

Our Future Forests – Amazonia Verde

Environmental and Social Management Plan

CI-Ecuador

Conservation International

For more information, contact:

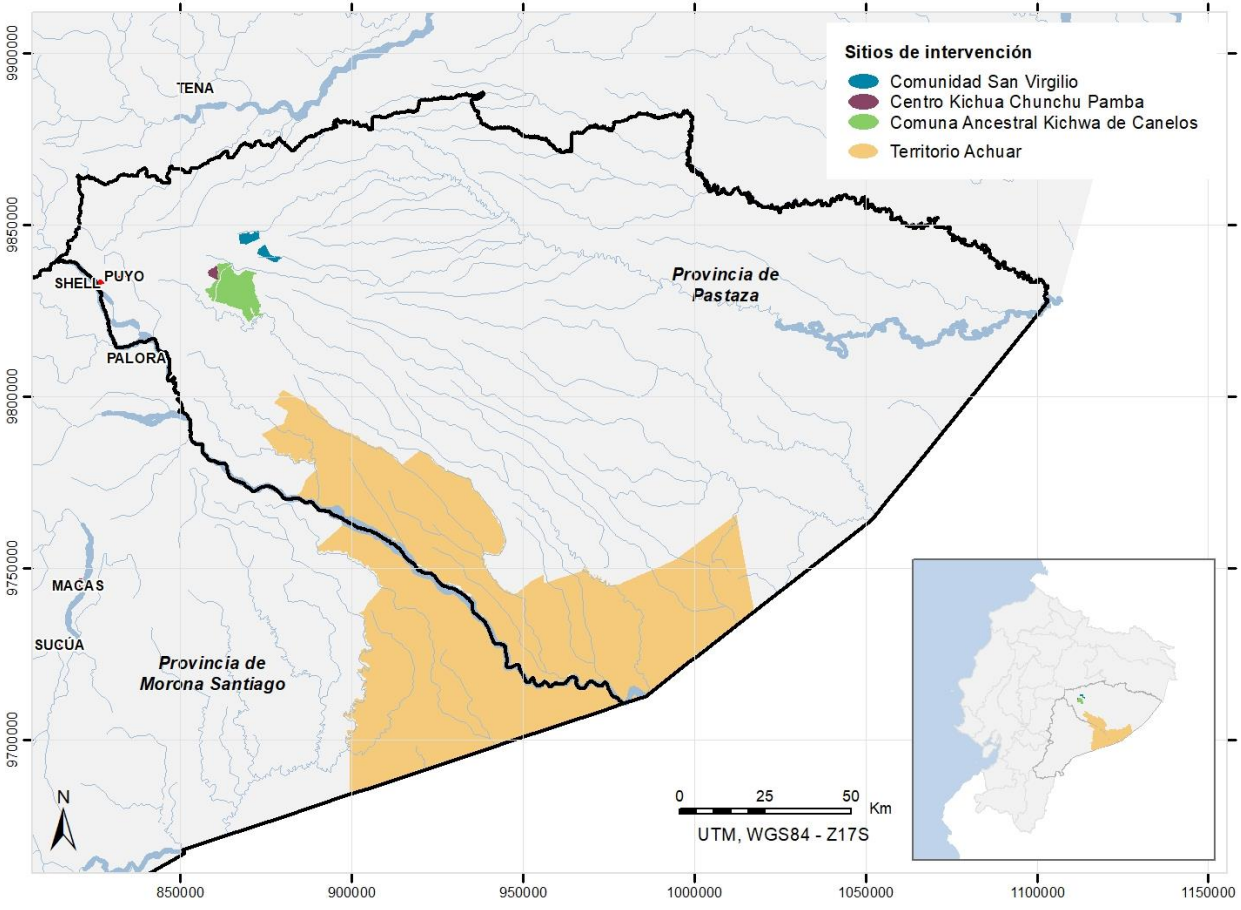
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June 21, 2021

1. PROJECT DESCRIPTION - *Please provide a short description of the project, especially for the implementation of Our Future Forest Project in country*

3.1 PROJECT INFORMATION	
Completed by Project Country Team Lead	
Project Title: Our Future Forest, Amazonia Verde	Country: Ecuador
Project Location (w/map if possible) <p>Pastaza and Morona Santiago Provinces in the Ecuadorean Amazon in the following indigenous territories:</p> <ul style="list-style-type: none"> Nacionalidad Achuar del Ecuador (NAE) Centro San Virgilio Comunidad Ancestral Kichwa de Canelos Centro Kichwa Chunchu Pamba <p><i>Figure 1 Project intervention areas in Ecuador</i></p> 	
Project Components and Main Activities Proposed: <i>(short, bulleted list)</i>	
COMPONENT 1: NEWLY SECURED PROTECTION AND IMPROVED MANAGEMENT ON IPLC LANDS	

<ul style="list-style-type: none"> • New life plans developed and implemented • Achuar Strategic Plan is updated • Land titling of 13.000 has of Achuar territory • Design and implementation of a monitoring system 	
COMPONENT 2: INDIGENOUS LEADERS EMPOWERED, AND COMMUNITY CAPACITY NEEDS MET <ul style="list-style-type: none"> • Capacity building in management and administration, conflict resolution and negotiation, environmental legal instruments, and territorial monitoring. • Strengthening women's leadership • Indigenous Women Fellows 	
COMPONENT 3: SUSTAINABLE VALUE CHAINS AND FINANCIAL MECHANISMS IDENTIFIED AND IMPLEMENTED <ul style="list-style-type: none"> • Implement 5 bioeconomy initiatives • Implement demonstrative projects on "conservation cacao" • Implement a feasibility analysis on carbon finance mechanisms 	
OUTCOME 4: INDIGENOUS KNOWLEDGE MANAGEMENT AND AMAZON ADVOCACY IMPROVED <ul style="list-style-type: none"> • Foment participation of indigenous representatives in strategic national and regional events • Implement knowledge exchanges • Support processes with COICA and the Women and Family Area 	
<p>Associated Facilities (access roads or trails, water transport structures, transmission, pipelines, or utilities, storage or logistics structures, etc)¹</p> <p>The project area contains waterways (rivers) and gravel terrestrial access roads in both Kichwa and Achuar territories, as well several community landing strips for propeller airplanes in Achuar territory. There is also a newly-paved road that leads to the Kopatas Achuar community which not only provides access to the communities for travel, but will also be one of the routes through which come of the bioeconomy initiatives will use to transport products..</p>	
<p>Implementing Partner (s), if any</p> <p>Indigenous organizations:</p> <ul style="list-style-type: none"> • Achuar Nationality (NAE for its acronym in Spanish) • San Virgilio Kichwa community • Canelos Kichwa community • Chunchu Pamba Kichwa community <p>NGOs (potential):</p> <ul style="list-style-type: none"> • ECOLEX • Fundación Aliados • Fundación Ikiam • Fundación Pachamama 	
ESMP Form Completed by: Carolina Rosero	Date: March 16, 2021
Safeguard Screening Form Reviewed by: Vince McElhinny	Date: April 15, 2021

¹ 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.

ESA Comments:

Overall, the ESMP provides an excellent description of the project context, the key risks and mitigation options. I highlight a few areas where some additional detail is needed and suggest where risks might be raised from low to medium. It is understood that CI lacks detail in some areas due to the engagement challenges caused by the pandemic, and the ESMP will be updated as needed during project implementation. Based on this assessment, the environmental and social risk classification of the project is Medium Risk.

The plans for a project level grievance redress mechanism are appreciated, and some additional guidance to complement a few suggestions I've made will be provided shortly. We expect some additional training on GRM design and operation may be needed.

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 risk and mitigation actions were identified and will be reported in semi-annual monitoring. These include:

1. **COVID** – context related health and safety risks. – Medium
2. **Governance** – Contextual Conflict risks related to specific land use pressures on Indigenous lands or resources – Medium
3. **Gender related exclusion from decision making and benefit sharing** – Medium
4. **Financing mechanism, co-financing** - Low

Some additional observations and recommendations for implementing the ESMP.

FPIC – The detail provided in the FPIC section is very helpful, and adequately reflects the efforts made by CI-Ecuador to seek FPIC under difficult conditions. This is an ongoing process, and any changes can build on the information already provided.

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. It would be helpful to know more about project support for indigenous or government management plans and the extent to which these involve access restrictions. Regarding the PSB contract, the SACRE plans or any project supported conservation activities, or 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 ☐ 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*
- 4.1.12 *Grievance Redress Mechanism*

Planned Assessments or Tools:

- Stakeholder Engagement Plan
- Gender Action Plan
- Final Grievance Redress Mechanism procedure – forthcoming

3.2 PROJECT CONTEXT

Bullet points, drawing from the project proposal

Project Location and Scope <i>Describe the size and scope of the proposed activities (target area of influence).</i>		
<ul style="list-style-type: none"> Area of influence: 687,054 ha in Achuar and Kichwa territories distributed in two provinces (Pastaza and Morona Santiago; 89 Achuar communities and 3 Kichwa communities 4,895 of direct beneficiaries (Fase I) 		
Physical and Biological Environment:		
<ul style="list-style-type: none"> The Morona Santiago province has 81.6% native ecosystem cover with 31 ecosystems identified by the MAAE ecosystem map (2013). The Pastaza province has 94.8% native ecosystem cover with 15 ecosystems mapped. The Achuar and Kichwa territories are in a landscape that plays a significant role in regulating the water flows that descend from the Andes and tribute to the Pastaza River. The landscape is also home to mainland forests, located in the foothills of the Andes, characterized by their high biodiversity and levels of endemism. The Achuar and Kichwa territories are located geographically in an area with conservation gaps, that have to potential to play a significant role in connecting areas of high conservation value, acting as biological corridors, and supplying other globally important ecosystem services. The practices, traditional knowledge, and cultural beliefs of the Achuar and Kichwa peoples have existed for centuries, providing an immense amount of knowledge about the tropical Amazon, with an important intrinsic cultural value. The Achuar and Kichwa territories are home to mainland forests, located in the foothills of the Andes, characterized by their high biodiversity and levels of endemism. The most representative ecosystems are the evergreen lowland forest of the Tiger-Pastaza and the flooded forest of the Amazon floodplain (Ministry of Environment, 2018). 		
Biological Context of Project Area		
Indicate global significance (e.g., biodiversity hotspot, Ramsar site, Key Biodiversity Area, irrecoverable carbon) of the project area <i>(Please identify any fragile or critical natural habitat² that may be affected by project activities and needing specific consideration in the area (wetlands, mangroves, estuaries, etc.).</i>	<input type="checkbox"/>	<input checked="" type="checkbox"/>
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	<input checked="" type="checkbox"/>	<input type="checkbox"/>
<ul style="list-style-type: none"> The areas of intervention are in one of the Jaguar Conservation Units identified in 2006 by a group of researchers and institutions at the regional level. Jaguar Conservation Units are significant because they are the areas with the greatest potential to maintain viable and healthy jaguar populations in Ecuador (Espinoza, 2006). The presence of this species in the landscapes is a good indicator of the health status of the landscape ecosystems and can guide the identification of priority biological corridors within the landscapes (Conde et al., 2011). The following table includes a list of the species found in this landscape: 		

² 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.

