged groups as employees / workers (e.g. of indigenous people, migrant workers, people from lower caste and people with disabilities)?
  6. When possible, how will the project promote fair treatment, non-discrimination and equal opportunities for workers/staff employed by the project (including staff employed by entities sub-contracted for implementing project activities)?

### **Possible Mitigation Measures**

In the context of conservation projects, most project activities are implemented at the protected area level by Park Managers, and thus work sites are often remote and far from communities. Any park infrastructure constructed tends to be executed by construction companies who generally hire subcontractors who are migrant or seasonal workers and Park Managers do not have direct relation to hiring or employment status of these workers. Park Managers do not have access to employment contracts nor are they made available to them by the construction companies. Therefore, it is essential that:

1. Written labor management procedures are established in accordance with applicable national laws and international best practice;
2. Workers are provided with clear and understandable documentation of employment terms and conditions, including their rights under national law related to hours of work, wages, overtime, compensation and benefits;
3. Workers are provided regular and timely payment of wages; adequate periods of rest, holiday, sick, maternity, paternity, and family leave; and written notice of termination and severance payments, as required under national laws and the adequate labor management procedures;
4. Decisions relating to any aspect of the employment relationship, including recruitment, hiring and treatment of workers, are made based on the principles of nondiscrimination, equal opportunity and fair treatment, and not on the basis of personal characteristics unrelated to inherent job requirements;
5. Appropriate measures are in place to prevent harassment, intimidation, and exploitation, and to protect vulnerable workers, including but not limited to women, children of working age, migrants and persons with disabilities, and
6. Occupational health and safety (OHS) measures are applied to establish and maintain a safe and healthy working environment, and such measures are designed and implemented to address:
  - (i) Identification of potential hazards to workers, particularly those that may be life threatening;
  - (ii) Provision of preventive and protective measures, including modification, substitution, or elimination of hazardous conditions or substances;

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- (iii) Training of workers and maintenance of training records;
  - (iv) Documentation and reporting of occupational accidents, diseases and incidents;
  - (v) Emergency prevention and preparedness and response arrangements to emergency situations; and
  - (vi) Remedies for adverse impacts such as occupational injuries, deaths, disability and disease.

### **Grievance and Conflict Resolution Systems**

Workers should be informed of the project level and all other grievance resolution systems provided under the project. Workers may use these mechanisms without retribution, and the grievance and conflict resolution systems do not impede access to other judicial or administrative remedies available under the law or through existing arbitration procedures, or substitute for grievance systems provided through collective agreements.

### **Monitoring and Supervision**

Park Managers need to provide adequate monitoring of the occupational conditions of migrant/seasonal or any construction workers to ensure compliance with WWF institutional labor policies and international best practice. Park Managers bear full responsibility for the occupational conditions of workers, even if they are independently hired by the constructor. This implies the need to monitor both their contracts and their employment conditions on the ground.

Park Managers should provide the Project Management Unit with the bidding documents and the employment contracts, and ensure that these contracts provide appropriate occupational conditions for construction workers, in line with good international practices.

The Project Safeguards Specialist or Project Management Unit staff should review the bidding documents and employment contracts for all planned construction activities on all project sites to ensure full compliance with safeguards requirements. Examples of clauses related to occupational conditions that could be included in employment contracts are provided in Annex 1.

### **Annex 1: Suggested Occupational Health and Safety Standards**

Employers and supervisors are obliged to implement all reasonable precautions to protect the health and safety of workers. Implementing entities should hire contractors that have the technical capability to manage the occupational health and safety issues of their employees, extending the application of the hazard management activities through formal procurement agreements.

This section provides guidance of reasonable precautions to implement in managing principal risks to occupational health and safety. The following is based on the IFC's Environmental, Health, and Safety Guidelines (April 30, 2007).<sup>58</sup>

#### *1. General Facility Design and Operation*

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<sup>58</sup> IFC Environmental, Health, and Safety (EHS) Guidelines: Occupational Health and Safety <https://www.ifc.org/wps/wcm/connect/1d19c1ab-3ef8-42d4-bd6bcb79648af3fe/2%2BOccupational%2BHealth%2Band%2BSafety.pdf?MOD=AJPERES&CVID=ls62x8l>.

### ***Integrity of Workplace Structures***

Permanent and recurrent places of work should be designed and equipped to protect occupational health and safety:

- Surfaces, structures and installations should be easy to clean and maintain, and not allow for accumulation of hazardous compounds.
- Buildings should be structurally safe, provide appropriate protection against the climate, and have acceptable light and noise conditions.
- Fire resistant, noise-absorbing materials should, to the extent feasible, be used for cladding on ceilings and walls.
- Floors should be level, even, and non-skid.
- Heavy oscillating, rotating or alternating equipment should be located in dedicated buildings or structurally isolated sections.

### ***Severe Weather and Facility Shutdown***

- Work place structures should be designed and constructed to withstand the expected elements for the region and have an area designated for safe refuge, if appropriate.
- Standard Operating Procedures (SOPs) should be developed for project or process shutdown, including an evacuation plan. Drills to practice the procedure and plan should also be undertaken annually.

### ***Workspace and Exit***

- The space provided for each worker, and in total, should be adequate for safe execution of all activities, including transport and interim storage of materials and products.
- Passages to emergency exits should be unobstructed at all times. Exits should be clearly marked to be visible in total darkness. The number and capacity of emergency exits should be sufficient for safe and orderly evacuation of the greatest number of people present at any time, and there should be a minimum two exits from any work area.
- Facilities also should be designed and built taking into account the needs of disabled persons.

### ***Fire Precautions***

The workplace should be designed to prevent the start of fires through the implementation of fire codes applicable to industrial settings. Other essential measures include:

- Equipping facilities with fire detectors, alarm systems, and fire-fighting equipment. The equipment should be maintained in good working order and be readily accessible. It should be adequate for the dimensions and use of the premises, equipment installed, physical and chemical properties of substances present, and the maximum number of people present.
- Provision of manual firefighting equipment that is easily accessible and simple to use.
- Fire and emergency alarm systems that are both audible and visible.

### ***Lavatories and Showers***

- Adequate lavatory facilities (toilets and washing areas) should be provided for the number of people expected to work in the facility. Toilet facilities should also be provided with adequate supplies of hot and cold running water, soap, and hand drying devices.

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- Where workers may be exposed to substances poisonous by ingestion and skin contamination may occur, facilities for showering and changing into and out of street and work clothes should be provided.

#### ***Potable Water Supply***

- Adequate supplies of potable drinking water should be provided from a fountain with an upward jet or with a sanitary means of collecting the water for the purposes of drinking.
- Water supplied to areas of food preparation or for the purpose of personal hygiene (washing or bathing) should meet drinking water quality standards.

#### ***Clean Eating Area***

- Where there is potential for exposure to substances poisonous by ingestion, suitable arrangements are to be made for provision of clean eating areas where workers are not exposed to the hazardous or noxious substances.

#### ***Lighting***

- Workplaces should, to the degree feasible, receive natural light and be supplemented with sufficient artificial illumination to promote workers' safety and health, and enable safe equipment operation. Supplemental 'task lighting' may be required where specific visual acuity requirements should be met.
- Emergency lighting of adequate intensity should be installed and automatically activated upon failure of the principal artificial light source to ensure safe shut-down, evacuation, etc.

#### ***Safe Access***

- Passageways for pedestrians and vehicles within and outside buildings should be segregated and provide for easy, safe, and appropriate access.
- Equipment and installations requiring servicing, inspection, and/or cleaning should have unobstructed, unrestricted, and ready access.
- Hand, knee and foot railings should be installed on stairs, fixed ladders, platforms, permanent and interim floor openings, loading bays, ramps, etc.
- Covers should, if feasible, be installed to protect against falling items.
- Measures to prevent unauthorized access to dangerous areas should be in place.

#### ***First Aid***

- The employer should ensure that qualified first-aid can be provided at all times. Appropriately equipped first-aid stations should be easily accessible throughout the place of work.
- Eye-wash stations and/or emergency showers should be provided close to all workstations where immediate flushing with water is the recommended first-aid response.
- Where the scale of work or the type of activity being carried out so requires, dedicated and appropriately equipped first aid room(s) should be provided. First aid stations and rooms should be equipped with gloves, gowns, and masks for protection against direct contact with blood and other body fluids.
- Remote sites should have written emergency procedures in place for dealing with cases of trauma or serious illness up to the point at which patient care can be transferred to an appropriate medical facility.

### ***Air Supply***

- Sufficient fresh air should be supplied for indoor and confined work spaces. Factors to be considered in ventilation design include physical activity, substances in use, and process related emissions. Air distribution systems should be designed so as not to expose workers to draughts.
- Mechanical ventilation systems should be maintained in good working order. Point-source exhaust systems required for maintaining a safe ambient environment should have local indicators of correct functioning.
- Re-circulation of contaminated air is not acceptable. Air inlet filters should be kept clean and free of dust and microorganisms. Heating, ventilation and air conditioning (HVAC) and industrial evaporative cooling systems should be equipped, maintained and operated so as to prevent growth and spreading of disease agents (e.g. Legionella pneumophilia) or breeding of vectors (e.g. mosquitoes and flies) of public health concern.

### ***Work Environment Temperature***

- The temperature in work, rest room and other welfare facilities should, during service hours, be maintained at a level appropriate for the purpose of the facility.

## ***6. Training***

### ***Occupational Health and Safety (OHS) Training***

- Provisions should be made to provide OHS orientation training to all new employees to ensure they are apprised of the basic site rules of work at / on the site and of personal protection and preventing injury to fellow employees.
- Training should consist of basic hazard awareness, site-specific hazards, safe work practices, and emergency procedures for fire, evacuation, and natural disaster, as appropriate. Any site-specific hazard or color coding in use should be thoroughly reviewed as part of orientation training.

## ***7. Physical Hazards***

Physical hazards represent potential for accident or injury or illness due to repetitive exposure to mechanical action or work activity.

### ***Rotating and Moving Equipment***

Injury or death can occur from being trapped, entangled, or struck by machinery parts due to unexpected starting of equipment or unobvious movement during operations. Recommended protective measures include:

- Designing machines to eliminate trap hazards and ensuring that extremities are kept out of harm's way under normal operating conditions. Examples of proper design considerations include two-hand operated machines to prevent amputations or the availability of emergency stops dedicated to the machine and placed in strategic locations.
- Where a machine or equipment has an exposed moving part or exposed pinch point that may endanger the safety of any worker, the machine or equipment should be equipped with, and protected by, a guard or other device that prevents access to the moving part or pinch point. Guards should be designed and installed in conformance with appropriate machine safety standards.

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### **Noise**

- No employee should be exposed to a noise level greater than 85 dB(A) for a duration of more than 8 hours per day without hearing protection. In addition, no unprotected ear should be exposed to a peak sound pressure level (instantaneous) of more than 140 dB(C).
- The use of hearing protection should be enforced actively when the equivalent sound level over 8 hours reaches 85 dB(A), the peak sound levels reach 140 dB(C), or the average maximum sound level reaches 110dB(A). Hearing protective devices provided should be capable of reducing sound levels at the ear to at least 85 dB(A).
- Although hearing protection is preferred for any period of noise exposure in excess of 85 dB(A), an equivalent level of protection can be obtained, but less easily managed, by limiting the duration of noise exposure. For every 3 dB(A) increase in sound levels, the 'allowed' exposure period or duration should be reduced by 50 percent.
- Prior to the issuance of hearing protective devices as the final control mechanism, use of acoustic insulating materials, isolation of the noise source, and other engineering controls should be investigated and implemented, where feasible.
- Periodic medical hearing checks should be performed on workers exposed to high noise levels.

### **Vibration**

Exposure to hand-arm vibration from equipment such as hand and power tools, or whole-body vibrations from surfaces on which the worker stands or sits, should be controlled through choice of equipment, installation of vibration dampening pads or devices, and limiting the duration of exposure.

### **Electrical**

Exposed or faulty electrical devices, such as circuit breakers, panels, cables, cords and hand tools, can pose a serious risk to workers. Overhead wires can be struck by metal devices, such as poles or ladders, and by vehicles with metal booms. Vehicles or grounded metal objects brought into close proximity with overhead wires can result in arcing between the wires and the object, without actual contact. Recommended actions include:

- Marking all energized electrical devices and lines with warning signs.
- Locking out (de-charging and leaving open with a controlled locking device) and tagging-out (warning sign placed on the lock) devices during service or maintenance.
- Checking all electrical cords, cables, and hand power tools for frayed or exposed cords and following manufacturer recommendations for maximum permitted operating voltage of the portable hand tools.
- Double insulating / grounding all electrical equipment used in environments that are, or may become, wet; using equipment with ground fault interrupter (GFI) protected circuits.
- Protecting power cords and extension cords against damage from traffic by shielding or suspending above traffic areas.
- Appropriate labeling of service rooms housing high voltage equipment ('electrical hazard') and where entry is controlled or prohibited.
- Establishing "No Approach" zones around or under high voltage power lines.
- Rubber tired construction or other vehicles that come into direct contact with, or arcing between, high voltage wires may need to be taken out of service for periods of 48 hours and have the tires

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replaced to prevent catastrophic tire and wheel assembly failure, potentially causing serious injury or death.

- Conducting detailed identification and marking of all buried electrical wiring prior to any excavation work.

### ***Eye Hazards***

Solid particles from a wide variety of industrial operations, and/or a liquid chemical spray may strike a worker in the eye causing an eye injury or permanent blindness. Recommended measures include:

- Use of machine guards or splash shields and/or face and eye protection devices, such as safety glasses with side shields, goggles, and/or a full face shield. Specific Safe Operating Procedures (SOPs) may be required for use of sanding and grinding tools and/or when working around liquid chemicals.
- Frequent checks of these types of equipment prior to use to ensure mechanical integrity is also good practice.
- Moving areas where the discharge of solid fragments, liquid, or gaseous emissions can reasonably be predicted (e.g. discharge of sparks from a metal cutting station, pressure relief valve discharge) away from places expected to be occupied or transited by workers or visitors. Where machine or work fragments could present a hazard to transient workers or passers-by, extra area guarding or proximity restricting systems should be implemented, or PPE required for transients and visitors.
- Provisions should be made for persons who have to wear prescription glasses either through the use overglasses or prescription hardened glasses.

### ***Welding / Hot Work***

Welding creates an extremely bright and intense light that may seriously injure a worker's eyesight. In extreme cases, blindness may result. Additionally, welding may produce noxious fumes to which prolonged exposure can cause serious chronic diseases. Recommended measures include:

- Provision of proper eye protection such as welder goggles and/or a full-face eye shield for all personnel involved in, or assisting, welding operations. Additional methods may include the use of welding barrier screens around the specific work station (a solid piece of light metal, canvas, or plywood designed to block welding light from others). Devices to extract and remove noxious fumes at the source may also be required.
- Special hot work and fire prevention precautions and Standard Operating Procedures (SOPs) should be implemented if welding or hot cutting is undertaken outside established welding work stations, including 'Hot Work Permits, stand-by fire extinguishers, stand-by fire watch, and maintaining the fire watch for up to one hour after welding or hot cutting has terminated. Special procedures are required for hot work on tanks or vessels that have contained flammable materials.

### ***Industrial Vehicle Driving and Site Traffic***

Poorly trained or inexperienced industrial vehicle drivers have increased risk of accident with other vehicles, pedestrians, and equipment. Industrial vehicles and delivery vehicles, as well as private vehicles on-site, also represent potential collision scenarios. Industrial vehicle driving and site traffic safety practices include:

- Training and licensing industrial vehicle operators in the safe operation of specialized vehicles such as forklifts, including safe loading/unloading, load limits.
- Ensuring drivers undergo medical surveillance.

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- Ensuring moving equipment with restricted rear visibility is outfitted with audible back-up alarms.
  - Establishing rights-of-way, site speed limits, vehicle inspection requirements, operating rules and procedures (e.g. prohibiting operation of forklifts with forks in down position), and control of traffic patterns or direction.
  - Restricting the circulation of delivery and private vehicles to defined routes and areas, giving preference to 'one-way' circulation, where appropriate.

### ***Working Environment Temperature***

Exposure to hot or cold working conditions in indoor or outdoor environments can result temperature stress-related injury or death. Use of personal protective equipment (PPE) to protect against other occupational hazards can accentuate and aggravate heat-related illnesses. Extreme temperatures in permanent work environments should be avoided through implementation of engineering controls and ventilation. Where this is not possible, such as during short-term outdoor work, temperature-related stress management procedures should be implemented which include:

- Monitoring weather forecasts for outdoor work to provide advance warning of extreme weather and scheduling work accordingly.
- Providing temporary shelters to protect against the elements during working activities or for use as rest areas.
- Use of protective clothing.
- Providing easy access to adequate hydration such as drinking water or electrolyte drinks, and avoiding consumption of alcoholic beverages.

### ***Ergonomics, Repetitive Motion, Manual Handling***

Injuries due to ergonomic factors, such as repetitive motion, overexertion, and manual handling, take prolonged and repeated exposures to develop, and typically require periods of weeks to months for recovery. These OHS problems should be minimized or eliminated to maintain a productive workplace. Controls may include:

- Facility and workstation design with 5th to 95th percentile operational and maintenance workers in mind.
- Use of mechanical assists to eliminate or reduce exertions required to lift materials, hold tools and work objects, and requiring multi-person lifts if weights exceed thresholds.
- Selecting and designing tools that reduce force requirements and holding times, and improve postures.
- Providing user adjustable work stations.
- Incorporating rest and stretch breaks into work processes, and conducting job rotation
- Implementing quality control and maintenance programs that reduce unnecessary forces and exertions.

### ***Working at Heights***

Fall prevention and protection measures should be implemented whenever a worker is exposed to the hazard of falling more than two meters; into operating machinery; into water or other liquid; into hazardous substances; or through an opening in a work surface. Fall prevention / protection measures may

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also be warranted on a case-specific basis when there are risks of falling from lesser heights. Fall prevention may include:

- Installation of guardrails with mid-rails and toe boards at the edge of any fall hazard area.
- Proper use of ladders and scaffolds by trained employees.
- Use of fall prevention devices, including safety belt and lanyard travel limiting devices to prevent access to fall hazard area, or fall protection devices such as full body harnesses used in conjunction with shock absorbing lanyards or self-retracting inertial fall arrest devices attached to fixed anchor point or horizontal life-lines.
- Appropriate training in use, serviceability, and integrity of the necessary PPE.
- Inclusion of rescue and/or recovery plans, and equipment to respond to workers after an arrested fall.

