

Our Future Forests - Amazonia Verde

Environmental and Social Management Plan

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1. INTRODUCTION

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

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

Environmental and Social Risk Management Framework¹

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

2. PURPOSE

The purpose of this ESMP is to:

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

In consultation with the CI PDM ESA Team, the E&S assessment confirmed the initially determined positive and negative environmental and social risks and impacts of the project. The ESMP has informed and guided activity design, stakeholder engagement and adaptive management decisions, suggesting possible modifications in the project design to avoid risks/impacts.

3. PROJECT DESCRIPTION

CI-Brasil is consolidating a new institutional strategy to work with indigenous peoples, and in this sense, the partnerships established in the "Our Future Forest - Amazônia Verde" project are recent. Thus, the Ashaninka and Yawanawá indigenous peoples and their respective organizations are new CI-B partners, and we have been learning about their culture and social structures in the past two years². There will also be work with the Kayapó people through three organizations that represent them.

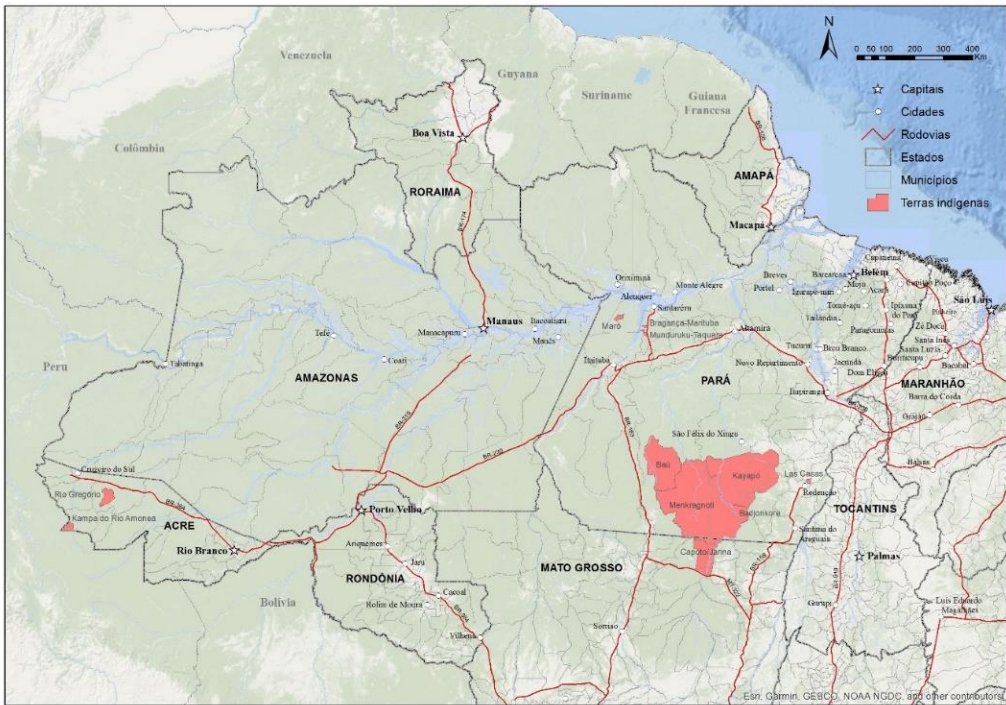
These Indigenous Organizations are organized and have a good structure with technical expertise and previous experience in implementing their own projects. So, to foster the strengthening of these organizations and respecting their autonomy and protagonism, CI Brasil preferred to work with the projects being carried out exclusively by the indigenous organizations. In this sense, the communities and their leaders decided what were the demands and priorities and drew up the work plan, respecting the outcomes established by "Our Future Forest – Amazônia Verde." With the execution of the activities being carried directly by the indigenous people, we believe will strengthen the organizations and respect the way of life, culture, and governance of these communities.

¹ For guidance provided on the ESMF and Gender Assessment, see

² Due to the COVID-19 pandemic, our contact with these communities and organizations has been exclusively by telephone and video calls since the beginning of 2020, making communication difficult and delaying project processes.

Therefore, CI-B team will coordinate the work with all five partners and will give them technical and administrative support during the execution of the Project:

- 1) APIWTXA (Ashaninka people);
- 2) ASCY (Yawanawa people);
- 3) Associação Floresta Protegida (Kayapó people);
- 4) Instituto Raoni (Kayapó people);
- 5) Instituto Kabu (Kayapó people).

3.1 PROJECT INFORMATION	
Project Title: Our Future Forest, Amazonia Verde	Country: Brazil
Project Location <ul style="list-style-type: none"> Indigenous Land Rio Gregório (Yanawawa people) - Acre Indigenous Land Kampa do Rio Amônia (Ashaninka people) - Acre Indigenous Land Kayapó, Baú, Menkragnoti e Las Casas (Pará) e Capoto/Jarina (Mato Grosso) – Kayapó people 	
	
<p>Figure 1: Map with the location of external grants.</p>	
Project Components and Main Activities Proposed: <i>ASCY (Yawanawa people)</i> <ul style="list-style-type: none"> - Update and implement Yawanawá life plan; - Territorial and carbon monitoring, including surveillance activities; 	

- Institutional strengthening of ASCY;
- Strengthening of Yawanawa representatives and leader's capacities, through scholarships and Yawanawa council meetings;
- To Foster Yawanawá productive activities such as açai production, ethnic-tourism, and handicrafts.

APIWTXA (Ashaninka people):

- Update and implement Ashaninka life plan;
- Territorial and carbon monitoring, including surveillance activities;
- Institutional strengthening of APIWTXA and Ashaninka cooperative;
- Strengthening of Ashaninka Agroforestry systems;
- To foster productive activities related to Ashaninka Cooperative such as Agroforestry system products, handicrafts and others.

KAYAPÓ PEOPLE (Associação Floresta Protegida / Instituto Raoni / Instituto Kabu)³

- Institutional strengthening of Associação Floresta Protegida, Instituto Raoni and Instituto Kabu
- CI-B will develop an activity with Kayapo related to the capacity-building of IOs and leaders. We are planning an experience exchange of 15 Kayapo representatives, including women and youth, to the Ashaninka land.

Associated Facilities (access roads or trails, water transport structures, transmission, pipelines, or utilities, storage or logistics structures, etc)⁴

Not applicable

Implementing Partner (s), if any

ESMP Form Completed by: Mayara Ferreira, Renata Pinheiro

Date: 15/03/2021

Safeguard Screening Form Reviewed by: Vince McElhinny

Date: 1/04/2021

ESA Comments:

Overall, the ESMP provides an excellent description of the project context, the key risks and mitigation options. The level of detail provided is appreciated. I highlight a few areas where some additional detail is needed. It is understood that CI lacks detail in some areas due to the engagement challenges caused by the

³ The only activity destined to the Kayapo people in CI-B Our Future Forests- AV is the Ashaninka experience exchange. CI-B is implementing other four projects with the Kayapo people. Some of them are counterpart of Our Future Forests-AV. These projects also aim to strengthen their capacity to manage their lands and conserve their forests and to foster their sustainable livelihoods and value chains. CI-B is also building a fund-raising strategy to support Kayapo Fund next cycles.

⁴ An **associated facility** (not funded as part of the project, but is a) directly and significantly related to the project, b) carried out or planned at the same time with the project, and c) is necessary for the project to be viable and would not have been constructed, expanded or conducted if the project did not exist.

pandemic, and the ESMP will be updated as needed during project implementation. Based on this assessment, the environmental and social risk classification of the project is Medium Risk.

I will comment on grievance redress mechanism shortly, but understand the training is planned in May on GRM.

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

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

1. **COVID – health and safety risks.** – High
2. **Contextual Conflict risks related to specific land use pressures on Indigenous lands or resources** - Medium.
3. **Exclusion of project affected people from benefit sharing contributing to internal conflict** – Medium
4. **Gender related exclusion from decision making and benefit sharing** – High

Some recommendations and questions for completing the ESMP.

Please add the following text to the ESMP:

Based on planned research (applying a questionnaire to understand better the social distribution of work and decision making by gender), CI-B will indicate [here](#) how women are represented in the decision making body of primary partner organizations (e.g. M/F distribution of voting members in the decision making bodies.)?

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

Community Workers. Project activities may employ IPLC community members as **community workers by implementing partner organizations or directly by the PMU**, which typically involves a voluntary agreement between the community and the Project, but not individual labor contracts. If so, the scope and nature of the risks associated with the work conditions will be assessed and managed. For example, IPLC members may be involved in the patrolling of territory boundaries, management of forests, planting of trees, and other small-scale natural resources management activities supported by the project which may include risks such as exposure to safety and security risks, pesticides, unfamiliar equipment, and potential accidents among others. For these activities the project would adopt safety measures, which may include proper management of

pesticides, use of personal protective equipment (PPEs), training for wildfires, and proper disposal of solid and liquid wastes.

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

The project would not support initiatives that directly seek changes in land use or impose additional restrictions, other than those already in place. In case that the project selects to finance an activity that results in enforcement of existing restrictions, the PF will explain the measures will be taken to ensure that this does not result in the loss of livelihoods to members of the community. Community or household dependency on the natural resources in question is also relevant in determining the risk of loss of livelihoods. The Project Team will also provide guidelines for dispute resolution mechanisms to address disputes on land use or access to resources that result from voluntary/community enforced restrictions.

Project Safeguard Risk Category:

- ☐ low risk
☒ **moderate risk** (based on the observed risks and capacity of CI-B to manage high GBV risks)
☐ high risk

Summary of Safeguards Triggered:

- 4.1.1 Environmental and Social Assessment*
- 4.1.2 Labor & Working Conditions*
- 4.1.3 Voluntary Resettlement*
- 4.1.4 Natural Habitats and Biodiversity*
- 4.1.5 Indigenous Peoples safeguard*
- 4.1.6 Physical Cultural Resources*
- 4.1.7 Community Health and Safety safeguard*
- 4.1.8 Climate Change, Resource Efficiency & Pest Management safeguard*
- 4.1.9 Financial Intermediaries and Private investment safeguard*
- 4.1.10 Gender Equity*
- 4.1.11 Stakeholder Engagement*

Planned Assessments or Tools:

- 1) Gender Plan
- 2) Risk Matrix
- 3) Identification and Analysis of Stakeholders
- 4) Accountability and Grievance Mechanism

Work tools aligned with Project Management for Development Professionals (PMD Pro) such as:

- Schedule for monitoring activities
- Risk matrix

- Indicator panels
- Financial controls
- Quarterly technical activity reports with external grants
- Quarterly financial statements

3.2 PROJECT CONTEXT

Project Location and Scope

Below are the main activities carried out by each external grant. For more details, see the work plan:

ASCY (Yawanawá):

Outcome 1: Newly secured protection and improved management of Indigenous Peoples and Local Communities (IPLC) lands

OUTPUT 1.1 Support IPLCs to manage and monitor their land using traditional knowledge and new technology

Activity:

- Support the update of Yawanawa life plan and its implementation by IPLCs

OUTPUT 1.2: Support IPLCs to increase areas under conservation protection.

Activity:

- Develop a protocol and a territorial participatory monitoring system in the Yawanawa indigenous land (forest cover, carbon, and natural resources - fauna and flora monitoring)

Outcome 2: Indigenous Leaders empowered and community capacity needs met

OUTPUT 2.1 Strengthen the capacity of IPLC organizations

Activity:

- Improve the office facility of ASCY

OUTPUT 2.2 - Train the IPLC leaders of tomorrow – enabling emerging leaders (men and women) to address development pressures

Activity:

- Strengthen women and youth participation and empower leadership roles

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

OUTPUT 3.1 - Expand sustainable livelihood opportunities through Conservation Agreements, developing and enhancing sustainable value chains and business development

Activities:

- Improvement of açai berry processing facility
- Visitation program (ethnic tourism)
- Strengthening productive cultural activities of Yawanawa women and handicraft production

APIWTXA (Ashaninka):

Outcome 1: Newly secured protection and improved management of Indigenous Peoples and Local Communities (IPLC) lands

OUTPUT 1.1 Support IPLCs to manage and monitor their land using traditional knowledge and new technology

Activities:

- Support the update of Ashaninka's life plan and its implementation by IPLCs
- Support territorial monitoring and surveillance activities.