Table 1. List of species in the IUCN Red List in the project landscape

Class	Species	Threat category
Mammals	Pteronura brasiliensis	EN - endangered
	Tapirus pinchaque	
	Vampyressa melissa	VU - vulnerable
	Myrmecophaga tridactyla	
	Tayassu pecari	
	Cebuella pygmaea	
	Priodontes maximus	
	Lagothrix poeppigii	
	Tapirus terrestris	
	Mazama rufina	
Amphibians	Pristimantis prolatus	EN - endangered
	Atelopus spumarius	VU - vulnerable
	Pristimantis nigrogriseus	
	Strabomantis cornutus	
Reptiles	Crocodylus acutus	VU - vulnerable
	Riama anatoloros	
	Morunasaurus annularis	

Current or planned indigenous/local community conservation/protected territories (or other types of protected areas)

The project will be implemented exclusively in indigenous territories. Currently the three (2) Kichwa communities participate in the Socio Bosque Program (PSB), as well as eight (8) Achuar communities. There are currently no protected areas in the area of intervention.

While there were concerns over the lack of payments of the conservation incentives by the MAAE, incentives have been paid in full until May 2021. Through the Amazonía Verde project CI-Ecuador will work with community leaders to make better investments with incentives to ensure the long-term conservation of the Socio Bosque areas.

The following table details the communities participating in the PSB.

Table 2 Communities in the areas of intervention of de Our Future Forests: Amazonia Verde Program participating in the Socio Bosque Program

No.	Community	Area conserved with PSB (ha)	Indigenous Nationality
1	COMUNIDAD ECOLOGICA ACHUAR NUMBAIMI CHARAPACOCCHA	24,525	Achuar
2	CENTRO SHUAR ACHUAR SETUCH	3,868	Achuar
3	CENTRO ACHUAR MASHUMAR	4,093	Achuar
4	COMUNIDAD ACHUAR DE KUPATAS	25,000	Achuar
5	CENTRO ACHUAR KASUAENTSA	7,763	Achuar
6	CENTRO ACHUAR WUAMPUK	5,524	Achuar
7	CENTRO ACHUAR IPIAK	15,796	Achuar
8	CENTRO SHUAR PAKINTS	16,897	Achuar
9	COMUNA ANCESTRAL KICHWA DE CANELOS	13,154	Kichwa
10	CENTRO KICHUA CHUNCHU PAMBA	700	Kichwa
11	COMUNIDAD SAN VIRGILIO	2,500	Kichwa
TOTAL AREA CONSERVED THROUGH THE PSB		119,819 has	

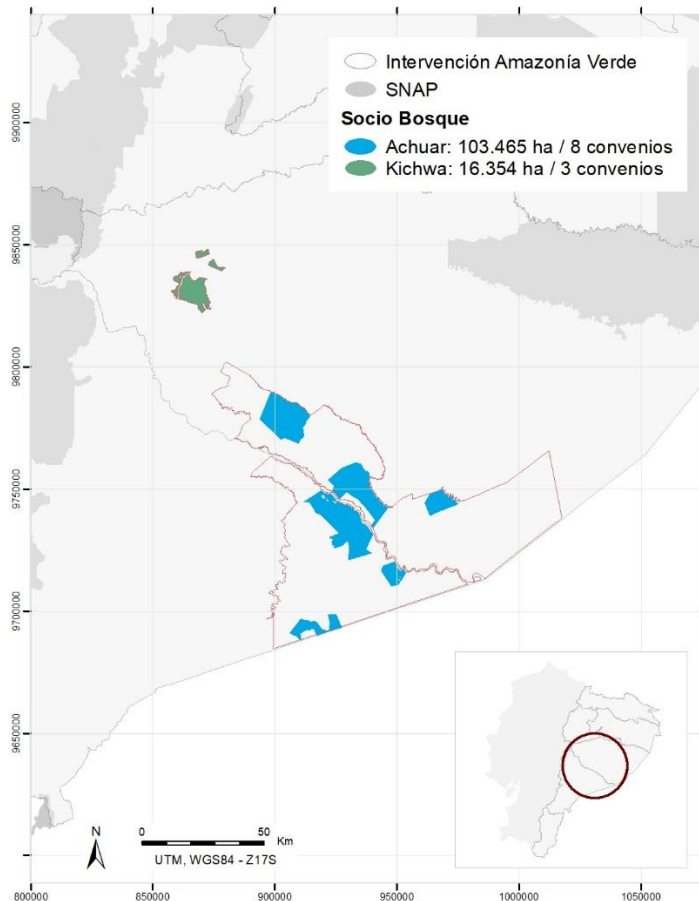
x ☐

☐

In total, the Achuar nationality received \$474,374 USD annually in incentives for the 103,465 hectares they conserve, while the Kichwa communities receive a total of \$113,909 USD annually for the 16,354 hectares they conserve.

The map below identifies the areas of the communities participating in the Socio Bosque Program.

Figure 2. Map of the communities participating in the Socio Bosque Program



Current or planned buffer zones

Not applicable



Major ecosystem types (check all that apply):

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

Key natural and other landscape features (check all that apply):

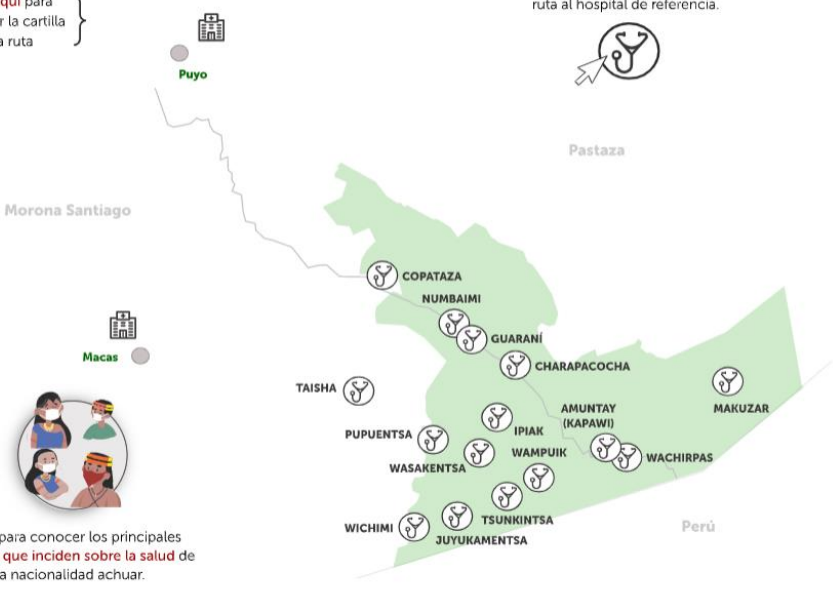
major rivers ☒, mangroves ☐, large scale agriculture ☐, tourism areas ☒, major transport infrastructure ☐, wind or renewable energy ☐, oil/gas or mining ☒

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

<p>According to the MAAE, the average deforestation rate (2008-2014) for the Pastaza province is 2,846 has/yr, while in the Morona Santiago province, that rate is 7,925 has/yr.</p> <p>96% of Achuar territory has forest cover; 4% of the territory has pastures, agriculture, and cattle. In the area of influence, the vegetation biomass harbors 108 million tons of carbon (7.7% of the carbon in the Ecuadorean Amazon). Additionally, it holds an average 106.5 TonC/hectare, which is 52% higher than the average in the Ecuadorean Amazon.</p>			
Targeted Indigenous or Community Conservation Territory (or protected area) (ha)		80,000 ha	
Temperature range (min, max)		No information	
Precipitation (ave per year, mm),		No information	
Socio-economic Context of Project Area			
Estimated affected population (people)			
Direct beneficiaries targeted (people) 4,895 people in Fase I of the project			
Number of villages or communities targeted 91 communities			
Estimated poverty rate (% of hh, based on national poverty line) 99% poverty based on unsatisfied basic needs (2010 census)			
Total land area (ha) – affected by the Project 377,880 ha of project area of intervention			
Number of indigenous groups (please list) Two indigenous nationalities (2): Achuar and Kichwa			
Describe the project area:		Yes	No
Places of spiritual, social, cultural, religious or historical/archaeological interest (please identify with appropriate attention to any protections of traditional knowledge) The Achuar and Kichwa territories have several spiritual and cultural areas of interest across their territory. Currently there are no mapped historical, or archaeological places of interest. There are several chapels located in communities in Achuar territory.		<input checked="" type="checkbox"/>	<input type="checkbox"/>
Does the community have access to electricity? Few Achuar communities have electricity (including some with solar power), while most either have generators or lack access to electricity completely. The three Kichwa communities have some sort of electricity.		<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>
Access to health care services? The Kichwa communities have access to health care services in nearby towns, while several Achuar communities have community health centers. See the map below for a map of the community health centers in Achuar territory ³ .		<input checked="" type="checkbox"/>	<input type="checkbox"/>

³ Information found at the following link: <https://confeniae.net/covid19>

Figure 3. Community health centers in Achuar territory

<p>RED DE ESTABLECIMIENTOS DE SALUD TERRITORIO ACHUAR</p> <p>Pulse aquí para descargar la cartilla de la ruta</p> <p>Pulse en un centro/puesto de salud para conocer la disponibilidad de oxígeno y la ruta al hospital de referencia.</p>  <p>Pulse para conocer los principales factores que inciden sobre la salud de la nacionalidad achuar.</p> <p>Hivos peoples united</p> <p>TOBOS LOS QUEDOS EN LA AMAZONIA</p> <p>COMUNIDAD ACHUAR Y KICHWA</p>		
<p>Access to education services?</p> <p>Many communities have a grade school (either in their community or a nearby community); however, the schools often have one teacher for various grades (“uni-docente”). For high school level education, students must travel to the closest city, thus contributing to migration from indigenous territories to cities.</p>	<p>x <input type="checkbox"/></p>	<p><input type="checkbox"/></p>
<p>Access to water and sanitation services?</p> <p>None of the communities have access to sanitation services. All communities have access to water in nearby rivers, but very few have water in their communities with some sort of pipes with water from those rivers.</p>	<p><input type="checkbox"/></p>	<p>x <input type="checkbox"/></p>
<p>Are there legacy issues of conflict?</p> <p>Most existing conflicts arise from neighbouring indigenous groups encroaching on Achuar or Kichwa territories or hunting in their territory. There are some conflicts regarding community limits. There are also conflicts with regards to keeping extractive industries (oil) out of Achuar territory. In the San Virgilio community, there have been some conflicts with the Plus Petrol Argentinian oil company. Finally, there are some existing conflicts with people from outside indigenous territories (“colonos”) extracting timber (currently balsa) from Achuar and Kichwa territories, as well as fishing in nearby rivers and hunting.</p>	<p>x <input type="checkbox"/></p>	<p><input type="checkbox"/></p>
<p>In last 5 years, has there been any natural disasters (flood, drought, winds, earthquake, wildfire, volcanic event, etc) ?</p> <p>Both Achuar and Kichwa communities have been affected y floods and landslides caused by heavy rains. There have not been wildfires in the area.</p>	<p>x <input type="checkbox"/></p>	<p><input type="checkbox"/></p>
<p>Have there been any COVID-19 related deaths in the communities?</p> <p>There are only 7 confirmed deaths from COVID in Achuar territory. In Kichwa territory this is unknown.</p>	<p>x <input type="checkbox"/></p>	<p><input type="checkbox"/></p>