### ***Illumination***

Work area light intensity should be adequate for the general purpose of the location and type of activity, and should be supplemented with dedicated work station illumination, as needed. Controls should include:

- Use of energy efficient light sources with minimum heat emission.
- Undertaking measures to eliminate glare / reflections and flickering of lights.
- Taking precautions to minimize and control optical radiation including direct sunlight.
- Exposure to high intensity UV and IR radiation and high intensity visible light should also be controlled.
- Controlling laser hazards in accordance with equipment specifications, certifications, and recognized safety standards. The lowest feasible class Laser should be applied to minimize risks.

### ***8. 4. Standards for workers' accommodation<sup>59</sup>***

#### **1. General living facilities**

- The location of the facilities is designed to avoid flooding or other natural hazards.
- The living facilities are located within a reasonable distance from the worksite.
- Transport is provided to worksite safe and free.
- The living facilities are built using adequate materials, kept in good repair and kept clean and free from rubbish and other refuse.

#### **2. Drainage**

- The site is adequately drained.

#### **3. Heating, air conditioning, ventilation and light**

- Living facilities are provided with adequate heating, ventilation, air conditioning and light systems including emergency lighting.

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<sup>59</sup> Based on Workers' accommodation: processes and standards—A guidance note by IFC and the EBRD (August 2009): [https://www.ifc.org/wps/wcm/connect/60593977-91c6-4140-84d3-737d0e203475/workers\\_accommodation.pdf?MOD=AJPERES&CACHEID=ROOTWORKSPACE-60593977-91c6-4140-84d3-737d0e203475-jqetNlh](https://www.ifc.org/wps/wcm/connect/60593977-91c6-4140-84d3-737d0e203475/workers_accommodation.pdf?MOD=AJPERES&CACHEID=ROOTWORKSPACE-60593977-91c6-4140-84d3-737d0e203475-jqetNlh)

#### 4. Water

- Workers have easy access to a supply of clean/ potable water in adequate quantities.
- The quality of the water complies with national/local requirements or WHO standards.
- Tanks used for the storage of drinking water are constructed and covered to prevent water stored therein from becoming polluted or contaminated.
- The quality of the drinking water is regularly monitored.

#### 5. Wastewater and solid waste

- Wastewater, sewage, food and any other waste materials are adequately discharged in compliance with national and/or international standards and without causing any significant impacts on camp residents, the environment or surrounding communities.
- Specific containers for rubbish collection are provided and emptied on a regular basis.
- Pest extermination, vector control and disinfection are undertaken throughout the living facilities.

#### 6. Rooms/dormitories facilities

- Rooms/dormitories are kept in good condition.
- Rooms/dormitories are aired and cleaned at regular intervals.
- Rooms/dormitories are built with easily cleanable flooring material.
- Rooms/dormitories and sanitary facilities are located in the same buildings.
- Residents are provided with enough space.
- The number of workers sharing the same room/dormitory is minimized.
- Doors and windows are lockable and provided with mosquito screens when necessary.
- Mobile partitions or curtains are provided.
- Suitable furniture such as table, chair, mirror, bedside light are provided for every worker.
- Separate sleeping areas are provided for men and women.

#### 7. Bed arrangements and storage facilities

- A separate bed is provided for every worker.
- The practice of "hot-bedding" is prohibited.
- There is a minimum space of 1 meter between beds.
- The use of double deck bunks is minimized.
- Double deck bunks are in use, there is enough clear space between the lower and upper bunk of the bed.
- Workers are provided with comfortable mattresses, pillows and clean bed linens
- Bed linen are washed frequently and applied with adequate repellents and disinfectants (where conditions warrant).
- Adequate facilities for the storage of personal belongings are provided.
- Separate storages for work clothes and PPE and depending on condition, drying/airing areas are provided.

8. Sanitary and toilet facilities

- Sanitary and toilet facilities are constructed from materials that are easily cleanable.
- Sanitary and toilet facilities are cleaned frequently and kept in working condition.
- Toilets, showers/bathrooms and other sanitary facilities are designed to provide workers with adequate privacy including ceiling to floor partitions and lockable doors.
- Separate sanitary and toilet facilities are provided for men and women.

9. Toilet facilities

- An adequate number of toilets and urinals are available.
- Toilet facilities are conveniently located and easily accessible.

10. Showers/bathrooms and other sanitary facilities

- The shower flooring is made of anti-slip hard washable materials.
- An adequate number of hand wash basins and showers/bathrooms facilities are provided.
- The sanitary facilities are conveniently located.
- Shower facilities are provided with an adequate supply of cold and hot running water.

11. Canteen, cooking and laundry facilities

- Canteen, cooking and laundry facilities are built with adequate and easy to clean materials.
- Canteen, cooking and laundry facilities are kept in clean and sanitary condition.

12. Medical facilities

- First aid kits are provided in adequate numbers.
- Medical facilities/services are available on site.

13. Leisure, social and telecommunications facilities

- Basic social collective spaces and adequate recreational areas are provided to workers.
- Workers are provided with dedicated places for religious observance.
- Workers can access a telephone at an affordable/public price.

## **Appendix 5. Form for Notification of Serious Incident**

Any serious incident that occurs at a given project activity site that is caused, for instance, by construction activities, road traffic accident where a vehicle serving the project is involved and encounters with PIACI or perpetrators of illegal activities, among others, will be reported by WWF Peru, Profonanpe and/or SERNANP to WWF-US as soon as possible and no more than 24 hours after the incident occurred.

In addition to reporting to the AE of a serious incident, the PMU is required to: i) conduct a thorough investigation analyzing the root cause; ii) providing time-bound corrective actions and/or plans to prevent incidents such as the reported one from happening in the future; ensuring full documentation of incident and investigation reports; iv) timely reporting to the AE, who will in turn notify the GCF; and v) monitoring of the implementation of the outlined corrective actions

### **Definition of Serious Incident:**

Any social, labor, occupational health and safety, or environmental safety incident or accident that has or would reasonably be expected to have a negative impact on the project. This may include road traffic accidents, workplace accidents resulting in serious or multiple injuries, encounters with PIACI, encounters with violent people devoted to illegal activities, hazardous substance spills or major contamination, and workplace violence and harassment (sexual, etc.).

SEMPLE FORM FOR INCIDENT NOTIFICATION								
<b>1. Incident details</b>								
<b>Activity:</b>		<b>Date of incident:</b>						
<b>Institution:</b>		<b>Time of incident:</b>						
<b>Incident location:</b>		<b>Incident type</b>	<b>Environmental</b>	<input type="checkbox"/>				
			<b>Injury</b>	<i>Labor</i>				<input type="checkbox"/>
				<i>Project workers/public/local community/project beneficiaries</i>				
			<b>Social (e.g. sexual harassment, disrespectful and aggressive behavior, etc.)</b>	<input type="checkbox"/>				
<b>2. What happened?</b>								
Brief description of incident								
<b>3. INJURED DIRECT AND INDIRECT PROJECT WORKERS</b>								
<b>PMU team members/SERNANP rangers/co-executing entities/contractors and service providers/general public/beneficiaries in local communities/etc.</b>	<b>Gender</b>	<b>Age</b>	<b>Position title/Description</b>	<b>Time at the institution</b>	<b>Cause</b>	<b>Type of injury (fatal / not fatal)</b>		
<b>4. INJURED MEMBERS OF THE GENERAL PUBLIC/LOCAL COMMUNITIES</b>								
<b>Name</b>	<b>Gender</b>	<b>Age</b>	<b>Community</b>	<b>Place of residence</b>	<b>Cause</b>	<b>Type of injury (principal / fatal)</b>		
<b>5. ENVIRONMENTAL INCIDENT</b>								
<b>Type</b>	<b>Cause</b>		<b>Effect</b>			<b>Damage</b>		

<b>6. INCIDENT WITNESSES</b>			
<b>Name</b>	<b>Gender</b>	<b>Place of residence</b>	<b>Description of incident</b>
<b>7. OTHER RELEVANT INFORMATION</b>			
<b>Have authorities been informed?</b>	<b>Yes</b>	<input type="checkbox"/>	<b>No</b> <input type="checkbox"/>
<i>Please provide information here</i>			
<b>The press has covered the incident?</b>	<b>Yes</b>	<input type="checkbox"/>	<b>No</b> <input type="checkbox"/>
<i>Please provide information here</i>			
<b>Any effect outside the incident site?</b>	<b>Yes</b>	<input type="checkbox"/>	<b>No</b> <input type="checkbox"/>
<i>Please provide information here</i>			
<b>Are there pictures? (please include them in this report)</b>	<b>Yes</b>	<input type="checkbox"/>	<b>No</b> <input type="checkbox"/>
<b>Date</b>			
<b>What immediate corrective actions have been taken after the incident/accident? By whom?</b>			
<i>Please describe here whether the incident leads to changes, for instance, in the organization or process of the work and service providers of the project, whether protective measures have been implemented, whether the work has been stopped, etc.</i>			
<b>Person that completed this form:</b>			
<b>Name and position/role:</b>			
<b>Contact information:</b>			
<b>Telephone</b>		<b>Email</b>	

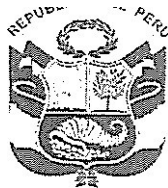
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## Appendix 6. PIACI Protocol

### **PROTOCOL FOR ACTION WHEN FINDING, SIGHTING OR CONTACT WITH INDIGENOUS PEOPLES IN ISOLATION AND FOR RELATIONSHIPS WITH INDIGENOUS PEOPLES IN A SITUATION OF INITIAL CONTACT**

The following text is the verbatim text of Ministerial Resolution N. 247, approved in 2015, which establishes procedures to avoid risks in the event of discovery, sighting or contact with PIACI. Likewise, it regulates the early warning system by the authorities to the Ministry of Culture.

An English translation follows the original text in Spanish.



## *Resolución Ministerial*

N O 240-2015-MC

Lima, 23 JUL 2015

VISTOS, el Memorando N<sup>o</sup> 247-2015-VMI-MC del Viceministerio de Interculturalidad y el Informe N<sup>o</sup> 569-2015-OGAJ-SG/MC de la Oficina General de Asesoría Jurídica; y,

#### CONSIDERANDO:

Que, mediante Ley N<sup>o</sup> 29565 se creó el Ministerio de Cultura, como organismo del Poder Ejecutivo con personería jurídica de derecho público y con autonomía administrativa y económica, constituyendo pliego presupuestal del Estado que tiene áreas programáticas de acción sobre las cuales ejerce competencias, funciones y atribuciones para el logro de sus objetivos y metas, siendo una de tales áreas programáticas de acción, la pluralidad étnica y cultural de la Nación;

Que, la Ley N<sup>o</sup> 28736, Ley para la Protección de Pueblos Indígenas u Originarios en Situación de Aislamiento y en Situación de Contacto Inicial, establece el Régimen Especial Transectorial de protección de los pueblos indígenas en la amazonia peruana que se encuentran en situación de aislamiento o en situación de contacto inicial, garantizando en particular sus derechos a la vida y la salud;

Que, el artículo 5 del Reglamento de la Ley N<sup>o</sup> 28736, aprobado por Decreto Supremo N<sup>o</sup> 008-2007-MIMDES, establece que corresponde al ente rector del Régimen Especial Transectorial evaluar, planificar y supervisar las medidas y acciones destinadas a la protección de los pueblos indígenas que se encuentran en situación de aislamiento o en situación de contacto inicial;

Que, el literal d) del artículo 7 del Reglamento de la Ley, asigna como una de las funciones del ente rector del Régimen Especial Transeccional, establecer los protocolos de actuación ante situaciones de contacto no deseado;

Que, conforme a lo dispuesto en el literal i) del artículo 3 y en el artículo 36 del Reglamento de la Ley, los protocolos de actuación son documentos que contienen reglas, procedimientos e información que deben ser acatados por cualquier agente externo a la reserva indígena, ante situaciones de avistamiento o contacto con un pueblo indígena en situación de aislamiento y en situación de contacto inicial, por lo que este instrumento es de alcance general;

Que, en observancia de lo prescrito por la Primera Disposición Final de la Ley N<sup>o</sup> 29253, la cual precisa que toda referencia normativa efectuada al MIMDES, deberá entenderse al Instituto Nacional de Desarrollo de Pueblos Andinos, Amazónicos y Afroperuano - INDEPA; así como por la Ley N<sup>o</sup> 29565, que dispuso la adscripción del Instituto Nacional de Desarrollo de Pueblos Andinos, Amazónicos y Afroperuano — INDEPA al Ministerio de Cultura, corresponde a éste último aprobar los protocolos de actuación, los cuales deberán ser acatados por cualquier agente externo, ante el avistamiento o contacto con un pueblo indígena en situación de aislamiento o en situación de contacto inicial;

Que, mediante Informe N<sup>o</sup> 1 18-2015-DGPI-VMI-MC, la Dirección General de Derechos de los Pueblos Indígenas eleva al Viceministerio de Interculturalidad una propuesta de "Protocolo de Actuación ante el Hallazgo, Avistamiento o Contacto con Pueblos Indígenas en Aislamiento y para el Relacionamiento con Pueblos Indígenas en Situación de Contacto Inicial";

Que, a través de Memorando N<sup>o</sup> 247-2015-VMI-MC, el Viceministerio de Interculturalidad remite la propuesta de "Protocolo de Actuación ante el Hallazgo, Avistamiento o Contacto con Pueblos Indígenas en Aislamiento y para el Relacionamiento con Pueblos Indígenas en Situación de Contacto Inicial";

Que, mediante Informe N<sup>o</sup> 569-2015-OGAJ-SG/MC, la Oficina General de Asesoría Jurídica señala que la propuesta de "Protocolo de Actuación ante el Hallazgo, Avistamiento o Contacto con Pueblos Indígenas en Aislamiento y para el Relacionamiento con Pueblos Indígenas en Situación de Contacto Inicial" ha sido elaborada en observancia del ordenamiento jurídico vigente;

Con el visado de la Viceministra de Interculturalidad, de la Directora General de la Dirección General de Derechos de los Pueblos Indígenas, de la encargada de las funciones de la Dirección de Pueblos en Aislamiento y Contacto Inicial, y de la Directora General de la Oficina General de Asesoría Jurídica; y,

De conformidad con la Ley N<sup>o</sup> 28736, Ley para la Protección de Pueblos Indígenas u Originarios en Situación de Aislamiento y en Situación de Contacto Inicial; el Decreto Supremo N<sup>o</sup> 008-2007-MIMDES que aprobó el Reglamento de la Ley N<sup>o</sup> 28736; y, la Ley N<sup>o</sup> 29565, Ley de creación del Ministerio de Cultura;

**SE RESUELVE:**

Artículo 1<sup>o</sup>.- Aprobar el "Protocolo de Actuación ante el Hallazgo, Avistamiento o Contacto con Pueblos Indígenas en Aislamiento y para el Relacionamiento con Pueblos Indígenas en Situación de Contacto Inicial", el cual en documento anexo forma parte integrante de la presente Resolución Ministerial.

Artículo 2<sup>o</sup>.- Disponer la publicación del "Protocolo de Actuación ante el Hallazgo, Avistamiento o Contacto con Pueblos Indígenas en Aislamiento y para el Relacionamiento con Pueblos Indígenas en Situación de Contacto Inicial", aprobado mediante la presente Resolución Ministerial, en el portal institucional del Ministerio de Cultura ([www.cultura.gob.pe](http://www.cultura.gob.pe)).

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Regístrese, comuníquese y publíquese.

Diana Álvarez Calderón  
Ministra de Cultura

## PROTOCOLO DE ACTUACIÓN ANTE EL HALLAZGO, AVISTAMIENTO O CONTACTO CON PUEBLOS INDÍGENAS EN AISLAMIENTO Y PARA EL RELACIONAMIENTO CON PUEBLOS INDÍGENAS EN SITUACIÓN DE CONTACTO INICIAL

### I. OBJETO

El presente protocolo tiene por objeto establecer las conductas y procedimientos a implementarse frente a situaciones de hallazgo, avistamiento o contacto con los pueblos indígenas en aislamiento o ante el relacionamiento con un pueblo indígena en situación de contacto inicial.

### II. FINALIDAD

Evitar o reducir los riesgos sobrevinientes a una situación de hallazgo, avistamiento o contacto con un pueblo indígena en situación de aislamiento o ante una situación de relacionamiento con un pueblo indígena en situación de contacto inicial, y de ser el caso, atender las emergencias sobrevinientes a éstas.

### III. BASE LEGAL

Constitución Política del Perú

Convenio N<sup>o</sup> 169 de la Organización Internacional del Trabajo (OIT) sobre Pueblos Indígenas y Tribales en países independientes.

Declaración de las Naciones Unidas sobre los Derechos de los Pueblos Indígenas.

Ley N O 26834, Ley de Áreas Naturales Protegidas.

Ley N O 28736, Ley para la Protección de los Pueblos Indígenas u Originarios en Situación de Aislamiento o en Situación de Contacto Inicial.

Ley N O 29565, Ley de Creación del Ministerio de Cultura.

Decreto Supremo N O 038-2001 -AG, que aprueba el Reglamento de la Ley N O 26834.

Decreto Supremo N O 008-2007-MIMDES, que aprueba el Reglamento de la Ley N c 28736.

Decreto Supremo N O 006-2013-MC, que aprueba el Reglamento de Organización y Funciones del Ministerio de Cultura.

Decreto Supremo N O 001-2014-MC, mediante la cual tl Declaran el reconocimiento de los Pueblos Indígenas u Originarios en Situación de Aislamiento y Contacto Inicial ubicados en distintas reservas territoriales.'

Resolución Ministerial N O 797-2007-MINSA, que aprueba la "Guía Técnica: Relacionamiento para casos de interacción con indígenas en aislamiento o contacto reciente".

Resolución Ministerial N O 798-2007-MINSA, que aprueba la "Guía Técnica: Atención de Salud a Indígenas en Contacto Reciente y en Contacto Inicial en riesgo de alta mortalidad".

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Resolución Ministerial N O 799-2007-MINSA, que aprueba la "Norma Técnica de Salud: Prevención, contingencia ante el Contacto y Mitigación de Riesgos para la Salud en escenarios con presencia de Indígenas en Aislamiento y en Contacto Reciente".