Outcome 2: Indigenous Leaders empowered and community capacity needs met

OUTPUT 2.1 Strengthen the capacity of IPLC organizations

Activities:

- Strengthening the management capacity of the organization.
- Support the participation in meetings and strategic plannings and mobilization involving multiple stakeholders.

OUTPUT 2.2 - Train the IPLC leaders of tomorrow – enabling emerging leaders (men and women) to address development pressures

Activity:

- Strengthen women and youth participation and empower leadership roles

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

OUTPUT 3.1 - Expand sustainable livelihood opportunities through Conservation Agreements, developing and enhancing sustainable value chains and business development

Activities:

- Develop Ashaninka Cooperative's business plans, including Agroforestry system's products consolidation.
- Support the strengthening of current sustainable businesses.

KAYAPÓ PEOPLE (Associação Floresta Protegida / Instituto Raoni / Instituto Kabu)⁵

Outcome 2: Indigenous Leaders empowered and community capacity needs met

⁵ The activities with the Kayapó people will be just an exchange of knowledge allocated in Outcome 2. There will be no field activities, only actions linked to the institutional strengthening of these organizations.

OUTPUT 2.1 Strengthen the capacity of IPLC organizations

Activity:

- Experience exchange with Ashaninka on institutional and community organization and sustainable productive activities.

ASSOCIAÇÃO FLORESTA PROTEGIDA (Kayapó)

Outcome 2: Indigenous Leaders empowered and community capacity needs met

OUTPUT 2.1 Strengthen the capacity of IPLC organizations

Activities:

- Strengthening the management capacity of the organization.
- Support for political and cultural actions

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

YAWANAWÁ People

The Yawanawá people are located within a protected area called: Rio Gregório Indigenous Territory. It is located in the northwest of Acre, in the Brazilian Amazon, and has 187 thousand hectares. It is located in the city of Tarauacá, but the indigenous land is in an isolated area on the banks of the Gregório River (a tributary of the important Juruá River). The equatorial forest entirely covers the territory.

ASHANINKA People

The Ashaninka people are located in a indigenous land called: Kampa of the Amônia River. It is located on the border between Acre and Peru, in the Brazilian Amazon, and covers 87,000 hectares. It is located in the municipality of Marechal Thaumaturgo, and the indigenous land is on the banks of the Amônia River (a tributary of the important Juruá River). The equatorial forest entirely covers the territory.

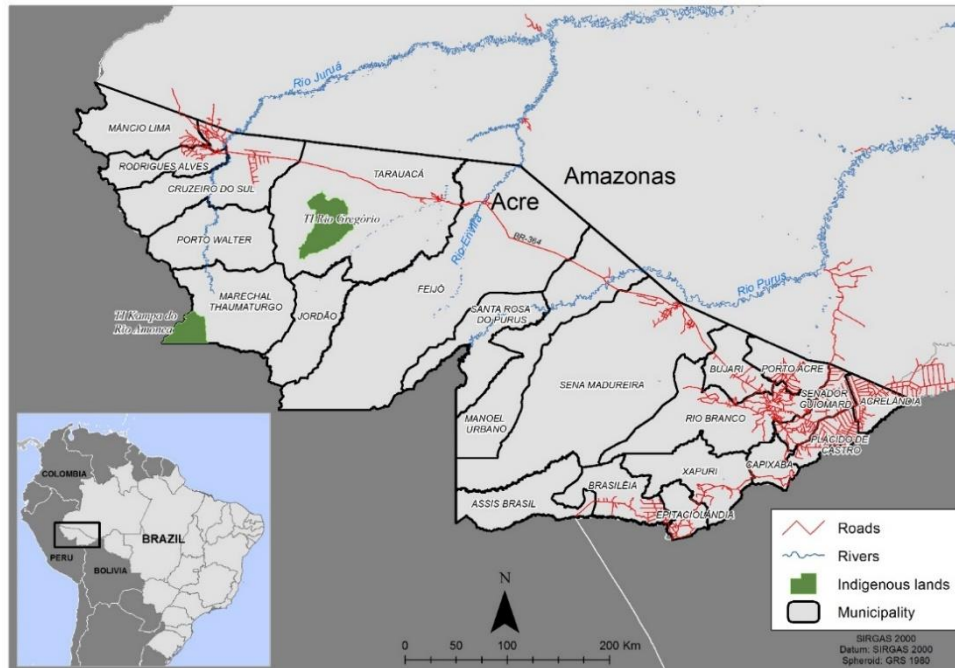


Figure 2: Map Acre and Rio Gregório (Yawanawa) and Kampa do Rio Amônia (Ashaninka) Indigenous Land.
Source: CI-B

KAYAPÓ People

The Kayapó people are located within a set of five contiguous indigenous lands called: Kayapó, Menkragnoti, Baú, Las Casas, and Capoto/Jarina. Situated in the Xingu river basin, they are located in Mato Grosso's and Pará state, and are the largest Brazilian set of indigenous lands managed by a single indigenous group. The Kayapó live in villages scattered along the upper reaches of the Branco, Fresco, and other tributaries of the large Xingu River, drawing in Central Brazil a territory almost as large as Austria (10.6 million hectares). The equatorial forest practically covers it.

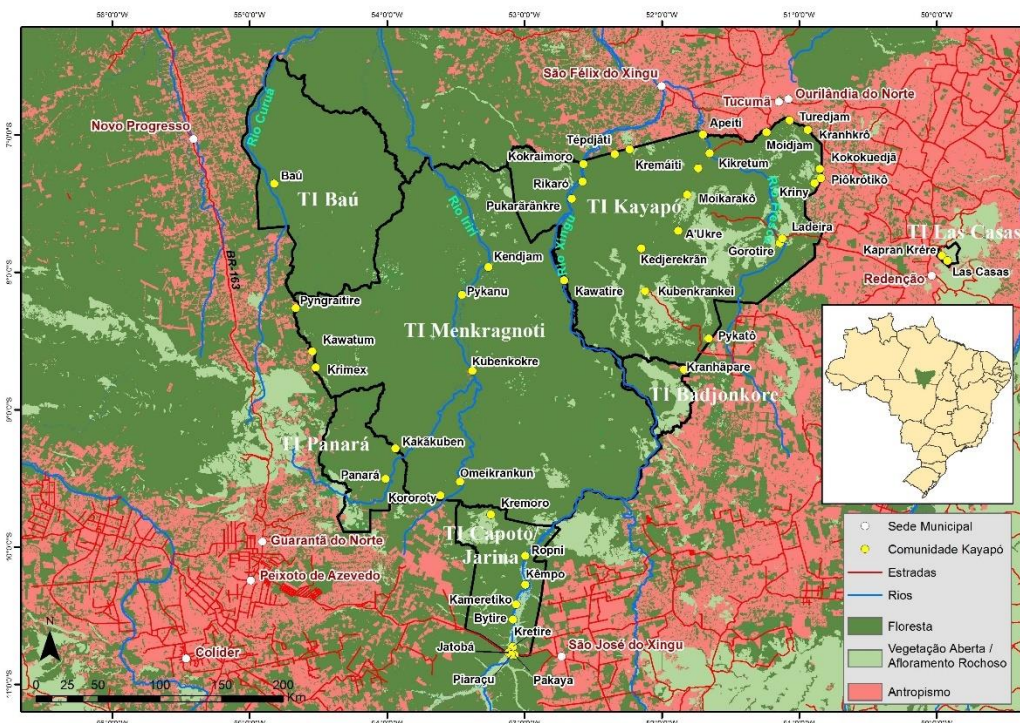


Figure 3: Map of Kayapó indigenous Lands (Kayapó, Baú, Menkragnoti, Capoto-Jarina and Las Casas).
Source: CI-Brasil

COIAB

COIAB is the institution that represents all indigenous organizations in the Brazilian Amazon. The head office is located in Manaus, Amazonas' state.

Physical and Biological Environment

Biological Context of Project Area

Indicate global significance (e.g., biodiversity hotspot, Ramsar site, Key Biodiversity Area, irrecoverable carbon) of the project area (*Please identify any fragile or critical natural habitat⁶ that may be affected by project activities and needing specific consideration in the area (wetlands, mangroves, estuaries, etc.).*)

According to the MENC2 study, done by CI in 2016, with information on natural capital in the Amazon, it was identified that in the indigenous land of the Yawanawá and Ashaninka communities, there is exceptionally high species richness. In Baú indigenous land, there is high species richness; and in the others, is medium with a high influence.

Regarding the level of endemism, according to the same study, in the indigenous land of the Yawanawá and Ashaninka communities, the level is medium, tending to be lower, and in the Kayapó ethnicity Indigenous Lands it is low.

Yes **No**



⁶ Critical habitats are any area of the planet with high biodiversity value, including (i) habitat of significant importance to Critically Endangered and/or Endangered species; (ii) habitat of significant importance to endemic and/or restricted-range species; (iii) habitat supporting globally significant concentrations of migratory species and/or congregatory species; (iv) highly threatened and/or unique ecosystems; and/or (v) areas associated with key evolutionary processes.

<p>The indigenous land of the Yawanawá and Ashaninka are part of the Amazon endemism center Inambari; the indigenous land Baú, Menkragnoti, Capoto Jarina, and part of the indigenous land Kayapó, integrate the Tapajós endemic center; and most of indigenous land Kayapó is part of Xingu endemism center. These endemism's centers are areas of great value for the Amazon biodiversity conservation.</p> <p>For the irrecoverable carbon, we consider areas with degradation by mining activities between 2016 and 2020 from DETER / INPE. In Baú indigenous land, there is 74.8 ha of areas with mining remnants and Kayapó indigenous land has 3,584.07 ha.</p> <p>Regarding areas of more fragile structure in these territories, according to vegetation mapping of IBGE (2019), there is, in Capoto Jarina Ind. Land, the presence of humid areas (pioneer formations with fluvial and/or shrubby lake influence) - that in times of drought are subject and vulnerable to fire. The humid total area in Capoto/Jarina is 5.0875,4 ha.</p>		
<p>Identify endemic and IUCN Red Listed species (Please list any endangered or critically endangered flora /fauna species found in the Project area based on national and international (IUCN Red List or similar) standards:</p> <p>Fauna: <i>Baryancistrus niveatus</i>, <i>Attila spadiceus</i>, <i>Baryancistrus niveatus</i>, <i>Brycon</i>;</p> <p>Flora: <i>Virola</i>, <i>Serjania</i>, <i>Cuphea</i>, <i>Adiantum</i>, <i>Calea</i>, <i>Combretum</i>, <i>Pouteria</i>, <i>Dilleniaceae</i>, <i>Blechnum</i>, <i>Bromeliaceae</i>, <i>Crenicichla</i>, <i>Polygala</i>, <i>Erythroxylum</i>, <i>Sloanea</i>, <i>Polygala</i>; <i>Passiflora</i>, <i>Myrcia</i>, <i>Erythroxylum</i>, <i>Tibouchina</i>, <i>Dalechampia</i>, <i>Aristolochia</i>, <i>Piper</i>, <i>Micropholis</i>, <i>Faramea</i>, <i>Ischnosiphon</i>, <i>Bauhinia</i>, <i>Proteaceae</i>, <i>Picramnia</i>, <i>Heteropterys Esenbeckia</i>, <i>Tibouchina</i>, <i>Erythroxylum</i>, <i>Polygala</i>, <i>Mimosa</i>, <i>Comanthera</i>, <i>Hopliancistrus</i>.</p> <p>Source: https://portaldabiodiversidade.icmbio.gov.br/portal/</p>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
<p>Current or planned indigenous/local community conservation/protected territories (or other types of protected areas)</p> <p>Terra Indígena Rio Gregório (Acre) Terra Indígena Kampa do Rio Amônia (Acre) Terra Indígena Kayapó (Mato Grosso) Terra Indígena Menkragnoti (Mato Grosso) Terra Indígena Baú (Mato Grosso) Terra Indígena Las Casas (Mato Grosso) Terra Indígena Capoto/Jarina (Mato Grosso)</p>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
<p>Current or planned buffer zones</p> <p>Not applicable</p>	<input type="checkbox"/>	<input checked="" type="checkbox"/>

