



WWF GEF Agency

Environmental and Social Management Framework & Process Framework & Indigenous and Traditional Peoples Planning Framework

ARCA: Caatinga Protected Areas Program

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LIST OF ACRONYMS AND ABBREVIATIONS

APA	Area of Environmental Protection
APOINME	The Network of Indigenous Peoples and Organizations of the Northeast, Minas Gerais and Espírito Santo
ARCA	Caatinga Protected Areas Program
ASA	Brazilian Semi-Arid Network
BA	Bahia
BNDES	National Bank for Economic and Social Development
CAR	Rural Environmental Registry
CBD	Convention on Biological Diversity
CONAQ	National Coordination of Network of Black Rural Quilombola Communities
CNPCT	National Council of Traditional Peoples and Communities
CNPT	National Center for Research and Conservation of Sociobiodiversity Associated with Traditional Peoples and Communities
CNUC	The National Registry of Conservation Units
CONAMA	The National Environmental Council
CU/UC	Conservation Unit
CPRH	Pernambuco Environmental State Agency
CRQ	Quilombo Remnant Community
CLGSFP	Community Liaison, Gender & Safeguards Focal Point
DAP	MMA Department of Protected Areas
DCBio	Department of Biodiversity Conservation and Sustainable Use
EA	EXECUTING Agency
ESEC	Ecological Station
ESMF	Environmental and Social Management Framework
ESMP	Environmental and Social Management Plan
ESS	Environmental and Social Safeguards
ESSF	Environmental and Social Safeguards Framework
FPIC	Free Prior and Informed Consent
FUNAI	National Foundation for Indigenous People

FUNBIO	Brazilian Biodiversity Fund
GAP	Gender Action Plan
GBV	Gender Based Violence
GCF	Green Climate Fund
GEF	Global Environmental Facility
GRM	Grievance Redress Mechanism
HDI	Human Development Index
HH	Households
IBAMA	Brazilian Institute of the Environment and Renewable Natural Resources
IBGE	Brazilian Institute of Geography and Statistics
ICMBio	Chico Mendes Institute of Conservation and Biodiversity
ILO	International Labor Organization
INCRA	National Institute for Colonization and Agrarian Reform
INEMA	Bahia Institute of the Environment and Water Resources
IP	Indigenous Peoples
IPHAN	National Institute of Historic and Artistic Heritage
IP/TP&LC	Indigenous Peoples/Traditional Peoples and Local Communities
ITPP	Indigenous and Traditional Peoples Plan (formerly IPP)
ITPPF	Indigenous and Traditional Peoples Planning Framework (formerly IPPF)
LC	Local Communities
LRP	Livelihood Restoration Plan
M&E	Monitoring and Evaluation
MHDI	Modified Human Development Index
MMA	Brazilian Ministry of Environment and Climate Change
NTFP	Non-Timber Forest Products
OEMA	State Environmental Agencies
OHS	Occupational Health and Safety
OSCIP	Civil Society Organizations of Public Interest
PA	Protected Area
PCCs	Project Connected Communities
PAN	National Action Plan

PAP	Project Affected People
PARNA	National Park
PB	Paraíba
PCT	Traditional Peoples and Communities
PE	State Park
PE	Pernambuco
PES	Payment for Ecosystem Services
PF	Process Framework
PI	Piauí
PIR	Project Implementation Review
PMU	Project Management Unit
PNPCT	National Policy for the Sustainable Development of Traditional Peoples and Communities
PPR	Project Progress Reports
PSC	Project Steering Committee
RPPN	Private Natural Heritage Reserves
SAMGe	Management Monitoring and Evaluation System
SBio	MMA's Secretariat for Biodiversity, Forest and Animal Rights
SEAH	Sexual Exploitation, Abuse and Harassment
SEP	Stakeholder Engagement Plan
SICAR	The National Rural Environmental Registry System
SIPP	Safeguards Integrated Policies and Procedures
SISNAMA	National Environmental System
SNUC	National System of Conservation Units (from Portuguese)
SSSA	Social Safeguards Screening and Assessment
TOC	Terms of Commitment
TP	Traditional Peoples
WWF	World Wildlife Fund

1. INTRODUCTION

Overview and rationale

The Caatinga Protected Areas Program Project's (hereafter referred to as the "ARCA Project," or simply the "Project") aim is to protect the Caatinga biome, a fragile semi-arid system that dominates the Northeast of Brazil, occupying more than 844,453km², the equivalent of 10% of the national territory. The biome is present in 10 states: Alagoas, Bahia, Ceará, Maranhão, Pernambuco, Paraíba, Rio Grande do Norte, Piauí, Sergipe and the North of Minas Gerais. Of these, five have more than 50% of their territory in the biome, and the state with the largest area in the Caatinga is Bahia. Partly because of its extreme climatological conditions, the Caatinga is rich in biodiversity; The Caatinga biome has a documented 3,150 species of flowering plants, 276 species of ants, 386 species of fishes, 98 species of amphibians, 79 species of reptiles, 548 species of birds, and 183 species of mammals, and over 221 species of bees, according to recent surveys. Recent studies show that the Caatinga is home to at least 327 endemic species of fauna and 323 of flora. The Caatinga biome is also home to 28.6 million people, of whom 9.5 million live in small rural villages, on farms, and in traditional and indigenous communities and agrarian reform settlements, and who rely on extraction of natural resources from ecosystems in the Caatinga biome¹. Indigenous peoples and Traditional Peoples and other recently resettled peoples (IP/TP&LC) inhabit the Caatinga biome, including peoples/groups/communities who identify as Indigenous, Quilombola, terreiro, ciganos (gypsies), artisanal fishermen, extractivists, caatingueiros, vazanteiros, veredeiros, Fundo and Fecho de Pasto, and also sertanejos, vaqueiros, farmers, among others.

Despite its unique biodiversity and environmental values, the Caatinga biome faces significant threats from climate change, biodiversity loss, poaching, resource extraction, land degradation, deforestation, and desertification. The Caatinga is one of the poorest and least-developed areas of Brazil, thus experiencing a high level of resource extraction and degradation.

Being naturally subject to drought, the Caatinga is highly susceptible to fires, yet the frequency and intensity of these events is set to increase with continued changes in land and water use, the impacts of climate change on rainfall patterns, and human encroachment of protected areas. The biome also presents a high rate of deforestation due to illegal and unsustainable consumption of firewood, for both domestic and industrial purposes. Approximately 28.6 million people live within the region, most of them in socio-economic conditions that result in a significant dependency on natural resources for sustenance and firewood. The illegal and unsustainable consumption of firewood, together with overgrazing and conversion of natural areas to pasture and agricultural land has led to the deforestation of 46% of the biome's total area. Furthermore, in the Caatinga biome, up to 125 and 253 species of fauna and flora, respectively, are listed as threatened, and some iconic bird species are subject to poaching, driven by the pet trade.

PAs are recognized as an effective strategy for enhancing biodiversity conservation and protecting endangered species, and according to Brazil's National Biodiversity Targets (Target 11) at the

¹ Tabarelli, M., Leal, I.R., Scarano, F.R., Silva, J.M.C. (2017). The Future of the Caatinga. In: Silva, J.M.C., Leal, I.R., Tabarelli, M. (eds) Caatinga. Springer, Cham. https://doi.org/10.1007/978-3-319-68339-3_19

minimum 17% of the Caatinga biome should be under legal protection as PAs “conserved through protected areas foreseen under the SNUC Law and other categories of officially protected areas such as Permanent Protection Areas, legal reserves, and indigenous lands with native vegetation, ensuring and respecting the demarcation, regularization, and effective and equitable management, so as to ensure ecological interconnection, integration and representation in broader landscapes.”² However, the caatinga biome has a low representativeness in the National System of Conservation Units (SNUC) and, despite its ecological importance and significant exposure to human activities and climate impacts, the Caatinga has received scarce attention and presents a low protection rate in comparison to other Brazilian biomes. According to the Brazilian Ministry of Environment and Climate Change (MMA) only 9.2% of the Caatinga territory is protected by forms of PAs. In addition, limitations in PA management are also encountered, with allocated public budgets tending to be insufficient and resulting in scarcity of infrastructure, equipment, maintenance, staff, and other services.

The objective of this Project is to improve the conservation of the Caatinga, a biome of global biodiversity importance, through the expansion and improved management effectiveness of Brazil’s National System of Protected Areas (SNUC), endangered species conservation, and the engagement of Indigenous Peoples, Traditional Peoples, and Local Communities (IP/TP&LC), with the goals of enhancing biodiversity resilience, contributing to climate change mitigation and adaptation, and improving livelihoods.

Components

The Project has 4 components:

Component 1 will focus on preparing all the elements required for the creation of a new PA and on improving the management effectiveness of existing PAs, including fire management. The nine existing PAs that will be supported are located in the states of Bahia (3 state-level and 2 federal-level PAs), Pernambuco (2 state-level PAs), Piauí and Paraíba (1 federal-level PA).

Component 2 is designed to conserve endangered species through improved implementation of the National Action Plans (PANs) for the conservation of species in target protected areas as well as through combating illegal wildlife poaching and trafficking.

Component 3 will build capacity by training the PA management teams and relevant IP/TP&LC, raising awareness in PA surrounding areas, and disseminating knowledge.

Finally, component 4 will be dedicated to Project communication, and knowledge management.

Funding amount/source

The total amount for this ARCA Project and associated fees is \$9,880,000, which will be provided by the GEF as a grant. The Project grant itself is \$8,964,220 divided between the component as follows:

² Brazil. Ministry of the Environment and Climate Change (MMA), 2023. Brazil: 6th National Report to the Convention on Biological Diversity/Ministry of the Environment. National Secretariat of Biodiversity, Forests and Animal Rights; Coordinator Rodrigo Martins Vieira. Brasília, MMA. Online at <https://www.gov.br/mma/pt-br/assuntos/biodiversidade-e-ecossistemas/publicacoes/reduced-report-6th-national-report-to-the-convention-on-biological-diversity-2023-in-english-reduced-report.pdf>

Component 1 \$6,970,159; Component 2 \$519,389; Component 3 \$732,155; Component 4 \$165,649; M&E 150,000; and Project Management Costs \$426,868.

Safeguards Categorization and required Plans

The Project was categorized as B, or medium risk because there are no potential large-scale, significant or irreversible environmental or social impacts, and the risks that do exist can be identified, minimized, mitigated and/or avoided.

Most potential environmental risks relate to construction, field studies, trails, tourism activities, small agricultural or agribusiness projects, and new PA infrastructure—as well as possible risks due to shifting resource use leading to increased environmental impacts outside of Project target areas. The screening and development and implementation of the ESMPs as required by the ESMF will allow avoidance and/or adequate mitigation. There are also labor and health and safety risks that will be avoided/mitigated by adequate health and safety hazard risk assessment, for trail construction to field surveys to use of boats and construction activities.

Potential negative social impacts are associated with the management of existing conservation areas and the establishment of a new Protected Area(s), which might both require restricting access to natural resources and production practices to IP/TP&LC communities, because of incompatibility with conservation objectives. Potential conflicts and resentments might arise with and/or between such communities if the Project is not implemented adequately from a social safeguards perspective. Component 3 of the Project also carries potential risks of negative social impacts as project funds are allocated toward technical assistance and capacity-building projects.

Given the short development timeline of the Project, there will be an inception stage during which the Project activities will be further refined and consulted on with local communities and other stakeholders during the first 9-12 months of Project implementation.

Implementing/Executing Agency

FUNBIO, the Brazilian Biodiversity Fund is the executing agency who will be responsible for overall oversight and the financial management of the Project.

FUNBIO will be relying for technical implementation on the following key stakeholders:

1. the MMA, responsible for the creation and maintenance of PAs;
2. the Instituto Chico Mendes de Conservação da Biodiversidade (ICMBio), under the MMA and responsible for managing federal PAs and threatened species;
3. the Instituto do Meio ambiente e Recursos Hídricos da Bahia (INEMA) responsible for state level PAs in Bahia;
4. Agência Estadual do Meio Ambiente de Pernambuco (CPRH), responsible for managing state PAs in Pernambuco; and
5. Indigenous and Traditional Peoples and Local Communities living inside and in the surroundings of PAs, who will be involved in the design and implementation of Project activities.

More details on key stakeholders with implementation and/or oversight roles are provided in section 5.3.

1.1. Objective of the Environmental and Social Management Framework (ESMF)

The preparation of this ESMF was required in accordance with the WWF's Environmental and Social Safeguards Framework (ESSF), through guidance and procedures described in WWF's Safeguards Integrated Policies and Procedures (SIPP), in order to identify and manage the environmental and social risks and impacts of the Caatinga Protected Areas Program (ARCA) Project. The ESMF aims to outline the principles, procedures, and mitigation measures for addressing environmental and social impacts associated with the Project in accordance with the laws and regulations of Brazil and with the ESSF.

Since the precise scope of activities that will be implemented as part of the Project will only be determined during the implementation phase, site-specific social and environmental impacts are uncertain at this stage. Thus, the development of site-specific Environmental and Social Management Plans (ESMPs) is currently not feasible, and an ESMF is necessary to set out procedures for addressing potential adverse social and environmental impacts that may occur during Project activities. Site-specific ESMPs will be developed pursuant to the guidance provided by this ESMF during Project implementation. Partial information was gathered during the short preparation phase in order to inform the ESMF and make it as specific and relevant as possible at this stage.