Resolución Viceministerial N O 004-2013-VMI-MC, que crea el Registro de Pueblos Indígenas en Situación de Aislamiento y en Situación de Contacto Inicial y el Registro de Reservas Indígenas.

Resolución Viceministerial N O 008-2013-VMf-MC, que aprueba la Directiva N O 0012013-VMI-MC "Normas, Pautas y Procedimientos para el Registro de los Pueblos Indígenas en Situación de Contacto Inicial y el Registro de Reservas Indígenas"

Resolución Viceministerial N O 012-2014-VMI-MC, que aprueban la Directiva N O 0042014-VMI-MC "Normas pautas y procedimientos que regulan los Autorizaciones excepcionales de ingreso a las Reservas Indígenas".

#### IV. ALCANCE

El presente Protocolo recae en todo/a agente externo/a que efectúe algún hallazgo, avistamiento o contacto con pueblos indígenas en situación de aislamiento y/o desarrolle algún tipo de relacionamiento con pueblos indígenas en situación de contacto inicial, tanto al interior de las reservas territoriales o indígenas como en zonas colindantes o aledañas y cualquier otro lugar con presencia de estos pueblos.

Así mismo, será de aplicación al personal de las entidades públicas y privadas que en el ejercicio de sus funciones o actividades y en cumplimiento al marco legal de protección a PIACI efectúen hallazgos, avistamientos, contacto o relacionamiento con los pueblos antes mencionados<sup>60</sup>.

#### V. DISPOSICIONES GENERALES

##### 5.1. Principios Fundamentales

Las conductas y la implementación de procedimientos frente a las contingencias con PIACI se sustentan en los principios desarrollados a continuación.

**Principio Pro Homine.** - Implica la aplicación de aquella norma que sea más favorable al ser humano y que garantice de la manera más efectiva posible los derechos humanos y los derechos fundamentales reconocidos en la Constitución Política del Perú.

**Principio de No Contacto.** - Quienes en el desarrollo de sus actividades públicas o privadas se encuentren en zonas próximas a las Reservas Territoriales y/o Indígenas o en zonas con presencia de pueblos indígenas en situación de aislamiento, deberán evitar el contacto, debido a su situación de particular vulnerabilidad al no haber desarrollado una respuesta inmunológica adecuada ante el contacto con poblaciones externas.

**Principio de Prevención.** - Cualquiera que desarrolle actividades en las zonas próximas a las Reservas Territoriales y/o Indígenas, dentro de ellas o en zonas con presencia de pueblos indígenas en situación de aislamiento o situación de contacto inicial, deberá implementar acciones tendientes a evitar y/o mitigar cualquier impacto o afectación que pudiera llegar a producirse a la vida o salud de dichos pueblos.

**Principio de Autodeterminación.** - Consiste en el respeto y garantía a la decisión de los PIACI de mantenerse en aislamiento o en situación de contacto inicial. El respeto a la decisión de mantenerse en aislamiento conlleva a la toma de medidas efectivas para evitar que personas ajenas o las acciones de éstas, puedan afectar o influir, ya sea accidental o intencionalmente a los PIA.

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<sup>60</sup> Para el caso del personal del Sector Salud que en el ejercicio de funciones deba intervenir ante hallazgos, avistamientos, contacto con pueblos indígenas en aislamiento o ante el relacionamiento con los pueblos indígenas en situación de contacto inicial, aplicará su Norma y Guías Técnicas específicas, siendo el presente Protocolo de aplicación complementaria.

**Principio de Vulnerabilidad.** - La actuación o desarrollo de cualquier actividad se efectúa considerando que los derechos de los PIACI se encuentran expuestos a una situación de vulnerabilidad frente a cualquier contacto. Las conductas y procedimientos que se implementen frente a las contingencias deberán considerar en todo momento dicha situación de vulnerabilidad.

**Principio de Acción Sin Daño.** - Principio aplicable en materia de salud a los pueblos indígenas en situación de contacto inicial; conlleva tanto la garantía del derecho a la vida como el establecimiento de medidas que permitan obtener el mayor nivel posible de salud.

En ese sentido, los programas del Estado para la protección de la salud de los PICI a cargo del Sector Salud, en el marco de su normativa y del ejercicio de su rectoría, deberán contemplar un enfoque intercultural y evitar la transmisión de enfermedades a las personas pertenecientes a dichos pueblos y garantizar el acceso y uso tanto de sus medicinas tradicionales como del sistema biomédico.

## **VI. DISPOSICIONES ESPECÍFICAS**

A continuación, se contemplan escenarios particulares que se vienen presentando en distintas zonas con presencia de PIACI, los cuales ameritan el desarrollo de procedimientos que garanticen la protección de la vida y la salud tanto de estos pueblos como de los/as agentes externos/as que participen en las contingencias que pudieran suscitarse.

### **6.1. Actuación frente al Hallazgo, Avistamiento o Contacto con Pueblos Indígenas en Aislamiento**

#### **6.1.1. En Caso de Hallazgo de Evidencias sobre Presencia de PIA**

El principal objetivo es evitar que este se transforme en un avistamiento o contacto, tanto pacífico como violento.

La estrategia principal es proceder a retirarse del lugar del hallazgo de manera ordenada y calmada en tanto sea posible.

#### **a) En caso de producirse un hallazgo de PIA deberá implementarse el siguiente procedimiento:**

1. Detener la marcha y realizar un rápido registro visual en todas direcciones, con atención a algún movimiento o sonido en el bosque.
2. Prevenir a las demás personas presentes del hallazgo, de preferencia con gestos o en voz baja.
3. Dejar de efectuar las tareas que en el momento del hallazgo se llevaban a cabo.
4. Mantener la distancia del hallazgo. No manipular ni llevarse el objeto o material encontrado.
5. Si el hallazgo encontrado se tratase o involucrase la existencia de restos humanos o un cadáver se deberá tener especial cuidado y prevención de evitar el contacto (moverlo o cubrirlo).
6. Retirarse de la zona en la dirección por donde se llegó de manera calmada y en silencio, sin demoras, prestando atención a movimientos o sonidos en el bosque.
7. No permanecer, volver o rastrear la zona de la contingencia para encontrar a los PIA o mayores hallazgos.
8. Comunicarse en forma inmediata a la autoridad más cercana (personal del Ministerio de Cultura, gobernador/a, personal policial, alcalde/sa municipal, establecimiento de salud o cualquier otra autoridad de alcance local, regional o nacional) al lugar de la contingencia, quien deberá informar por cualquier medio de comunicación disponible al Ministerio de Cultura. El procedimiento a seguir se detalla en el numeral 6.1.4 Alerta Temprana.

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**b) Solo para trabajadores capacitados del Ministerio de Cultura.**

1. Si el hallazgo no consiste en señales de peligro (flechas, lanzas o arcos rotos, agrupadas al borde del río, atravesadas en una senda o trocha obstruyendo su tránsito, clavadas en un árbol o atravesando un animal o colocadas de forma camuflada) y/o señales de presencia reciente de PIACI en el área (hoguera con ceniza humeante, pisadas recientes, tambos con hojas frescas, etc.), se procederá hacer un registro detallado del mismo, según los formatos de Monitoreo de PIACI formulados por la DACI del Ministerio de Cultura.
2. En caso el hallazgo se tratase o involucrase la existencia de restos humanos o un cadáver deberá tenerse especial cuidado y prevención de evitar el contacto (no moverlo o cubrirlo). Asimismo, deberá señalizarse o tomar registro fotográfico del área próxima al hallazgo para que sirva de referencia para su posterior investigación. Inmediatamente después se activará el procedimiento de Alerta Temprana contemplado en el numeral 6.1.4 del presente Protocolo, comunicando al Sector Salud quien atenderá la contingencia de acuerdo a su Norma Técnica y Guías de Salud aplicables.

**6.1.2. En caso de avistamientos de PIA**

- En caso de producirse un avistamiento de PIA, el objetivo principal es evitar que se transforme en un contacto, ya sea pacífico o violento.
- La estrategia principal en caso de avistamiento es proceder a retirarse del lugar del avistamiento de manera ordenada y calmada en tanto sea posible.

**a) En caso de producirse un avistamiento deberá seguirse el siguiente procedimiento:**

1. No promover contacto con PIA, no acercarse, llamarlos, seguirlos ni atraerlos.
2. Evitar gestos que puedan ser interpretados como señal de temor, desesperación o agresión, como gritos o actitudes de confrontación.
3. Dejar de efectuar las tareas que en el momento del avistamiento se llevaban a cabo.
4. Queda terminantemente prohibido permanecer, volver o rastrear la zona de la contingencia para encontrar a los PIA o realizar mayores avistamientos y/o hallazgos.
5. Si el avistamiento es respecto de miembros PIA con señales de enfermedad como son vómitos, vientre abultado, piel con lesiones o erupciones, palidez o coloración amarilla, cabello decolorado o dificultad clara en el caminar; se deberá comunicar inmediatamente al personal del establecimiento de salud más cercano, quien actuará de acuerdo a los protocolos consignados en la Norma y Guías Técnicas de Salud para PIACI del Ministerio de Salud.
6. Si el avistamiento es sucedido por un intento de establecer diálogo o contacto físico por parte de los PIA, se comunicará en forma inmediata a la autoridad más próxima a la contingencia (personal del Ministerio de Cultura, gobernador/a, personal policial, alcalde/sa municipal, establecimiento de salud o cualquier otra autoridad de alcance local, regional o nacional) quien deberá informar por cualquier medio de comunicación disponible al Ministerio de Cultura. El procedimiento a seguir se detalla en el numeral 6.1.4 Alerta Temprana.

**b) En caso de producirse un avistamiento de PIA en la ribera de un río desde una embarcación deberá implementarse lo siguiente:**

1. En ningún caso se detendrá la marcha de la embarcación, ni acercarse a la ribera donde se encuentren los PIA. Así mismo, no deberá hacerles señas, gestos y mucho menos lanzarles objetos.
2. Si se avistan PIA mientras se surca una quebrada menor es recomendable dar media vuelta y retornar al lugar de partida, debido a que se corre alto riesgo de encontrar más PIA quebrada arriba.

3. Si se avistan PIA en la ribera de un río principal<sup>61</sup> se puede continuar en tanto se pueda llegar a un lugar seguro (campamento o comunidad) y se evalúen las condiciones de seguridad.
4. Tratar de navegar en lo posible pegado a la ribera opuesta donde se encuentren los PIA,

**c) En caso de producirse un avistamiento de PIA en las inmediaciones de una comunidad o un campamento deberá implementarse lo siguiente:**

1. Poner en alerta a los/as comuneros/as o personal presente sin hacer demasiado ruido.
2. Retirarse en silencio y con calma para buscar refugio en un lugar seguro procurando mantenerse juntos al interior del campamento, local comunal, escuela, posta de salud u otro lugar similar.
3. Los/as niños/as deben mantenerse siempre bajo la supervisión de personas adultas, incluso en los días posteriores de un avistamiento cerca de una comunidad.
4. Bajo ninguna circunstancia se deberá ir en busca del PIA o atraerlos.  
Comunicarse en forma inmediata a la autoridad más próxima a la contingencia (personal del Ministerio de Cultura, gobernador/a, personal policial, alcalde/sa municipal, establecimiento de salud o cualquier otra autoridad de alcance local, regional o nacional) quien deberá informar por cualquier medio de comunicación disponible al Ministerio de Cultura. El procedimiento a seguir se detalla en el numeral 6.1.4 Alerta Temprana.

**d) En caso de producirse un avistamiento al interior del bosque, lejos de una comunidad o campamento deberá seguirse el siguiente procedimiento:**

1. Prevenir a las demás personas presentes del encuentro, de preferencia con gestos o en voz baja. Es preferible que todos se mantengan juntos.
2. Es probable que los PIA se internen bosque adentro. En ese caso, deberá retirarse en silencio y de forma calmada por el camino donde se llegó a esa zona, hasta llegar a un lugar seguro (campamento, comunidad, etc.), prestando atención a movimientos o sonidos en el bosque.
3. Si los PIA denotan señales de rechazo o peligro como lanzar flechas o cualquier otro objeto, gritar, golpear a los árboles, efectuar gestos con brazos en alto, puños cerrados, o inician la persecución en dirección de quien los avista, deberá procederse al retiro inmediato hasta llegar a un lugar seguro (campamento, comunidad u otro lugar similar).
4. Comunicarse en forma inmediata a la autoridad más próxima de la contingencia (personal del Ministerio de Cultura, gobernador/a, personal policial, alcalde/sa municipal, establecimiento de salud o cualquier otra autoridad de alcance local, regional o nacional) quien deberá informar por cualquier medio de comunicación disponible al Ministerio de Cultura. El procedimiento a seguir se detalla en el numeral 6.1 .4 Alerta Temprana.

### **6.1.3 Procedimiento en caso de contacto con PIA**

De producirse una situación de contacto, los objetivos principales son:

- Que no traiga consecuencias negativas como enfermedades para los PIA.
- Que se desarrolle sin ningún tipo de violencia.
- Que se desarrolle en el menor tiempo posible.

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<sup>61</sup> Un río principal es un río caudaloso, de alto drenaje y navegable.

**a) Las acciones desarrolladas a continuación son exclusivamente para los casos en que los PIA busquen el contacto.**

1. Durante un contacto deberá considerarse siempre la especial situación de vulnerabilidad de la salud de los PIA, dado su mayor nivel de exposición a enfermedades ajenas a su medio y su reducida capacidad de respuesta inmunológica.
2. Deberán dejarse las tareas que en el momento del contacto se llevaban a cabo para prestar total atención a este hecho.
3. Mantener una actitud pasiva, con movimientos pausados y silenciosos. No mostrar gestos o actitudes de temor, malestar o enojo.
4. No efectuar señales luminosas como las provocadas por el uso de flash.
5. Evitar mostrar o usar cualquier tipo de armas.
6. No entregarles medicina, ropa usada o alimentos foráneos. El suministro de medicinas, en caso sea necesario, estará a cargo del personal del Sector Salud.
7. Mantener fuera de la situación de contacto y a distancia a la población que presenta síntomas de enfermedades infectocontagiosas, físicamente vulnerable, de preferencia a los/as menores ajenos/as a los PIA.
8. Limitar el tiempo del contacto a lo estrictamente necesario.
9. Los PIA no deben interactuar con más personas de las necesarias y salvo en casos de atención a emergencias de salud, se deberá guardar con ellos una distancia mínima de 5 metros.
10. Comunicarse en forma inmediata a la autoridad más próxima a la contingencia (personal del Ministerio de Cultura, gobernador/a, personal policial, alcalde/sa municipal, establecimiento de salud o cualquier otra autoridad de alcance local, regional o nacional) quien deberá informar por cualquier medio de comunicación disponible al Ministerio de Cultura. El procedimiento a seguir se detalla en el numeral 6.1.4 Alerta Temprana.

**b) Si el contacto se produce en el bosque, lejos de algún campamento o comunidad, podría presentarse una reacción violenta por parte de los PIA, al sentirse invadidos en su territorio.**

En estos casos se deberá implementar lo siguiente:

1. El objetivo es terminar el contacto y efectuar la retirada lo más pronto posible. Es preferible que los/as agentes externos/as se mantengan unidos en todo momento.
2. Se deberá mantener una actitud pasiva, evitando siempre que se transforme en una situación violenta.
3. Si alguien habla la lengua de los PIA deberá comunicar (una persona a la vez) sobre las intenciones propias: "Somos gente buena", "No queremos hacerles daño" "Nos vamos a retirar". La comunicación deberá tener por objetivo terminar el contacto. Si nadie puede comunicarse en la lengua de los PIA se deberán transmitir estos mensajes por medio de señas y/o gestos.
4. Comunicar a otros/as agentes externos/as cercanos que deben retirarse, de preferencia con gestos y/o en voz baja, sin entrar en pánico.
5. Empezar la retirada en forma calmada y en silencio.
  - Si en cualquier momento los PIA dan muestras de agresión y/o rechazo, como es lanzar flechas o cualquier otro objeto, gritar, golpear a los árboles, efectuar gestos con brazos en alto, puños cerrados, se deberá proceder al retiro inmediato hasta llegar a un lugar seguro.
  - Comunicarse en forma inmediata a la autoridad más próxima a la contingencia (personal del Ministerio de Cultura, gobernador/a, personal policial, alcalde/sa municipal, establecimiento de salud o cualquier otra autoridad de alcance local, regional o nacional) quien deberá informar por cualquier medio de comunicación disponible al Ministerio de Cultura. El procedimiento a seguir se detalla en el numeral 6.1.4 Alerta Temprana.

