

STAKEHOLDER ENGAGEMENT PLAN

Profonanpe

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1. INTRODUCTION

According to the CGF's Environmental and Social Policy, stakeholder engagement is a key component and a strategic process of the environmental and social management system due to it seeks the wellness of the vulnerable population including indigenous people and avoids any adverse impact that their activities could cause.

Likewise, the environmental, social and gender policies - PAS of Profonanpe (Safeguards), based on the principles of Ecuador, promote and apply participatory management through Policy No. 6 "Involvement and participation of the Actors of PAS 6", which highlights involvement of the local population in decision-making along the project cycle, including design, planning, implementation, and monitoring and evaluation.

Besides, Profonanpe from programs and projects design stage, make a participatory and disclosure process that allow to establish a dialogue with the population regarding the activities, with which it seeks their involvement, appropriation and empowerment as well as building capacities, achieving the interventions's substantibility.

It is under this framework of action that this document aims to describe the guidelines and actions that will be carried out to guarantee the participation of the actors involved from the early stages of the project Implementation of Eco Bio Businesses in the Amazon of Profonanpe (EBBF), seeking that people are well informed, their ideas are incorporated in advance and their concerns are heard and addressed

2. PRINCIPLES

The principles on which this plan is based are those of transparency, accountability, inclusion, non-discrimination and no harm.

3. OBJECTIVES

Provide strategic guidelines that allow guaranteeing the participation of the actors as well as their involvement in the different phases of the project, in order to ensure the sustainability of the interventions.

Specific objectives:

- Promote the identification of the actors that could be affected by the execution of the EBBs.
- Ensure the dissemination of information about the project, its impacts, risks and benefits among the actors involved in the intervention of the EBBs.

- Promote the holding of consultations with the actors involved in the execution of the EBBs with emphasis on vulnerable populations.
- Promote the implementation of a complaints and claims system within the EBB framework.

4. STRATEGIC GUIDELINES

The following describes the strategic guidelines to carry out the stakeholder involvement plan along the phases of the project implementation. It should be noted that for the development of activities based on these guidelines, it should comply with the measures dictated by the Government of Peru to avoid contagion due to the pandemic generated by the Coronavirus in the regions of Amazonas, San Martín, Loreto, Cusco, Puno and Madre de Dios.

It is also important to note that these guidelines should guide portfolio companies to comply with the preparation, implementation and monitoring of the stakeholder involvement plan. Moreover, these guidelines should be evaluated to guarantee the portfolio companies preselected are satisfactorily complying with the social and environmental safeguards policies linked to the participation of the actors involved.

4.1. Identification of actors

The first step to achieve the actors' commitment is their identification, setting which are the actors directly and indirectly affected by the project, even considering that the impact could be beneficial, such as the socioeconomic effects of job creation in supply chain. In this case, stakeholder mapping is the optimal tool to identify directly and indirectly affected actors as well as their interests regarding the project.

This stakeholder mapping can be carried out through participatory workshops with the communities located in EBB intervention's area as well as interviews with key stakeholders such as community representatives and authorities.

Another important factor regarding the actor mapping is the identification of the representatives of the social actors through which the consultations can be made and may even be an efficient means of disseminating and receiving information. It should be noted that it must be guaranteed that the legitimate of representatives.

Thus, for example, in the case of the project execution, the indigenous people's organizations must be call to participate including women's organizations, which are

recognized by the Ministry of Culture as organizations of national representation¹ according to the uses, customs, own norms and decisions of the indigenous peoples. These organizations are a legitimate mechanism of collective expression based on the indigenous participation in spaces for dialogue.

Accordingly, the participation of these organizations will be quite important to extend the call to the grassroots of these organizations and in this way reach a greater number of communities in the selected Amazon regions.

4.2. Disclosure of information

One of the factors that have a great impact on the relationship and consultation with the stakeholders involved is the dissemination of information in relation to the project, its progress, risks and associated impacts.