<p>Major ecosystem types (<i>check all that apply</i>): forest <input checked="" type="checkbox"/>, grassland <input type="checkbox"/>, desert <input type="checkbox"/>, tundra <input type="checkbox"/>, freshwater <input type="checkbox"/>, marine <input type="checkbox"/></p>
<p>Key natural and other landscape features (<i>check all that apply</i>):</p>

major rivers ☒, mangroves ☐, large scale agriculture ☐, tourism areas ☒, major transport infrastructure ☐, wind or renewable energy ☐, oil/gas or mining ☐

Deforestation rate (local or regional est. if possible) ha/yr (within the indigenous territory or the most relevant local or regional area)

Indigenous Land	State	Average deforestation Km2
TI MENKRAGNOTI	PA/MT	0,98
TI KAYAPO	PA	5,08
TI LAS CASAS	PA	0
TI BAU	PA	0,2
TI CAPOTO/JARINA	MT	5,18
TI RIO GREGORIO	AC	2,16
TI KAMPA DO RIO AMONEA	AC	0,08

Table 1: Deforestation rate from 2009 to 2019 within Indigenous Lands

Targeted Indigenous or Community Conservation Territory (or protected area) (ha)

Indigenous Land	State	Area Km2	Hectares
TI MENKRAGNOTI	PA	49492,00	4.949.200
TI KAYAPO	PA	32989,80	3.298.980
TI LAS CASAS	PA	214,40	21.440
TI BAU	PA	15477,40	1.547.740
TI CAPOTO/JARINA	MT	6370,40	637.040
TI RIO GREGORIO	AC	1879,50	187.950
TI KAMPA DO RIO AMONEA	AC	872,40	87.240

Table 2: Indigenous Conservation Territory

Temperature range (min, max)

Indigenous Land	State	Temp Max	Temp Min
TI MENKRAGNOTI	PA	30,74	17,48
TI KAYAPO	PA	32,95	16,32
TI LAS CASAS	PA	33,59	17,89
TI BAU	PA	33,05	17,71
TI CAPOTO/JARINA	MT	34,13	16,45
TI RIO GREGORIO	AC	30,74	17,95
TI KAMPA DO RIO AMONEA	AC	31,5	18,7

Table 3: Temperature range in degrees Celsius (C°)

Precipitation (ave per year, mm)

Indigenous Land	State	Annual Precipitation (mm)	Precipitation rainy months (mm)	Precipitation of dry months (mm)
TI MENKRAGNOTI	PA	2187	357	5

TI KAYAPO	PA	2077	315	8
TI LAS CASAS	PA	1924	281	11
TI BAU	PA	2880	360	9
TI CAPOTO/JARINA	MT	2241	391	2
TI RIO GREGORIO	AC	2006	371	36
TI KAMPA DO RIO AMONEA	AC	1725	239	36

Table 4: Precipitation in mm

Socio-economic Context of Project Area

Estimated affected population (people)

Indigenous Land	State	Population
TI MENKRAGNOTI	PA	1707
TI KAYAPO	PA	5034
TI LAS CASAS	PA	409
TI BAU	PA	382
TI CAPOTO/JARINA	MT	1550
TI RIO GREGORIO	AC	1200
TI KAMPA DO RIO AMONEA	AC	940

Table 5: Estimated affected population

Direct beneficiaries targeted (people)	2.185	
Number of villages or communities targeted	12	
Estimated poverty rate (% of hh, based on national poverty line) There is no data in Brazil on the poverty index for each indigenous people. The data we have is that of the 750 thousand Indians - numbers from the 2000 Census -, about 285 thousand (38%) live in extreme poverty in Brazil. Source: "The situation of the world's indigenous peoples" – United Nations, 2010.		
Total land area (ha) – <i>affected by the project</i>	10.729.590 hectares	
Number of indigenous groups (<i>please list</i>): Ashaninka people Yawanawá people Kayapó people	3	
Describe the project area:	Yes	No
Places of spiritual, social, cultural, religious or historical/archaeological interest (<i>please identify with appropriate attention to any protections of traditional knowledge</i>) Yawanawá Life Plan Etnomapeamento Ashaninka O mundo visto de cima PGTA Las Casas_ A Nossa Terra	<input checked="" type="checkbox"/>	<input type="checkbox"/>

attached in this report		
Does the community have access to electricity	<input type="checkbox"/>	<input checked="" type="checkbox"/>
Access to health care services?	<input checked="" type="checkbox"/>	<input type="checkbox"/>
Access to education services?	<input checked="" type="checkbox"/>	<input type="checkbox"/>
Access to water and sanitation services? Some have artesian wells	<input type="checkbox"/>	<input checked="" type="checkbox"/>
Are there legacy issues of conflict?	<input checked="" type="checkbox"/>	<input type="checkbox"/>
In last 5 years, has there been any natural disasters (flood, drought, winds, earthquake, wildfire, volcanic event, etc) ? flood and drought	<input checked="" type="checkbox"/>	<input type="checkbox"/>
Have there been any COVID-19 related deaths in the communities? Yawanawá – many cases, one death (elder) Ashaninka – 4 cases, no death Kayapó – many cases (until March - 1020 cases) and 05 death	<input checked="" type="checkbox"/>	<input type="checkbox"/>
Main livelihood activities (<i>check all that apply</i>): Logging/Forestry <input type="checkbox"/> , Agriculture <input type="checkbox"/> , Livestock (small scale) <input checked="" type="checkbox"/> , Hunting <input checked="" type="checkbox"/> , Fishing <input checked="" type="checkbox"/> , NFTP collection <input checked="" type="checkbox"/> , Small business <input type="checkbox"/> , Other <input checked="" type="checkbox"/> Small scale agroforestry system		
Land uses (<i>check all that apply</i>): Residential <input checked="" type="checkbox"/> , Agriculture/pasture (individual) <input type="checkbox"/> , Agriculture/pasture (Family/ collective) <input checked="" type="checkbox"/> , Conservation <input checked="" type="checkbox"/> , , Reduced Impact Logging/Forestry <input type="checkbox"/> , Industrial <input type="checkbox"/> , Other <input checked="" type="checkbox"/> describe: ethnourism and agroforestry system		
Land ownership (check all that apply): Individual -private <input type="checkbox"/> , Collective/communal <input type="checkbox"/> , State/public land <input checked="" type="checkbox"/> , informal, customary ownership <input type="checkbox"/> , Other <input type="checkbox"/> describe: _____		
Describe how men and women access, use, manage and govern the natural resources that the project seeks to focus on. Also describe the level of gender-based violence in the project site or region. About gender violence: There is no official data on the gender-based violence that indigenous women suffer in Brazilian territory. The laws to protect against gender-based violence do not have specificities for indigenous women's care, who often do not know the laws. They are far from protection institutions. These institutions are not prepared for women who do not speak Portuguese example. Social division of labor: <u>Yawanawa:</u> Men: hunting, fishing, building, handicraft, slash-and-burn planting site, planting food crops, harvesting. Women: harvesting, cooking, handicrafts. Men and women: political and community leadership <u>Ashaninka:</u> Men: hunting, fishing, building, handicraft, slash-and-burn planting site, planting food crops, harvesting, collect firewood, political and community leadership. Women: planting, harvesting, cooking, handicrafts.		

<p><u>Kayapó</u></p> <p>Men: hunting, fishing, political activities and community leadership, handicraft. Women: planting food crops, cooking, preparing cassava flour, handicrafts. Women political participation is increasing. Family activities: harvesting Brazil nuts and tonka beans seeds.</p>		
<p>For any planned or existing relevant land agreements (related to conservation agreements, carbon agreements, private or public land donations, contracts with private landowners, informal ownership rights), please identify and document any recent or planned land acquisition or restrictions to natural resource access rights:</p> <p>Not applicable</p>		
<p>Describe any additional information on economic, social, and cultural context of indigenous peoples or local communities living in, the area of the proposed project (<i>for example, any disadvantaged/vulnerable/disabled groups, human rights issues, conflicts, presence of illegal activities, etc.</i>)</p> <p>Presence of illegal activities in the Kayapó and Baú Indigenous Lands: illegal gold-mining and logging, involving a small part of Kayapó people in some Kayapo villages (around 12 villages, from a total of 74 villages in five Kayapo lands). Threats are increasing due to political context and some Brazilian legislation changes related to economic activities and exploitation allowed in indigenous lands.</p> <p>Ashaninka: the surrounding of the demarcated indigenous land is a drug trafficking route from Peru to Brazil. Illegal logging happened in the past and is always a threat. Road construction in the surroundings is a present threat.</p> <p>Yawanawa: illegal fishers and hunters often invade the demarcated indigenous land. There is a possibility of legal logging in one neighboring area that would cause a series of disturbances to the indigenous land's wildlife.</p>		
Institutional Capacity ⁷	Yes	No
Respect for the rights of indigenous peoples (<i>knowledge, recognition, respect and proactive protection of indigenous rights by all relevant parties</i>)	<input checked="" type="checkbox"/>	<input type="checkbox"/>
Strong local governance (<i>no incidence of corruption, transparent, representative and accountable decision-making bodies, effective resolution of disputes</i>)	<input type="checkbox"/>	<input checked="" type="checkbox"/>
Secure land rights (<i>no outstanding land tenure or land rights conflicts</i>)	<input checked="" type="checkbox"/>	<input type="checkbox"/>
Satisfaction with existing land use agreements (<i>including any concession, lease, or conservation agreements</i>)	<input checked="" type="checkbox"/>	<input type="checkbox"/>
No incidence of violence /discrimination toward women or marginalized groups ⁸	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>
<p>Does the project team have experience in implementing safeguards, gender, and stakeholder engagement? Please describe briefly:</p> <p><i>Mayara (manager) and Vivian (coordinator) have experience implementing a gender plan and working with projects and indigenous peoples.</i></p>	<input checked="" type="checkbox"/>	<input type="checkbox"/>

⁷ Brazil is going through a difficult phase to guarantee indigenous, environmental and human rights in general. Therefore, although indigenous people have legal security guaranteed by the Federal Constitution and adjacent laws, there is an imminent danger that environmental protection laws and indigenous peoples will be dismantled

⁸ CI-B is starting to work with these indigenous peoples and will be developing a baseline this type of information

<p><i>Mayara also has experience with project management tools such as risk matrix, stakeholder engagement.</i></p> <p><i>Renata (senior manager) has extensive experience with indigenous peoples, implementing safeguards, and engaging stakeholders.</i></p> <p><i>Teçá (coordinator) has experience with indigenous peoples and stakeholder engagement</i></p>		
<p>Do the implementing partners have experience in implementing safeguards, gender, and stakeholder engagement ⁹ (please describe briefly)</p> <p>CI-B is starting to work with these indigenous peoples and we still don't know this type of information</p> <p>The due diligence process was carried out by the CI with all the grantees that will perform the activities in the field. They were classified as high risk because they are indigenous organizations, which have another logic of project management. To ensure the full execution of the projects, the CI Brazil team will monitor all projects weekly, looking forward to possible risks, translating bureaucracies, developing project management tools that will facilitate management monitoring, among other mechanisms.</p>	<input type="checkbox"/>	<input type="checkbox"/>
<p>Please list any other projects (by the government, national or international NGOs or companies) that could either influence this project, be influenced by this project or lead to similar impacts on project stakeholders.</p> <p>Does not apply</p>		
<p>Source Documentation – please describe any sources for information provided in the ESMP</p>	Yes	No
<p>Site visit(s) – please provide date(s), places, persons visited</p> <p><i>Period:</i> April 29 to May 9, 2019 <i>Objective:</i> To learn about forest restoration initiatives and have an overview of general activities and projects managed by indigenous people and main demands and issues <i>Locations:</i> Rio Gregório Indigenous Territory (Yawanawá and Katukina People), and Kampa do Rio Amônia Indigenous Territory (Ashaninka People) - ACRE <i>CIB participants:</i> Renata S. Pinheiro and Miguel Moraes <i>Local partners:</i> Yawanawá Sociocultural Association (ASCY) Ashaninka People's Association of Rio Amônia (Apiwtxa)</p> <p><i>Period:</i> December 12 and 15th, 2019. <i>Objective:</i> Introduce the "Our Future Forest – Amazônia Verde" and the project possibilities between the CIB and the Ashaninka and Yawanawá indigenous peoples. To align demands and expectations from the communities and to have their consent to build a partnership and include their projects in the Amazonia Verde proposal <i>Locations:</i> Rio Gregório Indigenous Territory (Yawanawá and Katukina People), and Kampa do Rio Amônia Indigenous Territory (Ashaninka People) - ACRE <i>CIB participants:</i> Renata S. Pinheiro and Miguel Moraes <i>Local partners:</i> Yawanawá Sociocultural Association (ASCY) and Yawanawa Council representatives and Ashaninka People's Association of Rio Amônia (Apiwtxa)</p> <p>Attached to this report are the minutes, attendance lists and visit reports.</p>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
<p>Technical documents</p>	<input checked="" type="checkbox"/>	<input type="checkbox"/>

⁹ Additional due diligence may be necessary for financial intermediaries or large subgrantees that are funded by the project.