**c) Sólo para los casos en que se ha desarrollado una situación extrema de contacto con PIA en una comunidad o campamento habitado por personas ajenas a su pueblo, que probablemente responda a requerimientos específicos como alimentos y/o herramientas o atención en salud.**

Los procedimientos desarrollados a continuación son de naturaleza excepcional y responden a situaciones específicas que se vienen presentando en determinados ámbitos geográficos previamente evaluados por el Ministerio de Cultura. Estos procedimientos no deben ser considerados como habituales ante la incursión o presencia de PIA en comunidades o campamentos:

1. Prevenir a toda la población del hecho, la cual deberá mantenerse unida o en grupos grandes, de preferencia resguardados en lugares seguros (posta médica, salón comunal, domicilio, entre otros). Los/as niños/as deben mantenerse siempre bajo la supervisión de personas adultas, incluso en los días posteriores de un contacto cerca de una comunidad.
2. Comunicarse en forma inmediata a la autoridad más próxima a la contingencia (personal del Ministerio de Cultura, gobernador/a, personal policial, alcalde/sa municipal, establecimiento de salud o cualquier otra autoridad de alcance local, regional o nacional) quien deberá informar por cualquier medio de comunicación disponible al Ministerio de Cultura. El procedimiento a seguir se detalla en el numeral 6.1 .4 Alerta Temprana.
3. Una persona que entienda la lengua en que se comunican los PIA deberá ser el/la principal interlocutor/a. Deberá mantenerse la calma y prestar atención a las reacciones de los PIA. La comunicación debe darse con una persona a la vez, informando a los PIA sobre las intenciones propias: "Somos gente buena. No queremos hacerles daño." Asimismo, deberá consultarse información clave para manejar la situación "¿Qué quieren? ¿Qué necesitan? ¿Están enfermos? ¿Cuántos son? ¿De dónde vienen?".
4. Si los PIA portan armas (arco y flecha, lanzas, piedras u otros elementos similares) se les deberá indicar que las pongan en el suelo para poder comunicarse, enfatizando el hecho que uno/a mismo/a está también desarmado.
5. En caso que nadie pueda comunicarse en la lengua de los PIA, deberá tratarse de transmitir estos mensajes por medio de señas y/o gestos.
6. En caso se presenten PIA con necesidad de atención en salud, deberán ser atendidos por personal calificado, en cumplimiento de los protocolos consignados en la Norma y Guías Técnicas de Salud para PIACI del Ministerio de Salud. De no encontrarse personal de salud en ese momento será puesto en aviso a la brevedad.
7. Si bien es preferible no compartir objetos con los PIA, en algunas situaciones excepcionales podría entregarse alimentos de la chacra para el consumo directo como son frutas locales. Así mismo, podría entregarse objetos básicos como ollas, machete y/o sogas.
8. No deberá compartirse alimentos o bebidas de un mismo recipiente, no entregar comida enlatada o envasada. Evitar la entrega de ropa, debido a que puede generar enfermedades a los PIA.
9. De considerarse necesario, el intercambio o entrega de bienes no deberá realizarse directamente en las manos de los PIA. Se debe dejar los objetos en un punto guardando una distancia mínima de 5 metros para que puedan ser recogidos. Si los PIA se encuentran en la otra ribera de la quebrada, se pueden utilizar embarcaciones pequeñas (canoas) sólo para trasladar dichos bienes.
10. En cualquier caso, se deben aceptar los objetos que los PIA puedan ofrecer y no evitar que tomen algún objeto propio.
11. Si los PIA no se retiran luego de este intercambio se esperarán indicaciones del Ministerio de Cultura.
12. Si en cualquier momento el contacto se torna violento por parte de los PIA es preferible mantener a toda la población resguardada en un lugar seguro (escuela, salón comunal, posta, etc.) o evacuar la comunidad temporalmente hacia otro lugar.

#### **6.1.4. Alerta Temprana**

##### **a) Acciones de Reporte**

Avisar de manera inmediata al/la representante del Estado, autoridad, líder u organización indígena (personal del Ministerio de Cultura, gobernador/a, personal policial, alcalde/sa municipal, establecimiento de salud o cualquier otra autoridad de alcance local, regional o nacional) más próxima a la contingencia, quien deberá informar al Ministerio de Cultura al teléfono (01) 6189393 Anexo 2546 y/o al correo electrónico [alertatemprana@cultura.gob.pe](mailto:alertatemprana@cultura.gob.pe). De tratarse de contactos en los que se advierten señales de peligro, enfermedad o involucrase la presencia de restos humanos o cadáveres, se dará aviso inmediato al establecimiento de salud más cercano.

##### **b) Acciones de Respuesta**

Una vez que la DACI toma conocimiento de la contingencia deberá:

1. Comunicarse con los responsables o autoridades a cargo de las actividades o líderes de las comunidades u organizaciones más cercanas al lugar de ocurrencia de la contingencia, a fin de realizar las coordinaciones necesarias para la implementación de las medidas de protección que se requieran.
2. Ponerse en contacto y coordinar acciones conjuntas con los órganos competentes del Ministerio de Salud, el Ministerio del Interior, entre otros, con el objeto de implementar las acciones o medidas destinadas a salvaguardar los derechos de los PIA, sobre todo los vinculados a la vida, salud e integridad, así como de la población cercana al lugar de la contingencia.
3. Destacar al lugar de la contingencia al personal del Ministerio de Cultura o del equipo de trabajo que fuera necesario para la atención de la emergencia.
4. El Ministerio de Cultura recogerá la información sobre la contingencia en el Registro de Evidencias PIACI.

#### **6.2. Actuación para la Protección de los Derechos de los Pueblos Indígenas en Situación de Contacto Inicial en el Relacionamiento con Terceros**

##### **6.2.1. Supuestos de relacionamiento**

El relacionamiento con los PICI se produce atendiendo a las siguientes finalidades:

- a) Protección y/o atención de los derechos de los PICI.
- b) Atención a la manifiesta voluntad de relacionamiento de los PICI.

##### **6.2.2. Medida fundamental para la Protección de los Pueblos Indígenas en Situación de Contacto Inicial**

El relacionamiento por parte de las entidades del Estado con el objeto de atender las necesidades de los PICI y proteger sus derechos deberá efectuarse previa coordinación con el Ministerio de Cultura, atendiendo a las directrices impartidas por éste.

#### **6.3. Relacionamiento con PICI en el marco de las actividades promovidas por el Estado con el objeto de atender sus necesidades y proteger sus derechos.**

Estos procedimientos están referidos para el caso de ingresos excepcionales a las reservas territoriales y/o indígenas.

##### **a) Consideraciones Generales.**

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## 1. En temas de salud.

1.1 Para los casos de agentes externos que ingresen a las reservas territoriales y/o indígenas:

- Aplicarse las vacunas de difteria/tétanos, influenza del año en curso, fiebre amarilla, hepatitis B y sarampión, en concordancia con la Norma Técnica y Guías Técnicas de Salud del Ministerio de Salud.
- Presentar Declaración Jurada de contar con buenas condiciones de salud. El Ministerio de Salud podrá otorgar la certificación correspondiente, conforme a la normativa aplicable.

1.2. Para los casos de atenciones en salud a los PICI:

Para cualquier atención en salud, vacunas o muestras de análisis, se requiere el consentimiento de [os PICI y la aplicación de lo dispuesto en las Guías Técnicas de Salud del Ministerio de Salud.

2. Sobre las donaciones:

- Toda donación dirigida a PICI deberá ser previamente coordinada, evaluada y autorizada por el Ministerio de Cultura.
- Para el caso de las medicinas, deberán ser coordinadas con el Sector Salud.

3. Establecer medidas y procedimientos para salvaguardar en forma segura y adecuada los bienes que involucran riesgo a la salud, integridad o vida de las personas como son medicamentos, armas, municiones, combustible, evitando su utilización o traslado por los PICI.

### b) Acciones de Coordinación

En el marco del régimen especial transectorial para protección a PIACI, las entidades del Estado establecerán los siguientes niveles de coordinación:

- Las entidades del Estado que en el marco del ejercicio de sus funciones requieran el relacionamiento con uno o más miembros de los PICI deberán realizarlo previa coordinación con el Ministerio de Cultura. Para tal efecto, deberán informar a dicho Ministerio el objetivo del ingreso, las actividades a desarrollar y el personal encargado del relacionamiento.
- El Ministerio de Cultura evaluará la información remitida y autorizará el ingreso excepcional mediante una Resolución Ministerial.

## 6.4. Relacionamiento con Pueblos Indígenas en Situación de Contacto Inicial por parte de terceros

a) Terceros que en el marco de sus actividades se encuentren frente a una situación de relacionamiento en la que los PICI manifiesten su deseo de entablar comunicación, requerimiento de alimentos, herramientas y/o medicinas.

En esta situación se deberán implementar las siguientes acciones:

1. Cualquier contacto deberá ser el propiciado a iniciativa del PICI.
2. Dejar las tareas que al momento de iniciar la interacción se estaban realizando, debiendo desarrollar el relacionamiento en forma exclusiva.
3. Mantener el diálogo con una actitud calmada y pasiva.

4. Limitar el tiempo de relacionamiento al estrictamente necesario.
5. Durante el relacionamiento se deberá tener especial consideración a la situación de vulnerabilidad en salud de los PICI, debiendo mantener fuera del relacionamiento a la población que presenta síntomas de enfermedades infectocontagiosas.
6. Si el PICI solicita alimentos, se entregará alimentos de la chacra y otros que la autoridad competente determine en cada caso específico, de acuerdo a los niveles de relacionamiento y contacto del grupo.
7. Si el PICI solicita herramientas, brindar aquellas que se tengan a la mano.
8. Una vez que los PICI decidan alejarse del lugar de la contingencia los agentes ajenos a éstos también deberán retirarse.
9. En caso que los PICI se acerquen con personas enfermas o solicitando atención en salud, deberán ser atendidos por personal calificado, en cumplimiento de los protocolos consignados en la Norma y Guías Técnicas de Salud del Ministerio de Salud. De no encontrarse personal de salud en ese momento será puesto en aviso a la brevedad.

### **6.5. Acciones de Reporte**

Una vez finalizado el relacionamiento con PICI se deberá avisar de manera inmediata al/la representante del Estado, autoridad, líder u organización indígena (personal del Ministerio de Cultura, gobernador/a, personal policial, alcalde/sa municipal, establecimiento de salud o cualquier otra autoridad de alcance local, regional o nacional) más próxima, acerca de la contingencia, quien deberá informar al Ministerio de Cultura al teléfono (01) 6189393 Anexo 2546 y/o al correo electrónico [alertatemprana@cultura.gob.pe](mailto:alertatemprana@cultura.gob.pe). De tratarse de contactos en los que se advierten señales de peligro o enfermedad se dará aviso inmediato al establecimiento de salud más cercano.

### **6.6. Acciones de respuesta**

Una vez que el Ministerio de Cultura toma conocimiento de la contingencia deberá:

1. Comunicarse con los responsables o autoridades a cargo de las actividades o líderes de las comunidades u organizaciones más cercanas al lugar de ocurrencia de la contingencia, a fin de realizar las coordinaciones necesarias para la implementación de las medidas de protección que se requieran.
2. Ponerse en contacto y coordinar acciones conjuntas con los órganos competentes del Ministerio de Salud, el Ministerio del Interior, entre otros, con el objeto de implementar las acciones o medidas destinadas a salvaguardar los derechos de los PICI, sobre todo los vinculados a la vida, salud e integridad así como de la población cercana al lugar de la contingencia.
3. Destacar al lugar de la contingencia al personal del Ministerio de Cultura o del equipo de trabajo conformado que fuera necesario para la atención de la emergencia.
4. Recoger la información sobre la contingencia en el Registro de Evidencias PIACI.

## **VII. DISPOSICIONES FINALES**

7.1. Forman parte integrante de la presente Directiva los anexos 1 y 2.

7.2. Créase el Registro de Evidencias PIACI a cargo de la Dirección de Pueblos Indígenas en Situación de Aislamiento y Contacto Inicial del Ministerio en el que se registra las contingencias con los PIACI que han sido reportadas o de las que se ha tomado conocimiento. En dicho registro deberá adjuntarse los formatos correspondientes a las fichas de reporte de contingencias PIACI, relacionamiento PICI, información o contingencias en salud de PICI reportadas o que se ha tomado conocimiento, así como las actividades de las entidades del Estado en las que se ha efectuado el relacionamiento con los PICI.

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## ANEXO 1

### DEFINICIONES

Para efectos de la aplicación del presente dispositivo se observarán las siguientes definiciones:

**Agente Externo.** - Es toda persona natural o jurídica, de procedencia nacional o internacional, ajena a las poblaciones indígenas, así como todos los funcionarios y/o servidores públicos de los sectores del Gobierno Nacional, Gobierno Regionales y Locales.

**Aislamiento.** - Situación de un pueblo indígena o parte de él que no ha desarrollado relaciones sociales sostenidas con los demás integrantes de la sociedad nacional o que habiéndolo hecho opta por volver al aislamiento.

El término aislamiento no implica que miembros de un determinado pueblo nunca hayan sostenido episodios de contacto con personas foráneas o que no mantengan relaciones esporádicas de contacto.

**Aislamiento con Contacto Esporádico.** - Situación en la que se encuentra un pueblo indígena que aun permaneciendo en situación de aislamiento establece contactos ocasionales con personas ajenas al pueblo indígena al que pertenece. Estas interrelaciones esporádicas pueden ser recientes o mantenerse en el tiempo, lo cual no significa necesariamente la intención de desarrollar una vinculación mayor con otros agentes de la sociedad nacional.

**Alerta temprana.** - Mecanismo a través del cual se informa a la Dirección de Pueblos Indígenas en Situación de Aislamiento y Contacto Inicial del Ministerio de Cultura sobre una contingencia PIACI que pudiera generar una emergencia. De ser necesario se comunicará a las entidades, organizaciones o comunidades que realicen actividades o se asienten en el lugar más cercano a donde se produjo la contingencia.

**Avistamiento.**- Visualización prolongada o fugaz de PIACI por parte de personas ajenas a estos pueblos, que no implica una situación de contacto.

**Contacto.**- Situación de interrelación física, verbal, gestual o través de intercambio de objetos, entre PIACI y personas ajenas a su grupo.

**Contacto inicial.**-Situación en la que un pueblo indígena o sus miembros ha iniciado un proceso de interrelación con los demás integrantes de la sociedad nacional,

El contacto inicial a su vez puede ser:

- a) **Contacto Reciente.**- Situación en la que se encuentra un pueblo indígena que se mantuvo en situación de aislamiento, al iniciar contactos con los demás integrantes de la sociedad nacional.
- b) **Contacto Inicial con Vinculación Intermedia.**- Situación en la que se constituye un pueblo indígena en contacto inicial que voluntariamente mantiene relacionamiento intermitente con personas ajenas a sus comunidades.
- c) **Contacto Inicial con Vinculación Mayor.**- Situación en la que se constituye un pueblo indígena en contacto inicial que mantiene voluntariamente un relacionamiento sostenido con personas ajenas a su pueblo. Se caracterizan por mantener relaciones sociales con otras poblaciones.

**Contingencia PIACI.**- Para efectos del presente Protocolo, contingencia es una situación imprevista que deviene en un hallazgo, avistamiento o contacto no deseado con un PIA, o una situación de relacionamiento frente a un PICI.

**Emergencia.**- Situación de riesgo, afectación o daño sobreviniente a un hallazgo, avistamiento o contacto con un PIA. En el caso de los PICI cuando una situación de relacionamiento ha producido afectación o daño a la vida, salud o integridad física de dichos pueblos así como de las personas involucradas en la contingencia, que requiere de atención inmediata y movilización de recursos.

**Evidencia.**- Hecho que constituye una demostración de la presencia de PIACI en un determinado ámbito. Pueden ser contactos, avistamientos, hallazgo de objetos materiales (viviendas, asentamientos o restos de ellos, canoas, flechas, arcos entre otros), señales materiales (huellas, rastros de caminos, animales muertos, entre otros) o percepción de señales inmateriales como imitación de sonidos de animales.

**Hallazgo.**- Consiste en el encuentro de bienes (restos de asentamientos, restos de animales de caza, canoas, flechas arcos, entre otros), señales materiales (huellas, rastros de caminos, animales muertos, entre otros) o señales inmateriales como imitación de sonidos de animales, que constituyan indicios de la presencia de PIACI.

**Plan de Contingencia PIACI.** Instrumento de gestión específico que, atendiendo al caso concreto, define los objetivos y procedimientos para prevenir, mitigar y/o controlar el impacto producido por una contingencia con los PIACI que pudieran poner en riesgo o afectar la vida, salud, bienestar y autodeterminación de dichos pueblos.

Para el desarrollo de toda actividad de exploración, explotación o aprovechamiento de recursos al interior o en zonas próximas a Reservas Territoriales, Indígenas o aquellas donde se presume o donde se halla reportado la proximidad, presencia o desplazamiento de población indígena en situación de aislamiento, se deberá contar con el Plan de contingencia PIACI con la debida opinión técnica favorable o aprobación si fuere el caso.

**Protocolo de actuación.** - Instrumento de gestión aprobado por el Ministerio de Cultura que contiene las conductas y procedimientos que deberán desarrollarse durante y después de producido un hallazgo, avistamiento o contacto PIACI y en el caso de los PICI un relacionamiento con estos, a fin de mitigar los impactos y atender las emergencias que podrían sobrevenir a las situaciones o contingencias mencionadas.

Los protocolos de actuación son de aplicación obligatoria para el caso de desarrollo de actividades de exploración, explotación o aprovechamiento de recursos.

**Registro de Evidencias PIACI.**- Herramienta a través de la cual se recoge y sistematiza la información sobre las contingencias PIACI. Es parte constituyente de este registro la información remitida a través de los formatos respectivos.

**Relacionamiento.** - Situación en la que un PICI manifiesta su deseo de entablar comunicación con personas ajenas a éste. Como producto de esta comunicación, los PICI podrían solicitar alimentos, herramientas, atención en salud u otros servicios.

## ANEXO 2 REFERENCIAS

Para efectos del presente dispositivo se tendrán en cuenta las siguientes referencias:

DACI: Dirección de Pueblos Indígenas en Situación de Aislamiento y Contacto Inicial.

Ministerio: Ministerio de Cultura. se sugiere retirar por que en la Directiva también se mencionan otros ministerios como el de Salud

PIA: Pueblo Indígena en Situación de Aislamiento.

PICI: Pueblo Indígena en Situación de Contacto Inicial.