The specific objectives of the ESMF include the following:

1. Carry out a preliminary identification of the positive and negative social and environmental impacts and risks associated with the implementation of the Project, including any SEAH risks;
2. Outline the legal and regulatory framework that is relevant to the Project implementation;
3. Specify appropriate roles and responsibilities of actors and parties involved in the ESMF implementation;
4. Develop a screening and assessment methodology for potential activities, that will allow an environmental/social risk classification and the identification of appropriate safeguards instruments;
5. Propose a set of preliminary recommendations and measures to mitigate any negative impacts and enhance positive impacts;
6. Set out procedures to establish mechanisms to monitor the implementation and efficacy of the proposed mitigation measures; and
7. Outline requirements related to disclosure, stakeholder engagement, grievance redress, capacity building activities, and budget required for the implementation of the ESMF.

1.2. Objective of the Process Framework (PF)

The Project triggers the WWF's Standard on Access Restriction and Resettlement as it may restrict or otherwise affect access to natural resources and the livelihood activities of Project affected people

(PAP). This Process Framework (PF) describes the process by which affected communities participate in identification, design, implementation and monitoring of relevant Project activities and mitigation measures. The purpose of this PF is to ensure participation of Project Affected People (PAP) while recognizing and protecting their rights and interests and ensuring that they do not become worse off as a result of the Project. Any activity that may result in physical resettlement is excluded from the ARCA project. Specifically, the PF will:

- Describe activities that may involve new or more stringent restrictions on use of natural resources in the Project area.
- Establish the mechanism through which the local communities can contribute to the Project design, implementation and monitoring.
- Identify the potential negative impacts of the restriction on the surrounding communities, including any gender differences or SEAH risks associated with access restriction or differing uses of natural resources.
- Specify the criteria for eligibility of economically displaced persons to receive compensation benefits and development assistance (no physical displacement will be allowed under this Project or any WWF Project).
- Describe the mitigation measures required to assist the economically displaced persons in their efforts to improve their livelihoods, or at least to restore them, in real terms, while maintaining the sustainability of the landscape/riverscape/lakescape/pondscape, will be identified.
- Describe the grievance procedure or process for resolving disputes to natural resource use restrictions.
- Describe the participatory monitoring arrangements with neighboring community members.

As the Project intends to enhance the livelihoods and resilience of IPs, TPs and local communities, with attention on women—and including peoples/groups/communities who identify as Indigenous, Quilombola, terreiro, ciganos (gypsies), artisanal fishermen, extractivists, caatingueiros, vazanteiros, veredeiros, Fundo and Fecho de Pasto, and also sertanejos, vaqueiros, farmers, among others—the allocation of Project benefits among local community members and between genders is particularly important. The intent of the framework is to ensure transparency and equity in the planning and implementation of activities by the Project. This framework details the principles and processes for assisting communities to identify and manage any potential negative impacts of the Project activities. Since the exact social impacts will only be identified during Project implementation, the PF will ensure that mitigation of any negative impacts from Project investments occurs through a participatory process involving the affected stakeholders and rights holders. It will also ensure that any desired changes by the communities in the ways in which IPs/TPs exercise customary tenure rights in the Project sites would not be imposed, but should emerge from a consultative process.

1.3. Objective of the Indigenous and Traditional Peoples Planning Framework (ITPPF)

The target ARCA Project areas include Indigenous groups and other Traditional Peoples. According to the Charter of Indigenous Peoples of the Cerrado and Caatinga,³ the region hosts 45 Indigenous Peoples, with around 90,000 inhabitants across 36 Indigenous Lands spanning nearly 140,000 hectares, including the Tumbalala, Xukuru, and Pankararu peoples. Traditional Peoples also inhabit the region, some who identify as Indigenous, Quilombola, terreiro, ciganos (gypsies), artisanal fishermen, extractivists, caatingueiros, vazanteiros, veredeiros, Fundo and Fecho de Pasto, and also sertanejos, vaqueiros, farmers, among others .

The ARCA Project's execution strategy is to work in collaboration with communities residing in the selected PAs and surrounding areas (both those considered Traditional Peoples and Communities or PCT,⁴ Indigenous Peoples, as well as other Local Communities, and vulnerable groups, with special attention given to gender and women), aiming at community engagement both as a tool to improve the effectiveness of conservation in the Caatinga and as a vector of human and economic development of the people and communities in the region.

Based on WWF's Standard on Indigenous Peoples (IPs), which is inclusive of Traditional Peoples (TPs or PCTs in Brazilian law), some of the people affected by this Project would be considered Indigenous, ethnic or tribal minorities—and some would be identified as Traditional Peoples and Communities (including peoples/groups who identify as Indigenous, Quilombola, terreiro, ciganos (gypsies), artisanal fishermen, extractivists, caatingueiros, vazanteiros, veredeiros, Fundo and Fecho de Pasto, and also sertanejos, vaqueiros, farmers, among others). An Indigenous Peoples Planning Framework thus has to be prepared, which would also include consideration of the many Traditional Peoples in the Caatinga region.

The objective of the IPs and TPs Planning Framework (ITPPF) is to clarify the principles, procedures and organizational arrangements to be applied to IPs and TPs for the ARCA Project. This framework will serve as a guideline to the Project team to:

1. Enable them to prepare an IPs and TPs Plans (IPPs, or more accurately ITPPs) for specific activities proposed consistent with WWF's Environment and Social Safeguard Integrated Policies and Procedures;
2. Engage affected IPs and TPs in a Free, Prior and Informed Consent (FPIC) process; and
3. Enable IPs and TPs and other vulnerable groups to benefit equitably from the Project.

For the purpose of the ARCA Project, and in the interest of correctness, harmonization and consistency of terminology, a new social category must be added to the current "IP&LC" (indigenous peoples and local communities) category, as already written in previous ARCA Project documents.

³ <https://ispn.org.br/biomas/caatinga/povos-e-comunidades-tradicionais-da-caatinga/>. Accessed on March 24, 2024.

⁴ As established in Decree No. 6,040 of February 7, 2007, Traditional Peoples and Communities are culturally differentiated groups that recognize themselves as such, that have their own forms of social organization, that occupy and use territories and natural resources as a condition for their cultural, social, religious, ancestral and economic reproduction, using knowledge, innovations and practices generated and transmitted by tradition.

Since 2007, Brazilian government has used the acronym PCT to refer to Traditional People and Communities (Povos e Comunidades Tradicionais in Portuguese). These are social groups to whom ILO Convention 169 applies, even if their multiplicity of social organization and historical experience is not always correlated to Indigenous and Tribal peoples, as written in the Brazilian Convention.

According to Brazilian Decree 6.040, Traditional People and Communities (PCT) is a broad category within which “Indigenous Peoples” is only one segment. All the other PCT segments also have rights to previous consultation guaranteed by the ILO Convention 169, due to their traditionality established by the decree. As many Traditional Peoples and Communities (who might identify as Indigenous, Quilombola, terreiro, ciganos (gypsies), artisanal fishermen, extractivists, caatingueiros, vazanteiros, veredeiros, Fundo and Fecho de Pasto, and also sertanejos, vaqueiros, farmers, among others) live in/near the ARCA protected areas, they are stakeholders, and have a significant role in the ARCA Project. For this reason, this ESMF document adopts the following acronym: IP/TP&LC (Indigenous Peoples, Traditional Peoples and Local Communities) to refer to these broader social universe—with the understanding that TP contains all the meaning in the Brazilian term PCT, which includes both peoples and communities, with distinct meanings.

Importantly, Local Communities (LCs)—which also includes local peoples without an attachment to a specific community, corresponds to a yet different legal and social category within the context of ARCA Project, especially in referring to rural communities that, albeit their lack of longstanding presence in the territory, do exercise a sustainable and ecological use of natural resources. As local communities living on official agrarian reform land settlements, a number of LCs may be recognized as stakeholders in this Project without identifying within the Brazilian PCT category.

Also, in accordance with the understanding that Indigenous presence in the region has a historical specificity due to colonial expansion, some data points reveal the existence of Indigenous persons living in communities and municipalities where ARCA Project PAs are located, without necessarily being identified as a part of a defined ethnic group or spatially-demarcated indigenous community. In this case, where suitable, we emphasize the understanding of these Indigenous Peoples as potentially being stakeholders, an engagement that could be advised by communication between the ARCA Project managers and consultants and regional IP and TP representative organizations, such as the Articulação dos Povos e Organizações Indígenas do Nordeste, Minas Gerais e Espírito Santo (APOINME).

1.4. ESMF/PF/ITPPF Preparation Methodology

This ESMF/PF/ITPPF was prepared based on the following sources of information:

1. Literature and desk reviews;
2. A series of meetings and consultations with selected communities and analysis of the results of those consultations;
3. The relevant laws and regulations of Brazil related to Safeguards apply to the Project as it is implemented within the jurisdiction of Brazil. WWF’s SIPP applies as the Project is managed by WWF, which is an implementing agency of GEF; and
4. The ARCA Project documents and WWF’s SIPP.

Initial consultations were held in March 2024 with selected communities in four of the nine identified PAs, representing a cross-section of the different types of communities that are present in the area. These meetings included both representatives of key local institutions and unaffiliated community members. Initial consultation meetings were also held with the Managers of all nine identified PAs except for one who was not available and will be consulted in the coming weeks.

Given the socio-spatial universe foreseen for the implementation of the ARCA Project, which initially covers nine Protected Areas in four states of the Federation, managed, in turn, by three independent environmental management bodies (one federal and two state, from the states of Pernambuco and Bahia), this section describes the data collection methodology and cross-referencing of information that characterized the present socio-environmental study. Considering the geographical diversity and socio-environmental richness of the Caatinga, which changes significantly depending on the latitudes considered, the preliminary study related to the Indigenous Peoples and Traditional Peoples and Communities had to use a series of analytical resources, namely: historical and anthropological references, ethnographic studies, surveys; and socio-economic characterizations of communities whose housing and productive activities are inserted in and depend on the Caatinga; geospatial data from diverse sources, especially public ones, particularly in the initial screening of the land and inhabitants in and adjacent to the nine PAs in the Project.

The historical-anthropological studies that underpinned this document comprise the particular socio-historical condition of the Caatinga and the northeastern semi-arid as an old colonial expansion front of the Brazilian State (formerly, Portuguese colony; cf. Prado Jr., 2008). This antiquity of colonial occupation implied, over centuries of non-Indigenous enterprises in the region, an also centenary accommodation of distinct social actors in the same socio-physical environment: 1) the original peoples of the region; 2) settlers, European contractors and their descendants, who historically held political and economic power thanks to their possessions and productive activities; and, broadly speaking, 3) persons and communities led to live in the Caatinga biome from the aforementioned colonial enterprises, such as the current Quilombola communities, which are characterized as being descendants of enslaved people brought from Africa to work in colonial companies, as well as other traditional communities present in the Caatinga, such as the so-called Fundo and Fecho de Pasto communities. To this extent, despite the different national laws and guidelines that orientate policy-making in regard to Indigenous peoples or other Traditional Peoples and Communities, this document is orientated to a broad number of Indigenous Peoples/Traditional Peoples and Local Communities (IP/TP&LC).

In this sense, beyond the Constitution of the Federative Republic of Brazil of 1988, a document that establishes rights to be guaranteed to Indigenous and Quilombola populations in the country, we also used the understanding resulting from Decree 6.040 of 2007, which Establishes the National Policy for Sustainable Development of Traditional Peoples and Communities (PCTs in Portuguese). These are the Traditional Peoples and Communities which include Indigenous and Quilombolas, but also communities with specific socio-historical and cultural profiles (such as the aforementioned Fundo and Fecho de Pasto communities, in addition to caatingueiros, riverside dwellers, artisanal fishermen, vazanteiros and others), which can be found in the Caatinga region and which, due to their

condition of long-standing traditionality in such territory, should be understood as interested parties in the implementation of this Project, especially from 169 Convention of the International Labor Organization (ILO), which governs the need for free, prior and informed consultations (FPIC) in the advent of new Projects that affect them.

Due to this characterization of the area under study, we collected data from official bodies of the Brazilian State, in search of the most updated information possible, and that accounted for the land diversity summarized above. These were:

1. Geospatial data and public processes of the National Foundation of Indigenous Peoples (FUNAI) related to Indigenous Lands already demarcated and others still under study;⁵
2. Public data from the Brazilian Institute of Geography and Statistics (IBGE) regarding the presence of Indigenous people in the municipalities that correspond to the Project's coverage area, according to the 2022 Demographic Census;⁶
3. Public data from the Palmares Foundation related to the certification of existing Quilombola communities in Brazilian territory;⁷
4. Geospatial data and public processes from the National Institute for Colonization and Agrarian Reform (INCRA) related to rural settlements, both those that fall under the modalities of federal, state or Fundo e Fecho de Pasto settlements;⁸
5. Geospatial data from the National Institute of Historic and Artistic Heritage (IPHAN) on archeological sites;⁹ and
6. Research data from Geografar, a research cluster at the Federal University of Bahia, on Indigenous peoples and Traditional Communities.¹⁰

It should be noted that the databases mentioned above, despite their official nature due to the bodies that make them available, may be in different stages of outdatedness. For this reason, special attention and deepening of the preliminary research carried out here is suggested when implementing the Project. We especially suggest direct consultation of this Project with bodies responsible for managing information from Indigenous, Quilombola and Traditional Communities (PCTs) that affect the area of interest of the nine PAs, in order to update the data on possible expansions of the local land mesh, whether from demarcations or studies of delimitation of new Indigenous lands (FUNAI), new Quilombola certifications (Palmares Foundation) and/or new settlements of traditional communities, both from the already registered Quilombola communities

⁵ FUNAI, Geoprocessamento e Mapas. Available at: <https://www.gov.br/funai/pt-br/atuacao/terras-indigenas/geoprocessamento-e-mapas>

⁶ IBGE, Cidades. Available at: <https://cidades.ibge.gov.br/brasil/panorama>

⁷ PALMARES, Certificação Quilombola. Available at: <https://www.gov.br/palmares/pt-br/departamentos/protecao-preservacao-e-articulacao/certificacao-quilombola>

⁸ INCRA, Acervo Fundiário. Available at: <https://acervofundiario.incra.gov.br/acervo/login.php>

⁹ IPHAN, Cadastro de Sítios Arqueológicos. Available at: <https://www.gov.br/iphan/pt-br/patrimonio-cultural/patrimonio-arqueologico/cadastro-de-sitios-arqueologicos>

¹⁰ GEOGRAFAR, Povos e Comunidades Tradicionais. Available at: <https://geografar.ufba.br/povos-e-comunidades-tradicionais>

and Fundo e Fecho de Pasto as well as others that may occur, such as agro-extractive, forest or family farming communities.