<p>Main livelihood activities (check all that apply): Logging/Forestry <input checked="" type="checkbox"/> <input type="checkbox"/>, Agriculture <input checked="" type="checkbox"/> <input type="checkbox"/>, Livestock <input checked="" type="checkbox"/> <input type="checkbox"/>, Hunting <input checked="" type="checkbox"/> <input type="checkbox"/>, Fishing <input checked="" type="checkbox"/> <input type="checkbox"/>, NFTP collection <input checked="" type="checkbox"/> <input type="checkbox"/>, Small business <input type="checkbox"/>, Other <input checked="" type="checkbox"/> community tourism _____</p>																				
<p>Land uses (check all that apply): Residential <input type="checkbox"/>, Agriculture/pasture (individual) <input checked="" type="checkbox"/> <input type="checkbox"/>, Agriculture/pasture (collective) <input type="checkbox"/>, Conservation <input checked="" type="checkbox"/> <input type="checkbox"/>, Reduced Impact Logging/Forestry <input checked="" type="checkbox"/> <input type="checkbox"/>, Industrial <input type="checkbox"/>, Other <input type="checkbox"/> describe: _____</p>																				
<p>Land ownership (check all that apply): Individual -private <input type="checkbox"/>, Collective/communal <input checked="" type="checkbox"/> <input type="checkbox"/>, State/public land <input type="checkbox"/>, informal, customary ownership <input type="checkbox"/>, Other <input type="checkbox"/> describe: _____</p>																				
<p>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.</p> <p>Indigenous men and women have a unique contribution to conserving biodiversity and native ecosystems in the Amazon. Together, they have successfully contributed to the conservation of an important part of the Amazon's remaining forests and they continue to fight to keep extractive activities out of their territories. Achuar and Kichwa territories are managed by using life plans (or development plans), where areas of use and conservation are identified. These spaces are generally distributed as follows:</p> <p>Areas of use:</p> <ul style="list-style-type: none"> Houses and family subsistence agricultural plots (known as chakras or ajas) established around a populated area (or community) <ul style="list-style-type: none"> Agricultural plots are formed when a new family arrives Each member (usually considered as the male "head of household") is allotted approximately 300 square meters to build their house and kitchen and plant their crops Hunting areas Fishing areas <p>Conservation areas:</p> <ul style="list-style-type: none"> Native forests that are conserved Areas of active and passive restoration Forest areas that are used for collection of seeds, harvesting and non-timber forest products <p>Achuar and Kichwa women and men have differentiated knowledge with forests. Men generally implement activities that require leaving the home and travelling longer distances from their communities and are generally more familiar with timber species. Women, on the other hand, generally have more knowledge regarding plant species for consumption (including fruits, plant processing for food), use of plant fibers, and have a deeper understanding of ecosystem services linked to animal species (ie pollination and the propagation of species). They have broader knowledge of medicinal plants as well as the use of non-timber forest products for handicrafts.</p> <p>Below is a table summarizing the different roles that men and women have based on the most predominant activities in the Kichwa and Achuar territories.</p> <table border="1"> <thead> <tr> <th colspan="4">Table 3: Summary of roles differentiated by gender</th> </tr> <tr> <th>Activity</th> <th>Women</th> <th>Men</th> <th>Both</th> </tr> </thead> <tbody> <tr> <td>Reproductive activities and caregiving</td> <td>Solely attributed to indigenous women and girls</td> <td></td> <td></td> </tr> <tr> <td>Subsistence agricultural activities</td> <td>Chakras and ajas</td> <td></td> <td>Fresh water fish in pools (cachama fish)</td> </tr> <tr> <td>Hunting and fishing</td> <td></td> <td>Fishing in rivers and hunting</td> <td></td> </tr> </tbody> </table>	Table 3: Summary of roles differentiated by gender				Activity	Women	Men	Both	Reproductive activities and caregiving	Solely attributed to indigenous women and girls			Subsistence agricultural activities	Chakras and ajas		Fresh water fish in pools (cachama fish)	Hunting and fishing		Fishing in rivers and hunting	
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Activity	Women	Men	Both																	
Reproductive activities and caregiving	Solely attributed to indigenous women and girls																			
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Hunting and fishing		Fishing in rivers and hunting																		

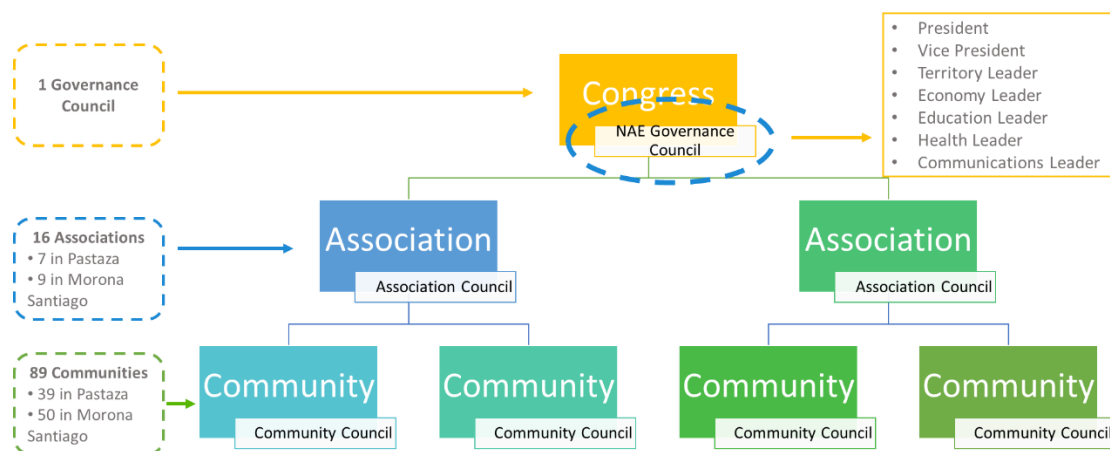
Harvesting	Indigenous women and children (boys and girls)		
Tourism and handicrafts	Women generally participate in the cooking and serving activities or provide food for indigenous men.	Men are usually tour guides	Men generally have the management roles while women act as secretaries or have accounting roles

Table 3. Summary table of roles differentiated by gender

Important to note in resource management, is the governance structure in Kichwa and Achuar nationalities (both are very similar, although the Achuar Nationality has a more complex governance structure).

- Governance structures are very clear in Achuar and Kichwa territories. The NAE is a third-level organization, meaning that it has a three-tiered governance structure. While the Kichwa communities are only a first-level organizations.

The following chart shows the complex governance structure of the NAE:



The Kichwa communities function only with the Community Council.

At a community level in both Achuar and Kichwa nationalities the Community Councils generally have the following leaders: President for Kichwa communities and “Síndico” for Achuar communities, Vice President, Treasurer, Secretary, Territory, Economy, Education, Health, Communications and Women and Family. Almost in every case all leaders are male, with the exception being the Women and Family leader who is always female.

- The assembly meetings in Achuar and Kichwa communities are the highest decision-making body, where each family is given one vote for decision-making processes. This vote is mostly given to the men of the families, who thus make decisions in their communities. While women’s participation in Assembly meetings is slowly growing, their role is generally to serve “chicha” (a fermented beverage made from cassava root used to quench thirst, provide sustenance, and when fermented for more extended periods of time, as an alcoholic beverage for festivities), and prepare and serve food during these meetings. Hence, women are essentially excluded from decision-making processes regarding natural resources, benefit distribution, governance, among other things.
- At a community level, women are charged with preparing food and chicha, as well as charged with sowing and harvesting food and medicinal plants for their families and the elders of the communities. Hence, women are generally considered “guardians of seeds”.

- Women also lead activities related to artisan work and handicrafts, using seeds and other non-timber forest products harvested from forests or their own plots.

Gender-based violence:

The 2010 census shows that in the Pastaza and Morona Santiago provinces, 7 out of 10 women experience physical, psychological, sexual, or patrimonial violence. While there are no statistics regarding gender-based violence in indigenous territories, there is evidence of domestic violence in both Achuar and Kichwa communities, even though those cases go unreported.

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:

There are no planned land acquisition activities in this project.

Describe any additional information on economic, social, and cultural context of indigenous peoples or local communities living in, the area of the proposed project (for example, any disadvantaged/vulnerable/disabled groups, human rights issues, conflicts, presence of illegal activities, etc.)