PIACI: Pueblo Indígena en Situación de Aislamiento o en Situación de Contacto

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HAVING SEEN Memorandum No. <sup>o</sup> 247-2015-VMI-MC from the Vice Ministry of Intercultural Affairs and Report No. <sup>o</sup> 569-2015-OGAJ-SG/MC of the General Office of Legal Advisory Office; and,

CONSIDERING:

That, by means of Law N <sup>o</sup> 29565 created the Ministry of Culture as an agency of the Executive Branch with legal personality under public law and administrative and economic autonomy, constituting a State budgetary item with programmatic areas of action over which it exercises powers, functions, and attributions to achieve its objectives and goals, one such programmatic area of action being the ethnic and cultural plurality of the Nation;

That Law No. <sup>o</sup> 28736, Law for the Protection of Indigenous or Native Peoples in Isolation and in Initial Contact, establishes the Special Cross-Sectoral Regime for the protection of indigenous peoples in the Peruvian Amazon who are in isolation or in initial contact, guaranteeing in particular their rights to life and health;

That Article 5 of the Regulations of Law No. <sup>o</sup> 28736, approved by Supreme Decree No. <sup>o</sup> 008-2007-MIMDES, establishes that it is the responsibility of the governing body of the Special Cross-Sectoral Regime to evaluate, plan, and supervise the measures and actions aimed at protecting indigenous peoples who are in isolation or in initial contact;

That, paragraph d) of Article 7 of the Regulations of the Law assigns as one of the functions of the governing body of the Special Transsectoral Regime the establishment of protocols for action in situations of unwanted contact;

That, in accordance with the provisions of paragraph i) of Article 3 and Article 36 of the Regulations of the Law, the protocols for action are documents containing rules, procedures, and information that must be followed by any agent outside the indigenous reserve in situations of sighting or contact with an indigenous people in a state of isolation or in a state of initial contact, and therefore this instrument is of general scope;

That, in compliance with the provisions of the First Final Provision of Law No. <sup>o</sup> 29253, which specifies that any regulatory reference made to MIMDES shall be understood to refer to the National Institute for the Development of Andean, Amazonian, and Afro-Peruvian Peoples (INDEPA), as well as Law No. <sup>o</sup> 29565, which provided for the attachment of the National Institute for the Development of Andean, Amazonian, and Afro-Peruvian Peoples (INDEPA) to the Ministry of Culture, it is incumbent upon the latter to approve the protocols for action, which must be followed by any external agent upon sighting or contact with an indigenous people in isolation or in initial contact;

That, through Report No. <sup>o</sup> 18-2015-DGPI-VMI-MC, the General Directorate of Indigenous Peoples' Rights submits to the Vice Ministry of Interculturality a proposal for a "Protocol for Action upon Discovery, Sighting, or Contact with Indigenous Peoples in Isolation and for Relations with Indigenous Peoples in Initial Contact";

That, through Memorandum No. <sup>o</sup> 247-2015-VMI-MC, the Vice Ministry of Interculturality submits the proposal for a "Protocol for Action upon Discovery, Sighting, or Contact with Indigenous Peoples in Isolation and for Relations with Indigenous Peoples in Initial Contact";

That, through Report No. <sup>o</sup> 569-2015-OGAJ-SG/MC, the General Office of Legal Counsel indicates that the proposal for a "Protocol for Action upon Discovery, Sighting, or Contact with Indigenous Peoples in Isolation and for Relations with Indigenous Peoples in Initial Contact" has been prepared in accordance with the current legal system;

With the approval of the Deputy Minister of Interculturality, the Director General of the General Directorate of Indigenous Peoples' Rights, the person in charge of the functions of

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the Directorate of Peoples in Isolation and Initial Contact, and the Director General of the General Office of Legal Counsel; and,

In accordance with Law No. <sup>o</sup> 28736, Law for the Protection of Indigenous or Native Peoples in Isolation and Initial Contact; Supreme Decree No. (<sup>o</sup>) 008-2007-MIMDES, which approved the Regulations of Law No. (<sup>o</sup>) 28736; and Law No. (<sup>o</sup>) 29565, Law creating the Ministry of Culture;

**IT IS RESOLVED:**

Article 1 <sup>o</sup>.- To approve the "Protocol for Action upon Discovery, Sighting, or Contact with Indigenous Peoples in Isolation and for Relations with Indigenous Peoples in Initial Contact," which, as an attached document, forms an integral part of this Ministerial Resolution.

Article 2 <sup>o</sup>.- To order the publication of the "Protocol for Action upon Discovery, Sighting, or Contact with Indigenous Peoples in Isolation and for Relations with Indigenous Peoples in Initial Contact," approved by this Ministerial Resolution, on the institutional website of the Ministry of Culture ([vwww.cultura.gob.pe](http://vwww.cultura.gob.pe)).

Register, communicate, and publish.

Diana Álvarez Calderón  
Minister of Culture

**PROTOCOL FOR ACTION IN THE EVENT OF DISCOVERY, SIGHTING, OR CONTACT WITH INDIGENOUS PEOPLES IN ISOLATION AND FOR RELATIONSHIPS WITH INDIGENOUS PEOPLES IN SITUATIONS OF INITIAL CONTACT**

**I. PURPOSE**

The purpose of this protocol is to establish the conduct and procedures to be implemented in situations of discovery, sighting, or contact with indigenous peoples in isolation or in relations with an indigenous people in initial contact.

**II. PURPOSE**

To avoid or reduce the risks arising from a situation of discovery, sighting, or contact with an indigenous people in isolation or when interacting with an indigenous people in initial contact, and, if necessary, to respond to any emergencies that may arise.

**III. LEGAL BASIS**

Political Constitution of Peru

Convention No. 169 of the International Labor Organization (ILO) concerning Indigenous and Tribal Peoples in Independent Countries.

United Nations Declaration on the Rights of Indigenous Peoples.

Law No. 26834, Law on Protected Natural Areas.

Law No. 28736, Law for the Protection of Indigenous or Native Peoples in Isolation or Initial Contact.

Law No. 29565, Law Creating the Ministry of Culture.

Supreme Decree No. 038-2001-AG, approving the Regulations of Law No. 26834.

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Supreme Decree No. 008-2007-MIMDES, approving the Regulations of Law No. 28736.

Supreme Decree No. 006-2013-MC, approving the Regulations on the Organization and Functions of the Ministry of Culture.

Supreme Decree No. 001-2014-MC, declaring the recognition of Indigenous or Native Peoples in Isolation and Initial Contact located in different territorial reserves.

Ministerial Resolution No. 797-2007-MINSA, approving the "Technical Guide: Relations for cases of interaction with indigenous peoples in isolation or recent contact."

Ministerial Resolution No. 798-2007-MINSA, which approves the "Technical Guide: Health Care for Indigenous Peoples in Recent Contact and Initial Contact at Risk of High Mortality."

Ministerial Resolution No. 799-2007-MINSA, approving the "Technical Health Standard: Prevention, Contingency in the Event of Contact, and Mitigation of Health Risks in Scenarios Involving Indigenous Peoples in Isolation and Recent Contact."

Deputy Ministerial Resolution No. 004-2013-VMI-MC, which creates the Registry of Indigenous Peoples in Isolation and Initial Contact and the Registry of Indigenous Reserves.

Deputy Ministerial Resolution No. 008-2013-VMf-MC, approving Directive No. 001-2013-VMI-MC "Rules, Guidelines, and Procedures for the Registry of Indigenous Peoples in Initial Contact and the Registry of Indigenous Reserves."

Deputy Ministerial Resolution No. 012-2014-VMI-MC, approving Directive No. 004-2014-VMI-MC "Rules, Guidelines, and Procedures Regulating Exceptional Authorizations for Entry into Indigenous Reserves."

#### IV. SCOPE

This Protocol applies to any external agent who makes a discovery, sighting, or contact with indigenous peoples in isolation and/or develops any type of relationship with indigenous peoples in initial contact, both within territorial or indigenous reserves and in adjacent or surrounding areas and any other place where these peoples are present.

Likewise, it shall apply to personnel of public and private entities who, in the exercise of their functions or activities and in compliance with the legal framework for the protection of PIACI, make discoveries, sightings, contact, or relationships with the aforementioned peoples.<sup>62</sup>

#### V. GENERAL PROVISIONS

##### 5.1. Fundamental Principles

The conduct and implementation of procedures in response to contingencies involving PIACI are based on the principles set out below.

**Pro Homine Principle.** - This involves applying the rule that is most favorable to human beings and that most effectively guarantees the human rights and fundamental rights recognized in the Political Constitution of Peru.

**Principle of No Contact.** - Those who, in the course of their public or private activities, find themselves in areas close to Territorial and/or Indigenous Reserves or in areas with isolated indigenous

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<sup>62</sup> In the case of health sector personnel who, in the exercise of their duties, must intervene in response to findings, sightings, contact with indigenous peoples in isolation, or relations with indigenous peoples in initial contact, their specific regulations and technical guidelines shall apply, with this Protocol being of complementary application.

peoples, must avoid contact, due to their particular vulnerability as they have not developed an adequate immune response to contact with external populations.

**Principle of Prevention.** - Anyone carrying out activities in areas close to Territorial and/or Indigenous Reserves, within them, or in areas with the presence of indigenous peoples in isolation or in initial contact, must implement actions aimed at avoiding and/or mitigating any impact or effect that could occur on the life or health of these peoples.

**Principle of Self-Determination.** - This consists of respecting and guaranteeing the decision of the PIACI to remain in isolation or in a situation of initial contact. Respect for the decision to remain in isolation entails taking effective measures to prevent outsiders or their actions from affecting or influencing the PIA, either accidentally or intentionally.

**Principle of Vulnerability.** - Any action or activity is carried out taking into account that the rights of PIACI are vulnerable to any contact. The conduct and procedures implemented in response to contingencies must take this vulnerability into account at all times.

**Principle of Action Without Harm.** - Principle applicable in health matters to indigenous peoples in initial contact; it entails both the guarantee of the right to life and the establishment of measures to achieve the highest possible level of health.

In this regard, State programs for the protection of the health of PICI under the responsibility of the Health Sector, within the framework of its regulations and the exercise of its stewardship, must take an intercultural approach and prevent the transmission of diseases to members of these peoples, as well as guarantee access to and use of both their traditional medicines and the biomedical system.

## VI. SPECIFIC PROVISIONS

The following section considers specific scenarios that have arisen in different areas with PIACI presence, which warrant the development of procedures to guarantee the protection of the life and health of both these peoples and the external agents involved in any contingencies that may arise.

### 6.1. Action in the event of discovery, sighting, or contact with Indigenous Peoples in Isolation

#### 6.1.1 . In the Event of Evidence of the Presence of PIA

The main objective is to prevent this from turning into a sighting or contact, whether peaceful or violent.

The main strategy is to withdraw from the site of the discovery in an orderly and calm manner, as far as possible.

#### a) In the event of finding an IPA, the following procedure should be implemented:

1. Stop walking and quickly scan your surroundings in all directions, paying attention to any movement or sound in the forest.
2. Alert the other people present of the discovery, preferably with gestures or in a low voice.
3. Stop whatever tasks were being carried out at the time of the discovery.
4. Keep your distance from the discovery. Do not handle or remove the object or material found.
5. If the discovery involves human remains or a corpse, special care must be taken to avoid contact (moving or covering it).
6. Leave the area calmly and quietly in the direction from which you arrived, without delay, paying attention to movements or sounds in the forest.
7. Do not remain, return, or search the area of the incident to find the PIA or further findings.

8. Immediately contact the nearest authority (Ministry of Culture staff, governor, police, municipal mayor, health facility, or any other local, regional, or national authority) at the site of the contingency, who must inform the Ministry of Culture by any available means of communication. The procedure to follow is detailed in section 6.1.4 Early Warning.

**b) Only for trained Ministry of Culture workers.**

1. If the finding does not consist of signs of danger (arrows, spears, or broken bows, grouped together at the river's edge, lying across a path or trail obstructing its passage, stuck in a tree or piercing an animal, or placed in a camouflaged manner) and/or signs of recent PIACI presence in the area (smoldering fire with ashes, recent footprints, fresh leaf piles, etc.), a detailed record of the find shall be made, according to the PIACI Monitoring forms developed by the DACI of the Ministry of Culture.
2. If the finding involves human remains or a corpse, special care and precautions must be taken to avoid contact (do not move or cover it). Likewise, the area near the finding must be marked or photographed to serve as a reference for further investigation. Immediately afterwards, the Early Warning procedure set out in section 6.1.4 of this Protocol shall be activated, notifying the Health Sector, which shall respond to the contingency in accordance with its applicable Technical Standards and Health Guidelines.

**6.1.2. In case of PIA sightings**

- In the event of a PIA sighting, the main objective is to prevent it from turning into a contact, whether peaceful or violent.
- The main strategy in the event of a sighting is to proceed to withdraw from the sighting location in an orderly and calm manner, as far as possible.

**a) In the event of a sighting, the following procedure should be followed:**

1. Do not engage with PIA, do not approach them, call out to them, follow them, or attract them.
2. Avoid gestures that could be interpreted as signs of fear, desperation, or aggression, such as shouting or confrontational attitudes.
3. Stop whatever you were doing at the time of the sighting.
4. It is strictly forbidden to remain, return, or search the area of the incident to find the PIA or make further sightings and/or discoveries.
5. If the sighting involves PIA members showing signs of illness such as vomiting, distended belly, skin lesions or rashes, paleness or yellowing, discolored hair, or obvious difficulty walking, immediately notify the nearest health facility, which will act in accordance with the protocols set forth in the Ministry of Health's Technical Health Standards and Guidelines for PIACI.
6. If the sighting is followed by an attempt by the PIAC to establish dialogue or physical contact, the nearest authority to the contingency (Ministry of Culture personnel, governor, police personnel, municipal mayor, health facility, or any other local, regional, or national authority) shall be notified immediately, who shall inform the Ministry of Culture by any available means of communication. The procedure to be followed is detailed in section 6.1.4 Early Warning.

**b) In the event of a sighting of PIAs on the riverbank from a boat, the following shall be implemented:**

1. Under no circumstances should the boat stop or approach the riverbank where the PIAs are located. Likewise, you should not signal or gesture to them, much less throw objects at them.
5. If PIAs are sighted while navigating a minor stream, it is advisable to turn around and return to the starting point, as there is a high risk of encountering more PIAs further upstream.

6. <sup>63</sup>If PIA are sighted on the banks of a main river or stream, you may continue as long as you can reach a safe place (camp or community) and assess the security conditions.
7. Try to navigate as close as possible to the opposite bank where the PIAs are located.

**c) If PIA are sighted in the vicinity of a community or camp, the following should be implemented:**

1. Alert community members or personnel present without making too much noise.
2. Withdraw quietly and calmly to seek refuge in a safe place, trying to stay together inside the camp, community center, school, health post, or other similar place.
3. Children must always remain under adult supervision, even in the days following a sighting near a community.
4. Under no circumstances should you go looking for the PIA or try to attract them. Immediately contact the authority closest to the contingency (Ministry of Culture staff, governor, police, municipal mayor, health facility, or any other local, regional, or national authority), who should inform the Ministry of Culture by any available means of communication. The procedure to follow is detailed in section 6.1.4 Early Warning.

**d) In the event of a sighting inside the forest, far from a community or camp, the following procedure should be followed:**

1. Alert the other people present of the encounter, preferably with gestures or in a low voice. It is preferable for everyone to stay together.
2. The PIA are likely to go deeper into the forest. In that case, you should retreat quietly and calmly along the path you took to reach that area, until you reach a safe place (camp, community, etc.), paying attention to movements or sounds in the forest.
3. If the PIA show signs of rejection or danger, such as shooting arrows or throwing other objects, shouting, hitting trees, gesturing with raised arms and clenched fists, or chasing after those who spot them, you should immediately retreat to a safe place (camp, community, or other similar location).
4. Immediately contact the nearest authority (Ministry of Culture personnel, governor, police, municipal mayor, health facility, or any other local, regional, or national authority), who should inform the Ministry of Culture by any available means of communication. The procedure to follow is detailed in section 6.1.4 Early Warning.

### **6.1.3 Procedure in case of contact with PIA**

If contact occurs, the main objectives are:

- To ensure that there are no negative consequences, such as illness, for the PIA.
- That it is handled without any kind of violence.
- That it be carried out in the shortest time possible.
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**a) The actions described below are exclusively for cases in which PIAs seek contact.**

- 1 During contact, the special health vulnerability of PIAs must always be taken into account, given their greater exposure to diseases foreign to their environment and their reduced immune response capacity.
- 2 Any tasks being carried out at the time of contact should be abandoned in order to give full attention to this event.

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<sup>63</sup> A main river is a large, high-drainage, navigable river.

3. Maintain a passive attitude, with slow and silent movements. Do not show gestures or attitudes of fear, discomfort, or anger.
4. Do not make any light signals, such as those caused by the use of a flash.
5. Avoid showing or using any type of weapon.
6. Do not give them medicine, used clothing, or foreign food. The provision of medicine, if necessary, will be the responsibility of Health Sector personnel.
7. Keep people who show symptoms of infectious diseases or who are physically vulnerable, preferably minors who are not members of the PIA, out of contact and at a distance.
8. Limit contact time to what is strictly necessary.
9. PIAs should not interact with more people than necessary and, except in cases of health emergencies, a minimum distance of 5 meters should be maintained.
10. Immediately notify the authority closest to the contingency (Ministry of Culture staff, governor, police, municipal mayor, health facility, or any other local, regional, or national authority), who should inform the Ministry of Culture by any available means of communication. The procedure to follow is detailed in section 6.1.4 Early Warning.

**b) If contact occurs in the forest, far from any camp or community, there could be a violent reaction from the PIA, as they may feel that their territory has been invaded.**

In such cases, the following should be implemented:

1. The objective is to end the contact and withdraw as soon as possible. It is preferable for external agents to remain together at all times.
2. A passive attitude should be maintained, always avoiding the situation becoming violent.
3. If someone speaks the language of the IPAs, they should communicate (one person at a time) their intentions: "We are good people," "We do not want to harm you," "We are going to withdraw." The purpose of communication should be to end contact. If no one can communicate in the language of the IPAs, these messages should be conveyed through signs and/or gestures.
4. Communicate to other nearby external agents that they should withdraw, preferably with gestures and/or in a low voice, without panicking.
5. Begin the withdrawal calmly and quietly.
  - If at any time the PIA show signs of aggression and/or rejection, such as throwing arrows or any other object, shouting, hitting trees, making gestures with raised arms, clenched fists, you should proceed to withdraw immediately until you reach a safe place.
  - Immediately contact the authority closest to the contingency (Ministry of Culture personnel, governor, police personnel, municipal mayor, health establishment, or any other local, regional, or national authority), who should inform the Ministry of Culture by any available means of communication. The procedure to follow is detailed in section 6.1.4 Early Warning.

**c) Only for cases in which an extreme situation of contact with PIA has developed in a community or camp inhabited by people outside their village, which probably responds to specific requirements such as food and/or tools or health care.**

The procedures outlined below are exceptional in nature and respond to specific situations that have arisen in certain geographical areas previously assessed by the Ministry of Culture. These procedures should not be considered standard practice in the event of an incursion or presence of PIA in communities or camps:

1. Alert the entire population to the situation, which should remain united or in large groups, preferably sheltered in safe places (medical post, community hall, home, among others). Children should always remain under adult supervision, even in the days following contact near a community.
2. Immediately contact the authority closest to the contingency (Ministry of Culture staff, governor, police, municipal mayor, health facility, or any other local, regional, or national

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authority), who should inform the Ministry of Culture by any available means of communication. The procedure to follow is detailed in section 6.1.4 Early Warning.