Indigenous People Life Plans ¹⁰		
Publicly available source of information, including media reports, please describe or provide links <ul style="list-style-type: none"> - Government information about indigenous people: https://www.gov.br/funai/pt-br - Partner institutions that also perform activities with indigenous people: https://www.socioambiental.org/pt-br - Apiwtxa institutional website (Ashaninka): http://apiwtxa.blogspot.com/ - ASCY institutional website (Yawanawá): https://www.ascy.org/ - COIAB institucional website: https://coiab.org.br/ - Fundo Podáali: https://www.fundopodaali.org.br/ - Fundo kayapo: https://www.funbio.org.br/programas_e_projetos/fundo-kayapo/ 	<input checked="" type="checkbox"/>	<input type="checkbox"/>
Consultation with key informants <ul style="list-style-type: none"> - Indigenous leadership and communities representatives 	<input checked="" type="checkbox"/>	<input type="checkbox"/>
Biophysical sample analysis	<input type="checkbox"/>	<input checked="" type="checkbox"/>
Professional judgement by Project team members	<input checked="" type="checkbox"/>	<input type="checkbox"/>

4. RISK ASSESSMENT & MITIGATION PLANNING

a. Safeguard Standards for Environmental & Social Assessment

The project will follow CI's Rights-based Approach (RbA)¹¹ and related tools and guidance. In addition, the project will strive to adhere to the safeguard policy framework of the CI GEF/GCF ESMF (v.7),¹² which outlines more clearly detailed requirements for identifying and managing environmental and social risks and impacts in 12 possible areas. The E&S assessment should focus on the issues that are most important for design, decision-making and stakeholder interests. E&S risks and impacts that need to be further assessed in this report have been identified during the screening and categorization exercise. **For background detail of the content and procedure for any safeguard, see [GEF/GCF ESMF](#).**

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

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

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

¹⁰ Life Plans are documents prepared by the indigenous people and guide ongoing projects and activities, especially those aimed at territorial and environmental management.

¹¹ CI's Rights-based Approach (RBA) consists of eight (8) guiding principles and institutional policies that ensure human rights are protected in our work. See CI RBA Sharepoint site.

<https://conservation.sharepoint.com/sites/RBASafeguards/SitePages/RBA-Policies.aspx>

¹² CI GEF Project Agency – Environmental and Social Management Framework, 2020, v7. Updated Version 7 forthcoming. https://www.conservation.org/docs/default-source/gcf/ci_gef_gcf-esmf-version-7.pdf?sfvrsn=a788de43_4

- 4.1.3 *Voluntary Resettlement safeguard* outlines steps to assess risks of economic displacement associated with access restrictions, use of compensatory measures, and reaching agreements in a transparent, accountable manner (prohibiting involuntary resettlement).
- 4.1.4 *Natural Habitats and Biodiversity Safeguard* – outlines steps for identifying and managing risks to biodiversity and habitat, including any use of offsets.
- 4.1.5 *Indigenous Peoples safeguard (including Free Prior Informed Consent (FPIC))*. CI was founded on the understanding that successful conservation requires respect for human rights and the full and effective participation of IPLCs whose livelihoods depend on natural resources. CI has in place several institutional policies that all staff must adhere to that uphold a respect for Indigenous People's rights and processes that respect Free Prior Informed Consent (FPIC). CI has accepted that policies alone are insufficient for creating lasting change and created "Guidelines for applying FPIC: A Manual for Conservation international."¹³ Each component of the guidelines was designed to assist CI staff in implementing a fair and effective FPIC process. FPIC is not simply a decision-making process or a veto mechanism for the community, but a tool to ensure that outside people and organizations engage IPLCs in a culturally appropriate way. While an FPIC process was not possible during the design stage of the project, this safeguard supports documentation of consultation processes that were conducted and plans for continued consultation during project implementation.
- 4.1.6 *Physical Cultural Resources safeguard* – outlines steps to identify and manage risks for tangible (physical) and intangible (traditional knowledge) forms of cultural heritage.
- 4.1.7 *Community Health and Safety safeguard* – outlines types of risks associated with the collective health and safety of communities, including public health (pandemic), use of private security forces or community patrols, incidence of social conflict, or emergency preparedness for natural disasters.
- 4.1.8 *Climate Change, Resource Efficiency & Pest Management safeguard*– outlines steps to identify and manage risks associated with climate change, and to promote appropriate mitigation and adaptation measures (including sustainable use of pesticides and scarce resources such as water).
- 4.1.9 *Financial Intermediaries and Private investment safeguard* – outlines steps to identify and manage risks associated with use of intermediary bodies to provide subgrants or pool investment for funding project activities.
- 4.1.10 *Gender Equity safeguard* – outlines steps to identify and manage risks of gender exclusion or potential gender-based violence, as well as to promote gender equality in access to project opportunities or benefits.
- 4.1.11 *Stakeholder Engagement* – outlines steps to identify and analyze project stakeholders and design and implement a stakeholder engagement plan.
- 4.1.12 *Grievance Redress* – outlines principles and steps to design and operate a suitable mechanism for receiving and responding to project complaints.

4.2 National Permitting

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

Permit / Document	Status	Actions
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¹³ See FPIC guidelines here https://www.conservation.org/docs/default-source/publication-pdfs/ci-fpic-guidelines-english.pdf?sfvrsn=16b53100_2

Authorization to enter indigenous land / FUNAI	Not started	Required only when we are going to do the audiovisual productions, ethnic-tourism (tourism), and research activities within indigenous lands
Exemption from Environmental Licensing / IBAMA	Not started	There will be a consultation with the public agency IBAMA, according to the regulations (Portaria 15/2018), and depending on the activity, request the exemption of environmental licensing.

No small scale construction will require permits.

Yawanawá (ASYC):

- They will build 6 community huts to receive tourists. These constructions will be made traditionally, using wood and leaves, respecting the architecture and culture of these people.

- They will renovate the ASYC headquarters

5. ENVIRONMENTAL & SOCIAL RISK MITIGATION MEASURES

5.1 Prediction and Assessment of Risks and Impacts from Project Activities

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

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

Risk category may also be related to the capacity of the implementation partner to manage CI safeguard requirements. An unprecedented risk that may be new for the project team might be considered a higher level risk until the team becomes more familiar with managing this risk.

Table 1. Project Activity Risk Categorization

Project Activity	Type of social or environmental risk or impact (or N/A)	Risk Category (Low, Medium, High)

1. Context Risk – Weak Governance	There are laws and public agencies that establish legal parameters of indigenous rights. However, depending on the federal government, these policies are weakened or ignored, creating risk in guaranteeing indigenous rights. Several possible external risk factors are present - illegal activities, mining noted in Kayapó territory and illegal logging in Ashaninka and Yawanawa territory, recent threats against COIAB and other indigenous leaders and the associated conflicts with patrolling.	A
2. Context Risk – COVID-19	Health, safety, and security risks for community partners and for CI staff related to how COVID-19 infections limit the ability to conduct field work. Some communities have had the start of the vaccinated population, but the CI team still has no perspective on when vaccines will be for non-indigenous peoples. There is a federal government ban (FUNAI) on the entry of non-indigenous people into the Indigenous Territory	A
3. Land use management plans/Life Plans	Conflict risks related to specific land use pressures on Indigenous lands or resources.	B
	Risks to Natural Habitats, protected area, endangered species, or ecosystems. The risk is low because the Yawanawá and the Ashaninka already have PGTA and do good management of their territory. Av will assist you in updating these documents.	C
4. Land titling or tenure security improvements	Land tenure, boundary demarcation related conflicts. The risk is low in this case because the lands of Yawanawá and Ashaninka have already been demarcated and homologated, that is, they have a series of laws that guarantee the use of the territory exclusively by these peoples.	C
5. Training, fellowships, business plan development	Exclusion of Project affected people from benefit sharing contributing to internal conflict The projects are elaborated and are approved by the community, in this way, there is an average risk of having problems about internal conflicts.	C
	Gender related exclusion from decision making and benefit sharing In the Yawanawá, the risk is low because women have active political and decision-making participation. In the Ashaninka, on the other hand, it is an issue that we will need to build with them alternatives so that the activities have gender equality if it is in their interest.	B
	Pollution, waste, chemical, pesticide risks from agricultural or agro-processing activities Because it is demarcated land, and this risk is low. Also, the lands adjacent to these territories are protected areas (protection areas and other indigenous lands)	C

	<p>Risks to tangible, intangible cultural heritage, particularly if ecotourism intends to commercialize cultural heritage. The Yawanawá has carried out the activity of ethnotourism for many years. In fact, it was through this activity that there was a process of cultural rescue. Ethnotourism, the way it is done, guarantees these indigenous people's financial survival and, at the same time, preserves and values cultural aspects. Ethnotourism activities were included in the AV project at their request.</p> <p>It is cultural tourism around traditional rituals linked to traditional rituals.</p> <p>There will also be, through the AV, the production of a business plan focused on ethnotourism, which will avoid risks.</p>	C
	Risk of project delay because the development of activities is tied to external consultancies (non-indigenous) and due to COVID can not enter the Indigenous Lands	A
6. Conservation Agreement - access restrictions to resources or lands	Conflict related to benefit sharing equity	C
	Indigenous Lands in Brazil has environmental protection status, has no exploratory or extractive activity. They are areas of environmental conservation. In this way, the Conservation Agreements does not apply. Risks to livelihoods when access to natural resources is restricted is low.	C
7. All activities	Sexual exploitation, abuse, or harassment of women (SEAH) or children	C
8. Financing mechanism, co-financing	The possible dilution of the project ESMF requirements when investor funding requirements set a lower standard, the reputational risk to the project from financial partners that may not uphold equally high standards in their wider operations or portfolio, and finally, greater operational risk through dependence on subgrantees to implement activities	C

5.2 Risk Mitigation Measures

Table 2 identifies appropriate and justified measures to avoid, reduce or mitigate potential negative impacts and enhance positive impacts. Due diligence for implementing partners is also considered. Project staff will assess the safeguard capacity of any implementing partner, including Indigenous Peoples Organizations as a need and identify appropriate training measures to ensure ESMF requirements are met (as outlined in a subgrant contract). Safeguard training will be made available as needed to partner organizations, particularly those that are implementing project activities.

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

1. COVID – health and safety risks: High.

Brazil is the third mortality-dead country globally, and currently, in May 2021, it has the unfortunate mark of almost 450,000 deaths due to the COVID-19 pandemic. The Brazilian government has been inefficient in responding to the

health crisis and is being investigated for it. This government unpreparedness harmed society, but the consequences for indigenous peoples were disastrous.

In this way, we at CI Brasil are following all safety protocols with redoubled care. The indigenous peoples were vaccinated as a priority. All Ashaninka and Yawanawa have already received both doses of vaccination. The Kayapó, for cultural and religious reasons, are resisting being vaccinated, and thus part of the community is still susceptible to the disease.

If the CI team is not vaccinated, we will not go to the villages and monitor the activities remotely. Even vaccinated, the CI team will adopt World Health Organization (WHO) protocols, if necessary.