To this end, see below for the relevant contacts for the realization of such consultations:

FUNAI: General Coordination of Identification and Delimitation; Email: cgid@funai.gov.br; Phone number: +55(61)32476055

Fundação Palmares: Secretariat; Email: chefiadegabinete@palmares.gov.br; Phone number: +55(61)982200089

INCRA: Development and Consolidation of Settlement Projects; Email: diretoria.desenvolvimento@incra.gov.br; Phone number: +55(61)34117659; +55(61)34117610

Besides Federal units such as FUNAI and INCRA, every state often organizes their own departments to implement and manage public policies for traditional peoples. For this reason, below one can find four of these departments which could be consulted on new information about IP/TP&LC:

Bahia: Superintendência de Povos e Comunidades Tradicionais (SPCT); Email: livia.borges@sepromi.ba.gov.br; Phone number: +55 (71)3103-1441

Paraíba: Secretaria de Estado do Desenvolvimento Humano; Email: diretoriasuas@sedh.pb.gov; Phone number: +55 (83)3133-4081

Pernambuco: Secretaria de Cultura e Fundação do Patrimônio Histórico e Artístico; Phone number: +55 (81)3184-3000

Piauí; Diretoria de Povos e Comunidades Tradicionais; Email: secretaria@interpi.pi.gov.br; Phone number: +55 (86)3223-2626 / +55 (86)99403-443

Having outlined the databases that we used for the identification of traditional peoples and communities incident in the areas of the nine PAs (which is detailed in the ITPPF), it is important to stress an additional consultation that we carried out in order to ascertain the current land and community characteristics of the region. In addition to Indigenous Peoples, Traditional communities and agrarian reform settlements, we referenced updated data related to the National System of Rural Environmental Registration (SICAR)¹¹ of rural properties that are in proximity or overlapped into protected areas. We will dedicate a specific item to this analysis, as the incidence of rural properties in the surroundings or overlapped to conservation units, historically, can also imply tensions and land conflicts with other modes of territorial organization, especially those of traditional character as studied for this Project, that is IP/TP&LC.

¹¹ SICAR, Cadastro Ambiental Rural. Available at: <https://www.car.gov.br/publico/imoveis/index>

Finally, the initial consultation process (briefly described below and in more detail in the SEP) provided important inputs to project design. The consultation process will be continued and is expected to be completed by May 1st, 2024.

During the 9-12 months of the ARCA Project Inception Phase, it will be important to identify in more spatial and sociocultural detail the IP/TP&LC populations residing in and around the possible areas of action of the Project for each Protected Area potentially benefiting from the Project investments. To this end, an initial socioeconomic survey will be given to PA Managers to fill out data sheets with information fields on the socioeconomic, sociocultural, ethnographic, and land aspects of the areas. This survey will seek to identify: (1) the existence of residents; (2) the title status of the land belonging to these persons; (3) whether they belong to Indigenous and Traditional Communities; (4) demographic data; and (5) current land-use practices. Managements Bodies for the Project PAs should verify and confirm the data gathered by the PA Managers and ARCA Project team(s), to verify the presence of communities in or around (within a distance of 15 km) of the PAs targeted by the Project. This survey will be complemented with more in-depth consultations to help identify actions that have some impact on the use and access to natural resources by the communities.

In order to avoid duplications and for ease of reference, the ESMF, PF, and ITPPF are combined into a single document.

2. PROJECT DESCRIPTION

This chapter outlines the objectives of the Caatinga Protected Areas Program (ARCA), its components, milestones, and major supported activities.

2.1 Project Objectives and Components

The ARCA Project objective is to improve the conservation of the Caatinga, a biome of global biodiversity importance, through the expansion and improved management effectiveness of Brazil's National System of Protected Areas (SNUC), endangered species conservation, and engagement of Indigenous People, Traditional Peoples, and Local Communities, enhancing biodiversity resilience and improving livelihoods.

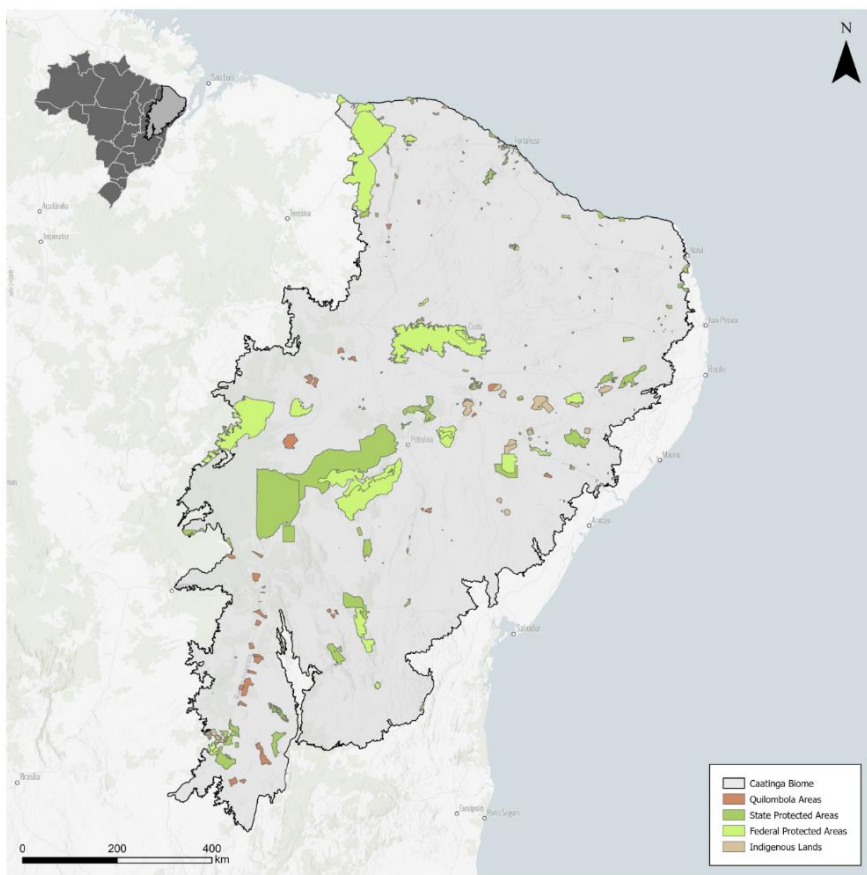
The Global Environmental Benefits (GEBs) that this Project will deliver include: (1) A minimum of 4,581,821 hectares of Protected Areas that will be either newly created or will benefit from improved effective management; (2) Reduced greenhouse gas emissions; and (3) About 4,390 local beneficiaries in the local communities within or adjacent to the PAs.

The Project holds significant potential to generate Global Environmental Benefits (GEBs) by addressing deforestation, biodiversity loss, and climate change mitigation, thereby enhancing biodiversity conservation, particularly for endemic and endangered species, and reducing Greenhouse Gas emissions (GHG). Through the expansion of conserved areas and the improvement

of effective management in existing PAs, the Project will contribute to the preservation of red-listed and vulnerable species. This effort will help mitigate the risks posed by imminent threats from climate change and unsustainable land use expansion, aligning with the Brazilian government's efforts to achieve Global Biodiversity Framework targets. Core indicators 1 (**Terrestrial Protected Areas** created or under improved management in hectare), 6 (**Greenhouse Gas Emissions Mitigated** in metric ton of CO₂eq), and 11 (People benefiting from GEF-financed investments **disaggregated by sex**, count) will be monitored throughout Project implementation.

Additionally, the Project's activities in Component 1 (creation of PAs and improved management effectiveness, including fire management) and Component 3 (capacity-building and training of PA management teams and IP/TP&LC, awareness-raising in PA surrounding areas, and knowledge dissemination) will directly enhance climate change mitigation capacities.

Image 1: Map of Caatinga Biome Protected Areas¹²



Monitoring and Evaluation:

¹² WWF-FUNBIO Caatinga project document under the Global Biodiversity Framework Fund

Project mid-term review and final evaluation will be conducted under M&E activities along with knowledge management and dissemination.

Project Stakeholders

The main Project stakeholders are the Brazilian Ministry of Environment (MMA), responsible for the creation and maintenance of Protected Areas; Instituto Chico Mendes de Conservação da Biodiversidade (ICMBio), linked to MMA and responsible for managing federal PAs and threatened species; State Environmental Secretariats, the Instituto do Meio ambiente e Recursos Hídricos da Bahia (INEMA) responsible for state level PAs in Bahia; Agência Estadual do Meio Ambiente de Pernambuco (CPRH), responsible for managing state PAs in Pernambuco; the Brazilian Biodiversity Fund (FUNBIO), responsible for the financial management of the Project; and Indigenous and Traditional Peoples and Local Communities (IP/TP&LCs) living inside and in the surroundings of PAs. More details on institutional stakeholders and arrangements is available in section 5.3.

IP/TP&LCs are beneficiaries of Project activities focusing on the creation and improved management effectiveness of PAs, especially sustainable use PAs, that reconcile conservation of biodiversity and natural habitats with the sustainable use of natural resources, and will be key decision makers of PA management, as PA Council Members.

IP/TP&LCs are also important stakeholders involved in the design and implementation of Project activities and actively participating in consultation process for the creation of new PAs and activities related to improving management effectiveness of PAs, especially sustainable use PAs, that reconcile conservation of biodiversity and natural habitats with the sustainable use of natural resources. IP/TP&LC will also participate and benefit from capacity-building and training to improve PA management, governance, and natural resources use. Project activities focusing on the effective management of PAs will include support to the formation and operationalization of PA councils, ensuring the participation of IP/TP&LC groups within PAs and surrounding areas in PA governance. IP/TP&LC will directly receive resources through subgrants to fund capacities, operational support and technical assistance to strengthen their participation in PA governance, PA management and natural resources use within PAs improving livelihoods.

GBFF Specific Action Areas

The proposed Project is aligned with Specific Action Areas One (biodiversity conservation, restoration land/sea and spatial planning) and Two (support to IPLC stewardship and governance of lands, territories and waters) of the Global Biodiversity Framework Fund. The Project will deliver area-based conservation and biodiversity protection (Action Area 1) by expanding and enhancing the effectiveness of the National System of Protected Areas by creating new PAs and investing in effective management practices and activities that help existing PAs to reach their goals and increase their climate resilience. The Project is aligned to Action Area 2, on IP/TP&LC stewardship. IP/TP&LC groups living inside or in the surroundings of PAs will gain enhanced capacity to participate in PA governance, as well as sub-grants for natural resource use and management, and to cope with climate change.

In addition to increasing protection of priority Caatinga ecosystems and its biodiversity, by both creating new PA and improving the management effectiveness of current PAs, the proposed strategy includes critical actions to deal with threatened species management and strengthening local communities within PAs, enhancing their capacity to participate in PA governance and to adapt to and withstand climate change impacts.

When assessing the ARCA Project's geographical area and primary challenges, the system drivers include:

- 1) Limited representation of the biome in the Brazil's National Protected Areas System (SNUC, according to its abbreviation in Portuguese) and inadequate resources allocated to PAs, resulting in insufficient protection of endemic species and ineffective management, alongside non-enforcement of regulations on the ground.
- 2) Increased demand for natural resources, notably timber, firewood and forage for goats and other grazing animals, leading to deforestation and biodiversity loss, compounded by impacts of climate change.
- 3) Loss of habitat and endemic species due to illegal poaching and trafficking, compounded by the impacts of climate change.
- 4) Introduction of new species (including domestic species such as goats) leading to impacts on biodiversity and ecosystems.
- 5) Infrastructure development such as road-building, leading to direct and indirect impacts on habitat and ecosystems and biodiversity.
- 6) Fire and related feedback loops related to climate change and local climate impacts from increased fires in the region.
- 7) Socioeconomic conditions influencing population development and intensifying pressure on natural resources and livelihoods, consequently fostering illegal activities and environmental degradation.