Institutional Capacity	Yes	No
Respect for the rights of indigenous peoples (<i>knowledge, recognition, respect and proactive protection of indigenous rights by all relevant parties</i>)	<input checked="" type="checkbox"/>	<input type="checkbox"/>
Strong local governance (<i>no incidence of corruption, transparent, representative and accountable decision-making bodies, effective resolution of disputes</i>)	<input checked="" type="checkbox"/>	<input type="checkbox"/>
Secure land rights (<i>no outstanding land tenure or land rights conflicts</i>) This project will help secure one part of Achuar territory that currently does not have a land title.	<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 See section above regarding gender.	<input type="checkbox"/>	<input checked="" type="checkbox"/>
Does the project team have experience in implementing safeguards, gender, and stakeholder engagement? <i>Please describe briefly:</i> <ul style="list-style-type: none"> • CI-Ecuador has committed to integrating the Rights-Based Approach into all of its projects and the team has participating in RBA and gender training. • Stakeholder engagement and FPIC has been implemented according to the governance mechanisms of each nationality, using the experience the team has had on-the-ground with the communities involved. • All member of the project team have had previous experience working with indigenous communities. 	<input checked="" type="checkbox"/>	<input type="checkbox"/>
Do the implementing partners have experience in implementing safeguards, gender, and stakeholder engagement ⁴ <i>please describe briefly:</i> <ul style="list-style-type: none"> • The potential project partners that CI-Ecuador has identified have had ample experience especially on gender and social safeguards and stakeholder engagement (particularly with indigenous groups). CI-Ecuador will work to ensure that environmental safeguards are adequately addressed and implemented. 	<input checked="" type="checkbox"/>	<input type="checkbox"/>

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

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.		
<ul style="list-style-type: none"> • Cuencas Sagradas (Fundación Pachamama) • PROAMAZONIA (UNDP) 		
Source Documentation – please describe any sources for information provided in the ESMP	Yes	No
Site visit(s) – please provide date(s), places, persons visited	<input type="checkbox"/>	<input checked="" type="checkbox"/>
Technical documents <ul style="list-style-type: none"> • Achuar Strategic Plan • GEF “Connectivity Corridors in two priority landscapes of the Ecuadorian Amazon Region” ProDoc 	<input checked="" type="checkbox"/>	<input type="checkbox"/>
Publicly available source of information, including media reports, please describe or provide links: Bremner, Joe, Richard Bilsborrow, Caryl Feldacker y Flora Lu Holt. 2009. “Fertility beyond the frontier: indigenous women, fertility, and reproductive practices in the Ecuadorian Amazon”. Population and Environment 3 (30): 93–113. Instituto Nacional de Estadísticas y Censos https://www.ecuadorencifras.gob.ec/institucional/home/ Jarrín V., Pablo Santiago, Luis Tapia Carrillo y Giannina Zamora. 2017. Demografía y transformación territorial: medio siglo de cambio en la región amazónica de Ecuador. Eutopía. Revista de Desarrollo Económico Territorial 11:81-100 Montalvo, Natalia. Introducción. En: Diagnóstico de la situación de las mujeres amazónicas. PROAmazonia. Quito. 2019 https://www.proamazonia.org/wp-content/uploads/2020/07/Diagnostico-de-mujeres-Amazonicas-3.pdf Páez, Mónica. Barreras en el empoderamiento económico de las mujeres amazónicas. En: Diagnóstico de la situación de las mujeres amazónicas. PROAmazonia. Quito. 2019 IUCN (International Union for Conservation of Nature). 2019. IUCN Red List. Species Mapping Tools. MAE (Ministerio del Ambiente del Ecuador). 2013. Sistema de clasificación de los ecosistemas del Ecuador Continental. Subsecretaría de Patrimonio Natural. Quito. MAE (Ministerio del Ambiente del Ecuador). 2015. Base de datos geoespacial [Cobertura y uso de la tierra, Mapa histórico de deforestación y Sistema de Administración Forestal] del Sistema Único de Información Ambiental – SUIA. Quito http://ide.ambiente.gob.ec/mapainteractivo/ Natural Heritage Statistics of the Ministry of Environment (2016) https://mluisforestal.files.wordpress.com/2016/01/estadisticas-patrimonio-natural-mae.pdf	<input checked="" type="checkbox"/>	<input type="checkbox"/>
Consultation with key informants	<input type="checkbox"/>	<input checked="" 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"/>

2. RISK ASSESSMENT & MITIGATION PLANNING

a. Safeguard Standards for Environmental & Social Assessment

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

Each country team to confirm that these safeguards apply to planned activities. For example, projects working on tourism, agriculture, fisheries, etc. should be requested to fill all the fields. For background detail of the content and procedure for any safeguard, see [GEF/GCF ESMF](#).

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

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

This project will work with non-timber forest products and will ensure that these are extracted without contributing to deforestation. In the case of cacao, CI-Ecuador will sign conservation agreements that include commitments to conserving existing forests as well as improved agricultural practices.

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.

Even though the work in this project will not involve community labor or subcontractors that require community labor, we will apply this standard as a precautionary measure. In the case of the Achuar community specialist that will be hired by CI-Ecuador as part of the team, that person will be hired as a full-time staff person, following all Ecuadorian laws and in equal conditions as the rest of CI-Ecuador's staff.

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).

⁵ CI's Rights-based Approach (RBA) consists of eight (8) guiding principles and institutional policies that ensure human rights are protected in our work. See CI RBA Sharepoint site.

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

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

There will be no land acquisition or involuntary resettlement of individuals and/or families under the proposed project. While the proposed project will not cause displacement of people from their homes, the Standard is triggered because establishing newly conserved areas may restrict the extraction of resources in certain areas, thereby restricting access to resources required for the subsistence and cultural maintenance of the affected populations.

CI-Ecuador will work to implement FPIC according to CI standards and in accordance to Achuar and Kichwa governance mechanisms to ensure that any newly designated conservation areas are approved by the Assembly and, in addition, that the team works with groups of women and youth that are excluded from the formal decision-making processes in the communities.

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

Overall, activities of the project will produce significant conservation benefits and any potential adverse environmental impacts on human populations or environmentally important areas are expected to be very limited. While there shall be no conversion or degradation of natural habitats, this Standard has been triggered as a precaution since there will be site-specific activities relating to productive landscapes.

4.1.5 Indigenous Peoples safeguard (including Free Prior Informed Consent (FPIC)). CI was founded on the understanding that successful conservation requires respect for human rights and the full and effective participation of IPLCs whose livelihoods depend on natural resources. CI has in place several institutional policies that all staff must adhere to that uphold a respect for Indigenous People's rights and processes that respect Free Prior Informed Consent (FPIC). CI has accepted that policies alone are insufficient for creating lasting change and created "Guidelines for applying FPIC: A Manual for Conservation international."⁷ Each component of the guidelines was designed to assist CI staff in implementing a fair and effective FPIC process. FPIC is not simply a decision-making process or a veto mechanism for the community, but a tool to ensure that outside people and organizations engage IPLCs in a culturally appropriate way. While an FPIC process was not possible during the design stage of the project, this safeguard supports documentation of consultation processes that were conducted and plans for continued consultation during project implementation.

CI-Ecuador has a deep understanding of the governance and decision-making structures of the Achuar and Kichwa communities participating in this project. This is the foundation for the implementation of the FPIC process with the communities. In the case of the Achuar, CI-Ecuador not only has a collaboration agreement with the NAE, but the project was also approved by the Ordinary Assembly Meeting in October 2020.

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

The Amazonía Verde Project activities have also been incorporated into Achuar Strategic Plan.

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.

This Standard is not triggered as the project is highly unlikely to have an impact on cultural resources.

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.

Considering the global pandemic and that vaccines are not yet widely available in Ecuador, CI-Ecuador will follow CI global policies to safeguard staff and partner well-being. In-person meetings will be limited, and events will not be authorized unless they are crucial to the project and when implementing safety protocols. When meeting with communities, CI-Ecuador and consultants will not only abide by community protocols but will also use proper safety protocols that include using masks, washing hands, limiting number of people, and using social distancing. The team will also gather relevant information in the Amazonía Verde formats and will report any cases that arise.

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).

This standard is not triggered as the project is highly unlikely to implement the use of pesticides with the non-timber forest products.

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.

CI-Ecuador is working with the Achuar Nationality, the Sustainable Environmental Investment Fund (FIAS for its acronym in Spanish), and PSB to establish an Achuar subaccount to finance the conservation agreements in Achuar territories as well as support other activities related to conservation, which may include the following: governance, sustainable production, and territorial planning. While this fund is still being designed, CI-Ecuador has identified the following potential match donors: KfW, WWF, TNC, Fundación Pachamama, Nia Tero and the French Development Agency (AFD for its acronym in Spanish). As with other subaccounts in the FIAS, CI-Ecuador will work with NAE, FIAS and PSB to establish clear policies on the following: decision-making committee structure, types of activities that can be funded, approval processes, monitoring, financial and programmatic accountability reports, among others.

- 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.

The project has a gender action plan which incorporates actions to promote gender equality in the project. Some of the activities include capacity building workshops based on women's specific needs and planned around their availability (including implementing workshops in communities, among other things). As women often speak less Spanish than men, translation services will be provided in workshops and capacity building materials will be developed considering lower literacy rates in women (graphic design). In addition, CI-Ecuador will provide two (2) indigenous women leader fellowships to support women's empowerment. Terms of reference developed for any consultants will include a gender focus requirement of the consultant staff; however, CI-Ecuador's team will be responsible for ensuring that the Gender Action Plan is implemented accordingly.

- 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.

List all permits that are required by the Country technical team to carry out the project activities. Provide status of the permit or document and information of steps to be taken to acquire the permits to implement the project – if any. The list should also cover any project relevant international environmental treaties and agreements to which the host country is a party.

Permit / Document	Status	Actions
N/A	N/A	N/A

3. ENVIRONMENTAL & SOCIAL RISK MITIGATION MEASURES

5.1 Prediction and Assessment of Risks and Impacts from Project Activities

Based on preliminary screening assessment of E&S risks related to planned activities that is summarized in **Section 4.1 and 4.2 of the Project ESMF**, please identify the most significant, highest potential risks related to planned activities in the country work plan. The country ESMPs should further assess the environmental and social risks of planned project supported activities. This assessment should define 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**).

The ESA team will review a draft ESMP and provide feedback to the team early in the project implementation period.

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

Table 4. 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	Weak indigenous governance structures that impede sustained actions over time (high turnover of community leaders); threats to indigenous rights, poor recognition of land rights or exclusion of indigenous peoples due to weak governance	Medium
2. Context Risk – COVID-19	Health, safety, and security risks for community partners and for CI staff related to how COVID-19 infections limit the ability to conduct field work.	Medium
3. Land use management plans/Life Plans	Conflict risks related to specific land use pressures on Indigenous lands or resources	Medium
	Risks to Natural Habitats, protected area, endangered species, or ecosystems	Low

4. Land titling or tenure security improvements	Land tenure, boundary demarcation related conflicts	Low
5. Training, fellowships, business plan development	Exclusion of project affected people from benefit sharing contributing to internal conflict	Low
	Gender related exclusion from decision making and benefit sharing	Medium
	Pollution, waste, chemical, pesticide risks from agricultural or agro-processing activities	Low
	Risks to tangible, intangible cultural heritage, particularly if ecotourism intends to commercialize cultural heritage	Low
6. Conservation Agreement - access restrictions to resources or lands	Conflict related to benefit sharing equity	Medium
	Risks to livelihoods when access to natural resources is restricted, particularly when affected peoples are dependent on natural resources.	Low
7. All activities	Sexual exploitation, abuse, or harassment of women (SEAH) or children	Low
8. Financing mechanism, co-financing	Possible dilution of the project ESMF requirements when investor funding from the private sector 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, especially pertaining to the carbon finance feasibility assessment. Finally, greater operational risk through dependence on co-finance mechanisms to implement activities or need for subgrantees if the NAE cannot directly channel funds to its account	Low

5.2 Risk Mitigation Measures

The project team should identify appropriate and justified measures to avoid, reduce or mitigate potential negative impacts and enhance positive impacts.

Due diligence for implementing partners should also be considered, which may be advanced as part of a needs assessment for partners and subgrantees (Project Activity 2.1.1). 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 the contract). Safeguard training will be made available as needed to partner organizations, particularly those that are implementing project activities.