As the activities are being carried out exclusively by indigenous peoples through community organizations, and in the villages of Acre all are vaccinated, the possibility of contagion is low. Even though our partners were still instructed to avoid high-risk activities of contamination and protect themselves following the World Health Organization (WHO) protocol.

2. Contextual Conflict risks related to specific land use pressures on Indigenous lands or resources:
Medium.

Several possible external factors - illegal activities, mining noted in Kayapó territory and illegal logging in Ashaninka and Yawanawa territory, recent threats against COIAB ¹⁴ and other indigenous leaders and the associated conflicts with patrolling. These risks are mostly contextual – not caused by the project. CI -Brasil team will monitor these risks through the risk matrix, following CI's security protocols.

3. Exclusion of project affected people from benefit sharing contributing to internal conflict: Medium

The indigenous peoples we will work, have a certain unity of purpose and projects, but there are always dissident groups that disagree with the village leaders. We will encourage everyone to participate equally in the project activities. For this purpose, we will use the Gender Plan, Stakeholder Engagement Plan, and ESPM as tools.

4. Gender related exclusion from decision making and benefit sharing: Medium

Yawanawa and CESE/ Fundo Podaali (COIAB) are already working with the gender perspective, with many indigenous women occupying leadership positions. But maybe with the Ashaninka we'll face challenges in this sense. The Senior Manager and project coordinator contacted one community leader and one community partners regarding how to respectfully (and in a non-colonizing way) include the gender plan goals on project activities. The community leader's response was mainly that there are currently no significant gender issues, and the gender issue is mostly something that comes from a vision from the non-indigenous society. When the community partner asked a woman community leader about which activity could be included in the working plan to directly support women, there was no practical answer. We decided to approach gender goals more carefully, considering it is the first partnership and a new CI relationship with this community.

The indigenous and gender issues are complex elements that need our attention because we understand that our white western culture does not necessarily converge with the indigenous cultures. In this sense, we believe that it is essential to encourage discussions about gender in indigenous communities. Still, we must respect their cultures and ways of life, and the limits are given to us, always understanding that gender roles and the social division of work among these indigenous peoples are distinct from ours.

¹⁴ <https://coiab.org.br/conteudo/nota-de-apoio-%C3%A0-articula%C3%A7%C3%A3o-dos-povos-ind%C3%ADgenas-do-brasil-apib-1617140261430x471041851988377600>

Table 2. Project Activity - Risk Mitigation Measures

Project Activity -Risk	Planned risk mitigation measure or action	Person responsible in your team	Est. budget form the project to solve the risk	Residual impact (Y/N)
1. Context Risk – COVID-19 and Weak Governance	<ul style="list-style-type: none"> • <i>Safety and security protocol is defined with partner inputs and followed</i> • <i>Reporting on safety and security plan</i> • <i>CI-B team will only enter Indigenous Lands when the pandemic situation is safe for the team and the indigenous people</i> • <i>Acquisition of protective equipment and Covid-19 tests</i> • <i>Support logistics for risky situations</i> • <i>Monitoring this activity will inform an adaptive CI-B safety and security plan, coordination with CI's Senior Director Safety and Security.</i> 	Mayara Ferreira	Y	Y
2. Land use management plans/Life Plans	<ul style="list-style-type: none"> • <i>Stakeholder engagement plan</i> • <i>Gender assessment and action plan</i> • <i>Monitoring of government actions on indigenous and sectoral public policies (combating gender violence)</i> • <i>Training of the Indigenous for a territorial monitoring program</i> • <i>Legal advice and training about indigenous rights and public policy (CIB staff)</i> 	Mayara Ferreira	Y	Y
3. Training, fellowships, business plan development	<ul style="list-style-type: none"> • <i>Stakeholder engagement plan</i> • <i>Gender assessment and action plan that is respectful of indigenous culture, promote dialogue on gender, and encourage actions that create space for gender equality.</i> • <i>Grievance Management (divulgaration and actions)</i> • <i>Consultancy for the CI-B team on gender and race</i> • <i>Risk matrix (identify risks with partners and develop a coordinated security plan for appropriate mitigation)</i> 	Mayara Ferreira	Y	Y

6 STAKEHOLDER ENGAGEMENT, PUBLIC DISCLOSURE AND GRIEVANCE MANAGEMENT

6.1 Stakeholder Engagement Plan

This section summarizes the key contents of the Stakeholder Engagement Plan for the project and elaborates on how engagement has been undertaken so far and will be undertaken during project implementation. Stakeholder engagement indicators will be reported in the semester report.

CI-Brasil is consolidating an institutional strategy to work with indigenous peoples, and in this sense, the partnerships established in the "Our Future Forest - Amazônia Verde" project are recent. Thus, the Ashaninka and Yawanawá indigenous peoples and their respective organizations, and the Coordination of Brazilian Amazon Indigenous Organizations – COIAB are new partners, and we have been learning about their culture and social structures in the past two years. Due to the COVID-19 pandemic, our contact with these communities and organizations has been exclusively by telephone and video calls since March of 2020, making communication difficult and delaying project processes.

These Indigenous Organizations are organized and have a good structure with technical expertise and previous experience in implementing their own projects. To foster the strengthening of these organizations and respect their autonomy and protagonism, CI Brasil preferred to work with the projects being carried out exclusively by the indigenous organizations. In this sense, the communities and their leaders decided what the demands and priorities were. They drew up the work plan, with the technical support of CI-B staff, according to the outcomes established by "Our Future Forest – Amazônia Verde" and with general guidelines established by CI-B. With the execution of the activities being carried directly by the indigenous people, we believe it will strengthen the organizations and respect the way of life, culture, and governance of these communities.

We will meet with the external grants to present them the Gender Plan and the project's Safeguards. Respecting their governance processes and the autonomy of these indigenous peoples, evaluate with them the tools present in this document.

6.2 Accountability and grievance redress mechanism (AGM)

The Accountability and Grievance Mechanism (AGM) procedure for Our Future Forests- Amazonia Verde will guide the design and implementation of the handling and management of any received grievances. The full Accountability and Grievance Mechanism procedure, which may involve implementing partners as focal points in specific countries, will be followed consistently in all of the seven project countries. The full procedure can be found in the Project Document Folder¹⁵, and is summarized here. The full procedure seeks to ensure consistency in how complaints are treated.

AGM Contacts (with email, tel., whatsapp, etc.)

In CI-Brazil, Mayara Ferriera will be the primary contact for the AGM.

For COIAB – the AGM Focal Point is

For Yawanawá (ACYA)- the AGM Focal Point is

For Ashaninka (APIWTXA) the AGM Focal Point is

For the Kayapo, the AGM Focal Point is

¹⁵ The Accountability and Grievance Mechanism Procedure can be found here.

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

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

Any project stakeholder can submit a grievance directly to the CI-B Project AGM primary contact, or to the PMU contact, M&E Manager, Carlos Montenegro, or alternatively directly to CI EthicsPoint. Written material describing the project AGM will provide full contact information for each option.

The CI-B AGM Primary Contact will:

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

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

- **For Tier 1 at the Community/Country level there are two options:**
 - **Option A.** The AGM procedure requirements are managed by indigenous implementing partners where appropriate and decided by CI country office.

- Due diligence of local practice for dispute resolution is necessary before deciding to incorporate this practice into the Project AGM;
- In - situ workshops or training will be needed to explain and then to co-create the Tier 1 mechanism procedure that is customized to the cultural aspects of the subregion and organizational requirements of the indigenous partner organization;
- A dedicated focal point will be identified as the responsible party for any low risk grievance that is addressed at the community level;
- The partner focal point will be responsible for coordinating with CI–B AGM contact and carrying out the duties indicated above.
- **Option B. The AGM procedure requirements are managed by the designated CI Project Team AGM primary contact.**
 - The Project Team AGM Primary Contact will follow the grievance handling procedure for any received grievances, as summarized above.
 - If eligible grievances cannot be resolved at the country level, the grievant will be informed of the right to appeal the grievance to the PMU level (Tier 2).
 - Upon request, the grievance will be escalated to Tier 2.
- **For Tier 2 - Project Management Unit (PMU) level**
 - Project M&E Manager will coordinate all grievance handling processes according to the AGM procedure and summarized above;
 - The Project M&E Manager will establish and maintain communication with the grievant regarding the process for addressing the complaint;
 - The M&E manager will coordinate appropriately with the Country Program and partner;
 - The M&E manager will coordinate with the CI Grievance Subcommittee as appropriate for any grievances that present risks that require external advice;
 - If eligible grievances cannot be resolved at the PMU level, the grievant will be informed of the right to appeal the grievance to the CI Grievance Subcommittee level (Tier 3).
 - Upon request, the grievance will be escalated to Tier 2.
- **For Tier 3 – CI Grievance Subcommittee level**
 - Any high-risk grievances will be escalated automatically to the CI Grievance Subcommittee, chaired by CI General Counsel Office (GCO);
 - Eligible grievances that are not resolved at the country/community or PMU levels may also be escalated to the Subcommittee level;
 - The CI Grievance Subcommittee will follow the procedure described in the Project Accountability and Grievance Mechanism Procedure.

Table 3. Grievance Risk Classification

Complaint Risk Level	Description	Responsible for resolving the complaint	Maximum time period for addressing grievance
1 (low)	<p>The complaint is straightforward, the issue is clear, and the solution is obvious, and resolutions can be developed and provided immediately. This may include cases where the grievance is:</p> <ul style="list-style-type: none"> • Benefit sharing /elite capture • Rejection of grant proposal • Exclusion from the target geographies 	<p>Focal Point person for Tier 1 (if community level AGM is used), in coordination with the CI Country Program AGM contact</p> <p>Or the Country Project Team AGM Primary Contact</p>	TBD

	<ul style="list-style-type: none"> Representation issues Access to Information Perceived conflicts of interest 		
2 (medium)	<p>The complaint may be low risk, but lacks full necessary information and</p> <ul style="list-style-type: none"> needs to be investigated for further information and may involve engagement with multiple stakeholders; or the resolution of the grievance involves action from a particular stakeholder. 	<p>Focal Point person for Tier 1 (if community level AGM is used), in coordination with the CI Country Program AGM contact.</p> <p>Depending on the severity, in coordination with Tier 2, PMU M&E Manager (AGM Coordinator) if no Tier 1 mechanism is identified.</p>	TBD
3 (high)	<p>Grievances with, or with the potential to have, a significant adverse impact on, and interaction with, stakeholders. These may include:</p> <ul style="list-style-type: none"> repeated grievances; clear/strong evidence of (threatened) violence in all its forms including SEAH; or clear/strong evidence of illegal activity, victimization, or corruption, etc. Reputational (to CI or donor) 	Tier 3 CI Grievance subcommittee in coordination with the Country Program and the PMU.	TBD

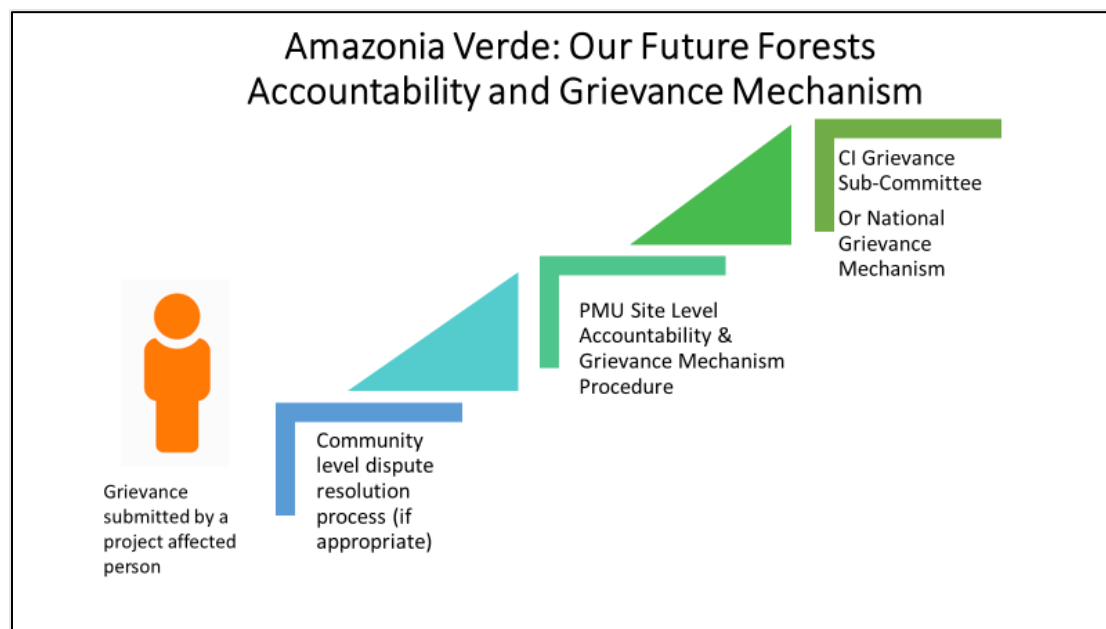


Figure 1. Generic design for a three tier project grievance mechanism

7 MANAGEMENT & MONITORING

Describe here how the ESMP will be implemented.