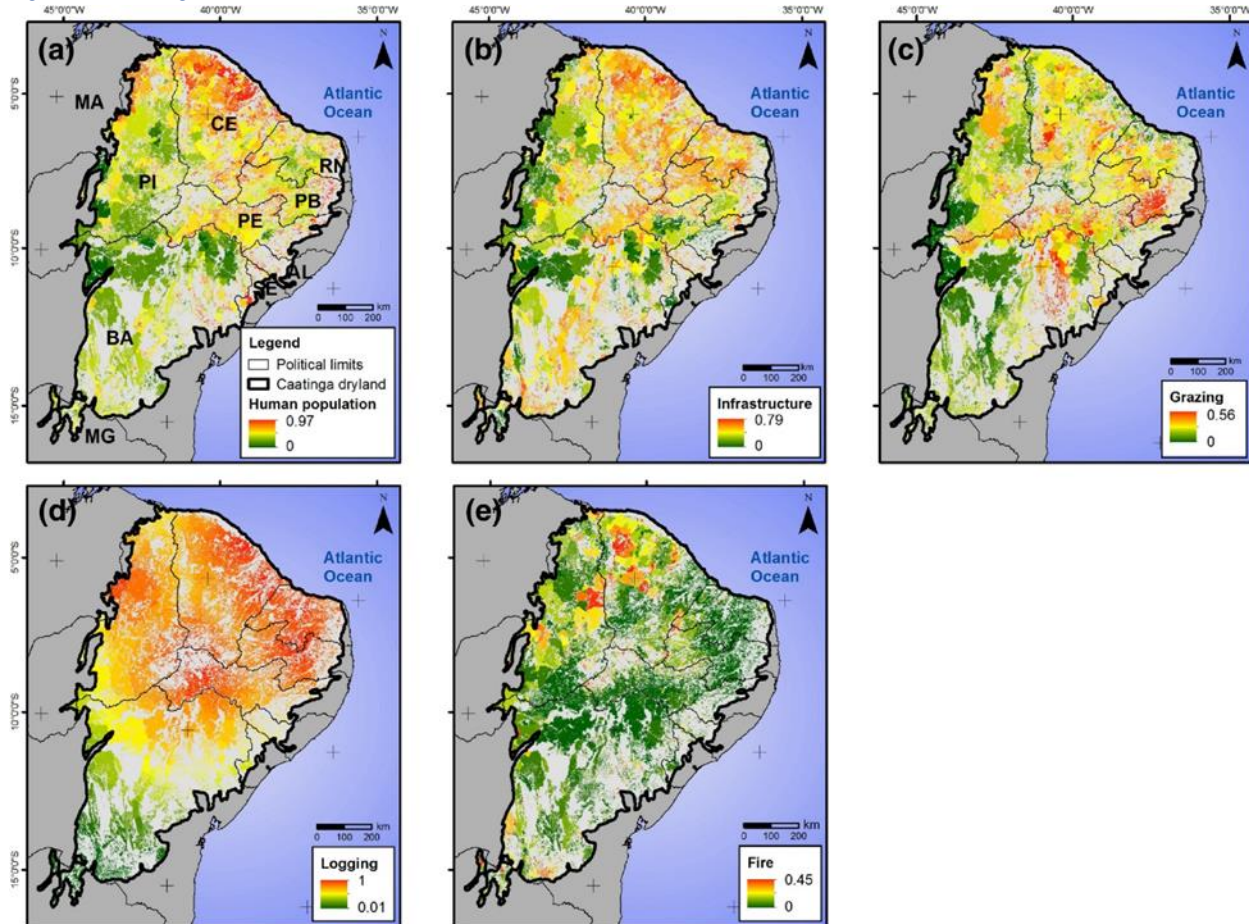
See **Figure 2** for maps of some disturbance vectors—such as logging, fire, and infrastructure—and their spatial relationships with population density. And see **Figure 3**, for maps representing the spatial distribution of the impacts of fire, road, land-use, and total human impacts on the Caatinga, from 2010.

Therefore, if the effects of climate change escalate and the PA system in the Caatinga is not reinforced, a greater loss of biodiversity is expected. Without interventions from the Project, although existing PAs would persist in providing ecosystem services, their capacity to do so would likely diminish over time due to land use changes and mounting pressures. This could also result in increased emissions of Greenhouse Gases (GHG). However, through the implementation of the Project and the expansion of PAs, coupled with improvements in their management effectiveness, the outlook for biodiversity protection improves significantly.

If poaching and illegal trafficking in the region remain uncontrolled, the delicate balance of the ecosystem risks could be disrupted, leading to a further decline in biodiversity and the potential extinction of numerous endemic species. Such consequences could inflict irreparable harm on the local ecosystem, impacting not only wildlife but also communities reliant on ecosystems and

ecosystem services for their livelihoods. Effective implementation of National Action Plans for the Conservation of Species Threatened with Extinction (PANs, in Portuguese) and the increase of government capacities offer a strong potential for mitigating these threats and safeguarding vulnerable species and their habitats. Furthermore, enhanced governance and collaboration among stakeholders can foster sustainable conservation practices, ensuring long-term biodiversity benefits and improved livelihoods for IP/TP&LC who rely on the protection of forests and natural resources.

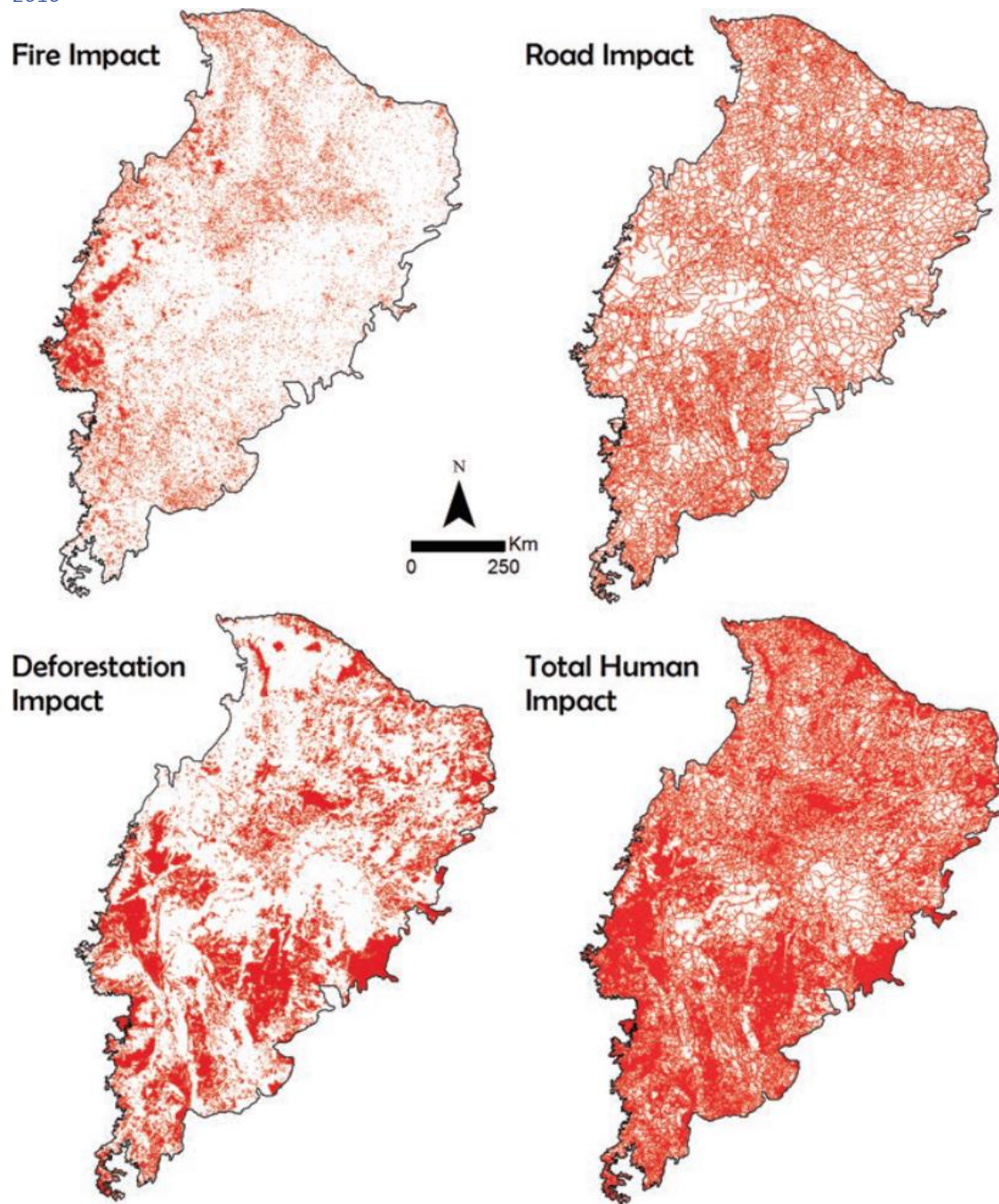
Figure 2: *Caatinga Disturbance Vectors:*



In the image, disturbance vectors are shown geographically in the Caatinga. (A) represents human population, (B) shows infrastructure, (C) maps grazing, (D) shows wood extraction, and (E) represents fire. (From: *Journal of Applied Ecology*, First published: 05 July 2020, DOI:(10.1111/1365-2664.13686)¹³

¹³ from Tabarelli, M., Leal, I.R., Scarano, F.R., Silva, J.M.C. (2017). The Future of the Caatinga. In: Silva, J.M.C., Leal, I.R., Tabarelli, M. (eds) *Caatinga*. Springer, Cham. https://doi.org/10.1007/978-3-319-68339-3_19

Figure 3: Spatial distribution of the impacts of fire, road, land-use, and total human impacts on the Caatinga as of 2010¹⁴



Project components

¹⁴ from da Silva, J.M.C, and L.C. Fernandes Barbosa (2017). Impacts of Human Activities on the Caatinga. In: Silva, J.M.C., Leal, I.R., Tabarelli, M. (eds) Caatinga. Springer, Cham. https://doi.org/10.1007/978-3-319-68339-3_19

The Caatinga Protected Areas Program (ARCA) Project is structured in four components, as follows:

Component 1 – Creation and Improved Management Effectiveness of Protected Areas

Outcome 1.1. Creation of New Protected Areas:

This Outcome will support the design and proposal of new PAs and expansion of existing ones through biodiversity surveys (especially in understudied areas of Caatinga), assessment studies, public consultation, and field activities. New areas will be defined based on the recently updated Priority Areas for Conservation Map and additional criteria such as: areas regarded of extreme importance for the protection of endangered species, biodiversity relevance and representativeness, endemism and threatened species, according to the availability of data. Additionally, the biodiversity surveys will contribute to identification of potential connectivity corridors, which will be supported under a complementary GEF-8 proposal that is in development.

Outcome 1.2. Improved Management Effectiveness of Existing Protected Areas:

This Outcome will support the improved management of existing PAs by providing the necessary management infrastructure and equipment, supporting the participative development and implementation of management plans and protection and surveillance activities, among others. Special focus will be given to climate adaptation actions such as the development of fire management plans and capacity building to PA staff and local communities to deal with desertification and climate change. Under this outcome, the Project will build the technical, institutional and governance capacity of the PA Management Councils, which are constituted by government, civil society and IP/TP&LC. Selection of existing PAs to be supported by this Project will likely be based, among others, on the following criteria: (i) the existence of threatened species in the area; (ii) the need for investments for equipping the protected area; (iii) interest and human and financial capacity to implement Project activities; and (iv) the likelihood of establishing working partnerships with local communities.

A preliminary exercise accounted for a minimum of 4,581,821 hectares of PAs in the Caatinga biome that will benefit from this Project.

Component 2 - Endangered Species Conservation

Outcome 2.1. Improved Implementation of Endangered Species National Action Plans for Endangered Species Conservation

This Outcome will promote more effective management of threatened species in the Caatinga through (i) implementation of threatened species guidelines planned in PANs, and (ii) monitoring of implemented PANs.

Outcome 2.2. Combating Illegal Wildlife Poaching and Trafficking

This Outcome aims to curb illegal trade and poaching through media campaigns and outreach to reduce demand for products and reduce engagement in poaching/trafficking and increasing government capacities for combating illegal poaching and trafficking.

Component 3 - Capacity Building of PA Staff and IP/TP&LC

Outcome 3.1 Strengthened IP/TP&LC and PA Staff Capacities for Improved PA Governance, Management and Natural Resource Use

This Outcome will support IP/TP&LC groups living inside and in the surroundings of PAs in the Caatinga Biome, enhancing their capacity to participate in PA governance and reducing pressure on natural resources. To this end, under Output 3.1.1, capacity building and training will be provided to government and IP/TP&LC groups. Under Output 3.1.2, calls for proposals will be launched, with associated technical assistance to IP/TP&LC groups to develop and submit proposals. Selected proponents will receive sub-grants to fund IP/TP&LC group action on livelihoods that are based on sustainable natural resource use in/around the target PAs and other technical assistance and operational support to IP/TP&LC groups for participation in PA governance, PA management and natural resource use within PAs.

Component 4. Communication and Knowledge Management

Outcome 4.1 Project Communication and Knowledge Management

This Outcome will enhance the coordination, management, and communication necessary for Project execution by, among other actions: (i) instituting effective day-to-day oversight and supervision of the Project, providing support to Project coordination teams in fulfilling their duties and obligations (including facilitating Project audits), and devising and executing a comprehensive communication strategy for the Project.

Table 1: Project Components and Outcomes

Components (ARCA Project)	Results
1. Creation and Improvement of Management Effectiveness in Protected Areas	1.1 Creation of New Protected Areas (PAs)
	1.2 Improved Management Effectiveness in Protected Areas
2. Endangered Species Conservation	2.1 Improved Implementation of National Action Plans for Endangered Species Conservation
	2.2 Combating Illegal Wildlife Poaching and Trafficking

3. Capacity-Building of Protected Area Staff and IP/TP&LC	3.1 Strengthened IP/TP&LC and PA Staff Capacities for Improved PA Governance, Management and Natural Resource Use
4. Communication and Knowledge Management	4.1 Project Communication and Knowledge Management
Monitoring and Evaluation	Effective Project Monitoring and Evaluation

Specific Products/Outputs for each outcome in each of the four Project components are as follows:

- 1.1.1. Desk and participatory field studies and actions to carry out environmental, socioeconomic and land tenure assessments and consultations to identify the creation and expansion of PAs;
 - 1.1.2 Biodiversity surveys in understudied Caatinga areas to map priority conservation areas to support identification of new PAs, PAs expansion and potential corridors;
 - 1.1.3 Technical documentation submitted for the approval of new PAs;
 - 1.2.1 Implementation of eligible activities to improve PA effective management in target PAs;
 - 2.1.1 Creation of capacity and operational support for implementation of National Action Plans for the Conservation of Endangered Species in target protected areas;
 - 2.1.2 Monitoring of implementation of the National Action Plans for the Conservation of Endangered Species;
 - 2.2.1 Media campaign and outreach to reduce engagement in wildlife poaching/trafficking;
 - 2.2.2. Government capacity-building for combating illegal wildlife poaching and trafficking;
 - 3.1.1. Capacity building and training to government and IP/TP&LC groups;
 - 3.1.2 Call for proposals for sub-grants to IP/TP&LC groups to fund capacities and operational support and technical assistance to strengthen their participation in PA governance, PA management and natural resource use within PAs (possibly including Projects such as fire management, invasive species removal, bioeconomy start-ups);
 - 4.1.1 Communications strategy developed and implemented;
 - 4.1.2 Project lessons captured and disseminated;
- Project monitoring; and
- Independent mid-term and terminal evaluations.