3. A person who understands the language spoken by the PIAs should be the main spokesperson. Remain calm and pay attention to the reactions of the PIAs. Communicate with one person at a time, informing the PIAs of your intentions: "We are good people. We do not want to harm you." Likewise, key information should be consulted to manage the situation: "What do you want? What do you need? Are you sick? How many are there? Where are you from?"
4. If the PIAs are carrying weapons (bows and arrows, spears, stones, or other similar items), they should be instructed to put them on the ground in order to communicate, emphasizing the fact that you are also unarmed.
5. If no one can communicate in the language of the IPAs, try to convey these messages through signs and/or gestures.
6. If PIA in need of health care are present, they should be treated by qualified personnel, in accordance with the protocols set forth in the Ministry of Health's Technical Health Standards and Guidelines for PIACI. If no health personnel are available at that time, they should be notified as soon as possible.
7. Although it is preferable not to share objects with the PIA, in some exceptional situations, food from the farm may be given for direct consumption, such as local fruits. Likewise, basic objects such as pots, machetes, and/or rope may be given.
8. Food or drinks should not be shared from the same container, and canned or packaged food should not be given. Avoid giving clothing, as it can cause illness among the PIA.
9. If deemed necessary, the exchange or delivery of goods should not be carried out directly in the hands of the PIAs. Objects should be left at a point at least 5 meters away so that they can be collected. If the PIAs are on the other side of the stream, small boats (canoes) may be used only to transport these goods.
10. In any case, the objects offered by the PIA must be accepted, and they must not be prevented from taking any of their own objects.
11. If the PIA do not withdraw after this exchange, instructions from the Ministry of Culture will be awaited.
12. If at any time the contact becomes violent on the part of the PIA, it is preferable to keep the entire population sheltered in a safe place (school, community hall, health center, etc.) or to temporarily evacuate the community to another location.

#### 6.1.4. Early Warning

##### c) Reporting Actions

Immediately notify the representative of the State, authority, indigenous leader, or organization (Ministry of Culture staff, governor, police personnel, municipal mayor, health facility, or any other local, regional, or national authority) closest to the contingency, who should inform the Ministry of Culture by telephone at (01) 6189393 Extension 2546 and/or by email to [alertatemprana@cultura.gob.pe](mailto:alertatemprana@cultura.gob.pe). In the case of contacts where there are signs of danger, disease, or the presence of human remains or corpses, the nearest health facility shall be notified immediately.

##### d) Response Actions

Once the DACI becomes aware of the contingency, it must:

1. Communicate with those responsible for or in charge of activities or leaders of the communities or organizations closest to the site of the contingency, at , in order to make the necessary arrangements for the implementation of the required protective measures.

2. Contact and coordinate joint actions with the competent bodies of the Ministry of Health, the Ministry of the Interior, among others, in order to implement actions or measures aimed at safeguarding the rights of the PIA, especially those related to life, health, and integrity, as well as those of the population near the site of the contingency.
3. Send Ministry of Culture personnel or the necessary work team to the site of the contingency to respond to the emergency.
4. The Ministry of Culture shall collect information on the contingency in the PIACI Evidence Registry.

## **6.2. Action for the Protection of the Rights of Indigenous Peoples in Initial Contact in Relations with Third Parties**

### **6.2.1. Relationship scenarios**

Relationships with PICI are established for the following purposes:

- c) Protection and/or attention to the rights of PICI.
- d) Attention to the expressed desire of IPICs to interact.

### **6.2.2. Fundamental measure for the protection of Indigenous Peoples in Initial Contact**

Relationships established by State entities for the purpose of addressing the needs of PICI and protecting their rights must be coordinated in advance with the Ministry of Culture, in accordance with the guidelines issued by the latter.

## **6.3. Relationship with PICI within the framework of activities promoted by the State with the aim of meeting their needs and protecting their rights.**

These procedures refer to cases of exceptional admissions to territorial and/or indigenous reserves.

### **a) General considerations.**

#### **1. Health issues.**

1.1 For cases of external agents entering territorial and/or indigenous reserves:

- Apply the following vaccines: diphtheria/tetanus, current year influenza, yellow fever, hepatitis B, and measles, in accordance with the Technical Standards and Technical Health Guidelines of the Ministry of Health.
- Present a sworn statement of good health. The Ministry of Health may grant the corresponding certification, in accordance with applicable regulations.

1.2. For cases of health care for PICI:

For any health care, vaccinations, or test samples, the consent of the PICI is required, and the provisions of the Ministry of Health's Technical Health Guidelines must be applied.

3. Regarding donations:

- All donations to PICI must be previously coordinated, evaluated, and authorized by the Ministry of Culture.
- In the case of medicines, they must be coordinated with the Health Sector.

3. Establish measures and procedures to safely and adequately safeguard goods that pose a risk to the health, integrity, or life of individuals, such as medicines, weapons, ammunition, and fuel, preventing their use or transfer by PICI.

#### **b) Coordination Actions**

Within the framework of the special cross-sectoral regime for the protection of PIACI, State entities shall establish the following levels of coordination:

- State entities that, in the exercise of their functions, require interaction with one or more members of the PICI must do so in coordination with the Ministry of Culture. To this end, they must inform the Ministry of the purpose of the entry, the activities to be carried out, and the personnel in charge of the interaction.
- The Ministry of Culture shall evaluate the information submitted and authorize exceptional entry by means of a Ministerial Resolution.

#### **6.4. Relations with Indigenous Peoples in Initial Contact by third parties**

- a) Third parties who, in the course of their activities, find themselves in a situation where the PICI express their desire to establish communication, request food, tools, and/or medicine.**

In this situation, the following actions must be implemented:

1. Any contact must be initiated by the IPIC.
2. Stop whatever tasks are being carried out at the time of initiating interaction and focus exclusively on developing the relationship.
3. Maintain a calm and passive attitude during the conversation.
4. Limit the interaction time to what is strictly necessary.
5. During the interaction, special consideration should be given to the health vulnerability of the PICI, and people with symptoms of infectious diseases should be kept out of the interaction.
6. If the PICI requests food, food from the farm and other food determined by the competent authority in each specific case will be provided, according to the group's level of interaction and contact.
7. If the PICI requests tools, provide those that are available.
8. Once the PICI decide to leave the contingency site, agents outside the group must also withdraw.
9. If PICIs approach sick people or people requesting healthcare, they must be attended to by qualified personnel, in compliance with the protocols set out in the Ministry of Health's Health Standards and Technical Guidelines. If no healthcare personnel are available at that time, they will be notified as soon as possible.

#### **6.5. Reporting Actions**

Once the interaction with the PICI has ended, the nearest representative of the State, authority, indigenous leader, or organization (Ministry of Culture staff, governor, police personnel, municipal mayor, health facility, or any other local, regional, or national authority) must be notified immediately about the contingency, who must inform the Ministry of Culture by telephone at (01) 6189393 Extension 2546 and/or by email at [alertatemprana@cultura.gob.pe](mailto:alertatemprana@cultura.gob.pe). In the case of contacts showing signs of danger or illness, the nearest health facility will be notified immediately.

#### **6.6. Response actions**

Once the Ministry of Culture becomes aware of the contingency, it shall:

1. Contact those responsible for or in charge of the activities or leaders of the communities or organizations closest to the site of the contingency in order to make the necessary arrangements for the implementation of the required protective measures.
2. Contact and coordinate joint actions with the competent bodies of the Ministry of Health, the Ministry of the Interior, among others, in order to implement actions or measures aimed at safeguarding the rights of the PICI, especially those related to life, health, and integrity, as well as those of the population near the site of the contingency.
3. Dispatch personnel from the Ministry of Culture or the work team formed as necessary to the site of the contingency to respond to the emergency.
4. Collect information on the contingency in the PIACI Evidence Registry.

## **VII. FINAL PROVISIONS**

7.1. Annexes 1 and 2 form an integral part of this Directive.

7.2. The PIACI Evidence Registry shall be created under the responsibility of the Ministry's Directorate of Indigenous Peoples in Isolation and Initial Contact, in which contingencies involving PIACI that have been reported or that have come to light shall be recorded. This registry shall include the forms corresponding to PIACI contingency reports, PICI relations, information or health contingencies of PICI that have been reported or that have come to light, as well as the activities of State entities that have engaged in relations with PICI.

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## ANNEX 1

### DEFINITIONS

For the purposes of applying this provision, the following definitions shall apply:

**External Agent.** - Any natural or legal person, of national or international origin, outside the indigenous populations, as well as all officials and/or public servants of the National, Regional, and Local Government sectors.

**Isolation.** - The situation of an indigenous people or part thereof that has not developed sustained social relations with other members of national society or that, having done so, chooses to return to isolation.

The term isolation does not imply that members of a particular people have never had contact with outsiders or that they do not maintain sporadic contact.

**Isolation with Sporadic Contact.** - Situation in which an indigenous people, while remaining in isolation, establishes occasional contact with people outside the indigenous community to which it belongs. These sporadic interactions may be recent or long-standing, which does not necessarily imply an intention to develop a greater connection with other agents of national society.

**Early warning.** - Mechanism through which the Ministry of Culture's Directorate for Indigenous Peoples in Isolation and Initial Contact is informed of a PIACI contingency that could lead to an emergency. If necessary, the entities, organizations, or communities that carry out activities or are located closest to where the contingency occurred will be notified.

**Sighting:** Prolonged or fleeting visualization of PIACI by people outside these communities, which does not imply a situation of contact.

**Contact:** A situation of physical, verbal, or gestural interaction, or exchange of objects, between PIACI and persons outside their group.

**Initial contact:** A situation in which an indigenous people or its members have initiated a process of interaction with other members of national society.

Initial contact can in turn be:

- a) **Recent contact:** A situation in which an indigenous people that had remained in isolation begins to make contact with other members of national society.
- b) **Initial contact with intermediate ties:** a situation in which an indigenous people in initial contact voluntarily maintains intermittent relations with people outside their communities.
- c) **Contact with Greater Connection:** A situation in which an indigenous people in initial contact voluntarily maintains a sustained relationship with people outside their community. They are characterized by maintaining social relations with other populations.

**PIACI Contingency:** For the purposes of this Protocol, a contingency is an unforeseen situation that results in an unwanted discovery, sighting, or contact with an PIA, or a situation of interaction with a PICI.

**Emergency:** A situation of risk, impact, or damage resulting from a discovery, sighting, or contact with a PIA. In the case of PICI, when a relationship situation has caused impact or damage to the life, health, or physical integrity of these peoples, as well as of the people involved in the contingency, requiring immediate attention and mobilization of resources.

**Evidence:** A fact that demonstrates the presence of PIACI in a given area. This may include contacts, sightings, the discovery of material objects (dwellings, settlements or their remains, canoes, arrows, bows, among others), material signs (footprints, traces of paths, dead animals, among others) or the perception of immaterial signs such as imitation of animal sounds.

**Find:** The discovery of goods (remains of settlements, remains of hunted animals, canoes, arrows, bows, among others), material signs (footprints, traces of paths, dead animals, among others) or immaterial signs such as imitation of animal sounds, which constitute evidence of the presence of PIACI.

**PIACI Contingency Plan.** A specific management tool that, depending on the specific case, defines the objectives and procedures to prevent, mitigate, and/or control the impact of a contingency involving PIACI that could endanger or affect the life, health, well-being, and self-determination of these peoples.

For the development of any activity involving the exploration, exploitation, or use of resources within or in areas close to Territorial or Indigenous Reserves, or those where the proximity, presence, or displacement of indigenous populations in isolation is presumed or reported, a PIACI Contingency Plan must be in place with the appropriate favorable technical opinion or approval, as applicable.

**Action protocol.** - A management tool approved by the Ministry of Culture that contains the conduct and procedures to be followed during and after a PIACI discovery, sighting, or contact, and in the case of PICI, a relationship with them, in order to mitigate the impacts and respond to emergencies that may arise from the aforementioned situations or contingencies.

The action protocols are mandatory in the case of exploration, exploitation, or use of resources.

**PIACI Evidence Registry:** A tool through which information on PIACI contingencies is collected and systematized. The information submitted through the respective forms is a constituent part of this registry.

**Relationship.** - Situation in which a PICI expresses its desire to establish communication with people outside of it. As a result of this communication, PICIs may request food, tools, health care, or other services.

## **Appendix 7. Livelihood Restoration and Compensation Plan (LRPs) outline**

The following is an indicative outline for the development of Livelihood Restoration and Compensation Plan (LRPs). At a minimum, these plans should have:

1. Introduction to the project, including background and rationale.
2. Summary of project impacts
3. Summary of the social baseline assessment (including demographics, livelihood sources, income and expenditure patterns, access to resources and services, etc.)
4. Regulatory Framework (legal and policy framework that applies, including national laws and international standards such as WWF's ESSF/SIPP and GCF policies)
5. Results of Stakeholder Engagement, which should have been done prior to the development of this plan and reflect the feedback obtained and/or issues raised.
6. Eligibility Criteria, stating how those who qualify for compensation or restoration support will be identified and selected
7. Entitlement Matrix, detailing who is eligible for benefits and what those benefits will be
8. Timeframe for implementation
9. Implementation arrangements
10. Monitoring, evaluation and reporting
11. Budget and Resources

## Appendix 8. Indicative list of IPLC representatives identified in NPAs

NB. These lists are provided as examples of stakeholders representing IPLC in the NPAs Management Committees – the latest up-to-date information is available from SERNANP NPAs Head Offices (Jefaturas).

<b>PN13. Parque Nacional Güeppí-Sekime</b>	
<b>Comité de Gestión</b>	<ul style="list-style-type: none"> <li>• Organización Kichwaruna Wangurina del Alto Napo – ORKIWAN</li> <li>• Organización Indígena Secoya del Perú – OISPE</li> <li>• Centro para el Desarrollo del Indígena Amazónico – CEDIA</li> </ul>
<b>PN14. Parque Nacional Sierra del Divisor</b>	
<b>Comité de Gestión</b>	<ul style="list-style-type: none"> <li>• Asociaciones de productores agropecuarios</li> <li>• Asociaciones de extractores forestales/ Concesionarios forestales</li> </ul>
<b>Institucionales</b>	<ul style="list-style-type: none"> <li>• 17 asociaciones.</li> <li>• 3 cooperantes internacionales.</li> <li>• 10 ONGs</li> </ul>
<b>Representantes de comunidades</b>	<ul style="list-style-type: none"> <li>• 9 federaciones.</li> <li>• 28 comunidades nativas.</li> <li>• 17 centros poblados.</li> <li>• 30 caseríos.</li> <li>• 8 comunidades campesinas ribereñas</li> </ul>
<b>PN15. Parque Nacional Yaguas</b>	
<b>Representantes de comunidades y pueblos indígenas</b>	<ul style="list-style-type: none"> <li>• Lideresa del pueblo Bora y presidenta de la Federación de Comunidades Nativas de la cuenca del río Ampiyacu (FECONAA)</li> <li>• Presidente de la Federación de Comunidades Nativas Fronterizas del Putumayo (FECNAFROPU)</li> <li>• Presidente de la Federación de Comunidades Indígenas del Bajo Putumayo (FECOIBAP)</li> <li>• Organización de Comunidades Indígenas del Bajo Putumayo y Río Yaguas (OCUBPRY)</li> </ul>
<b>RN8. Reserva Nacional Pacaya Samiria</b>	
<b>Representantes de comunidades y pueblos indígenas</b>	<ul style="list-style-type: none"> <li>• AIDECOS/Asociación Indígena de Desarrollo y Conservación Samiria.</li> <li>• ACODECOSPAT/Asociación Cocama para el Desarrollo y Conservación San Pablo de Tipishca.</li> <li>• ACOINBAHM/Asociación de Comunidades Indígena del Bajo Huallaga y Marañón.</li> <li>• AIDEMA/Asociación Indígena para el Desarrollo del Río Marañón.</li> <li>• ADECOP/Asociación Indígena de Desarrollo y Conservación del Puhinahua.</li> </ul>

<b>RN10. Reserva Nacional Allpahuayo Mishana</b>	
<b>Institucionales</b>	<ul style="list-style-type: none"> <li>• CEDIA</li> </ul>
<b>Representantes de comunidades y pueblos indígenas</b>	<ul style="list-style-type: none"> <li>• Comunidad de San Martín</li> <li>• Frente Comunal Territorial Nanay Mishana Allpahuayo (FRECOTENAMA)</li> <li>• Coordinadora de Comunidades de la Cuenca del Nanay, COICAP</li> <li>• Comité de Mujeres Campesinas, COPAPMA</li> </ul>
<b>Asociaciones productivas</b>	<ul style="list-style-type: none"> <li>• Asociación Agraria “El Huambo”</li> <li>• Coordinadora de Organizaciones Agrarias de la Carretera Iquitos – Nauta</li> </ul>

<b>RN12. Reserva Nacional Matsés</b>	
<b>Institucionales</b>	<ul style="list-style-type: none"> <li>• CEDIA</li> </ul>
<b>Representantes de comunidades y pueblos indígenas</b>	<ul style="list-style-type: none"> <li>• Federación Matsés</li> <li>• Organización Regional de Pueblos Indígenas del Oriente (ORPIO)</li> </ul>

<b>RN14. Reserva Nacional Pucacuro</b>	
<b>Representantes de comunidades y pueblos indígenas</b>	<ul style="list-style-type: none"> <li>• Consejo Comunal de la Zona Reservada Pucacuro</li> <li>• Federación de Comunidades de Nativas del Alto Tigre (FECONAT)</li> <li>• Federación de Comunidades de Nativas del Bajo Tigre (FECONABAT)</li> <li>• Organización Regional de los Pueblos Indígenas de Oriente (ORPIO)</li> </ul>
<b>Asociaciones productivas</b>	<ul style="list-style-type: none"> <li>• Comité de productores Yanapumas de la Comunidad de Santa Elena</li> <li>• Productores de Camu Camu del Amazonas, Napo y Tigre (APROCCANT)</li> <li>• Asociación de Pescadores y Procesadores Artesanales del Tigre</li> </ul>

<b>BP06. Bosque de Protección Alto Mayo</b>	
<b>Institucionales</b>	<ul style="list-style-type: none"> <li>• Fundación Conservación Internacional (CI)</li> <li>• Asociación de Ecosistemas andinos (ECOAN)</li> </ul>
<b>Representantes de comunidades y pueblos indígenas</b>	<ul style="list-style-type: none"> <li>• Federación de Comunidades Nativas del río Alto Mayo (FERIAM)</li> </ul>
<b>Otros</b>	<ul style="list-style-type: none"> <li>• Asociación de productores de caficultores del BP Alto Mayo.</li> </ul>