7.1 Roles & Responsibilities

Mayara Ferreira with the assistance of the team of project coordinators (Teçá and Vivian)

7.2 Monitoring Plan

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

Dates:

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

7.3 Capacity Building

Table 4. Safeguard Training Plan

Safeguard Training Type	Dates	Description	Target Audience	Training Lead	Cost ¹⁶	Associated Project Activity
Grievance Mechanism	TBD	Preparation to use local dispute resolution practices within project	Designated Point persons in Partner community or organization	Regional Team (PMU)	-	all
Sexual harassment	TBD	Training to level knowledge about good behaviors and build mechanisms to prevent and deal with sexual harassment	Designated Point persons in Partner community or organization	Regional Team (PMU)	-	all
Gender and race training	TBD	Training to level knowledge on gender and racial issues and good practices to combat violence against women and racism	Designated Point persons in Partner community or organization	Consultancy to be hired (CI-B)	\$ 8,695.65 (R\$50.000)	all
Training rights and public policy indigenous	TBD	Training to level knowledge on rights and public policy indigenous	Designated Point persons in Partner community or organization	Consultancy to be hired (CI-B)	\$ 8,695.65 (R\$50.000)	all

¹⁶ Exchange rate (American dollar): \$ 5,75 (12/03/2021)

Territorial management training	TBD	Training to be given to the Yawanawá for the territorial monitoring program and learning about the monitoring tool	Yawanawá (ASCY)	CI-B Team	\$ 17.391,30 (R\$ 100.000)	Outcome 1
Communication	TBD	Stock image and video; production of audiovisual content / podcast; graphic designer	CI	Professional to be hired (CI-B)	\$31,304,34 (R\$ 180,000.00)	All
COVID supplies and field security plan	TBD	Acquisition of protective equipment and Covid-19 tests; Support logistics and equipment for risky situations.	CI and communities	CI-B	\$3,478.26 (R\$20,000.00)	all

7.4 Budget and Schedule

Table 5. ESMP Budget

Safeguard Mitigation Action	Description	Associated Project Activity	Additional Costs		Start dates
			Staff or consultant time	Activity costs	
Stakeholder Engagement Plan	See SEP Annex 1	All	-	-	TBD
Gender action plan	See GAP	All	-	-	TBD
Grievance Mechanism	Preparation to use local dispute resolution practices within project	All	-	-	TBD
Risk Matrix	Tool to monitor and create strategies to mitigate project risks	all	-	-	TBD
Communication	Stock image and video; production of audiovisual content / podcast; graphic designer	All	\$31,304,34 (R\$ 180,000.00)	-	TBD

ANNEX I. Stakeholder engagement plan

1. PURPOSE
 - 1.1 Brief Description of the Project
 - 1.2 Social Context
- 2 NATIONAL REQUIREMENTS

Brazil has a federal governmental agency regulating public policies and indigenous protection laws called FUNAI (National Foundation for Indigenous Peoples). This agency has a series of regulations for civil society organizations that want to work with indigenous peoples. CI-B is aware of these regulations and will respond to all requests that FUNAI needs with the help of the legal advisory that CI-B will hire.

3 IDENTIFICATION AND ANALYSIS OF STAKEHOLDERS

As already stated in item 6.1 of the report, CI-B's partnerships with Ashaninka, Yawanawá, and COIAB are recent. Therefore, we are getting to know these external grants, how they are institutionally organized, their governance arrangements, their social organization, and cultural traditions. The relationship will be built over time, and it is essential to establish a relationship of trust and respect.

According to their social, cultural and political organization, CI-B is working with these partners through grants, so they will execute directly their own projects, with technical and administrative support from CI-B staff. Therefore, it is up to CI-B to monitor whether the actions are being carried out following the Work Plan and assist them, if necessary. CI-B staff will also develop specific capacity-building activities for IO staff to address gaps identified during the implementation process, to ensure good management practices and to improve partners project management capacity.

Our engagement process is mainly with the traditional leaders and indigenous organizations, respecting their social organization and governance and having them as the main interlocutor with the communities. Despite that, all meetings CI-B have done locally have counted with the participation of communities' representatives, besides leaders and IO staff. By doing so, we want indigenous organizations to be strengthened and the internal decision-making processes to be respected.

We describe below how stakeholder engagement was conducted with these partners:

Ashaninka (Apiwtxa)

Ashaninka people are well-known for forest restoration actions they have first developed in their own indigenous lands in the 1980 and then in the 2000 at the landscape level in the surrounding lands and neighborhoods, which includes many protected areas and indigenous lands in the Jurua river basin. They have established the agroforestry system as a model to ensure food security and to income generation, changing the region's landscape and creating an alternative development model for the cattle rising that have spread over the riverine communities in the past decades.

CI-B have identified a synergy between the restoration work based on Agroforestry Systems developed by Ashaninka, and CI's strategies for forest restoration and for strengthening indigenous people's role in forest conservation and climate change mitigation, besides the overall recognition of their social and cultural intrinsic values and legal rights.

Yawanawá (ASCY)

The Yawanawá people is a world-wide reference for medicinal plants use and healing rituals and knowledge. In the 1980, after living several decades enslaved in the rubber cycle, they went through a deep cultural rescue based

on their traditional knowledge, medicinal plants use and healing rituals. From environmental and cultural preservation, they became a reference for indigenous resistance in the Amazon.

Like the Ashaninka, CI-B have identified synergies between the Yawanawá's environmental and cultural preservation work with CI-B expectations and goals.

CI-B adopted the same approach for stakeholder engagement with Yawanawá (ASCY) and Ashaninka (Apiwtxa) organizations. In May 2019, there was a first face-to-face visit to meet these indigenous people, introduce CI-B work and strategy, meet the communities' main demands, identify synergies, and which projects could be supported. In November of the same year, there was a second visit to the communities to talk with the indigenous leaders to formalize the partnership between CI-B and the two organizations and define which demands would be supported by the "Our Future Forest - Amazônia Verde" project. The visits were documented in minutes, and reports, attached to this document.

In 2020, with COVID-19 pandemic outbreak, field activities were suspended, and we chose to continue articulating with these partnerships in a remote mode. The construction of work plans began, which were prepared by indigenous associations through the demands of the community and with the support of the CI-B technical team. The due diligence process was also carried out with external grants. CI-B have done several on-line meetings with indigenous leaders and technicians across 2020 to develop the working plans and designing some activities such as the territorial monitoring program to be jointly executed by Yawanawa and CI-B team.

It is worth remembering that Teçá Horokoski, technical coordinator responsible for monitoring the activities of ASCY and Apiwtxa, joined the CI-B team in August 2020 and Vivian in January 2021 to support COIAB.

COIAB

COIAB is the most important indigenous organization in Brazilian Amazon, with a great representativeness and network of community-based organizations. It has a long struggling history to guarantee indigenous people's rights and the strengthening of indigenous organizations in the Amazon. For several years, COIAB has deployed a capacity-building program designed to strengthen indigenous people leadership across the Amazon. COIAB is also the Brazilian member representative at COICA, an important partner for CI. Based on the important work, broad network and role played by COIAB, CI-B has identified as an important partner for the indigenous people agenda, particularly related to strengthening IO and IP capacities in Our Future Forest- Amazonia Verde project.

To engage with COIAB coordination, CI-B has participated in three face-to-face meetings over the past few years:

November, 12th and 13th 2018.

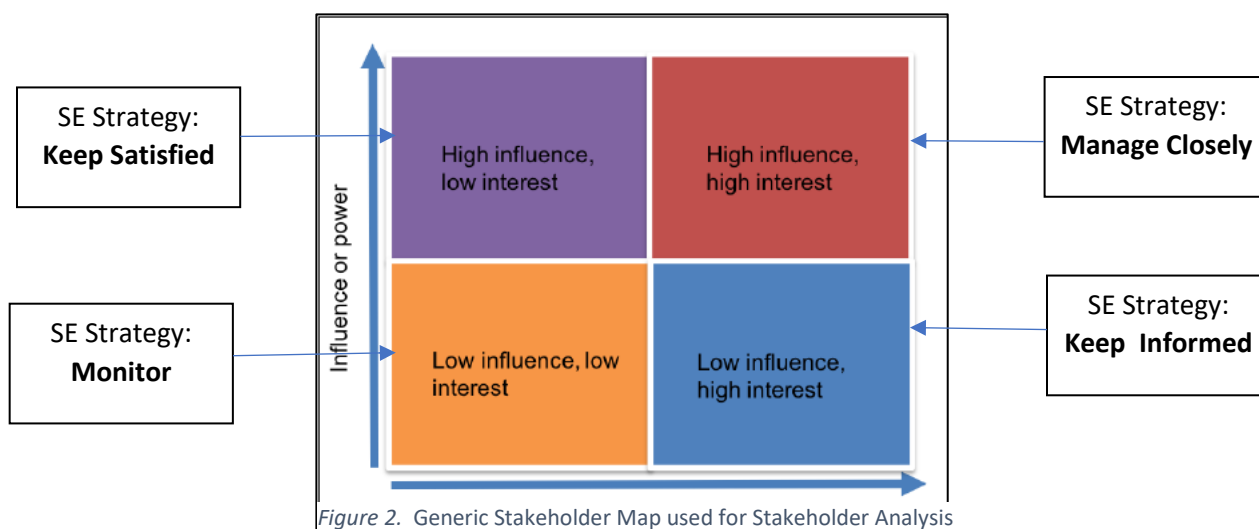
COIAB Consultation Meeting to create Podáali Fund in Belém, Pará.

September 24 to October 2th, 2019.

XII COIAB's General Assembly in Ticuna Betania village, Alto Rio Solimões. The meeting counted with more than 400 COIAB's delegates participants and several COIAB's partners and supporters. , They have defined and approved COIAB strategic planning for the next two years.

February 12 to 14th, 2020.

COIAB workshop and meeting in COIAB office, Manaus. In this meeting, CIB and COIAB have defined activities to be supported in "Our Future Forests – Amazônia Verde" project.



4 INFORMED CONSULTATION AND PARTICIPATION

As previously described, we held several meetings (face-to-face and remote) with them to make free, prior and informed consultations about the partnership with CI, to map communities demands and to design jointly project scope, goals and activities. After CI-B presentation of "Our Future Forest - Amazônia Verde," and based on the communities demands, the indigenous organizations have prepared Working Plans. Thus, each Working Plan reflect community demands while meeting the expectations of CI and "Our Future Forest - Green Amazon."

The entire process of preparing the work plans was carried out jointly: CI-Brasil team and indigenous organizations, always respecting the wishes of the indigenous people and following the CI protocols. Thus, there is no specific point in the construction of the Work Plan but the entire process.

The minutes, attendance lists, and reports of the first conversations with the partners are in the stakeholder's spreadsheet:

<https://conservation.sharepoint.com/:x/s/ProgramaPovosIndgenasTeam/EeHZstBtZi1NsOYHu9mx5McBGRgSVkhsNvrf1Gcwv2U5Dw?e=MwJmmg>

5 VULNERABLE GROUPS¹⁷

As already mentioned, the political situation in Brazil is quite worrying. Jair Bolsonaro, the current president, has highly conservative positions. It has an economic agenda to support agribusiness sector as well as arms manufacturers, and mining sector while dismantling public policies on health, education, environmental protection, and indigenous people rights, among others.