ARCA Project Indicators and units of analysis include the following: Terrestrial protected areas created or under improved management (hectares: 4,581,821 or more): Freshwater protected areas

created or under improved management (hectares); Area of land and ecosystems under restoration (hectares); Area of landscapes under improved practices (hectares); Area of freshwater habitat under improved practices (hectares); Greenhouse Gas Emissions Mitigated (metric ton of CO₂e: 1,998,690 ton/CO₂e); Shared water ecosystems under new or improved cooperative management (count); Over-exploited freshwater fisheries practices moved to sustainable levels; Chemicals of global concern and their waste reduced (metric ton of toxic chemicals reduced); Persistent organic pollutants to air reduced (gram of toxic equivalent gTEQ); and People benefiting from GEF-financed investments disaggregated by sex (count 4,390, 2,791 female and 1,599 male).

2.2. Project Area Profile

The ARCA Project will focus on strengthening nine (9) existing protected areas in four states in the Caatinga biome, and proposing the establishment of new protected areas (which locations are yet to be determined). See maps in Figures 4-12, and Figure 13.

In Paraíba and Piauí and Bahia, the following Protected Areas will be included in the ARCA Project, which are managed by ICMBio: (1) National Park (PARNA) Serra das Confusões (which does have an existing management plan and council), in Piauí; (2) National Park (PARNA) do Boqueirão da Onça, in Bahia; (3) Federal “Sustainable Use” Area of Environmental Protection (APA) do Boqueirão da Onça, in Bahia; and (4) National Park (PARNA) da Serra do Teixeira, in Paraíba. See Maps in Figures 4, 5, 6, and 7.

Figure 4: PARNA Serra das Confusões

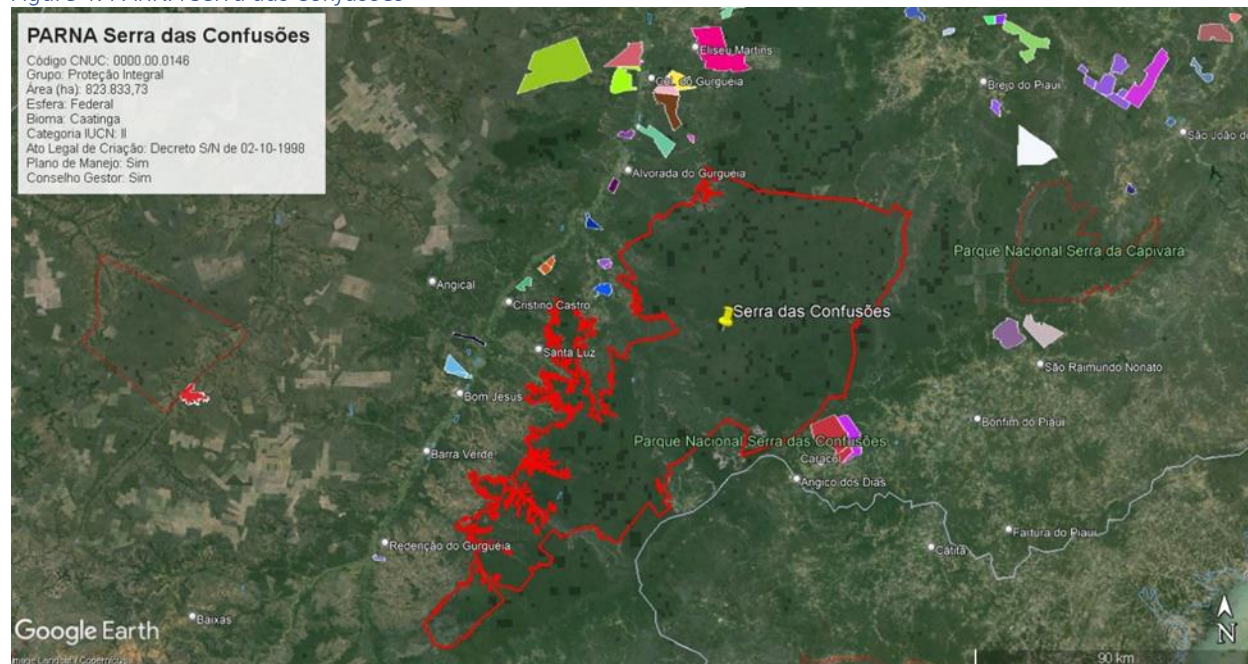


Figure 5: PARNA do Boqueirão da Onça

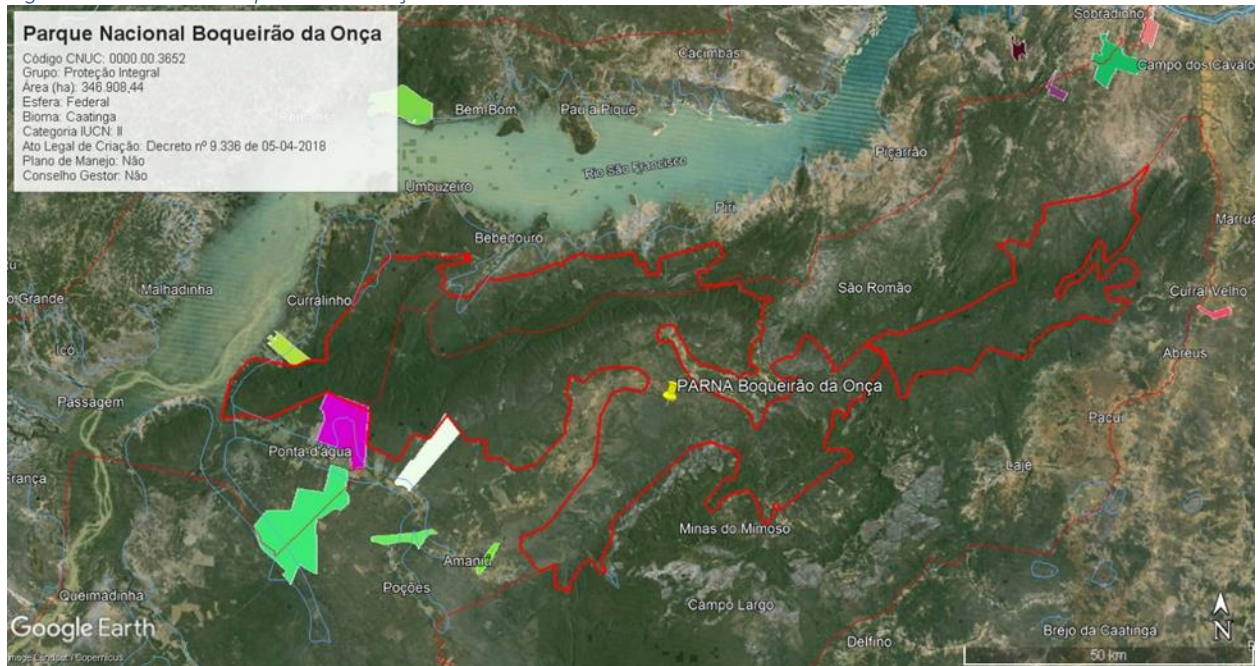


Figure 6: APA do Boqueirão da Onça

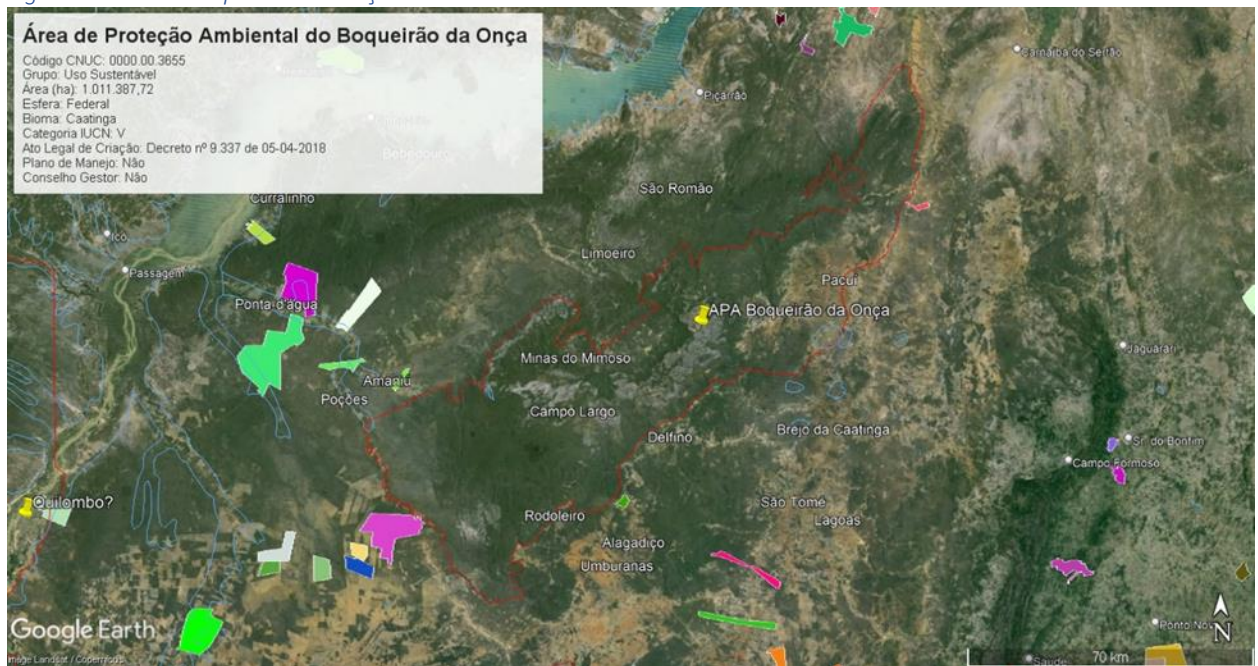
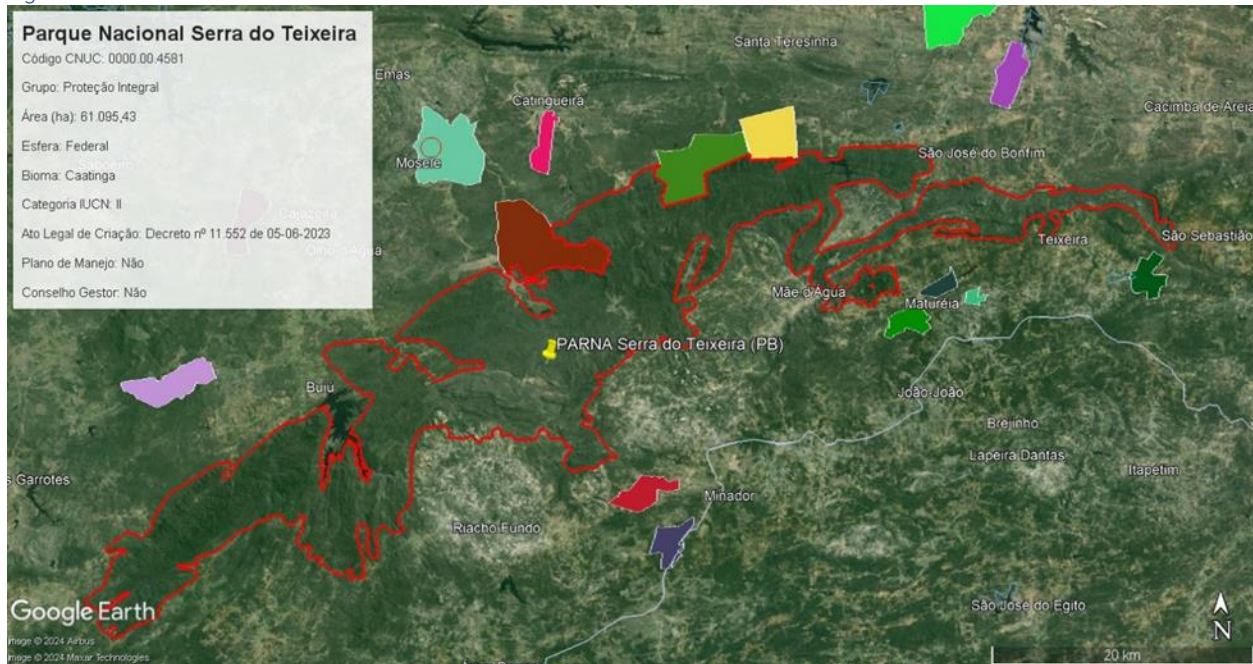


Figure 7: PARNA da Serra do Teixeira



In Bahia, the following Protected Areas will be included in the ARCA Project, which are managed by Bahia Institute of Environment and Water Resources (INEMA): (5) State “Sustainable Use” Area of Environmental Protection (APA) Lago do Sobradinho; and (6) State “Sustainable Use” Area of Environmental Protection (APA) Dunas e Veredas do Baixo Médio São Francisco; and (7) State “Sustainable Use” Area of Environmental Protection (APA) Lagoa de Itaparica (which does have a management council). In Pernambuco, the following (strict protection) Protected Areas will be included in the ARCA Project, which are managed by Pernambuco State Environmental Agency (CPRH): (8) State Park (PE) Mata da Pimenteira (which does have an existing management plan and council); and (9) Ecological Station (ESEC) Serra da Canoa. See maps in Figures 8, 9, 10, 11, and 12.