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

Table 5. Project Activity - Risk Mitigation Measures

Project Activity -Risk <i>(Please add the high and medium risks after the previous table is completed, See ESMF section 4.5 for options)</i>	Planned risk mitigation measure or action <i>(some examples highlighted for consideration)</i>	Person responsible in your team	Est. budget form the project to solve the risk	Residual impact (Y/N)
1. Context Risk – Weak Governance	<ul style="list-style-type: none"> • Disclosure and communication about project objectives including as appropriate, defined exit strategy. • Coordination and communication with informal leaders, youth and women in communities • Grievance mechanism 	Project Lead and Project Coordinator		
2. Context Risk – COVID-19	<ul style="list-style-type: none"> • Safety and security protocol is defined with partner inputs and followed • Reporting on safety and security plan 	Project Coordinator and Achuar Community Specialist		
3. Land use management plans/Life Plans	<ul style="list-style-type: none"> • Implement a land titling conflict map with key stakeholders to identify potential threats by extractive industries, other indigenous groups, internal conflicts, and other external sources. 	Project Coordinator and Achuar Community Specialist		

	<ul style="list-style-type: none"> • Identify other threats from roads, logging, extractive activities in Achuar territory, especially in communities where CI-Ecuador will be implementing actions on the ground, to be included in monitoring design and implementation. • Design communications materials to report on identified threats and gather feedback from men and women in the communities. • Stakeholder engagement plan • Gender assessment and action plan • Implement negotiations trainings, especially when extractive companies are involved in indigenous territories. • When possible, engage with government to advise on proper FPIC processes, 			
4. Conservation Agreement - access restrictions to resources or lands	<ul style="list-style-type: none"> • Robust feasibility assessment • FPIC process implemented by community assembly approval for design, implementation, and accountability reports. 	Project Coordinator and Sustainable Production and Bioeconomy Specialist		

	<ul style="list-style-type: none"> • For land use zoning, ensure participatory processes that involve men, women and youth in decision-making processes that might lead to access restrictions to resources or lands • Transparent and effective communications in Achuar and Kichwa when appropriate • Grievance mechanism 			
5. All activities	<ul style="list-style-type: none"> • Gender assessment and action plan • Capacity building on SEAH, and gender-based violence as needed • Grievance mechanism 	Project Lead and Project Coordinator		

6 STAKEHOLDER ENGAGEMENT, PUBLIC DISCLOSURE AND GRIEVANCE MANAGEMENT

6.1 Stakeholder Engagement Plan

Please summarize the key contents of the Stakeholder Engagement Plan for the Project and elaborate on how engagement has been undertaken so far and will be undertaken during project implementation. Please describe how stakeholders' contributions, aspirations and concerns have been communicated, and will be considered in the project design and the resulting environmental and social management plans. Add a list of planned stakeholder events including how participants and records of meetings will be recorded as Annex to the ESMP. Please also describe the provisions for public information and disclosure of relevant project documents as a good practice throughout the project, but prior to any consultation, including the ESMF, this ESMP and related safeguard procedures. Consider how the Project team will present the ESMP in a non-technical, culturally appropriate manner. The description of the project's grievance mechanism and the options for submitting grievances directly to CI should be part of the SEP as well.

Complete the plan based on the template in Annex 1. Please bear in mind that there are indicators in the semester report that you can fill with the implementation of your stakeholder engagement plan.

CI-Ecuador's efforts in the first year were focused on complying with culturally appropriate FPIC processes, thus ensuring that our key partners not only knew of the project, but were able to provide feedback and, later approve the project. It is important to note that since the development of this proposal, there was a change in Achuar leadership, which required that CI-Ecuador present the program once again, as well as ascertain that our collaboration agreement was still valid.

To comply with the governance structure of the Achuar Nationality, CI-Ecuador coordinated with the Achuar Governance Council, the legal representatives of the Achuar Nationality. After several meetings with the Achuar Governance Council, CI-Ecuador was invited to participate in the IX Ordinary Achuar Assembly Meeting where we were able to secure a formal approval by the highest decision-making authority of the Achuar Nationality: The Assembly. From October 30-November 2, in the Shuinmamus community in Morona Santiago, CI-Ecuador presented the Amazonía Verde project to the 188 delegates of the 89 communities and 19 associations, as well as the Achuar Governance Council and where the approval of the program was formally included in the meeting resolutions. For the Achuar Nationality, the Achuar Ordinary Assembly meeting is the highest decision-making body, and the Governance Council is charged with ensuring that the decisions made in the Assembly meeting implemented. As evidenced in Annex 3, the following points key to the Amazonía Verde project were included in the Assembly Meeting decisions:

- The IX Ordinary Assembly of the Achuar Nationality approves to implement the Amazonía Verde project with Conservation International and resolves to implement an open call to assign a representative of the Achuar Nationality for project execution (1.2.9).
- Approves updating the Achuar Strategic Plan and to implement a workshop between the Governance Council, Conservation International and Fundación IKIAM or this purpose (1.2.8).
- Promote bioeconomy initiatives in the Achuar territory in the Pastaza and Morona Santiago provinces (1.7.3).

To comply with the FPIC process in the Canelos community, CI-Ecuador had several meetings with the Canelos governance council to develop a collaboration agreement as well as work plan to implement activities related to the project. This collaboration agreement and work plan were then socialized, validated, and approved by an assembly meeting with representatives from the 7 communities that make up the Canelos community on May 29, 2021.

To work with the San Virgilio community, the CI-Ecuador team had several meetings with the community leaders to develop a work plan. Although a collaboration agreement and assembly approval are not required for this project according to the community leaders, CI-Ecuador will be working to attain those documents in the next month (July 2021).

The CI-Ecuador team will implement two meetings per year in each Kichwa Community and with the Achuar governance council to review progress, bottlenecks, achievements and ensure that the project is in line with priorities and continues to respond to the needs of the communities.

6.2 Accountability and grievance redress mechanism (AGM)

Please consider the following design guidance for the ESMP

- An Accountability and Grievance Mechanism (AGM) procedure seeks to ensure consistency in how complaints are treated. All responsible parties for operating the AGM should be able to:
 - Proactively communicate to all stakeholders about how the AGM process works;

- Make a **written record** of all complaints received;
 - **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 should handle the complaint
 - 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 the Country program lead;
 - **Publicly report** on complaints received and actions taken on each complaint;
 - Ensure that a **transparent, timely and fair process** is adopted to address each complaint;
- The AGM will provide a three-tier structure to address grievances (*see Figure 1 below*)
 - **For Tier 1 at the Community level**
 - 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 features in each country;
 - A dedicated point person will be identified as the responsible party for any low risk grievance that is addressed at the community level;
 - The point
 - **For Tier 2 - PMU level**
 - M&E Manager will coordination all grievance processes;
 - For countries without Tier 1 procedures, M&E manager will lead grievance handling procedure for any low or medium risk grievance;
 - M&E manager will coordinate appropriately with the Country Program and partner;
 - **For Tier 3 – CI Grievance Subcommittee level**
 - Any high risk grievances will be elevated automatically to the CI Grievance Subcommittee, chaired by CI General Counsel Office (GCO)
 - The CI Grievance Subcommittee will follow the procedure described in the Project Accountability and Grievance Mechanism Procedure.

Table 6. Grievance Risk Classification

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

	<p>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 • Representation issues • Access to Information • Procurement related issues • Perceived conflicts of interest 	<p>Or</p> <p>PMU M&E Manager (AGM Coordinator) if no Tier 1 mechanism is identified</p>	
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>Point person for Tier 1 (if community level AGM is used), in coordination with the CI Country Program lead</p> <p>Or</p> <p>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) 	<p>Tier 3 CI Grievance subcommittee in coordination with the Country Program and the PMU.</p>	TBD

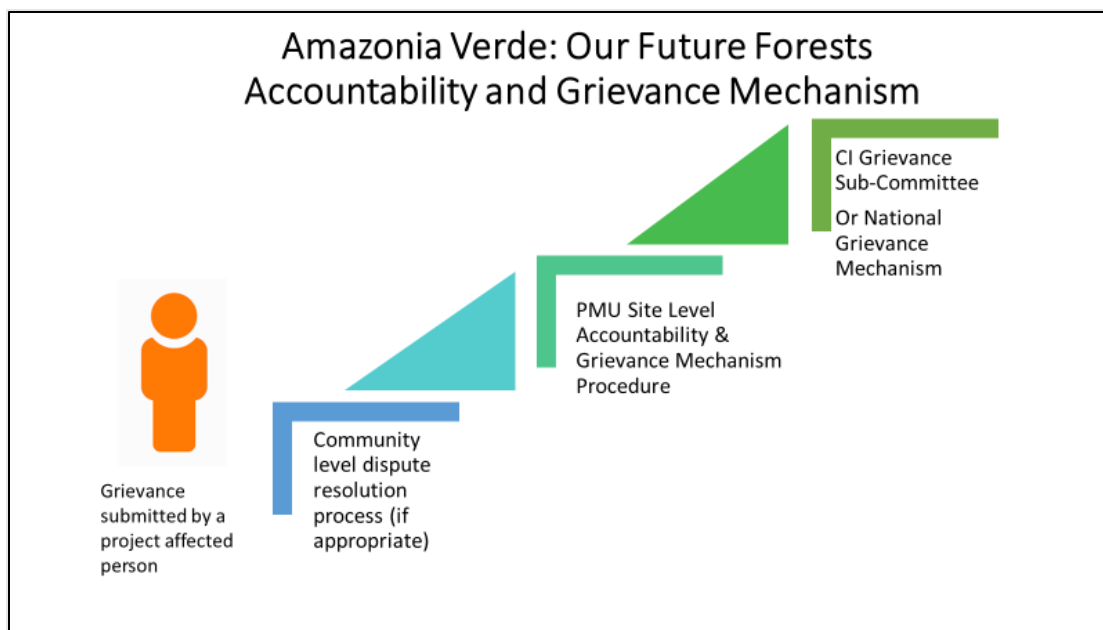


Figure 4. Generic design for a three tier project grievance mechanism

7 MANAGEMENT & MONITORING

Describe here how the ESMP will be implemented.

7.1 Roles & Responsibilities

Clarify the person (s) responsible for implementing the ESMP and the specific mitigation actions in Table 2.