The Washington Post newspaper considered Bolsonaro as the worst world leader in facing the health crisis of COVID-19. During an international pandemic, he has attitudes of denying the disease, delegitimizing scientific knowledge, and promoting actions that have worsened the Brazilian situation. The country has the

¹⁷ including but not limited to women, children, migrants, elderly, minorities, displaced, and persons with disabilities;

second largest number of deaths due to the virus and is far from having its population immunized (until March 12, 2021, only 4.5% of the people had been vaccinated).

Brazilian indigenous conditions during the pandemic is alarming. There is underreporting of covid infected indigenous cases by official data. There are no policies, programs or procedures to contain the virus in the communities. Even though they have priority in vaccination, indigenous people in urban contexts or under 18 years of age are not expected to be vaccinated soon. According to indigenous organizations, there have been 50,545 cases of Covid-19, 165 infected people, and 1005 confirmed deaths of indigenous people to date.¹⁸

In Acre, together with COVID, the state has been suffering from unexpected river floods and an outbreak of tropical diseases such as dengue and yellow fever.

This context makes the indigenous peoples that CI has established a partnership with high social, health, and financial vulnerability.

6 STAKEHOLDER ENGAGEMENT PROGRAM

- 6.1 Stakeholder activities already undertaken
- 6.2 Planned engagement activities

<div> <div> Types of Engagement Processes <ul style="list-style-type: none"> • <i>Project Design</i> • <i>E&S Risk Assessment (on going)</i> • <i>Project Awareness or Socialization</i> • <i>Consultation or consent</i> • <i>Training/Capacity Building (To be started)</i> • <i>Network or Alliance Building (To be started)</i> • <i>Project Governance (To be started)</i> • <i>Monitoring & Evaluation (to be started)</i> </div> <div> Types of Engagement Activities <ul style="list-style-type: none"> • <i>Due diligence of implementing partners</i> • <i>Project kickoff meetings</i> • <i>Consultation workshops/meetings</i> • <i>Negotiation workshops and meetings</i> • <i>Multi-stakeholder groups</i> • <i>Work plan preparation meetings</i> • <i>Risk Matrix</i> • <i>Letter of formalization of the project;</i> • <i>Project presentation meetings</i> </div> </div>					
Process	Activity	Target Stakeholder	Stakeholder Interests	Description (including stage of project cycle)	Timing
Project Design	<ul style="list-style-type: none"> - Project kickoff meetings - Due diligence of implementing partners - Work plan preparation meetings 	Ashaninka IP Yawanawá IP COIAB Kayapó IP	Structure the work plans and provide more clarity on the activities to be performed	Detailing the scope of the work plans, with the schedule of activities and finances of the external grants that will perform	Started in August 2020 until April 2021

¹⁸ Source: <https://covid19.socioambiental.org/>

E&S Risk Assessment	- Risk Matrix	Ashaninka IP Yawanawá IP COIAB Kayapó IP	To be able to prevent and mitigate project risks	Development of risk matrix and constant updating of project risks and mitigation possibilities	From February 2021 until the end of the project
Project Awareness or Socialization	- Letter of formalization of the project; - Project presentation meetings	Ashaninka IP Yawanawá IP COIAB Kayapó IP French Embassy Development Agency team	Presentation of the project and the necessary prerequisites to sign the contract	Sending the formal letter to external grants and communities. Following, a formal project presentation meeting was held to meet the donor, terms and requirements	July 2020
Consultation or consent	- Consultation workshops/meetings - Negotiation workshops and meetings - Multi-stakeholder groups	Ashaninka IP Yawanawá IP COIAB Kayapó IP	Knowing the CI-B and the potential of this partnership	Overview of the CI-B indigenous strategy, listening process about what were the demands and priorities, seeking synergies related to each outcome of the "Our Future Forest – Amazônia Verde".	From May 2019
Training/Capacity Building	We are mapping the activities that will be realized with indigenous peoples	Ashaninka IP Yawanawá IP COIAB Kayapó IP	Improvement of the organization's weakness	Conduct an institutional diagnosis of the external grants to map gaps and points of improvement of the institutions and thus promote training for institutional strengthening	To be started
Network or Alliance Building	- Mapping of strategic partners - Communication Plan	Ashaninka IP Yawanawá IP COIAB Kayapó IP	Exchange of experiences between partners and CI-B	Map all the strategic partners of the project and develop a communication plan for how it will workflows between these partners.	To be started
Project Governance	- Governance plan - Gender Plan	Ashaninka IP Yawanawá IP COIAB Kayapó IP	Clarity of scope and actions	- Establish who are the main stakeholders of the project and think about how their participation in the project will be "Our	To be started

				Future Forest - Amazônia Verde" - Encourage women to be half of the participants in decision-making processes and activities (for more information, see the Gender Plan)	
Monitoring & Evaluation	- Indicators panel - Reports - Schedule of activities - Financial control instruments - Risk matrix	Ashaninka IP Yawanawá IP COIAB Kayapó IP	Monitoring of activities and indicators	- Definition of indicators and elaboration of the indicator panel; - Preparation of manuals for accountability and reports; - Monitoring of activities through reports, accountability and financial control instruments	To be started

8 GRIEVANCE PROCEDURE

For Tier 1:

- 1) Thematic meeting to evaluate the project, identify risk potential and clarify how to make a complaint. Done by the coordinator;
- 2) Have a local team member (from IO) who is the focal point to receive and forward complaints. This person is preferably non-indigenous, necessarily linked to the project, and who is always in the community;
- 3) Establish a process with external grants: how is the best way to create GRIME channel and flows (CI-B in partnership with IOs)
- 4) Establish the complaint levels (level 1 is the community, level 2 CI-B needs to be informed, and level 3 forwarded to the committee);
- 5) Communication channels on how to conduct a complaint (poster, video for dissemination via WhatsApp, dissemination on the CI-B website and the external grant, among others);
- 6) Receive complaints in person and via WhatsApp (evaluate with external grants, which is the best way);
- 7) Create a tool with external grants to report and monitor complaints.

The entire process must be done in conjunction with the external grant, respecting the indigenous people's internal governance and, at the same time, ensuring that complaints are appropriately addressed.

9 STAKEHOLDER REGISTER FOR FPIC and PRIMARY CONSULTATION MEETINGS

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

10 RECORDING, MONITORING and REPORTING

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

Dates: Report due end of February 2021

Updated: Update report December 2021

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

Documents used to provide evidence of monitoring results will include meeting minutes, lists of participants of stakeholder meetings (can be combined with photographs) and Grievance Log. This evidence also should be used for the semester report. Monitoring reports, in line with the overall Project reporting, should be made available to affected communities concerning ongoing risks, impacts and mitigation measures.

The Country technical team will update the SEP through the lifetime of the project, in particular whenever there have been changes to the project or additional stakeholder activities or when particular milestones (agreements with communities) have been reached. Learning from Project assessments should be incorporated in SEP updates.

11 ANNEX I: TEMPLATE FOR STAKEHOLDER LIST

Attached an excel spreadsheet

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

	Organization / Name	Address Email
	Organization / Name	Address Email
NGOs/CSOs/IPOs		
	Organization / Name	Address Email
	Organization / Name	Address Email
etc		
	Organization / Name	Address Email
	Organization / Name	Address Email

ANNEX II: FREE PRIOR INFORMED CONSENT (FPIC) PROCESS

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

Table 6. FPIC Process Log

Country	IPs	Completed or Planned consultation or consent related activities toward FPIC with primary Indigenous partner organizations. Please describe:	In case of modifications proposed by IPOs to the original work plan, what qualifications, if any, were agreed to?	Gaps with respect to national or CI FPIC standards –	CI Plans to address FPIC gaps.
Brasil	Yawanawá	<ul style="list-style-type: none"> • Beginning of partnership (Meeting 1: from April 29 to May 4, 2019. Meeting 2: December 15, 2019) • We opted to formalize a partnership with the Yawanawá because they have an essential history of cultural rescue and strengthening, a reference in traditional medicine, and an indigenous ethnic group with historical and social relevance in Brazil. • Presentation of the project "Our Future Forest - Amazônia Verde" to the Yawanawá and assess which community demands had synergy with the CI proposal. • Evidence of feedback from the wider community: our relationship goes through the indigenous organization's political leaders and communities. It is important to remember that due to the Covid-19 pandemic, we cannot go personally to the villages to carry out this process. • Measures to respond to submissions by stakeholders and report back during project implementation: As the first delivery of the project, after signing the contract, it will be the detailed Work Plan; 	There are no changes for now	<p>Two face-to-face meetings with community representatives. Due to the Covid-19 pandemic since March of 2020, we cannot go in person in the villages, and we opted for remote contact with community leaders.</p> <p>Most of the communication is via WhatsApp, through audio messages, which respects the oral tradition of these indigenous peoples</p>	It does not apply because the work plan was prepared by the communities and their leaders, respecting the demands, internal processes, governance, and priorities

		<ul style="list-style-type: none"> • Term of partnership and grant agreement on going 			
Brasil	Ashaninka	<ul style="list-style-type: none"> • Beginning of partnership (Meeting 1: from May 6 to 10, 2019. Meeting 2: December 12, 2019) • We opted to formalize a partnership with the Ashaninka as they have an unprecedented work of forest restoration and are a reference for political articulation in Jurua River Basin landscape, mobilizing several local communities and other indigenous people. • Presentation of the project "Our Future Forest - Amazônia Verde" to the Ashaninka and assess which community demands had synergy with the CI proposal. • Evidence of feedback from the wider community: our relationship goes through the indigenous organization's political leaders and communities. It is important to remember that due to the Covid-19 pandemic, we cannot go personally to the villages to carry out this process. • Measures to respond to submissions by stakeholders and report back during project implementation: As the first delivery of the project, after signing the contract, it will be the detailed Work Plan; • Term of partnership and grant agreement on going 	There are no changes for now	<p>Two face-to-face meetings with community representatives. Due to the Covid-19 pandemic since the beginning of 2020, we cannot go in person in the villages, and we opted for online contact with community leaders.</p> <p>Most of the communication is via WhatsApp, through audio messages, which respects the oral tradition of these indigenous peoples</p>	It does not apply because the work plan was prepared by the communities and their leaders, respecting the demands, internal processes, governance, and priorities
Brasil	COIAB	<ul style="list-style-type: none"> • Beginning of partnership (Meeting 1: November, 12th and 13th 2018. Meeting 2: September 24 to October 2, 2019. Meeting 3: February 12 to 14th, 2020) • We opted to formalize a partnership with the COIAB for being one of most important indigenous organization in Brazil, which 	There are no changes for now	<p>Three face-to-face meetings with institutional representatives. Due to the Covid-19 pandemic since the beginning of</p>	It does not apply because the work plan was prepared by the communities and their leaders, respecting the demands, internal processes, governance, and priorities

		<p>represents a great community-based network in the Brazilian Amazon. Coiab is the Brazilian member on COICA's coordination.</p> <ul style="list-style-type: none"> • Presentation of the project "Our Future Forest - Amazônia Verde" to the COIAB to identify demands and synergies between CI and the institution and what demands would be met. • Evidence of feedback from the wider community: our relationship goes through the indigenous organization's political leaders and communities. It is important to remember that due to the Covid-19 pandemic, we cannot go personally to the villages to carry out this process. • Measures to respond to submissions by stakeholders and report back during project implementation: As the first delivery of the project, after signing the contract, it will be the detailed Work Plan; • Term of partnership and grant agreement on going 		<p>2020, we cannot go in person in the villages, and we opted for online contact with community leaders.</p> <p>Most of the communication is via WhatsApp, through audio messages, which respects the oral tradition of these indigenous peoples</p>	
Brasil	Kayapó	<p>CI-B has a long-term relationship with the Kayapó, and we have already carried out several projects with them. It is important to reiterate that the only activity destined for the Kayapo people in CI-B Our Future Forests- AV is an experience exchange to Ashaninka indigenous Lands. CI-B is implementing four other projects with the Kayapo people. Some of them are the counterpart of Our Future Forests-AV. These projects also aim to strengthen their capacity to manage their lands, conserve their forests, and foster sustainable livelihoods and value chains. CI-B is also building a fund-raising strategy to support Kayapo Fund subsequent cycles.</p>	<p>There are no changes for now</p>	<p>Not applicable</p>	<p>Not applicable</p>

Brazil Gender Action Plans (GAP)

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

Mayara Ferreira - Indigenous People and Social Policies Manager

CI-Brasil is consolidating an institutional strategy to work with indigenous peoples, and in this sense, the partnerships established in the "Our Future Forest - Amazônia Verde" project are recent. Thus, the Ashaninka and Yawanawá indigenous peoples and their respective organizations, and the Coordination of Brazilian Amazon Indigenous Organizations – COIAB are new partners, and we have been learning about their culture and social structures in the past two years. Due to the COVID-19 pandemic, our contact with these communities and organizations has been exclusively by telephone and video calls since the beginning of 2020, making communication difficult and delaying project processes.