Figure 8: APA Lago do Sobradinho



Figure 9: APA Dunas e Veredas do Baixo Médio São Francisco



Figure 10: APA Lagoa de Itaparica

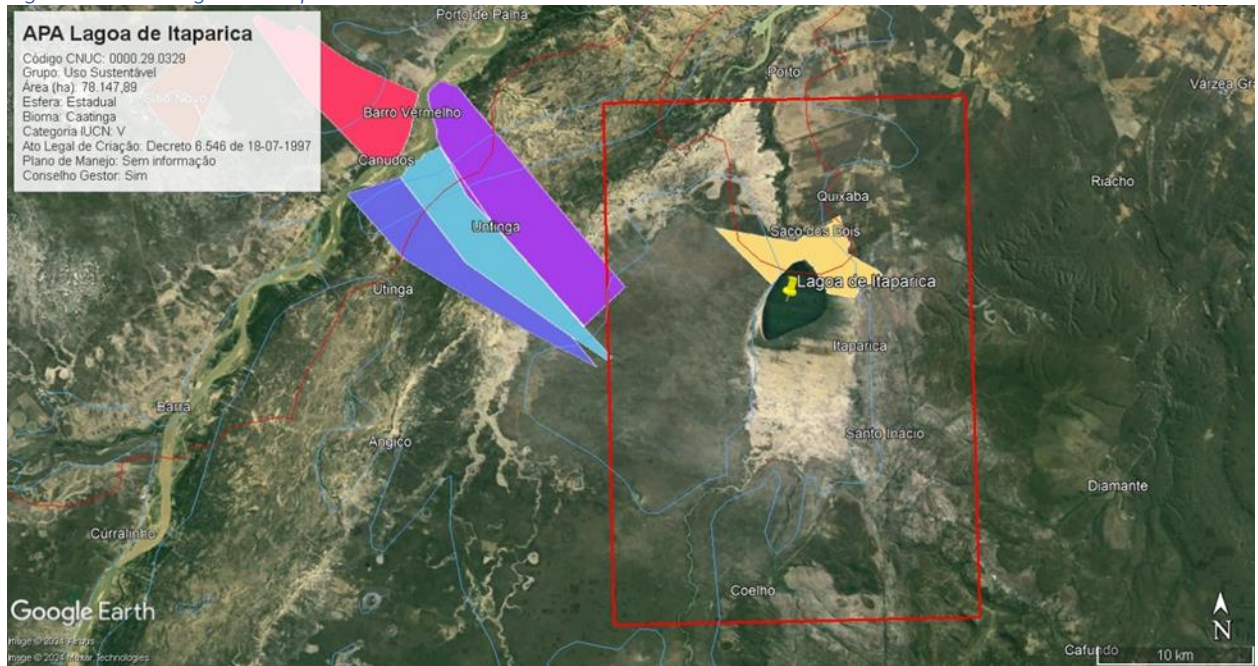


Figure 11: PE Mata da Pimenteira

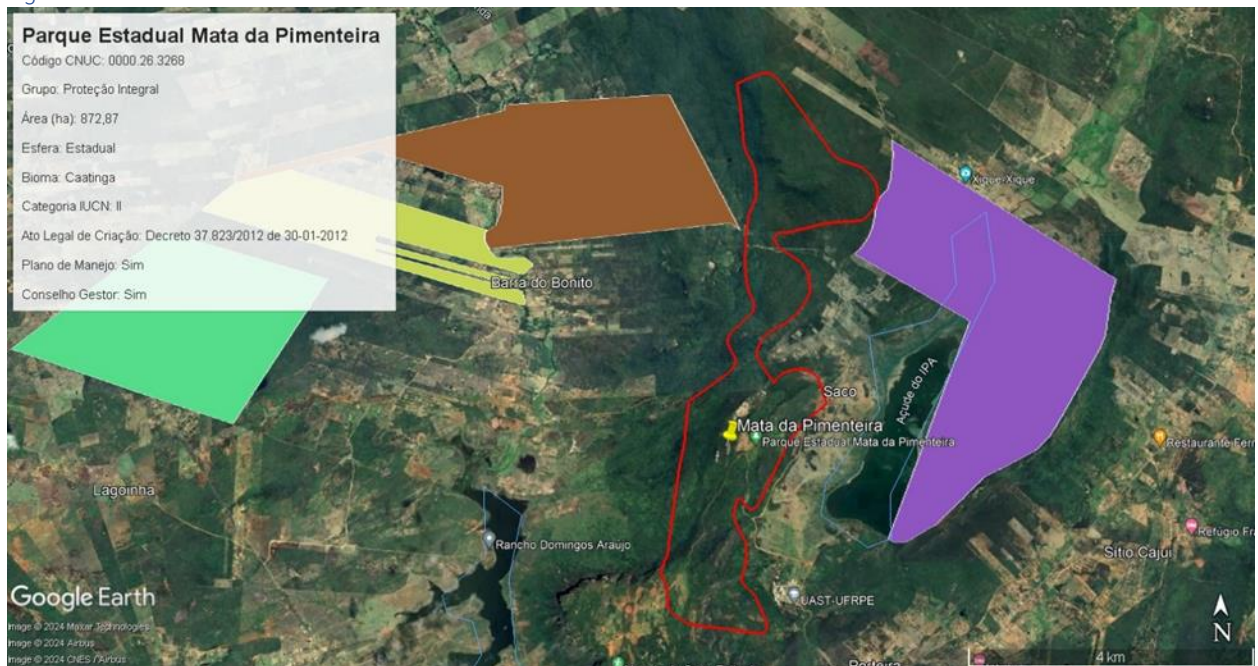


Figure 12: ESEC Serra da Canoa

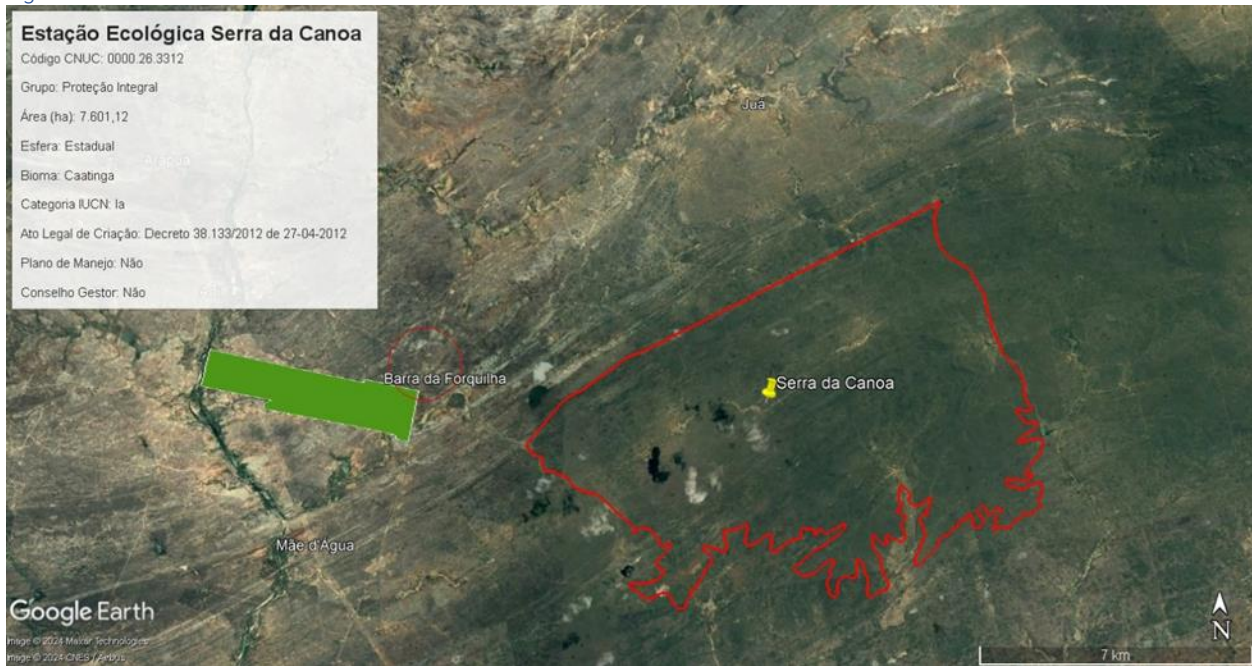


Figure 13: Map of all nine ARCA Protected Areas of Project focus

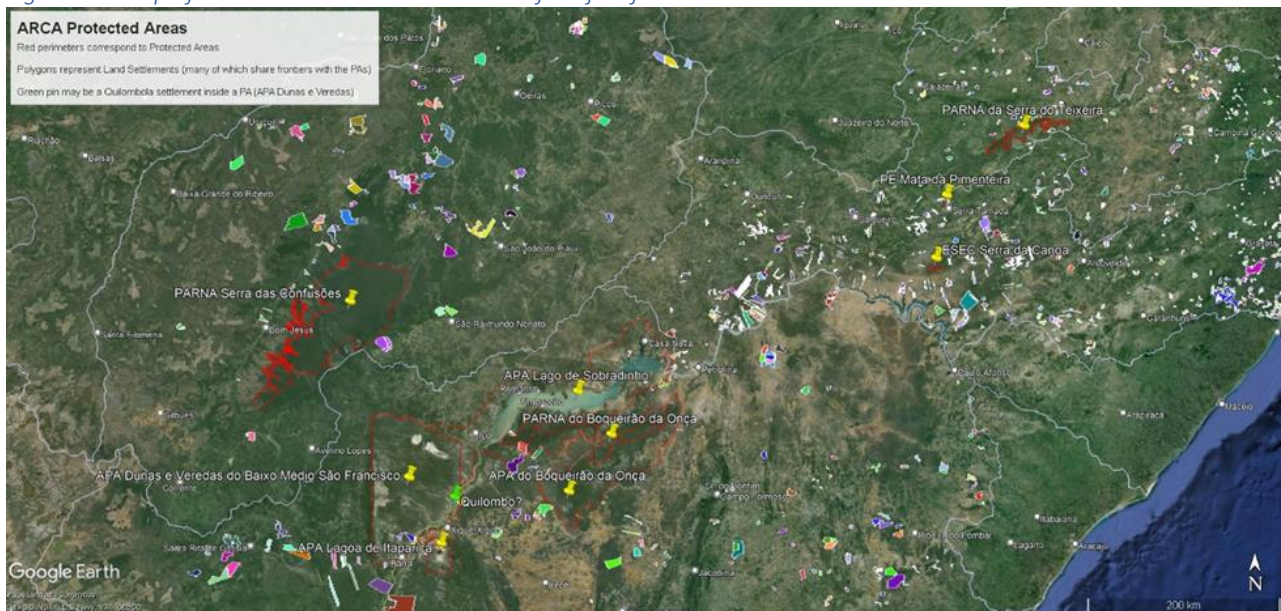


Table 2: Nine ARCA Project Protected Areas

PA Name (Full)	Management Body	Admin Level	Federal Unit	Area (ha) Caatinga (Cerrado)	SNUC Category	IUCN Category	Effectiveness Score - SAMGE	Effectiveness Score - METT	Management Plan	Council	PA Visit
Área de Proteção Ambiental Lago do Sobradinho	Instituto do Meio ambiente e Recursos Hídricos da Bahia	State	BAHIA	1,235,598	Sustainable Use	V Protected Landscape / Seascape	32,30% (2022)	28	No	No Data	Yes
Área de Proteção Ambiental Dunas e Veredas do Baixo Médio São Francisco	Instituto do Meio ambiente e Recursos Hídricos da Bahia	State	BAHIA	1,024,850	Sustainable Use	V Protected Landscape / Seascape	38,64% (2022)	35	No	No	Yes
Parque Nacional Serra das Confusões	Instituto Chico Mendes da Conservação da Biodiversidade (IMCBio)	Federal	PIAUÍ	823,834 (140,744)	Strict Protection	II National Park	49,41% (2022)	47	Yes	Yes	No
Parque Nacional do Boqueirão da Onça	Instituto Chico Mendes da Conservação da Biodiversidade (IMCBio)	Federal	BAHIA	346,908	Strict Protection	II National Park	45,18% (2022)	29	No	No	Yes
Parque Nacional da Serra do Teixeira	Instituto Chico Mendes da Conservação da Biodiversidade (IMCBio)	Federal	PARAÍB A	61,095	Strict Protection	II National Park	No Data	39	No	No	No
Área de Proteção Ambiental do Boqueirão da Onça	Instituto Chico Mendes da Conservação da Biodiversidade (IMCBio)	Federal	BAHIA	1,011,388	Sustainable Use	V Protected Landscape / Seascape	45,64% (2022)	29	No	No	Yes
Parque Estadual Mata da Pimenteira	Agência Estadual do Meio Ambiente de Pernambuco	State	PERNAMBUCO	873	Strict Protection	II National Park	28,54% (2022)	38	Yes	Yes	No
Estação Ecológica Serra da Canoa	Agência Estadual do Meio Ambiente de Pernambuco	State	PERNAMBUCO	7,601	Strict Protection	Ia Strict Nature Reserve	40,99% (2022)	25	No	No	No
Área de Proteção Ambiental Lagoa de Itaparica	Instituto do Meio ambiente e Recursos Hídricos da Bahia	State	BAHIA	78,148	Sustainable Use	V Protected Landscape / Seascape	33,33% (2022)	36	No Data	Yes	Yes
TOTAL HECTARES				4,590,295 (total) 4,581,821 (w/o Per.)							