To carry out the dissemination of information, various actions may be carried out, such as informational meetings, work meetings, talks, providing communication material, among others. However, the most important thing will be to provide the information in an understandable way, seeking for example that it is in the language of the population to which it is addressed. Likewise, dissemination actions must be adapted to the culture of the populations and must also be gender sensitive.

It should be noted that dissemination activities must be carried out no less than 30 calendar days in advance, counted from the beginning of the Due Diligence process². The safeguard reports will be available in both English and the local language (if not English). The reports will be submitted to GCF and made available to GCF via electronic links in both the AE and the GCF's website as well as in locations convenient to affected peoples.

The information disclosure process must be permanent and during all phases of the EBBF, thus guaranteeing that communities and individuals are informed and their needs are collected throughout the project.

It will also be necessary to document the dissemination actions, in order to monitor that the information has reached each of the actors involved and especially vulnerable

¹ There are seven (07) national representative organizations: Asociación Interétnica de Desarrollo de la Selva Peruana - AIDESEP, Confederación Campesina del Perú CCP, Confederación de Nacionalidades Amazónicas del Perú CONAP, Organización Nacional de Mujeres Indígenas Andinas y Amazónicas del Perú ONAMIAP, Unión Nacional de Comunidades Aymaras UNCA, Federación Nacional de Mujeres Campesinas, Artesanas, Indígenas, Nativas y Asalariadas del Perú, Confederación Nacional Agraria CNA.

² GREEN CLIMATE FUND (2016). *Information disclosure policy*. Disponible en: <https://www.greenclimate.fund/sites/default/files/document/information-disclosure-policy.pdf>.

populations. Thus, it is important to have information differentiated by gender and indigenous people to guarantee that these actors have participated in the actions and have received all information to making decisions. It is suggested to use instruments such as participant records and other tools that serve as a transparent means of verification.

4.3. Consultation with the social actors

Another of the strategic guidelines is the consultation with the social actors, which will allow incorporating the perspectives of the populations that are involved in the execution of the EBB, improving their design, execution and control of the risks as well as setting collaboration between parts.

Consultation with social actors must take into consideration the following aspects:

- Flexible processes that adapt and respond to context and local conditions.
- The information must be presented in an understandable and culturally appropriate way.
- Both parties should be able to listen, exchange views and their concerns addressed.
- Women and members of indigenous people must be taken into account in decision-making processes.
- Free from coercion and manipulation.
- Meetings, whether in person or virtual, must be documented, so that it is possible to follow up on agreements, commitments.

At this point it is important to talk about the consultation processes with indigenous population in which the free, prior and informed consent must be ensured. It should be noted that prior consultation is not required, because it is carried out with projects implemented by the State. In these cases, the dialogue process not always achieves the consent of the indigenous peoples (Merino and Quispe, 2018).

4.4. Mechanics of grievance, inquiries and suggestions

Another cornerstone of the stakeholder participation is the design and implementation of a mechanism for receiving, registering and resolving queries and complaints, as well as suggestions from the various stakeholders, especially from the populations of the communities considering both men and women.

This mechanism must be aligned with the requirements of the GCF's revised environmental and social policy, regarding disclosure of information, commitment of interested parties and compensation for impacts (point VII, 7.3). According with this policy, the entities must establish and maintain robust, systematic, accountable,

inclusive, gender responsive, participatory and transparent systems to manage risks and impacts, from GCF-financed activities (GCF 2021).

The importance of the complaints, inquiries and suggestions mechanism is due it constitutes one of the fundamental pillars of the participatory management of the project, as it provides both the project executing agency and the communities involved, the opportunity to identify possible problems and discover solutions together. Likewise, the mechanism allows the following:

- Identifies and solves problems opportunely, becoming in an early warning system that helps to identify and address potential problems before escalation.
- Identifies recurring problems including systemic problems related to processes that may not be being adequately addressed.
- Improves project results through timely attention and resolution of problems that may put its implementation at risk, thus contributing to the achievement of objectives.
- Promotes accountability to stakeholders
- Mitigates social risks.
- Provides useful, clear and timely information about the project to respond to the needs of the beneficiaries effectively and transparently.
- Identifies wrong information about the project as a result of misinformation.