Position	Responsibilities
Project Lead	Provides guidance on implementation of the activities and liaise with the project team and regional team. Ensures project activities comply with CI's Rights Based Approach and safeguards. Overall monitoring of the ESMF in line with project deliverables. Leads actions regarding to gender equality safeguards.
Project Coordinator	Overall implementation of field activities and the ESMF. Coordinates with the Sustainable Production and Bioeconomy Specialist and Achuar Community Specialist in ensuring unified implementation and reporting on ESMF.
Sustainable Production and Bioeconomy Specialist	Responsible for the implementation of community engagement strategies regarding land use planning and sustainable use of biodiversity and safeguards related to sustainable production and bioeconomy initiatives. Works to ensure equitable benefit distribution related to those activities.
Achuar Community Specialist	Provides guidance and actively participates in the implementation of culturally appropriate engagement strategies

	and liaising with communities, especially in FPIC processes in line with Achuar and Kichwa governance.
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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

As a Project lead you will be responsible of what occurs in your area of intervention. Please provide any additional ESMP performance indicators for the Project activities in coordination with the Project M&E Manager.

7.3 Capacity Building

Identify priority areas for safeguard related capacity building for the country technical team, implementing partners or project stakeholders, as suggested in Table 2. Please indicate who will provide this training and with what project activity the training is associated.

Table 7. Safeguard Training Plan

Safeguard Training Type	Dates	Description	Target Audience	Training Lead	Cost	Associated Project Activity
Grievance Mechanism	Beginning in May 2021 and throughout project lifecycle	Socialization of the Grievance Mechanism will be throughout the project and included in other field activities and visits to optimize resources	Achuar and Kichwa communities	Project Coordinator	N/A	All project activities
Sexual Exploitation, Sexual Abuse and Sexual Harassment	TBD	Policy that defines CI's guiding principles with respect to Sexual Exploitation, Sexual Abuse and Sexual Harassment	CI- Ecuador staff and grantees/ project partners	PMU	\$2,000	All project activities
Gender Action Plan	May 2021 (CI- Ecuador staff and community leaders)	Training on gender and how integration is being done in the project.	CI- Ecuador staff, Achuar and Kichwa community leaders, and	Project Lead	\$3,000	All project activities. The Gender Action Plan mainstreams

	August 2021 (partner organizations)		partner organizations			gender throughout
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7.4 Budget and Schedule

Based on the results of Table 4, please provide the budget and schedule for implementation of mitigation activities. If the mitigation activity cost is covered under a budgeted work plan activity, please indicate the associated project activity (work plan #). If not, please estimate the additional costs to complete the activity.

Table 8. 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 activities	N/A	N/A	Already in progress
Gender action plan	See GAP	All activities	N/A	N/A	May 2021
Grievance Mechanism	Preparation to use local dispute resolution practices within Project	All activities	N/A	N/A	May 2021

ANNEX I. Stakeholder engagement plan

1. PURPOSE

1.1. Brief Description of the Project

The Amazonia Verde Project was created to support the implementation of the Leticia Pact and to build on the priorities set by President Macron in New York. Conservation International proposes to conserve 72.5 million hectares (24.6 million ha directly and 48 million ha indirectly) by 2025 by empowering Indigenous peoples and local communities (IPLCs) and pioneering new financial mechanisms to advance conservation investments and incentives. The long-term conservation of the Amazon rainforest requires capacities of IPLCs to lead on their own and give them the tools to access the funding they need to carry out their own initiatives to conserve forests and support livelihoods. To do this CI proposes to focus on four key areas of intervention:

- Secure the protection of new areas and improve the management of existing protected areas on Indigenous Peoples and Local Communities (IPLC) lands,
- Empower Indigenous leaders and capacitate communities to meet their needs,
- Identify and implement sustainable value chains and financial mechanisms, and
- Strengthen Indigenous knowledge management and support Amazon advocacy.

Objective of the project:

To support IPLCs as stewards of the Amazon Rainforest- providing them with the tools, training and the financing needed to manage their lands and support overall conservation of the Amazon.

In Ecuador, the project will work in the following indigenous territories:

- Nacionalidad Achuar del Ecuador (NAE)
- Centro San Virgilio
- Comunidad Ancestral Kichwa de Canelos
- Centro Kichwa Chunchu Pamba

In Ecuador, the following actions will be implemented:

Component 1: Newly Secured Protection and Improved Management on IPLC Lands

- New life plans developed and implemented
- Achuar Strategic Plan is updated
- Land titling of 13.000 has of Achuar territory
- Design and implementation of a monitoring system

Component 2: Indigenous Leaders Empowered, and Community Capacity Needs Met

- Capacity building in management and administration, conflict resolution and negotiation, environmental legal instruments, and territorial monitoring.
- Strengthening women's leadership
- Indigenous Women Fellows

Component 3: Sustainable Value Chains and Financial Mechanisms Identified and Implemented

- Implement 5 bioeconomy initiatives
- Implement demonstrative projects on "conservation cacao"
- Implement a feasibility analysis on carbon finance mechanisms

Outcome 4: Indigenous Knowledge Management and Amazon Advocacy Improved

- Foment participation of indigenous representatives in strategic national and regional events
- Implement knowledge exchanges
- Support processes with COICA and the Women and Family Area

1.2. Social Context

2. NATIONAL REQUIREMENTS

Ecuador has a legal and regulatory framework that guarantees the rights of people, and especially indigenous peoples, to participate in different political spheres; establishing that participation is a fundamental principle of this sovereign democratic state (Art. 34, 38, 48, 95, 100 and 337; specifically for youth in Art. 39; for women in Art. 171; and indigenous peoples in Art. 85). The foundation for this right and the types of direct participation are established in the 2008 Constitution, which mentions that the State will guarantee citizen participation in the development, implementation, evaluation, and control of public policy and public services (Art. 85).

The Constitution establishes that indigenous peoples have a right to participate in areas of public interest, to present projects and initiatives, to be consulted, among others (Art. 61). Furthermore, it establishes that indigenous peoples have the right to free, prior, and informed consultation in plans and programs on their land and that could affect their environmental or cultural heritage (Art. 57).

With the Constitutional framework, Ecuador establishes a series of regulations regarding citizen participation:

- Regulation for the implementation of social participation in the Environmental Management Law (2008).
- Presidential Decree 1040 establishes that it is obligator for the environmental authority to implement social participation when implementing environmental and social impact assessments in new activities and projects.
- Organic Law for Citizen Participation (2010)
- Environmental Organic Code (2107 and updated in 2018)

Important to mention, that most of these regulations apply to extractive industry and infrastructure projects as well as public policy design rather than projects implemented by international cooperation or NGOs.

3 IDENTIFICATION AND ANALYSIS OF STAKEHOLDERS

Describe methods used to identify and analyze stakeholders and the results of this analysis. Stakeholders are often mapped based on the level of influence or power and level of interest. In this regard the following schematic representation is widely used when mapping stakeholders for the purpose of project management, with a justification on why the level of interest and influence was assigned to different stakeholders. The stakeholder strategies can be designed for clusters on the influence/interest table as indicated. This is one mapping approach. The Project team should propose a preferred approach.

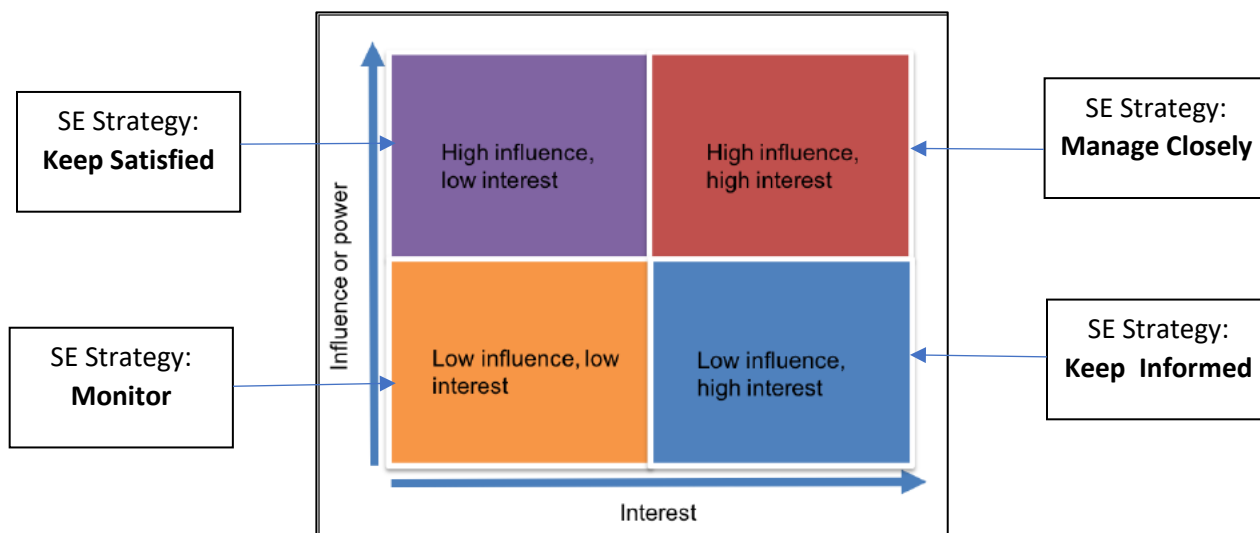


Figure 5. Generic Stakeholder Map used for Stakeholder Analysis

Stakeholder	Role	Influence or Power	Interest	Stakeholder Engagement Strategy
Indigenous organizations				
Nacionalidad Achuar del Ecuador (NAE) Centro San Virgilio Comunidad Ancestral Kichwa de Canelos Centro Kichwa Chunchu Pamba	Key stakeholders in Project design, implementation, and evaluation. Will maintain constant communication and the project team will need to ensure project alignment with broader indigenous community strategies. All activities implemented through this project will need to be approved by the communities.	High	High	Manage Closely <ul style="list-style-type: none"> • Ascertain community leadership and Assembly approval of project and its activities • Establish broader collaboration agreements • Develop joint work plans for project implementation • Implement periodic monitoring and follow-up meetings with community leaders • Implement actions on the ground • Participate in assembly meetings when appropriate to provide project updates to communities
Government				
Ministry of Agriculture and Cattle (MAG)	The MAG is charged with improving the livelihoods of agricultural workers and communities, guarantee food sovereignty, and foment sustainable agricultural production. The project team will identify potential collaboration opportunities with the MAG, especially related to "cacao de	High	Low	Monitor <ul style="list-style-type: none"> • Implement meetings with local MAG representatives to keep staff informed and identify opportunities for collaboration • Work with the Amazonia program (ATPA) of the MAG to identify collaboration opportunities for cacao and bioeconomy initiatives • Monitor actions to identify opportunities on the ground or related to policy development

	conservación” and bioeconomy initiatives.			
Ministry of Environment, Water and Ecological Transition (MAATE)	The MAATE leads national conservation actions including, but not limited to, the PSB and the declaration of community conservation areas. The project team will collaborate with the MAATE and the NAE to strengthen existing PSB areas, identify potential new PSB conservation areas, create the Achuar Fund for PSB, and identify opportunities for the creation of a community conservation area.	High	High	Manage closely <ul style="list-style-type: none"> • Establish periodic meetings to establish and follow-up on the Achuar Fund for PSB • Implement meetings with PSB technical staff to support in Achuar and Kichwa PSB areas and monitoring actions • Implement regular check-ins to identify collaboration opportunities and update on project implementation
Technical Secretary of the Special Technical Circumscription of the Amazon Territory (ST-CTEA)	The ST-CTEA is charged with developing and ensuring the implementation of the Integral Amazon Plan (PIA). The project team will coordinate with the ST-CTEA to support the implementation of key activities related to indigenous peoples in the PIA, as well as to support in the participation of indigenous groups in decision-making platforms related to the PIA.	Low	High	Keep informed <ul style="list-style-type: none"> • Sign a collaboration agreement for broader actions • Support the development of the PIA, including socialization, feedback, and approval of the final document • Develop a work plan for the implementation of the PIA, especially actions related to indigenous peoples and conservation actions • Implement regular check-ins to identify collaboration opportunities and update on project implementation
Local governments in Pastaza and Morona Santiago (GADs)	Local governments, among other activities, lead planning at a local level, through the local development and territorial planning plans (PDOT); foment productive initiatives; and establish local government conservation areas. The project team will collaborate with GADs to identify opportunities to connect community life plans to PDOTs, link community conservation areas to local government conservation initiatives, and complement existing production activities on the ground.	Low	High	Keep informed <ul style="list-style-type: none"> • Implement meetings with GADs to keep staff informed and identify opportunities for collaboration • Monitor actions to identify opportunities on the ground or related to policy development
NGOs				