2.3. Demographic and economic information

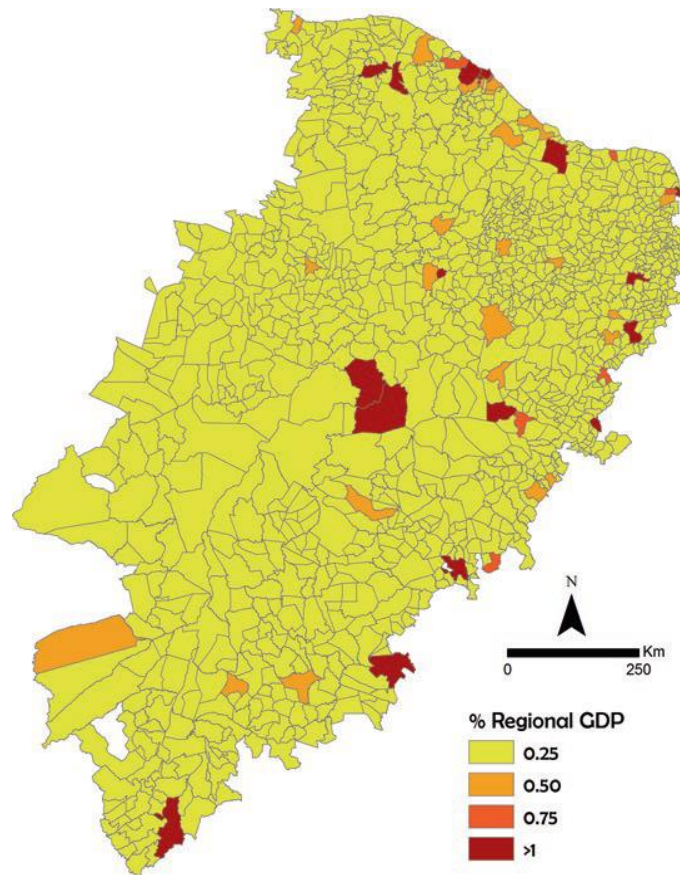
The Caatinga is home to the poorest population in the Northeast region, and living conditions are worse in the drier areas, which have less capacity to support sustainable economic activities. The semi-arid climate creates great limitations to agricultural activities. Despite this, about 28.6 million

people live in the original area of the Caatinga, and around 9.5 million people are largely dependent on local biodiversity resources for their survival. Extensive logging, rainfed agriculture and cattle ranching are traditional economic activities that contribute to the region's dependence on cash transfers and rural poverty in the region.

In the Caatinga there is a large concentration of land, water and means of communication in the hands of a small elite. This situation generates very high levels of social exclusion and environmental degradation and are determining factors of the socio-environmental and economic crisis experienced in the region. About 1.5 million farming families (28.82% of all Brazilian family farming families) occupy only 4.2% of the arable land in the semi-arid region. And 1.3% of rural establishments in the semi-arid region with more than 1,000 hectares, known as *latifundia*, hold 38% of the land, demonstrating how resources, land and wealth are concentrated and unequally distributed in the Caatinga region. More than half (59.1%) of all Brazilians living in extreme poverty live in the Northeast, however only 14.5% of all Brazilians live in the Caatinga, evidencing the high concentration of resource-scarcity and vulnerability of Caatinga residents. Of these people living in extreme poverty in the North-East, more than half (52.5%) live in rural areas of the region. This extreme vulnerability and poverty impacts children and other groups; for example, four out of ten extremely poor people in Brazil are between 0 and 14 years old (IBGE, 2010).¹⁵ See Figure 14 for a spatial distribution of the contribution to the Caatinga's GDP, which illustrates the concentration of wealth and resources in the region (however, note that some of these areas have urban centers, which contributes to these patterns also).

¹⁵ IBGE (Brazilian Institute of Geography and Statistics), 2010. Demographic Statistics of Brazil: Year 2010. Rio de Janeiro: IBGE

Figure 14: Contribution of the different municipalities to the Caatinga's gross domestic product (GDP) (Source: IBGE¹⁶)¹⁷



In 60.09% of the municipalities in the semi-arid region, with more than nine million inhabitants, the Human Development Index (HDI) ranges from Very Low to Low. The HDI takes into account indicators of longevity, education, and income. All municipalities in the semi-arid region had a lower Modified Human Development Index (MHDI) than in Brazil as a whole (0.727).

The contradictions and social injustices that permeate the region can be seen even in access to income, which also reflects strong gender inequality. According to data from the IBGE (2000 Demographic Census), half of the population in the semi-arid region, or more than eight million people, have no monetary income or have government benefits as their only source of income, and the majority (59.5%) are women. Those who have up to one minimum monthly wage add up to more than five million people (31.4%), 47% of whom are women. Meanwhile, only 5.5% have an income between two and five minimum wages, the majority (67%) of whom are men, and of the 0.15% who

¹⁶ IBGE (Brazilian Institute of Geography and Statistics), <http://seriesestatisticas.ibge.gov.br/>

¹⁷ In Silva, J.M.C., Leal, I.R., Tabarelli, M. (eds), 2017. Caatinga. Springer, Cham. https://doi.org/10.1007/978-3-319-68339-3_19

have an income above 30 minimum wages, only 18% are women. The Gini index¹⁸, which measures the level of inequality based on income, is above 0.60 for more than 32% of the municipalities in the semi-arid region, demonstrating a high concentration of income inequality in the region.

As a unique semi-arid region in northeastern Brazil, the Caatinga biome is home to a multitude of women who play important roles in community relations, local culture, knowledge reproduction, and economic production. Many skills have been acquired and passed down from generation to generation and represent an important source of income for many families. Some of these are: women farmers who play a vital role in subsistence agriculture in the Caatinga, growing a variety of crops adapted to the arid conditions of the region, such as cassava, corn, beans and native fruits; artisans who are dedicated to the production of local and traditional handicrafts (ceramics, production of hammocks and basketry, wood carving, leather material, weaving, lace and embroidery; community leaders: playing leadership roles, organizing community activities, advocating for women's rights, and fighting for issues such as access to clean water, education, and better living conditions in the semi-arid region; conservationists: women who are involved in environmental conservation efforts, protecting the region's unique biodiversity, and promoting sustainable land use practices; and healers: who promote the perpetuation of ancestral knowledge in relation to health, religion, and spirituality.

Data on gender-based violence in Brazil continue to confirm the context of vulnerabilities that women and girls experience on a daily basis. In addition to domestic and family violence, gender-based violence, rape and other types of violence, women live with the reality of child sexual abuse. The United Nations Children's Fund (UNICEF) in partnership with the Brazilian Forum on Public Security (2021, 6) point out that “the vast majority of victims of sexual violence are girls – almost 80% of the total. [...] A very high number of cases involve victims between 10 and 14 years of age, with 13 years being the most frequent age.” Furthermore, “The data reveal how relationships are constituted, reinforcing the secondary place of children, women and, in addition to data, of all people historically considered social minorities” (translated from Oliveria, 2022, 112¹⁹). Thus, in places of marked social vulnerability such as the Caatinga biome, the context of child sexual abuse and sexual exploitation can be part of the daily lives of girls and women.

¹⁸ The Gini Index measures the extent to which the distribution of income or consumption among individuals or households within an economy deviates from a perfectly equal distribution. A Gini index of 0 represents perfect equality, while an index of 100 implies perfect inequality See longer definition at the World Bank DataBank:<https://databank.worldbank.org/metadataglossary/gender-statistics/series/SI.POV.GINI>

¹⁹ Oliveira, J. M. S. de. (2022). O perdão que ele me pediu nunca me limpou.” Circuitos de violência contra as mulheres: o registro de uma cartografia. Tese (doutorado) - Universidade Federal da Bahia. Faculdade de Filosofia e Ciências Humanas, Salvador.

2.4. IPs TPs and Vulnerable Groups

(a) Overview of Indigenous and Traditional Peoples Situation

According to the Charter of Indigenous Peoples of the Cerrado and Caatinga, the region hosts 45 Indigenous Peoples groups, with around 90,000 inhabitants across 36 Indigenous Lands spanning nearly 140,000 hectares. Indigenous peoples and Traditional Peoples and other recently resettled peoples inhabit the Caatinga biome, including groups who identify as Indigenous, Quilombola, terreiro, ciganos (gypsies), artisanal fishermen, extractivists, caatingueiros, vazanteiros, veredeiros, Fundo and Fecho de Pasto, and also sertanejos, vaqueiros, farmers, among others, some of whom have preserved ancient strategies for adapting to the Caatinga's harsh environment. Notably, women play a crucial role in coping with the Semi-Arid region, often being responsible for collecting and managing water, as they are intimately involved in productive and daily life activities. Therefore, the Project will take a socially inclusive and gender-responsive approach and will consult, engage and benefit communities and IP/TP&LC groups living near the selected PAs, although the ARCA Project will not focus on land that is under the formal category of indigenous lands.

In the Caatinga, traditional communities are strengthened by a network called ASA (Brazilian Semi-Arid Network) formed by more than three thousand civil society organizations of different natures—rural unions, farmers' associations, cooperatives, non-governmental organizations, Civil Society Organizations of Public Interest (OSCIP), which connects people organized in entities that work throughout the Semi-arid region defending the rights of peoples and communities of the region. Within the scope of ARCA, the work with IP/TP&LC communities will involve them in participatory processes related to the creation and management of PAs, seeking a relationship of partnership and collaboration through the sustainable use of natural resources.

(b) IPs and TPs in Project sites

There are no officially demarcated Indigenous lands within or overlapping the ARCA Protected Areas of focus, according to currently available data, but there are two Indigenous Lands in the municipality of one of the PAs, and the Project will continue to seek accurate data with the delineation body of FUNAI. There is traditional use of environmental resources by the traditional peoples and communities of the Caatinga (whether identifying as Indigenous or belonging to other traditional peoples and communities, i.e., IP/TP&LC). There are Traditional and Local Communities located in and in close proximity to the nine PAs, that include Indigenous-identifying peoples (according to IBGE) as well as Quilombola communities (according to the Palmares Foundation), based on the data presented in our methodology section. In the municipality of Floresta, where the PE Mata da Pimenteira is located, there are two (02) demarcated Indigenous Lands, namely, the Kambiwá Indigenous Land and the Pipipã Indigenous Land.

Parque Nacional da Serra das Confusões (Piauí): Among the municipalities in which the PARNA Serra das Confusões is located, according to census data, there are three hundred and twenty-one (321) Indigenous persons in Bom Jesus, and thirty-five (35) Indigenous persons in Alvorada do Gurguéia, Canto do Buriti, Caracol, Cristino Castro, Curimatá, and Redenção do Gurguéia. There is

data on a Quilombola community, called Brejão dos Aipins, in Redenção do Gurguéia. In the vicinity and overlapping the border of this PA, there are agrarian reform settlements in Alvorada do Gurguéia, Canto do Buriti, Caracol, Cristino Castro, Curimatá, Jurema, and Redenção do Gurguéia.

Parque Nacional da Serra do Teixeira (PB): Among the municipalities in which the PARNA Serra do Teixeira is located, according to census data, there are forty-one (41) Indigenous persons in Água Branca, Cacimba de Areia, Catingueira, Imaculada, Jurui, Mãe d'Água, Santana dos Garrotes, and Santa Teresinha--and sixty-four (64) Indigenous persons in Teixeira. There are no registered Quilombos in the region. In the vicinity and overlapping the border of this PA, there are agrarian reform settlements in Catingueira, Imaculada, Maturéia, Olho d'Água, Santa Teresinha, São José do Bonfim, and Teixeira.

Parque Nacional do Boqueirão da Onça (BA): Among the municipalities in which the PARNA Boqueirão da Onça is located, according to census data, there are two hundred and fifty-five (255) Indigenous persons in Campo Formoso; three thousand, six hundred and seventy-eight (3,678) Indigenous persons in Juazeiro; one hundred and twenty-eight (128) Indigenous persons in Sento Sé; three hundred and sixty-eight (368) Indigenous persons in Sobradinho. There are twenty-one (21) Quilombola communities in Campo Formoso, totaling 12,735 people; and fourteen (14) Quilombola communities in Juazeiro. In Campo Formoso, Juazeiro, Sento Sé, and Sobradinho, there are twenty-six (26) registered Fundo e Fecho de Pasto communities, with seventy-eight (78) related labor unions or community associations. Also, in Juazeiro, Sobradinho, and Sento Sé there are twenty (57) registered artisanal fishermen associations. In the vicinity and overlapping the border of this PA, there are agrarian reform settlements in Campo Formoso, Juazeiro, Sento Sé, Sobradinho, and in the city of Petrolina, Pernambuco.

Área de Proteção Ambiental do Boqueirão da Onça (BA): Among the municipalities in which the APA Boqueirão da Onça is located, according to census data, there are two hundred and fifty-five (255) Indigenous persons in Campo Formoso, three thousand, six hundred and seventy-eight (3,678) Indigenous persons in Juazeiro, one hundred and fifteen (115) Indigenous persons in Morro do Chapéu; one hundred and twenty-eight (128) Indigenous persons in Sento Sé; three hundred and sixty-eight (368) Indigenous persons in Sobradinho; eighty-five (85) Indigenous persons in Umburanas. There are twenty-one (21) Quilombola communities in Campo Formoso, totaling 12,735 people; fourteen (14) Quilombola communities in Juazeiro, and nine (09) Quilombola communities in Morro do Chapéu, fifteen (15) in América Dourada, and three (03) in Itaguaçu da Bahia. There is one (01) Fundo e Fecho de Pasto in Umburanas and a related community association, and nine (09) Fundo e Fecho de Pasto communities in Itaguaçu da Bahia. In the vicinity and overlapping the border of this PA, there are agrarian reform settlements in Campo Formoso, Juazeiro, Morro do Chapéu, Sento Sé, Sobradinho, in the city of América Dourada, and in the city of Itaguaçu da Bahia.