The following describes the principles based the mechanism of complaints, inquiries and suggestions:

Table 01. Principles of the complaints, inquiries and suggestions mechanism

Predictability	The mechanism must provide a clear and known procedure that defines the time for each stage, as well as presents clearly results that it can (or cannot) deliver. Likewise, the mechanism must count with means to monitor the implementation of the results.
Accessibility	The mechanism must be known and accessible to the interested parties, which means that the authorities and the population of the communities must know and have access to the mechanism. Therefore, the mechanism must be widely publicized and must be culturally appropriate. If necessary, the mechanism should offer adequate assistance to those who may have barriers to accessing the mechanism.
Transparency and accountability	The mechanism must be transparent along the process including the accountability in order to satisfy the public interest concerns.
Legitimacy	Have a transparent and independent structure to guarantee that no actor can interfere with the development of the process and to provide confidence to the parties.

Finally, below we present the steps considered by the project mechanism³.

Step 1: Publicizing the grievance mechanism

The mechanism must be introduced to affected communities. Is important to take in consideration how and when will be introduced to the communities, which must be in line with the cultural characteristics and the accessibility factors.

Step 2: Reviewing, tracking and investigating

The mechanism is activated when the portfolio company collects, recording and tracking a complaint, query, suggestion or complaint related to the implementation of the project.

Allegations can be received through various means (e.g., online, phone, writing, or in-person), submitted by multiple types of complainants (e.g., survivor, witness, or whistleblower).

The grievances will need to undergo some degree of review and investigation, depending on the type of grievance, the complexity and clarity of circumstances.

Step 3: Attention in the first instance by the portfolio company

Once the request is submitted, the person in charge of the portfolio company has a period of 30 calendar days to resolve it in coordination with the project team

Step 4: Attention in second instance

In case the complainer does not agree with the final result, the person responsible for the portfolio company will communicate the case to the Facility Management Unit, which through its Implementation Unit, must resolve it in the most appropriate way. If is necessary, the Implementation Unit will send the social and gender specialist to the local area of the project.

³ Based on IFC (2009). Good Practice Note Addressing Grievances from Project-Affected Communities GUIDANCE FOR PROJECTS AND COMPANIES ON DESIGNING GRIEVANCE MECHANISMS. Recuperated on 29 March 2021 in <https://www.ifc.org/wps/wcm/connect/f9019c05-0651-4ff5-9496-c46b66dbee4b/IFC%2BGrievance%2BMechanisms.pdf?MOD=AJPERES&CACHEID=ROOTWORKSPACE-f9019c05-0651-4ff5-9496-c46b66dbee4b-jkD0-.g>

The final resolution must be content concrete and satisfactory measures for the interested party, and it will be made in a maximum of 10 calendar days, counted from the notification to the Management Unit, with the possibility of extending the term for 10 additional calendar days, in case the presence of the social and gender specialist in the field is required.

Specifics steps for allegations on Sexual Exploitation, Sexual Abuse, and Sexual Harassment – SEAH:

a. Uptake and process

The person in charge of the portfolio company should not ask for, or record, information other than the following: (i) the nature of the complaint; (ii) if possible, the age and sex of the survivor; and (iii) if, to the best of the complainant's knowledge, the perpetrator is associated with the Project;

The person in charge of the portfolio company shall receive all allegations but shall, where the complainant is not the survivor, encourage the complainant to reach out to the survivor and explain the potential benefit of coming forward alone or with the person in charge. In the event that there is a credible concern about the safety of the survivor, the person in charge may attempt to approach the survivor directly to offer a referral to services. Here, as elsewhere, the survivor's consent governs.

b. Acknowledge and follow up

With the survivor's consent, the person in charge shall, within the shortest timeframe possible, refer the survivor to the relevant GBV service provided for any specific service the survivor may need and want. These services may include legal, psychosocial, medical care, safety, and security-related support.