These Indigenous Organizations are organized and have a good structure with technical expertise and previous experience in implementing their own projects. So to foster the strengthening of these organizations and respecting their autonomy and protagonism, CI Brasil preferred to work with the projects being carried out exclusively by the indigenous organizations. In this sense, the communities and their leaders decided what were the demands and priorities and drew up the work plan, respecting the outcomes established by "Our Future Forest – Amazônia Verde." With the execution of the activities being carried directly by the indigenous people, we believe will strengthen the organizations and also respect the way of life, culture, and governance of these communities.

CI-Brasil anticipates that we will have favorable conditions to advance in the implementation of the gender plan within Yawanawa and COIAB as they are already working with this perspective, with many indigenous women occupying leadership positions. But maybe with the Ashaninka we'll face challenges in this sense. The Senior Manager and project coordinator contacted one community leader and one community partners regarding how to respectfully (and in a non-colonizing way) include the gender plan goals on project activities. The community leader's response was mainly that there are currently no significant gender issues, and the gender issue is mostly something that comes from a vision from the non-indigenous society. When the community partner asked a woman community leader about which activity could be included in the working plan to directly support women, there was no practical answer. We decided to approach gender goals more carefully, considering it is the first partnership and a new CI relationship with this community. **We will have a field coordinator in Acre who will conduct interviews to understand the social gender relationship regarding access and use of resources and specific gender-related knowledge. With this information, we will have a better understanding of gender balance and differences within our different partners (IPOs).**

The indigenous and gender issues are complex elements that need our attention because we understand that our white western culture does not necessarily converge with the indigenous cultures. In this sense, we believe that it is essential to encourage discussions about gender in

indigenous communities. Still, we must respect their cultures and ways of life, and the limits are given to us, always understanding that gender roles and the social division of work among these indigenous peoples are distinct from ours.

All activities in the field will be carried out by indigenous organizations that will directly implement the Amazonia Verde resource. CI-B will be in charge of few activities and will mainly be responsible for monitoring the execution of Work Plans by partners (5 IPOs). On the capacity of IPOs concerning activities focused on gender equity: **ASCY (Yawanawá), COIAB / Fundo Podaali already work on gender in their activities and have many women in leadership positions.** With the **Ashaninka, we will start by mapping this relationship between gender and natural resources.** However, they are resistant to any conversation on this subject. We must respect their way of life and culture. We first need to better understand gender dynamics in their society so only after that, we will be able to understand the gender-situation and build a strategy to address this, as a process that takes time and needs to be very aligned with their strategy too. **COIAB are led by women** and they have partnership with several women organizations and are sensitive to promoting women's participation in the project. They know we have gender balance goals in the project and we will reinforce during all the execution of their project.

In the GAP, reference to 'encourage' participation means that we have communicated to partners about the Gender Plan and have strongly recommend them to adopt gender equity policies in their day-to-day tasks.

As first result/outcome, **baseline of gender** – hire someone (proj. coordinator based in Acre) – do interview/questionnaire so s/he can gather information. Understand social organization of groups regarding gender. ***This is not currently in the workplan, will be added.***

Hiring someone for 1-year to mentor the 4 indigenous fellows.

	In which activities might gender considerations be important?	What specific steps are needed to ensure gender equity and promote women's leadership? Have they been budgeted?
Outcome 1: Newly secured protection and improved management of Indigenous Peoples and Local Communities (IPLC) lands		
Gender Outcome: increased access and control of natural resources for women		
Output 1.1 Support IPLCs to manage and monitor their land using traditional knowledge and new technology	<i>Ensure women's participation in the Life Plan review process (Ashaninka and Yawanawá)</i>	<i>ASHANINKA/ YAWANAWÁ</i> <i>We know from experience that these communities' governance is nearly entirely male, so we will discuss with them how best to bring women into the discussions. Life plan elaboration and review processes are collaborative, usually the entire</i>

		<p>communities participate, both men and women, children and elders. At the same time, we will reach out to the women leaders and groups to understand how we can support their active participation in a way that is conducive to their needs. We are talking to the IPOs, but how they are going to execute the proposals depends on how they will do the activities. From experience, we know we will likely need to hold additional meetings with the women at a time and place that works for them and will bring along a female facilitator.</p> <p>The budget is for the execution of the external grants' activities, and we will suggest that they do the actions as indicated above with the funding already available.</p> <p><i>Yawanawá – hiring consultant to do this in FY23</i> <i>Ashaninka – hiring consultant in FY22</i></p>
Output 1.2: Support IPLCs to increase areas under conservation protection.	<p><i>Respecting the social dynamics of indigenous people, we encourage women's participation in political decision-making about the process of monitoring and protecting indigenous land. (Ashaninka and Yawanawá)</i></p>	<p>ASHANINKA / YAWANAWÁ</p> <p>As this is a high-risk task, as non-indigenous people carry out illegal activities in the region, actions to protect and monitor indigenous lands are usually carried out by the village's men. In this way, we will encourage women to participate in decision-making on the topic and, over time, if there is a desire, to participate in other ways in this activity. Therefore, it will be necessary to have a conversation with indigenous leaders about women's participation in decision-making.</p> <p>The budget is for the execution of the external grants' activities, and we will suggest that they do the actions as indicated above with the funding already available.</p>
Outcome 2: Indigenous Leaders empowered and community capacity needs met		
Gender outcome: improve women's participation and decision-making in natural resource management		

<p>Output 2.1 Strengthen capacity of IPLC organizations</p>	<p><i>Encourage the participation of women in the planned activities of this output</i></p> <p><i>APIWTXA (Ashaninka) activities:</i> 1) Strengthening the management capacity of the organization. 2) Organization participation in meetings and strategic plannings</p>	<p><i>Each grant has a series of activities in this output.</i></p> <p><i>COIAB</i> 1) Training with 50% female participation 2) The organizations will be encouraged by the announcement, to cover at least 50% of the vacancies with women's organizations or women who are the staff of indigenous organizations</p> <p><i>Ashaninka (APIWTXA)</i> 1) Encourage training with 50% female participation 2) Encourage the involvement of women in the activities of articulation with other peoples and meetings.</p> <p><i>Budgeted FY22</i> <i>The budget is for the execution of the external grants' activities, and we will suggest that they do the actions as indicated above with the funding already available.</i></p>
<p>Output 2.2: Train the IPLC leaders of tomorrow – enabling emerging leaders (men and women) to address development pressures</p>	<p><i>Encourage the participation of women in the planned activities of this output</i></p> <p><i>ASCY (Yawanawá) activities:</i> 1) Highschool and university scholarship for 4 Yawanawa students for 12 months THE YAWANAWÁ COUNCIL HAS ALREADY DEFINED THAT 2 SCHOLARSHIP WILL BE FOR WOMEN AND 2 FOR MEN</p> <p><i>APIWTXA (Ashaninka) activities:</i></p>	<p><i>Each grant has the following activities in this output.</i></p> <p><i>Yawanawá (ASCY):</i> - Encourage half of the scholarships for women</p> <p><i>Ashaninka (APIWTXA)</i> - Encourage half of the interns hired to manage the association to be women.</p> <p><i>COIAB</i> - Encourage half of the vacancies in the courses offered to be attended by women.</p>

	<p><i>1) Daily practical training in political management, technical skills in coordinating processes and staff and agenda, generating institutional autonomy and continuing activities.</i></p> <p><i>COIAB activities:</i></p> <p><i>1) Qualification and training of indigenous leaders (including youth and women)</i></p> <p><i>4 Indigenous women fellows</i></p> <p><i>Mentors to Increase women's leadership in indigenous organizations</i></p>	<p><i>The budget is for the execution of the external grants' activities, and we will suggest that they do the actions as indicated above with the funding already available</i></p> <p><i>Budgeted FY22</i></p>
Outcome 3: Sustainable value chains and financial mechanisms identified and implemented		
Gender outcome: generate socioeconomic benefits and services for women		
Output 3.1 Expand sustainable livelihood opportunities through Conservation Agreements, developing and enhancing sustainable value chains and business development	<p><i>Encourage the participation of women in the planned activities of this output</i></p> <p><i>ASCY (Yawanawá) activities:</i></p> <p><i>1) Improvement of the açai berry processing facility</i></p> <p><i>2) Visitation program</i></p> <p><i>3) Strengthening cultural productive activities of Yawanawá women</i></p> <p><i>APIWTXA (Ashaninka) activities:</i></p> <p><i>1) Develop business plans</i></p> <p><i>2) Support the strengthening of current sustainable businesses</i></p>	<p><i>Each grant has the following activities in this output.</i></p> <p><i>Yawanawá (ASCY)</i></p> <p><i>- Encourage the profits generated by the region's Açai production to be shared equally and fairly between men and women; (We will map the role of women in this production chain)</i></p> <p><i>- Encourage the participation of women in communication activities for the ethnouism of the Yawanawá people;</i></p> <p><i>Ps: In the case of the Yawanawá, they developed activities involving exclusive participation of women to strengthen productive and cultural activities</i></p>

	<p><i>COIAB activities:</i> 1) Training indigenous leaderships/organizations of the COIAB Network</p>	<p><i>Ashaninka (Apiwtxa)</i> - Encourage the productive activities of women to be included and valued in the business plans that will prepare; - Encourage agroforestry production to have the participation of Ashaninka women;</p> <p><i>The budget is for the execution of the external grants' activities, and we will suggest that they do the actions as indicated above with the funding already available.</i> <i>Budgeted FY22</i></p>
Output 3.2 Facilitate access to climate and conservation finance and develop innovative finance opportunities	<p><i>Encourage the participation of women in the planned activities of this output</i></p> <p><i>COIAB activities:</i> 1) Launch Public Notice Support for sustainable productive activities and monitor processes</p>	<p><i>COIAB (Podaali Fund)</i></p> <p>1) Encourage at least half of the indigenous leadership training courses to be women; 2) Encourage half of the organizations covered by the Podaali Fund to have women in leadership and decision-making positions; 3) Encourage that half of the projects contemplated in the Podaali Fund's announcement have women in leadership and decision-making positions.</p> <p><i>The budget is for the execution of the external grants' activities, and we will suggest that they do the actions as indicated above with the funding already available</i> <i>Budgeted FY22</i></p>
Outcome 4: Indigenous knowledge management and Amazon advocacy improved.		
Gender outcome: ensure supportive structure for inclusive and equitable indigenous knowledge management		
Output 4.1: Establish regional project structure and coordinate regular reporti	<p><i>A communication strategy with gender approach and Grievance Mechanism</i></p>	<p><i>External consultancy to develop the communications strategy and GM will require that both are designed to be gender sensitive.</i> <i>Budgeted in FY22</i></p>

Output 4.2: Engage and network with other regional efforts and share lessons learned globally	<i>National + regional CI meetings</i>	<i>Document and share lessons learned – both successes and challenges – with the broader CI OFF:AV team</i> <i>Budgeted FY22</i>
Output 4.3: Define and implement a culturally appropriate stakeholder engagement process for the execution of the project with the full participation of IPLCs	<i>Gender and race training</i>	<i>Gender training for all CI-B staff</i> <i>Management and mentoring of 4 indigenous fellows</i> <i>Budgeted FY22</i>