<b>PN06. Parque Nacional del Río Abiseo</b>	
<b>Asociaciones productivas</b>	Asociación de pequeños ganadores y agricultores de Buldibuyo (APEGAB)

<b>PN09. Parque Nacional Cordillera Azul</b>	
<b>Institucionales</b>	<ul style="list-style-type: none"> <li>• CIMA Cordillera Azul</li> <li>• Red de concesiones para la conservación San Martín</li> </ul>
<b>Comunidades</b>	<ul style="list-style-type: none"> <li>• Federación de Pueblos Indígenas Kechwas de la región San Martín (FEPIKRESAN) que representa a la comunidad nativa Mushuk Llacta de Chipaota</li> <li>• Federación de Comunidades Nativas del Bajo Ucayali (FECONBU), que representa a las comunidades Nativas Yine Libertad e Isolaya</li> <li>• Federación de Comunidades Nativas de la Cuenca del río Pisqui (FECONACURPI) que representa a las comunidades nativas del río Pisqui, entre las que destacan Nuevo Edén, La Cumbre, Manco Cápac, San Luis de Charashmaná y Tres Unidos.</li> <li>• Federación Nativa de Comunidades Cacataibo (FENACOKA) que representa a las comunidades nativas Santa Rosa de Aguaytía, Mariscal Cáceres y Yamino</li> <li>• Organización de Jóvenes Indígenas Kakataibo de Padre Abad y Puerto Inca – OJIKAAPI</li> </ul>
<b>Asociaciones de productores</b>	<ul style="list-style-type: none"> <li>• Comité de Cacaoteros Allima –Sacha – Sector Chambira</li> <li>• Asociación de Cacaoteros del Valle del Cushabatay – ADECAVACU</li> <li>• Cooperativa Agraria Cacaotera – ACOPAGRO</li> <li>• Comité de Cacaoteros Rayos del Sol- Sector Nueva Arica</li> <li>• Cámara de Comercio y Producción Tocache</li> </ul>

<b>PN12. Parque Nacional Ichigkat Muja – Cordillera del Cóndor</b>	
<b>Representantes de comunidades</b>	<ul style="list-style-type: none"> <li>• ODECOFROC</li> <li>• ORPIAN – P</li> <li>• AIDSESEP</li> <li>• OPIWAK.</li> <li>• FECOHRSA.</li> </ul>
<b>SN08. Santuario Nacional Tabaconas Namballe</b>	
<b>Representantes de comunidades</b>	<ul style="list-style-type: none"> <li>• Asoc. de Jóvenes Ecologistas.</li> <li>• Asoc. Ganaderos.</li> <li>• Asoc. Apicultores.</li> <li>• Asoc. Productores Orgánicos.</li> <li>• Comité de Viveros.</li> <li>• Comunidad Campesina.</li> <li>• Comité de Reforestación.</li> <li>• Equipo de Coord. Zonal.</li> <li>• Frente de defensa del MA.</li> <li>• Ronda Campesina.</li> <li>• Ronda Comunal.</li> <li>• Mesa de Concertación.</li> </ul>
<b>SN09. Santuario Nacional Cordillera de Colán</b>	
<b>Representantes de comunidades</b>	<ul style="list-style-type: none"> <li>• FEMA Bagua.</li> <li>• Rondas Campesinas.</li> <li>• Comité de Autodefensas.</li> <li>• Federación Regional de Rondas Campesinas.</li> </ul>
<b>BP03. Bosque de Protección Pui Pui</b>	
<b>Comité de Gestión</b>	Mesas de Lucha contra la Pobreza
<b>Comunidades</b>	C. Campesina de Toldopampa. C. Campesina Huánuco.
<b>Asociaciones productivas y empresas</b>	Asociación de Ganaderos. Asociación de Pastores.
<b>BP04. Bosque de Protección San Matías San Carlos</b>	
<b>Institucionales</b>	<ul style="list-style-type: none"> <li>• CEDIA</li> </ul>
<b>Comunidades</b>	<ul style="list-style-type: none"> <li>• ARPI Asociación Regional de Pueblos de la Selva Central</li> <li>• FECONAYA Federación de Comunidades Nativas Yaneshas</li> <li>• UNAY Unión de Nacionalidades Ashaninkas y Yaneshas</li> <li>• ANAP Asociación de Nacionalidades Ashaninkas del Pichis</li> <li>• AMARCY Asociación para el Manejo y la Conservación de la Reserva Comunal Yanasha</li> </ul>
<b>PN02. Parque Nacional Tingo María</b>	
<b>Asociaciones productivas y empresas</b>	<ul style="list-style-type: none"> <li>• Comités de Autodefensa, APAFAS, Comités del Vaso de Leche, comedores populares.</li> <li>• asociación de agricultores, cooperativas agrarias, asociación de transportistas y comités de orientadores turísticos.</li> </ul>

PB07. Parque Nacional Yanachaga Chemillen	
<b>Comunidades Nativas</b>	<ul style="list-style-type: none"> <li>• Representantes de comunidades Campesinas Acobamba y Tsachopen)</li> <li>• AMARCY (Asociación para el manejo de la reserva comunal YANESHA)</li> <li>• FECONAYA – Federación de Comunidades Nativas Yaneshas</li> </ul>
<b>Asociaciones de productores</b>	<ul style="list-style-type: none"> <li>• Asociaciones de productores de café, de miel</li> <li>• Comité ecológico del Distrito de Palcazú</li> </ul>

SN07. Santuario Nacional Pampa Hermosa	
<b>Institucionales</b>	<ul style="list-style-type: none"> <li>• APRODES (Asociación por desarrollo Perú vida</li> </ul>
<b>Comunidades</b>	<ul style="list-style-type: none"> <li>• Comunidad campesina de la Unión</li> <li>• Comunidad campesina de Chuquisyunga</li> <li>• Comunidad Campesina de Santa Rosa de Casca</li> </ul>
<b>Asociaciones productivas y empresas</b>	<ul style="list-style-type: none"> <li>• Agencias Agraria Chanchamayo</li> <li>• Agencia Agraria Tarma</li> </ul>

PN03. Parque Nacional del Manu <sup>64</sup>	
<b>Comunidades</b>	<ul style="list-style-type: none"> <li>• FENAMAD (Federación Nativa del Rio Madre de Dios y Afluentes</li> </ul>
<b>Asociaciones de productores</b>	<ul style="list-style-type: none"> <li>• Asociación de Artesanos de Boca Manu e Isla de los Valles Asociación de Agricultores de Callanga</li> <li>• Empresas de turismo</li> </ul>

PN08. Parque Nacional Bahuaja Sonene	
<b>Comunidades</b>	<ul style="list-style-type: none"> <li>• Federación Nativa de Madre de Dios (FENAMAD).</li> <li>• Comunidades nativas Ese'ejá.</li> </ul>
<b>Asociaciones</b>	<ul style="list-style-type: none"> <li>• AIDER</li> </ul>

PN10. Parque Nacional Otishi	
<b>Comité de Gestión</b>	<ul style="list-style-type: none"> <li>• Central Asháninca del río Ene – CARE.</li> <li>• Asociación de pueblos indígenas de la selva central – ARPI SC</li> <li>• Agencia Agraria Satipo.</li> <li>• PNCMBCC - MINAM – Agencia Satipo</li> </ul>
<b>Asociaciones productivas y empresas</b>	<ul style="list-style-type: none"> <li>• Asociación de Ganaderos.</li> <li>• Asociación de Pastores.</li> </ul>

PN11. Parque Nacional Alto Purús	
<b>Comunidades</b>	<ul style="list-style-type: none"> <li>• Asociación de Comunidades Nativas para el Desarrollo del Distrito de Yurúa Yono Sharakoiai – ACONADIYSH.</li> <li>• Federación de Comunidades Nativas de Purús – FECONAPU.</li> <li>• Unión Regional de los Pueblos Indígenas Amazónica de Atalaya – URPIA.</li> <li>• Jefe de la CN. Puerto Nuevo.</li> <li>• Liga Deportiva de Fútbol del distrito de Las Piedras.</li> </ul>
	<ul style="list-style-type: none"> <li>• Federación Nativa de Madre de Dios (FENAMAD).</li> </ul>

<sup>64</sup> Other important actors in Manu include:

- Ecosistemas Andinos (ECOAN)
- Centro para el Desarrollo del Indígena Amazónico (CEDIA)
- Centro Regional para la Salvaguardia del Patrimonio Cultural Inmaterial de América (CRESPIALI)
- Servicios Eco sistémicos Perú (SEPERU)
- NCCR/ PPI/ Instituto del Bien Común (IBC)
- Sociedad Botánica del Cusco
- Universidad Nacional de San Antonio de Abad del Cusco (UNSAAC)
- Desarrollo Rural Sustentable (DRUS)
- Sociedad Zoológica de Frankfurt (SZF)
- Asociación para la Conservación de la Cuenca Amazónica ACCA

	<ul style="list-style-type: none"> <li>• ORAU.</li> <li>• CORPIA.</li> <li>• FEPUCIMA.</li> <li>• FABU.</li> <li>• FEMUPA.</li> <li>• Federación de Comunidades Yine Yami.</li> </ul>
<b>Asociaciones</b>	<ul style="list-style-type: none"> <li>• Federación de Castañeros.</li> <li>• Federación Agraria Tahuamanu.</li> </ul>

#### RN09. Reserva Nacional Tambopata

<b>Institucionales</b>	<ul style="list-style-type: none"> <li>• Defensoría del Pueblo Madre de Dios</li> <li>• Asociación Para La Conservación de las Cuenca Amazónica ACCA</li> <li>• Sociedad Peruana de Derecho Ambiental</li> </ul>
<b>Comunidades</b>	<ul style="list-style-type: none"> <li>• Federación Nativa de Madre de Dios (FENAMAD)</li> <li>• Representantes del sector de Nueva América correspondiente a una zona de uso especial</li> </ul>
<b>Asociaciones de productores</b>	<ul style="list-style-type: none"> <li>• Asociación de Castañeros de la Reserva Nacional Tambopata ASCART</li> <li>• Representantes de las Asociaciones agroforestales</li> <li>• Cooperativa COOPASER</li> <li>• Grupo Técnico de Protección de la RNTAMB y su BZ y Promoción de turismo</li> </ul>

#### SN06. Santuario Nacional Megantoni

<b>Comité de Gestión</b>	Consejo Machiguenga del Río Urubamba (COMARU)
<b>Comunidades</b>	<ul style="list-style-type: none"> <li>• Comité de Gestión Bajo Urubamba (CE CGU)</li> <li>• Central de Comunidades Nativas Machiguenga "Juan Santos Atahualpa" (CECONAMA)</li> <li>• Consejo Machiguenga del Río Urubamba (COMARU)</li> <li>• Federación de Comunidades Nativas Yine-Yami (FECONAYY)</li> <li>• Central de Colonos Agricultores del Bajo Urubamba (CECOABU)</li> </ul>
<b>Asociación de productores</b>	<ul style="list-style-type: none"> <li>• Organizaciones agrarias y artesanales</li> </ul>

#### SH03. Santuario Histórico Machu Picchu

<b>Institucionales</b>	<ul style="list-style-type: none"> <li>• Defensoría del Pueblo</li> </ul>
<b>Comunidades</b>	<ul style="list-style-type: none"> <li>• Vocalía 03: Poblaciones Rurales/Comisión Ejecutiva CGSHM</li> <li>• Vocalía 05: Poblaciones Urbanas/Comisión Ejecutiva CGSHM</li> </ul>
<b>Asociaciones de productores</b>	<ul style="list-style-type: none"> <li>• Organizaciones agrarias y artesanales</li> </ul>

## Appendix 9. PdP A&C Project Stakeholders

### The project partners

#### **The Ministries**

The Ministry of Economy and Finance (MEF) is the National Designated Authority (NDA) for the GCF. The Ministry of the Environment (MINAM) is responsible for the conservation and sustainable use of natural resources and for environmental management and is the main ministry (or 'sector') promoting policies, plans and programs combating climate change.

#### **SERNANP**

The National Service of Natural Areas Protected by the State (SERNANP) will be an Implementation Partner leading Component 1 of the project. SERNANP is a Specialized Technical Public Body attached to the Ministry of the Environment (MINAM), through Legislative Decree No. 1013 of 2008, in charge of the management of the country's NPAs and of biodiversity conservation. SERNANP is the governing body of the SINANPE. In its capacity as technical-regulatory authority, SERNANP carries out its work in coordination with regional and local governments, and with the owners of private conservation areas. SERNANP's responsibilities and mode of operations are defined by law and are described in detail in the Legal Framework (Chapter 5).

#### **WWF-US**

WWF (World Wildlife Fund, Inc.) is the Accredited Entity (AE) for this GCF-financed project. WWF's mission is to stop the degradation of the planet's natural environment and to build a future in which humans live in harmony with nature, by conserving the world's biological diversity, ensuring that the use of renewable natural resources is sustainable, and promoting the reduction of pollution and wasteful consumption.

#### **PROFONANPE**

PROFONANPE is a private non-profit entity, created in 1995 by Decree No. 26154, specialized in the efficient collection and administration of financial resources for the execution of programs and projects that contribute to the conservation of biodiversity, and the mitigation and adaptation of climate change. PROFONANPE is the only National Implementation Entity (NIE) accredited for GCF programs and projects in Peru. PROFONANPE designed and negotiated the first project approved by the GCF, "Building the resilience of wetlands in the province of Datem del Marañón".

PROFONANPE executes all its projects in accordance with its environmental and social safeguard framework: PROFONANPE's Environmental, Social and Gender Policies (in Spanish: *Políticas Ambientales, Sociales y de Género* – PAS. PROFONANPE's PAS are both approved by the GCF and compliant with the GCF's own safeguards policy.

### Main actors in NPA management

#### **NPAs Head Offices (SERNANP)**

The NPA head offices in NPA ('Jefaturas') exercise the main responsibilities in each NPA. They include the Head ('Jefe') of the NPA, a few professionals (in biology, geographic information systems or other relevant disciplines) and generally several dozen park rangers. The Jefaturas are mainly supported at

SERNANP headquarters level by the Directorate for Management of Protected Areas (in Spanish DGANP), the Directorate for Strategic Development (DDE) and the Office of Legal Advice.

### **NPA Management Committee**

The NPA Management Committee is a participatory body in NPA management. The responsibilities and functioning of the Management Committee are defined by the Regulations of the 2001 'NPA Law' (see Legal Framework, chapter 5).

In the NPAs of the Amazon, the composition of the Management Committees is variable. Some Management Committees have more than 100 members. Members are renewed approximately every two years. The Management Committees generally include representatives of regional and local administrations, representative organizations of indigenous or peasant communities living in or near the NPA, productive organizations (agrarian, fishing, etc.), women's organizations, private companies (tourism, large oil companies, etc.), NGOs and scientific research organizations. Most of the actors described in the present chapter are members of the management committees.

The Management Committee has an Executive Commission, which is its executing body, one of whose members is the President of the Management Committee.

The comments received during consultations about the functioning of the Management Committees are presented in Chapter 6.

### **The 'conservation allies': NGOs and scientific organizations**

In many NPAs of the project, NGOs and scientific organizations perform a variety of conservation tasks, often under agreements with SERNANP. The principal ones are:

- 'Asociación para la Conservación de la Cuenca Amazónica' (ACCA – Conservación Amazónica)
- 'Centro para el Desarrollo del Indígena Amazónico' (CEDIA)
- 'Conservación Internacional' (CI)
- 'Centro de Conservación, Investigación y Manejo de áreas naturales' (CIMA)
- 'Fundación Peruana para la Conservación de la Naturaleza' (ProNaturaleza)
- Frankfurt Zoological Society (ZFS-Perú)
- Wildlife Conservation Society (WCS-Perú)
- The Peruvian Society for Environmental Law, 'Sociedad Peruana de Derecho Ambiental' (SPDA)
- 'Instituto del Bien Común' (IBC)
- 'Instituto de Investigaciones de la Amazonía Peruana' (IIAP), an autonomous scientific institution with headquarters in Loreto and local presence in most regions of the Amazon.

### **Other stakeholders relevant for the project**

#### **Subnational governments**

The Peruvian territory is subdivided into Departments<sup>65</sup>, Provinces, Districts, and Villages ('centros poblados', CP).

Each Department has a Regional Government (GORE), elected for 4 years. The Regional Governments exert certain environmental responsibilities, defined by their local regulations (see also section **Error!**

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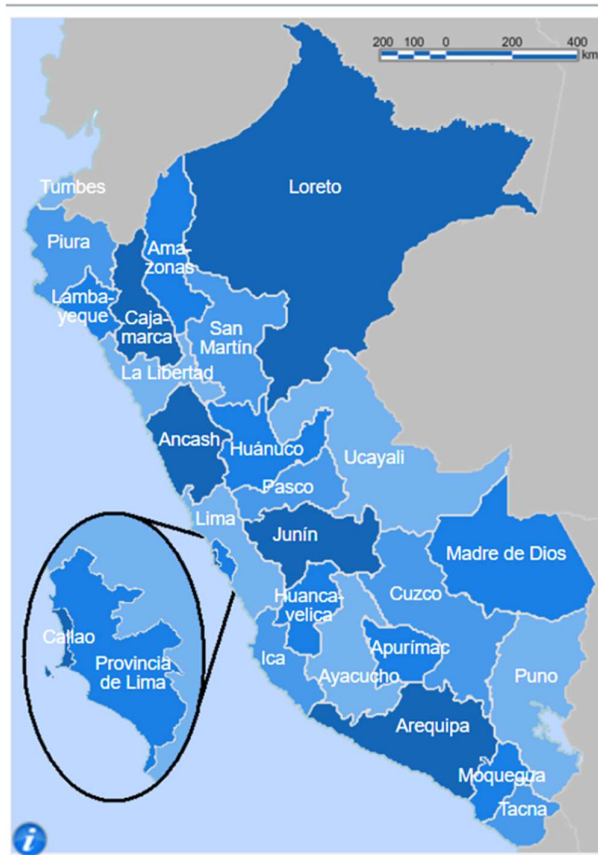
<sup>65</sup> In practice, departments are equivalent to regions.

**Reference source not found.** on the National System for Environmental Management). Some GORE has a Regional Environmental Commission (CAR), some have a regional environmental agency. The GORE manages the Regional Conservation Areas, as defined in the 'NPA Act' of 2001 (see Legal Framework). The GORE's Regional Agrarian Directorates oversee the legal recognition of native communities.