ECOLEX	The Project team will collaborate with ECOLEX to adapt existing training modules on environmental legislation for the Achuar and Kichwa peoples. ECOLEX will also lead efforts to legalize (obtain the land title) the remaining Achuar territory.	High	High	Manage Closely <ul style="list-style-type: none"> • Sign a grant agreement for specific actions (including a work plan and budget) • Implement regular meetings to follow-up on actions • Coordinate regular meetings with Achuar and Kichwa representatives to ensure alignment with priorities
Fundación IKIAM	Fundación IKIAM is an Achuar NGO that supports the Achuar Governance Council in executing funding as well as implementing specific actions.	High	High	Manage Closely <ul style="list-style-type: none"> • Sign a grant agreement for specific actions (including a work plan and budget) • Implement regular meetings to follow-up on actions • Coordinate regular meetings with Achuar governance council to ensure alignment with priorities
Fundación Pachamama	Fundación Pachamama has worked in Achuar territory for over ten years and implements actions related to governance strengthening, territorial protection, among others. The project team will meet with Fundación Pachamama to ensure coordination and collaboration, as well as identify potential joint actions.	Low	High	Keep informed <ul style="list-style-type: none"> • Implement periodic meetings with Fundación Pachamama to identify collaboration opportunities
Naturaleza y Cultura Internacional (NCI).	NCI works in the Pastaza and Morona Santiago provinces in actions related to conservation, local government planning, and sustainable production actions. The project team will meet with NCI to ensure coordination and collaboration, as well as identify potential joint actions.	Low	High	Keep informed <ul style="list-style-type: none"> • Implement periodic meetings with NCI to identify collaboration opportunities
Fundación Aliados	Fundación Aliados is a local NGO that focuses on community productive activities. They have had experience with Achuar and Kichwa communities and have been identified as a potential implementation partner.	Low	High	Keep informed <ul style="list-style-type: none"> • Implement periodic meetings with Fundación Aliados to identify collaboration opportunities, especially regarding bioeconomy initiatives
Productive Organizations				

Kallari, Wiñak and Chankuap.	These productive organizations work in or near the project area on cacao, coffee, and non-timber forest products. They work to build capacities on improving the quality of products, as well as to commercialize specific products. The project team will collaborate with these organizations to identify the best bioeconomy initiatives, harness lessons learned, and implement capacity building actions.	Low	High	Keep informed <ul style="list-style-type: none"> • Implement periodic meetings to identify collaboration opportunities, especially regarding bioeconomy initiatives • Develop works plans when closer collaboration needs have been identified
International Cooperation				
KfW	KfW has had sustained investment and interest in Achuar territory, especially related to the PSB. The project team will collaborate with KfW to establish the Achuar PSB Fund and harness match funding.	Low	High	Keep informed <ul style="list-style-type: none"> • Implement periodic meetings for the design and implementation of the Achuar PSB Fund • Sign an agreement to secure match funding for the Fund • Coordinate periodic meetings to follow-up on the Fund execution
GIZ	GIZ's natural heritage and bioeconomy project provides match funding for this project. The project team will ensure actions are complementary and that lessons learned, and successful actions are scaled-up.	Low	High	Keep informed <ul style="list-style-type: none"> • Implement periodic meetings to report on implemented actions and identify additional opportunities for collaboration

4 INFORMED CONSULTATION AND PARTICIPATION

Describe how the engagement plan will meet the principle of ICP. ICP involves an in-depth exchange of views and information, and an organized and iterative consultation, leading to the incorporating of the views of the affected communities into the decision-making process on matters that affect them directly, like mitigation measures, sharing of development benefits and opportunities, and implementation issues.

The Stakeholder Engagement Strategy focuses on established community governance and decision-making processes. The project team will collaborate with Achuar and Kichwa community leaders as partners in project execution. In addition, the project team will ascertain Assembly meeting approval of the project, thus gaining formal approval from the highest decision-making body of the communities with which we will be working. Finally, the project team will report back and present during assembly meetings (when the leadership councils allow) to present project progress, key successes, and implementation challenges.

Although CI-Ecuador will always abide by national laws regarding participation, these governance mechanisms go beyond what national legislation requires and focuses on the context and specific processes of each nationality and community.

5 VULNERABLE GROUPS⁸

Describe any vulnerable groups identified in the stakeholder analysis.

Both Kichwa and Achuar communities have women, children, and elderly in their communities.

6 STAKEHOLDER ENGAGEMENT PROGRAM

6.1 Stakeholder activities already undertaken

To date, CI-Ecuador has implemented the following Stakeholder Engagement activities:

- During the design phase, CI-Ecuador's team met with the Achuar leadership council (since the design, a new leadership council was elected) to present the potential funding opportunity and to identify key actions to be included. Per the request of the Council, these actions were aligned with the Achuar Strategic Plan.
- Upon approval of the project, CI-Ecuador met with the new Achuar leadership council to present CI as an organization, as well as the project and its actions. Several follow-up meetings were implemented to give more detailed information regarding the project and build trust between our organizations.
- In October 2020, CI-Ecuador supported the implementation of the IX Achuar Ordinary Assembly Meeting, where we presented the project. The project was formally approved during the Assembly meeting, thus gaining the highest approval of the Achuar peoples.
- Since this, CI-Ecuador has maintained continuous communication with the Achuar governance council in updating the Achuar Strategic Plan, with which this project continues to be aligned. Furthermore, at the request of the Achuar leadership council, CI-Ecuador facilitated a meeting with Achuar collaborating organizations to identify and harness support for the implementation of the Strategic Plan.

6.2 Planned engagement activities

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

If applicable, insert stakeholder activities that have already been undertaken. List planned engagement activities, e.g., formal newspaper notices, other public notices, focus groups discussions, collection of views/opinions/suggestions, receiving approval letters, disclosure of documents etc. Describe activities in as much detail as possible (e.g., where meetings did take place and when, what documents were be disclosed etc.) and always with dates or time frames. Possible engagement activities can include:

Types of Engagement Processes

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

Types of Engagement Activities

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

Process/Activity	Target Stakeholder	Stakeholder Interests	Description (including stage of project cycle)	Timing
Consultation or consent	Achuar and Kichwa communities	Ensure alignment with community priorities and needs	When new activities are incorporated in project, consultation meetings and design workshops will be implemented.	When new activities are incorporated
Project Awareness or Socialization	Achuar and Kichwa communities	Transparency, project execution and impact	Throughout project, community members (not just leaders) and new leaders are informed through meetings, communications materials, and presentations in assembly meetings.	Continuous

	Government entities	Stay informed. Coordination and alignment with policies, priorities, and initiatives	Meetings	
	NGOs and productive organizations	Coordination and collaboration for implementation of actions on the ground	Meetings	
Training/Capacity Building	Achuar and Kichwa communities	Strengthen capacities on key issues identified and prioritized	Environmental legislation, administrative skills, and territorial monitoring	Throughout project, starting in July 2021
Network or Alliance Building	Achuar and Kichwa communities	Gain support to amplify actions on the ground	Sign collaboration agreements and participate in and coordinate multi-stakeholder meetings for the benefit of the Achuar and Kichwa communities	Continuous
Advocacy	Government entities	Implement priorities and initiatives; implement participatory processes in accordance with national legislation	Multi-stakeholder meetings and bi-lateral meetings	Continuous
Monitoring & Evaluation	Achuar and Kichwa communities	Ensure effective project implementation in benefit of the Achuar and Kichwa peoples	Monitoring & feedback activities Evaluation activities	Monitoring will be continuous. Evaluation implemented as per project requirements

- 8 **GRIEVANCE PROCEDURE** Stakeholder engagement plan should briefly describe the Project Accountability and Grievance Mechanism Procedure and relevant Tier 1 - Site Specific Procedures to be developed by the Country Program.

Based on past experiences with other projects and considering the context of this project, CI-Ecuador has established the following Grievance procedure:

MECANISMO DE QUEJAS Y RECLAMOS

Nuestros Futuros Bosques: Amazonía Verde
Ecuador



¿QUÉ TIPOS DE RECLAMOS?

Se aplica exclusivamente a las actividades del proyecto en caso de quejas o reclamos sobre la calidad del trabajo o el comportamiento del equipo.



¿QUIÉN PUEDE PRESENTAR UN RECLAMO?