The person in charge shall, within 24 hours of receiving the allegation, inform the FMU of the SEAH incident. It will ensure that the information collected regarding the complainant and allegations respects the principles of confidentiality, anonymity, and consent. Elements to be reported should only include: (i) the age and sex of the survivor; (ii) the type of alleged incident (as reported); (iii) whether the alleged perpetrator is employed by the project; and (iv) whether the survivor was referred to a service provider.

c. Fact analysis

If the survivor wishes to pursue disciplinary action in addition to the referral to services provided, the Safeguard Specialist shall refer the case to the Project Manager and EBBF Board to analyze the facts of the allegation by determining

whether: (i) the alleged perpetrator is an individual associated with the project and shall refer the allegation to the employer, who shall then be responsible for investigating the allegations.

If national law requires it, the FMU may be obliged to refer the complaint to the local authorities for further investigation and eventual criminal prosecution. The survivor should be made aware of the legal obligations of reporting certain incidents before disclosing the complaint, again consistent with the principle of consent. In all cases when there is no mandatory reporting, referral to local authorities should be done exclusively with the survivor's consent.

d. Monitor, evaluate and closure of process

The Safeguard Specialist shall issue regular reports to the FMU containing basic information on the types and number of SEAH allegations, and the age and sex of the survivor to enable them to track grievances.

If the survivor does not wish that disciplinary action be pursued by the employer and has not pursued legal action independently, the process is closed after the referral to services has been provided.

In cases where the survivor seeks disciplinary action to be pursued by the employer or where the survivor pursues independent legal action, the process is closed once that disciplinary or legal action has been initiated. The tracking records should show the results of the referral.

4.5. Monitoring

For guarantee the effective participation of the actors during all phases of the project is quite important to make a monitoring and follow-up process. For this, it is necessary to generate among other aspects, a set of indicators as well as tools to collect information and report it in a timely manner. Likewise, the necessary resources must be available to carry out the monitoring and follow-up actions. The following matrix shows the basic actions to meet the objectives of this plan and its guidelines:

Table 02. Participation plan monitoring matrix

Strategic guideline	Indicator	Actions
1. Stakeholder identification	<ul style="list-style-type: none">% of mappings of actors carried out (on the total of	<ul style="list-style-type: none">Follow up the actor identification processes.

Strategic guideline	Indicator	Actions
	EBB chosen for the investment).	
2. Disclosure of information	<ul style="list-style-type: none"> • Number of participants disaggregated by gender and age participating in outreach activities (workshops, talks, meetings, etc.) • % of women representatives in local dialogue and / or coordination spaces. 	<ul style="list-style-type: none"> • Supervision visits to verify the dissemination of information about the project among stakeholders. • Monitor the dissemination actions implemented in the field of EBBs.
3. Consultation with stakeholders	<ul style="list-style-type: none"> • Number of inquiries made. • % of agreements and commitments fulfilled by parties. 	<ul style="list-style-type: none"> • Supervision visits in the consultation process.
4. Complaints and claims mechanism	<ul style="list-style-type: none"> • % of cases solve disaggregated by type of request. 	<ul style="list-style-type: none"> • Monitor and / or supervise the resolution of cases. • Give solution to cases when appropriate like instance of the process.
5. Monitoring and follow-up	<p>At least two reports of the status of the stakeholder participation plan.</p> <p>Number of supervisory visits made to EBBs.</p>	<ul style="list-style-type: none"> • Design of a follow-up and monitoring system. <p>Follow-up and monitoring system implementation</p>