### **Provincial, District, and Delegated Municipalities**

The Organic Law of Municipalities defines the responsibilities of the Provincial Municipalities and the District Municipalities. Municipalities have a Mayor and a Municipal Council, elected for a period of four years. The Villages, or CP, are generally administrative groupings of several smaller localities, such as hamlets and annexes, totaling a minimum of 500 inhabitants of legal age. Each CP is governed by a so-called 'Delegated Municipality'. These are created by the Provincial Municipalities, who define what functions are delegated.

**Figure 1. Departments (currently mostly equivalent to regions) of Peru**



Source: Wikipedia

### **Main other State administration relevant for the ESMF**

The role of the State administration in NPA management is mainly explained in Chapter 5 on the legal framework. Below is a description of the main stakeholders who may intervene in the definition of the activities to be implemented by PdP-AC.

### **The Ministry of Culture (MINCUL)**

The Ministry of Culture (MINCUL) oversees cultural heritage and may intervene in the management of some NPA's. In addition, through the Vice-Ministry of Interculturality, the MINCUL is in charge of the Indigenous Peoples Policies of and of the protection of the rights of indigenous peoples, including PIACI. The MINCUL intervenes as an advisor in Prior Consultation processes (see legal framework).

### **National Service for Forest and Wildlife (SERFOR)**

The National Forest and Wildlife Service (SERFOR) of the MINAGRI oversees wild fauna and flora management in Peru. It will mainly play a role if activities related to the use of natural resources are implemented in the buffer zones (see also the legal framework).

### **Peru's National Police**

The Ecological Police support SERNANP with surveillance tasks inside the Protected Natural Areas. In some NPAs, the PNP is part of the Management Committee.

### **The Defensoría del Pueblo (Ombudsman's Office)**

The Defensoría del Pueblo (Ombudsman's Office) is an autonomous constitutional body created by the 1993 Peruvian Political Constitution. It has headquarters in the city of Lima, and representation throughout the Peruvian territory. The Ombudsman is elected by the Congress. Its mission is to defend the constitutional and fundamental rights of the person and of the community, and to supervise the fulfilment of the duties of the State.

### **Representation of Indigenous Peoples**

Indigenous People can be organized and represented at several levels. Important organizations that defend the rights of Indigenous People of the Peruvian Amazon at national level are the following:

- the Inter-Ethnic Association for the Development of the Peruvian Jungle (AIDSESP) is a national organization, chaired by a National Board of Directors and 9 decentralized organizations in the north, center and south of the Peruvian jungle. It has 109 federations representing 1,800 communities where 650,000 indigenous men and women live, grouped into 19 linguistic.
- the Confederation of Amazon Nationalities of Peru (CONAP) coordinates 30 federations distributed in the departments of Loreto, Huánuco, Junín, Amazonas, Cusco, Pasco and Ucayali.
- the Regional Organization of Indigenous Peoples of the East (ORPIO) works in 15 basins (Putumayo, Napo, Tigre, Corrientes, Marañón, Yaquerana, Bajo Amazonas, Ucayali). Its objectives are to protect the IP's territories, promote human development, defend IP's rights and indigenous governance. ORPIO represents 15 indigenous peoples and 21 federations.
- the Coordination of the Indigenous Organizations of the Amazon Basin (COICA) is an international indigenous organization that works for the promotion, protection and security of indigenous peoples and their territories through the defence of their ways of life, and their social, spiritual and cultural principles and values. It groups federations from Ecuador, Venezuela, Colombia, Peru, Bolivia, Brazil, Suriname, Guyana and French Guyana.

In the NPAs, whenever indigenous people are present in or near the NPAs, they are mostly members of the NPA's Management Committee. The bodies representing them may vary from community representative, through local federations, up to national organizations. The Master Plans of each NPA generally provide a list of these stakeholders.

### **Other local representative organizations**

Most NPA Management Committees include a diversity of organizations representing the local inhabitants, such as productive organizations, cooperatives, or women's organizations. Listings of those organizations can generally be found in the latest Master Plans. As mentioned in the baseline chapter, settlers from other regions may be less well organized and represented than the traditional population, especially when they are engaged in informal activities.

### **Note on women's organizations and on gender aspects of the project**

The ESMF includes reference to women's organizations and/or gender issues when relevant, in compliance with WWF procedures, without specifically or exhaustively seeking to address all gender aspects of the project. These aspects are addressed in the Gender Analysis and in the project's Gender Action Plan.

## Appendix 10. Project Safeguards Categorization Memo

<b>Project Name:</b> Peru's Natural Legacy – Amazon Climate (PdP & AC)		<b>Date:</b> 10/22/2024
<b>Executing Agency/ies:</b> PROFONANPE (with support of SERNANP) and WWF Peru (with support of AIDSESP and CONAP)		
<b>Landscape Categorization on E&amp;S Risks:</b> High Risk - (A) ___ and/or (Special Consideration) ___ /Medium Risk (B) <u>X</u> / Low Risk (C) ___		
<b>Substantive Safeguard Standards Triggered:</b>	<b>Yes/ TBC</b>	<b>No</b>
Natural Habitats	X	
Pest Management		X
Indigenous Peoples	X	
Restriction of Access & Resettlement	X	
Community Health, Safety and Security	X	
Physical and Cultural Resources	X	
<p><b>In addition to the Substantive Safeguards above, the four Process Standards apply to all projects:</b></p> <ul style="list-style-type: none"> <li>● Environmental and Social Risk Management</li> <li>● Consultation and Disclosure</li> <li>● Community Stakeholder Engagement</li> <li>● Grievance Mechanism</li> </ul> <p><b>Landscapes categorized as low risk have been screened in accordance to the Standard on E&amp;S Risk Management.</b></p>		
<p><b>Project Area Context</b></p> <p>The Effective Management of Peru's Amazonian Protected Areas for Climate Change Mitigation and Adaptation project (PdP A&amp;C) aims to reduce CO<sub>2</sub> emissions and increase carbon storage and climate change resilience by improving the effective management of the 25 Natural Protected Areas (NPAs), and 12 buffer zones, in the Peruvian Amazon region and to increase IPLCs' resilience and adaptive capacity to climate change effects in 5 NPAs and their buffer zones through ecosystem-based adaptation interventions and resilient productive systems.</p> <p>The project is led by the national state service for protected areas (SERNANP) as lead implementing partner (SERNANP staff at headquarters and at NPA head offices) for Component 1 with the Peruvian Trust Fund for Natural Protected Areas (PROFONANPE) performing as the project executing entity for Component 1. WWF-Peru will be the project executing entity for Component 2, with support from SERNANP, while the national and regional IP organizations and the IP communities identified will perform as the project's procured parties. The project is presented for funding to the GCF by WWF US, acting as the Accredited Entity.</p> <p>The project has the following two components:</p> <p><b><i>Component 1. Addressing climate change through financially sustainable improved management effectiveness of natural protected areas in Peru.</i></b></p>		

This component is focused on climate change mitigation and includes a holistic roadmap of activities that will improve the effective management of SERNANP's 25 target NPAs, delivering reduced deforestation inside them and 12 of their buffer zones. Effective management conditions will generate significant climate change mitigation benefits whilst, at the same time, strengthening and maintaining ecosystem service supplies and enhancing the climate resilience of surrounding communities. Integrated into Component 1 is a financial exit strategy that includes activities to improve SERNANP's existing sources of revenue to ensure the long-term financial sustainability of the project's investments allowing for continued progression towards the effective management of NPAs.

***Component 2. Strengthening the climate resilience of IPs communities within 5 NPAs and their buffer zones.***

This component is focused on climate change adaptation, aimed at strengthening the climate resilience of 30 indigenous communities within or adjacent to 5 selected NPAs. This will be achieved through supporting the implementation of and capacity building for climate-resilient productive practices and ecosystem-based adaptation (EbA) for indigenous communities in and around the NPAs. To foster the scaling-up and replication of climate-resilient productive practices across local indigenous communities, the project will develop an enabling environment including capacity building of several indigenous federations, awareness raising and knowledge transfer across the communities they represent.

The project aims to achieve the following results:

- Significant improvement in the effective management of NPAs that delivers biodiversity conservation, ecosystem services and climate change mitigation and adaptation co-benefits.
- Important emission reductions from reduced deforestation and forest restoration.
- Protection of Amazon forests carbon stocks and carbon sink functions.
- Improved adaptive capacity and increased uptake of climate-resilient productive services and ecosystem-based adaptation in indigenous people local communities.
- Improved long-term financial sustainability of the NPAs.

Component 1 of the 'PdP Amazon and Climate' project includes 25 NPAs and 12 of their buffer zones. In addition, 5 NPAs (3 national parks and 2 national reserves) and their buffer zones out of those 25 NPAs have been prioritized for adaptation interventions under Component 2. These have been organized in 4 clusters:

***A. Northeast: Loreto***

In the northern landscape of the PdP A&C project, the following seven NPAs has been prioritized:

- **National Parks (3):** Güleppi-Sekime, Sierra del Divisor and Yaguas, without their buffer zones (BZ);
- **National Reserves (4):** Pacaya Samiria, Allpahuayo Mishana, Matsés and Pucacuro. The buffer zones of these four national reserves are also included in the project.

Most of the ecosystems existing in these NPAs belong to the lowland rainforest ecoregion (*Selva Baja*). Sierra del Divisor National Park is an NPA that offers a unique geology, with a mountainous complex raising up to 900 m.a.s.l in the middle of the Amazonian plains. Yaguas National Park protects the Yaguas river basin, the largest Peruvian tributary of the Putumayo River and originates in the lowlands without connection to the Andes. Its ichthyological fauna is in an excellent state of conservation and constitutes an important resource for the native populations and the nearby communities.

***B. North Central: Amazonas- San Martín***

The north central cluster includes six NPA. These are partially located in the Andes, and raise up to 4,400 m.a.s.l. This wide altitudinal gradient, especially in the three national parks and the protection forest, is critical for wild fauna and flora species to adapt to climate change effects. These NPAs offer a natural laboratory to monitor species' resilience to climate change. The following NPA are included:

- Protection forests (1): Alto Mayo Protection. The buffer zone of the Alto Mayo Protection Forest is also included in the project.
- National parks (3): Río Abiseo National Park, Cordillera Azul National Park and Ichigkat Muja-Cordillera del Cóndor.
- National Sanctuaries (2): Tabaconas Namballe National Sanctuary and Cordillera de Colán National Sanctuary.

C. South Central: Pasco - Junín

The NPAs in the central cluster are part of Peru's central rainforest ("Selva Central") at altitudes varying between 300 and 4,500 m.a.s.l. The ecosystems are mostly of mountain forest type, with high altitude grasslands (pajonales), but include some areas of lowland rainforest in the river valleys. The following NPA are included:

- Protection forests (2): Pui Pui Protection Forest and San Matías San Carlos Protection Forest. The buffer zone of the San Matías San Carlos Protection Forest is also included in the project.
- National parks (2): Tingo María National Park and Yanachaga Chemillén National Park. The buffer zones of both national parks are also included in the project.
- National Sanctuaries (1): Pampa Hermosa National Sanctuary.

D. Southeast: Madre de Dios

In the southeast cluster includes six NPAs that are part of the Vilcabamba-Amoró Conservation Corridor, a network of 19 protected natural areas with more than 30 million hectares of mountain tropical forests and tropical plains, containing critical natural habitats and biological resources, from the Vilcabamba mountain range in Peru to the Amoró National Park in Bolivia. The seven NPAs that will be supported by the project include:

- National Parks (4): Manu National Park, Bahuaja-Sonene National Park, Otishi National Park, and Alto Purús National Park. The buffer zones of Manu National Park and Bahuaja Sonene National Park are also included in the project.
- National Reserve (1): Tambopata National Reserve (adjacent to the Bahuaja Sonene national park) and its buffer zone;
- National Sanctuary (1): Megantoni National Sanctuary;
- Historic Sanctuary (1): Machupicchu Historic Sanctuary and its buffer zone.

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**Summary of Key Safeguard Issues**

Natural Habitats: This standard applies because the project entails on-the-ground activities, such as demarcation and construction of demarcation and surveillance and control infrastructure, in legally natural protected areas which host unique and critical natural habitats. Overall, project activities will produce significant conservation benefits and any potential adverse impacts on environmentally important areas including forests, grasslands and other natural habitats are expected to be very limited.

Restriction of Access: Between 30,000 and 50,000 people are estimated to live within NPAs, and up to 200,000 in their buffer zones. A significant population derives their livelihoods from the natural resources (e.g. subsistence fishing, hunting, collecting) in NPAs and from agriculture (subsistence and commercial) in the NPAs and their buffer zones. It is not expected that the project may cause physical displacement. However, economic displacement can occur during project implementation and has been occurring in the past in some NPAs. Land acquisition, land titling or physical displacement will not occur nor will be financed. Economic displacement due, for instance, to restrictions of access to natural resources and livelihoods, will be avoided as much as possible under the project through a combination of risk screening checklist,

extensive consultations, a project-level grievance redress mechanism and implementation of a Process Framework (and LRPs).

**Indigenous Peoples:** This standard is relevant because the project will involve Indigenous Peoples (IPs) from all over the Amazon basin, located in the highlands and the Amazon jungle. Indeed, IPs currently live in or around at least 24 of the NPAs and there are uncontacted or voluntarily isolated IPs (known as PIACI) in at least 6 NPAs. The impact of the project on IPs is expected to be positive because it is intended to offer them benefits (through resilient productive systems and increased adaptive capacity through habitats restoration). However, there are risks related to: (i) access barriers to project benefits because of linguistic and cultural differences (e.g. the participating IPs are usually not fluent in Spanish and might not understand the details or requirements of the project processes) and technological issues (many of them do not have access to internet, email, phone), among other limitations; (ii) limits to access the project grievance mechanisms (for the same reasons mentioned); and (iii) risks of GBV in the subprojects, mainly in those located in remote areas.

**Cultural Resources:** The project will not finance activities that involve significant excavations or that could significantly damage physical cultural resources or limit access to cultural resources. However, there are 3 project sites that have been declared by UNESCO as World Heritage sites: deemed "critical cultural heritage", these areas are important for the protection and conservation of cultural heritage and, as such, additional measures might be needed for any project activities planned for those sites.

**Community, Health, Safety and Security:** This standard applies to the project because it will involve travel and transport to and into NPAs with associated risks of spreading diseases to IPLCs and PIACI and of transport accidents. In addition, some activities such as control and surveillance may involve direct safety and public security risks (due to illegal and illicit activities).

**Standard on Pest Management:** The activities are not expected to trigger the Standard on Pest Management. The Project will not support the procurement or use of pesticides or other agricultural chemicals, or lead to the increased use of such chemicals.

**Summary of Cross Cutting Issues;** (Human Rights, Gender Equality and Women's Rights, Children's Rights, Conflict Sensitivity and Climate Change).

**Human Rights:** Although the constitution protects human rights, Peru has some challenges in this regard as the government has been accused of: corruption; failing to prevent or condemn abuses by security forces; restricting freedom of expression and extensive gender-based violence. It should also be noted that, from 2020 to 2023, 17 environmental defenders have been killed, 11 of whom were indigenous.

**Gender Equality and Women's Rights:** Peru has policies against gender-based violence but lacks resources for effective implementation. Unfortunately, gender-based violence is still common in areas where the PdP A&C project will be implemented and can be aggravated due to the presence of outsiders supporting the project implementation. This will be addressed in the project's Gender Action Plan.

**Children's Rights:** While Peru was one of the first countries to ratify the Convention on the Rights of the Child in 1990, socio-economic inequalities continue to significantly affect the lives of children in Peru, exposing them to sexual exploitation, child labor, and gender-based violence (more recently, orphanhood due to COVID-19 has become an additional issue). The government's inability to protect children's rights is starker in the case of rural, impoverished and indigenous children.

**Conflict Sensitivity:** Due to their remote location and the weak presence of the State and law enforcement in remote areas, most of Peru's NPAs in the Amazon region face public security risks. These risks are mainly associated with environmental crimes or illicit and illegal activities and might represent a moderate to high contextual risk for the activities under the PdP A&C project. Indeed, in the context of the PdP A&C project implementation, said public security risks could adversely affect: i) PdP A&C project workers such as PMU members, ii) contractors and subcontractors personnel supporting project implementation, iii) civil servants from SERNANP as lead executing agency (ANP heads, rangers) and WWF Peru personnel, iv) local implementation partners (e.g. local NGOs, IP national and regional federations); iv) native community and peasant community members within and/or adjacent to NPAs, voluntary community rangers, settlers. A security analysis and safety protocol will be developed and accompany the ESMF.

**Climate Change:** Peru emitted 210,404.42 Gg CO<sub>2</sub>eq per year in 2019. The main GHG emission source is the 'Land Use, Land Use Change and Forestry' sector due to conversion of forest and pastures, which represents over 90% of the sector's emissions (WWF, 2019). According to the Ministry of Environment's 'National Forest Conservation Program for Climate Change Mitigation', Peru has lost 2,284,889 hectares of Amazonian rainforest between 2001 and 2018, due to impacts of extractive industries, expansion of small-scale and large-scale agriculture and livestock, and infrastructure development (MINAM, 2019).

**Required Actions for Impact Assessment (ESIA) and Mitigation Framework (ESMF):**

In order to further identify environmental and social risks, determine adequate mitigation measures and ensure adequate safeguards compliance during implementation, an Environment and Social Management Framework (ESMF) will be developed for the PdP A&C project.

This document shall include a Process Framework (PF) and an Indigenous Peoples Planning Framework (IPPF), as well as provisions for adequate cultural resource management. Lastly, given the contextual risks, a security analysis and protocol should also be produced.

<small>Signed by:</small>	
<b>Signature:</b> <u>Soledad Altrudi</u>	<b>Date:</b> <u>10/28/2024</u>
<b>Name:</b> <u>Soledad Altrudi</u>	
<b>Position:</b> <u>Safeguards Specialist</u>	
<small>Signed by:</small>	
<b>Signature:</b> <u>Brent Nordstrom</u>	<b>Date:</b> <u>10/28/2024</u>
<b>Name:</b> <u>Brent Nordstrom</u>	
<b>Position:</b> <u>Senior Director, Integration and Performance</u>	