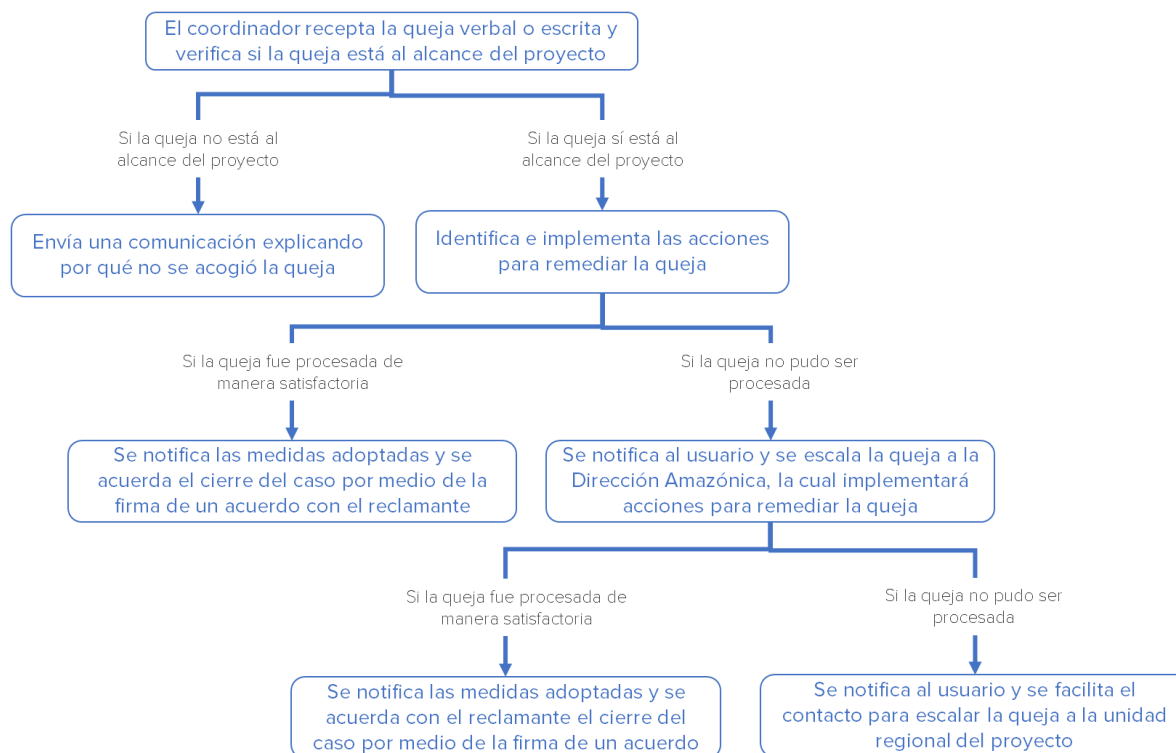
Cualquier persona natural o jurídica residentes en Ecuador en las zonas de intervención del proyecto.



¿QUIÉN TRAMITA LAS QUEJAS?

Las quejas son tramitadas por CI-Ecuador a través de la coordinación del proyecto.

¿CÓMO SE PROCESA LA QUEJA?



EJEMPLOS DE QUEJAS

- Incumplimiento de compromisos acordados con la partes interesadas.
- Falta de respeto hacia alguna persona.
- Acusaciones de corrupción, favoritismo, discriminación, acoso sexual o abuso de confianza.

*En caso de recibir quejas sobre temas no relacionados, se procederá a enviar información sobre la entidad competente e instancias correspondientes para dirigir su solicitud.

9 STAKEHOLDER REGISTER FOR FPIC and PRIMARY CONSULTATION MEETINGS

It is important that issues raised during the major consultation processes (such as FPIC) are recorded in a logical and systematic way. The Stakeholder Register is essentially a database (for example, this could be set up in an Excel file).

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

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. These evidences also should be use 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.

CI-Ecuador uses the following formats to record meetings and stakeholder engagement:

In-person meeting registration:

TALLER DE REVISIÓN PRELIMINAR DEL DOCUMENTO DEL PLAN INTEGRAL PARA LA AMAZONIA
07, 08 y 09 de abril del 2021
Baños, Tungurahua
Registro de Asistencia

Nombres:	Apellidos:	Organización:	Autoidentificación étnica: (indígena, mestizo, blanco, afro, otro)	Edad:	Género:	Firma:
Correo electrónico:		Cédula:	Nacionalidad indígena (si aplica):	Teléfono:		

In addition to photographs and meeting minutes, the project team will have a detailed log of meetings to facilitate reporting (see excel document).

11 ANNEX I: STAKEHOLDER LIST TEMPLATE

The following template will be used to register

Group	Organization/ Entity	Name	Title	Phone number	E-mail address	Comments
Indigenous Organization						
National Government						
Local Government						
NGO						
Productive Organization						
International Cooperation						

ANNEX II: FREE PRIOR INFORMED CONSENT (FPIC) PROCESS

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

Table 9. FPIC Process Log

Country	IP partner	Completed or Planned consultation or consent related activities toward FPIC with primary Indigenous partner organizations (please describe: • status of CI relationship w/partner • how stakeholders were identified • past or ongoing consultation activities or meetings • information shared about the project • evidence of feedback from the wider community • measures to respond to submissions by stakeholders and report back during project implementation (e.g. modifications to the original project design) • amendments offered, objections observed, and/or agreements reached • additional documentation about the process	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 - COVID prevented CI from securing consent prior to project start. When conditions permit, we should be able to show evidence of voluntary, informed consent to participate in the project by partner IPOs. Informed suggests that partner has adequate knowledge about project benefits and costs.	CI Plans to address FPIC gaps. a) additional consultation meetings; b) research on IPO recommendations c) provision of new information about the project; d) modifications to the original project design e) agreement to be secured demonstrating consent.
Ecuador	Achuar Governance Council	<ul style="list-style-type: none"> During the design phase, CI-Ecuador's team met with the Achuar leadership council (since the design, a new leadership council was elected) to present the potential funding opportunity and to identify key actions to be 	No recommendations for changes were made	Achuar Assembly meeting approval is attached.	Frequent communication and monitoring will continue to be implemented to inform, adjust, and approve actions when appropriate.

		<p>included. Per the request of the Council, these actions were aligned with the Achuar Strategic Plan.</p> <ul style="list-style-type: none"> • Upon approval of the project, CI-Ecuador met with the new Achuar leadership council to present CI as an organization, as well as the project and its actions. Several follow-up meetings were implemented to give more detailed information regarding the project and build trust between our organizations. • In October 2020, CI-Ecuador supported the implementation of the IX Achuar Ordinary Assembly Meeting, where we presented the project. The project was formally approved during the Assembly meeting, thus gaining the highest approval of the Achuar peoples. • Since this, CI-Ecuador has maintained continuous communication with the Achuar governance council in updating the Achuar Strategic Plan, with which this project continues to be aligned. Furthermore, at the request of the Achuar leadership council, CI-Ecuador facilitated a meeting with Achuar collaborating organizations to identify and harness support for the 			
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		implementation of the Strategic Plan			
Ecuador	Kichwa communities	<ul style="list-style-type: none"> • FPIC activities with newly-elected community leaders in the Kichwa communities is still pending 	Information to be gathered with new leaders	Kichwa community assembly meeting approvals are still pending	Kichwa community consultation meetings with new leadership are pending. Assembly meeting approvals are still pending and will be implemented in the coming months.

Country Gender Action Plans (GAP)

Ecuador

April 2021

1. Who is the designated person(s) with responsibility for implementing and monitoring this GAP?
 - a. *The Project Lead, **Carolina Rosero** will be responsible for implementing and monitoring the Gender Action Plan.*
2. Reflecting on the gender issues identified in the regional gender action plan, and the specific activities that your country component will undertake, the table below explains the steps that will need to be taken to ensure gender equity and promote women's leadership in Ecuador's project implementation:

	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	Activity 1.1.1 In the Achuar territory, develop an indigenous management plan for the newly established Community Conservation Areas.	In TORs of consultancy, include the need to actively engage women in identifying new conservation areas and in the development of management plans. TORs will also incorporate the requirement of experience with these participatory and gender inclusive approaches in past projects. They will also include the requirement of identifying a female to facilitate working groups with women. CI-Ecuador will ensure that the gender considerations are included in work plans, methodologies, deliverables, and other documentation.
	Activity 1.1.2 Work with three Kichwa communities (Centro San Virgilio, Comunidad Ancestral Kichwa de Canelos, and Centro Kichwa Chunchu Pamba) in neighboring	In TORs of consultancy, include the need to actively engage women in updating community management plans, including implementing separate groups with women, based on their schedules and needs, and identifying a female to facilitate those working

	territory of Pastaza to update and implement community management plans.	groups. In prioritizing actions to implement from the community management plans, ensure that women's actions are prioritized and budgeted.
	Activity 1.1.3 In Ecuador, update and operationalize Achuar Nationality Strategic Plan and update life plans for Achuar communities	Ensure that women's priorities are incorporated in the Achuar Strategic plan and that women actively participate in updating it. CI-Ecuador will work with the Achuar Governance Council to include specific actions with women in the Strategic Plan implementation (funding at least 2 bioeconomy initiatives with women, supporting at least 1 indigenous women's exchange and identifying partners to support additional activities with women and youth). In updating the life plans, CI-Ecuador's team will work with the consultants (linked to Activity 1.1.1) to ensure that the gender considerations are included in work plans, methodologies, deliverables, and other documentation.
Outcome 2: Indigenous Leaders empowered and community capacity needs met		
Gender outcome: improve women's participation and decision-making in natural resource management		
Output 2.1 Strengthen capacity of IPLC organizations	<p>Activity 2.1.1 Conflict resolution and negotiations training</p> <p>Activity 2.1.2 Management, administration, and accounting training: 12 local communities</p> <p>Activity 2.1.4 Instruction in legal tools in environmental legislation: 12 local communities</p>	Ensure that training opportunities explicitly include at least 40% women in training activities (whether it be in the same workshop or in a workshop specifically for women on the same topic). When implementing training actions, ensure that appropriate provisions are in place to facilitate women's participation: flexibility to work with women in separate groups and in alternate times (and locations in the community, i.e., cooking areas), include a female facilitator and translator. When possible, implement trainings in communities to decrease logistical challenges of women to participate in trainings in cities or outside their communities.

Output 2.2: Train the IPLC leaders of tomorrow – enabling emerging leaders (men and women) to address development pressures	Activity 2.2.1 In Ecuador, strengthen capacity of local women to lead and in mitigating threats in indigenous territories, especially conservation areas	This activity was incorporated into the work plan to ensure targeted activities to strengthen women leadership. CI-Ecuador will also support 2 women indigenous women leader fellowships and implement exchanges with those women and Achuar and Kichwa women in the project areas. In the second semester of 2021, CI-Ecuador will implement an analysis to identify women’s specific capacity building needs as well as build out a capacity building plan to execute these activities and identify strategic partners. In addition, the project will identify opportunities to highlight women’s work in their communities and advise community leadership to provide more opportunities for women’s participation in key events.
Outcome 3: Sustainable value chains and financial mechanisms identified and implemented		
Gender outcome: generate socioeconomic benefits and services for women		
Output 3.1 Facilitate access to climate and conservation finance and develop innovative finance opportunities	<p>Activity 3.1.1 Develop business plans and support the strengthening of current sustainable businesses with the Kichwa and Achuar territories with non-timber forest products</p> <p>Activity 3.1.2 Implement the business plans of Kichwa and Achuar communities</p>	In prioritizing business with non-timber forest products for business plan development and implementation, at least 50% are led by women. In TORs of consultancy for the development of business plans, ensure that gender considerations are considered in business plan development. The CI-Ecuador team will work with women and community leaders to monitor gender-based violence and other unintended negative consequences resulting from changing dynamics and potential income generation.