Área de Proteção Ambiental Lago de Sobradinho (BA): Among the municipalities in which the APA Lago de Sobradinho is located, according to census data, there are eight hundred and eighty-one (881) Indigenous persons in Casa Nova, thirteen (13) Indigenous persons in Pilão Arcado, eighty-three (83) Indigenous persons in Remanso, one hundred and twenty-eight (128) Indigenous persons in Sento Sé, and three hundred and sixty-eight (368) Indigenous persons in Sobradinho. There is one (01) Quilombola community in Casa Nova and one (01) Quilombola community in

Remanso. There are sixty-seven (67) Fundo e Fecho de Pasto communities in Casa Nova, Pilão Arcado, and Remanso, with thirty eight (38) related associations. Also, there are eighty (80) artisanal fishermen associations in Casa Nova, Pilão Arcado, Remanso, Sento Sé and Sobradinho. In the vicinity and overlapping the border of this PA, there are agrarian reform settlements in Casa Nova, Pilão Arcado, Remanso, Sento Sé, and Sobradinho. This area has a high number of Traditional Fundo e Fecho de Pasto communities (PNCSA, 2007) and it would be important to complete detailed screening of their presence during the next Project steps.

Área de Proteção Ambiental Dunas e Veredas do Baixo Médio São Francisco (BA): Among the municipalities in which the APA Dunas e Veredas do Baixo Médio São Francisco is located, according to census data, there are three hundred and eighty-one (381) Indigenous persons in Barra, thirteen (13) Indigenous persons in Pilão Arcado, and five hundred and seventy-one (571) Indigenous persons in Xique-Xique. There are ten (10) Quilombola communities in Barra, and two (02) Quilombola communities in Xique-Xique, one of which is within the PA area. There are seventy one (71) Fundo e Fecho de Pasto communities in Barra, Pilão Arcado, and Xique-Xique, with eleven (11) related associations. Also, there are eight (08) artisanal fishermen associations in Barra; twelve (12) in Pilão Arcado and thirty five (35) in Xique-Xique. In the vicinity, overlapping, and coinciding with this PA, there are agrarian reform settlements in Barra, Pilão Arcado, and Xique-Xique, some of which overlap the APA Lagoa de Itaparica.

Área de Proteção Ambiental Lagoa de Itaparica (BA): Among the municipalities in which the APA Lagoa de Itaparica is located, according to census data, there are seven (07) Indigenous persons in Gentio do Ouro, and five hundred and seventy-one (571) Indigenous persons in Xique-Xique. There are seven (07) Quilombola communities in Gentio do Ouro, and two (02) Quilombola communities in Xique-Xique. There are nine (09) Fundo e Fecho de Pasto communities in Xique-Xique, with nine (09) related associations. Also, there are thirty five (35) artisanal fishermen associations in Xique-Xique. Overlapping with this PA, there are agrarian reform settlements in Xique-Xique, four of them also overlapping the APA Dunas e Veredas do Baixo Médio São Francisco.

Parque Estadual Mata da Pimenteira (PE): In the municipality of Serra Talhada, where the PE Mata da Pimenteira is located, according to census data, there are six hundred and ninety-five (695) Indigenous persons. There are three (03) Quilombola communities registered in the municipality. Near and coinciding with this PA, there are agrarian reform settlements in the municipality.

Estação Ecológica Serra da Canoa (PE): In the municipality of Floresta, where the PE Mata da Pimenteira is located, according to census data, there are two (02) demarcated Indigenous Lands, namely, the Kambiwá Indigenous Land and the Pipipã Indigenous Land. In the municipality there are five thousand, four hundred and fifty-nine (5,459) Indigenous persons. There are two (02) Quilombola communities, possibly subdivided into another five (05). There are twenty (2) agrarian reform settlements in the municipality of Floresta.

Cultural Sites:

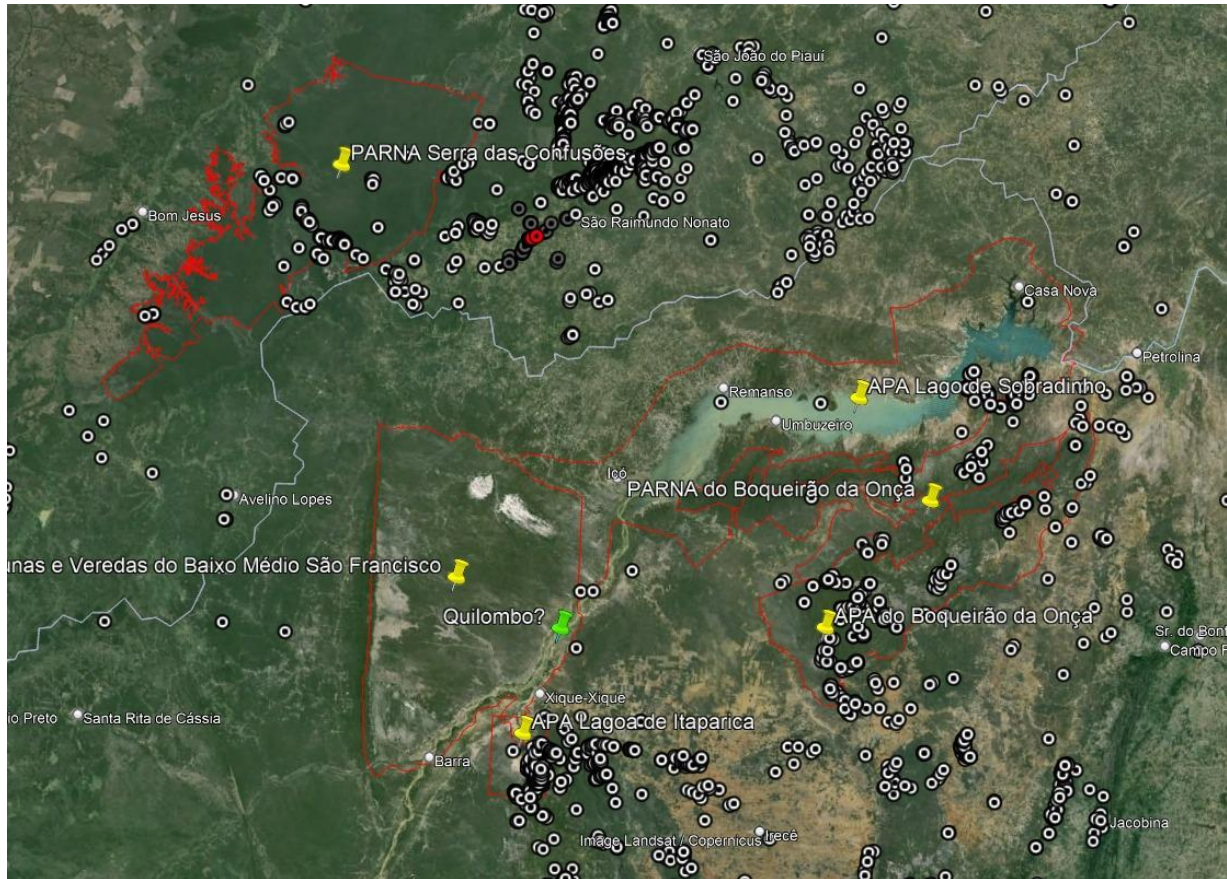
According to data from the National Institute of Historic and Artistic Heritage (IPHAN), there is a significant amount of cultural and archeological sites around and within the areas of the nine PAs here considered.

In PAs such as Serra do Teixeira and Serra da Canoa, a few cultural sites such as Gruta da Pedra dos Caboclos and Lagoa das Pedras, for the former, and Mãe d'Água I and II, for the latter, can be found around the PAs perimeters. It is noteworthy that these names correspond to a deeply historical and cultural trend in the region, which is the long-standing presence of Indigenous peoples and spiritual entities who inhabit these native lands. For instance, “caboclos” (as in Gruta da Pedra dos Caboclos) is a common, sometimes derogatory term to refer to Indigenous descendants in the Northeast (Carvalho, 2011; Pacheco de Oliveira, 2016). Thus, Pedra dos Caboclos could be understood as the boulder of some unknown Indigenous ancestor. The same could be said in respect to Mãe d'Água, a spiritual entity that inhabits and owns all the river waters around the region. She is mother of all species of fish, besides being an entity that presides over the waters themselves. This mother of the water is a very important presence to Indigenous and riverside dwellers in Caatinga (Durazzo, 2024).²⁰

There are no significant archeological sites near the PA Mata da Pimenteira, but for all the other ones there are plenty of cultural sites registered with the IPHAN. The exception here would be Dunas e Veredas do Baixo Médio São Francisco, a PA without any registered site within its borders but which is overlapped by the PAs Lagoa de Itaparica and Lago de Sobradinho, where a number of sites can be found. These latter two, alongside Boqueirão da Onça (both the National Park and the Protection Area) and Serra das Confusões, show a substantial number of registered sites. See below a map with six PAs perimeters and their corresponding cultural sites (shown as white points in Figure 14).

²⁰ Durazzo, L. (2024). *Cosmopolíticas Tuxá: ciência, ritual e educação a partir da autodemarcação de Dzorobabé*. Natal: EDUFRRN.

Figure 14: Map with 6 ARCA PA perimeters and their corresponding cultural sites



Serra das Confusões in Piauí is a PA close to Serra da Capivara, a world-renowned archeological site and important place to historical and anthropological studies. Lago de Sobradinho and its neighbor Boqueirão da Onça PAs, by their turn, rest in an area of anthropogenic impacts such as dams and resettlements carried on some decades ago (Santos, 2008).²¹ For these reasons, it seems important that the next stages of the ARCA Project take these sites into consideration, for their own cultural value but also as a way of strengthening IP/TP&LC engagement and community participation.

2.5. Gender

Gender inequality still permeates all fields of Brazilian society, requiring governments, social movements, organizations and organized civil society actions to shift this reality, and reaffirm commitment to combat all forms of discrimination and rights violations and to promote equal opportunities for all people. The marked inequality of women in relation to men has led to policies intended to address issues such as: sexual and reproductive rights, violence, insertion in the labor market, participation in political and power spaces, ethnic-racial issues, identities and perceptions

²¹ Santos, J. M. (2008). Cultura material e etnicidade dos povos indígenas do São Francisco afetados por barragens: um estudo de caso dos Tuxá de Rodelas, Bahia, Brasil. (Tese) UFBA, Salvador.

about the body, and more, to guarantee women's rights and citizenship, with the understanding that gender-based power relations perpetuate inequalities between men and women, in all social, political and economic spheres.

The colonization process and patriarchal parameters were fundamental in the structuring of Brazilian society, where a subjugated social place was instituted for women; therefore, gender relations should be understood from a historical-cultural perspective and not as a phenomenon that naturalizes such inequality (Bezerra and Veloso, 2015). Historically in Brazil, while men took on activities linked to the productive order, women focused on the reproductive sphere, with practices of caring for people's living conditions through domestic chores, food preparation, attention to cleanliness and hygiene of the domestic environment, with their work being less valued and underpaid/unpaid.

According to the IBGE, in 2022 in Brazil, women devoted almost twice as much time to caring for people and/or household chores as men (21.3 hours versus 11.7 hours). In the Northeast Region, women dedicated even more hours to these activities (23.5 hours), and the Northeast is the region with the greatest inequality for women in relation to men (IBGE, 2023²²). The climate vulnerability of the northeast biomes—can have significant impacts on women, especially in the Caatinga, a semi-arid region that comprises the largest area susceptible to desertification in Brazil, with climate affecting biodiversity and thus food and nutritional security, a domain whose responsibility is concentrated in the hands of women.

The ARCA Gender Action Plan must transverse its actions in an intersectional way, given the diverse population of the Caatinga region (Indigenous, Quilombola, terreiro, ciganos (gypsies), artisanal fishermen, extractivists, caatingueiros, vazanteiros, veredeiros, Fundo and Fecho de Pasto, and also sertanejos, vaqueiros, farmers, among others) and axes of oppression that might intersect: factors related to classism and economic disparities intersecting with racial discrimination and institutional racism intersecting with gender discrimination and institutional misogyny (social structures that support power disparities and patriarchal dominance). Intersectionality is a conceptualization that seeks to capture the structural and dynamic consequences of the interaction between two or more axes of class subordination (Crenshaw, 2002, 177).²³ The association of multiple systems of subordination has been described as compound discrimination, multiple loads, or double or triple discrimination. Attention to these social markers is essential, considering that experiences are unique and uniqueness requires the construction of collective actions that meet the diverse interests and needs of the population.

A gender approach requires a strategy of integrating the interests, experiences and experiences of cis and trans women and men, from implementation to monitoring and evaluation of the ARCA

²² IBGE (Brazilian Institute of Geography and Statistics), 2023. Demographic Statistics of Brazil: Year 2024. Rio de Janeiro: IBGE. Available at: <https://www.ibge.gov.br/estatisticas/sociais/populacao/9171-estatisticas-demograficas-do-brasil.html>.

²³ Crenshaw, K. (2002). Documento para o encontro de especialistas em aspectos da discriminação racial relativos ao gênero. *Revista Estudos Feministas*, [s.l.], v. 10, n. 1, p.171-188, jan. 2002. <http://dx.doi.org/10.1590/s0104-026x2002000100011>

Project plans and activities, with the aim for all people, including women, to benefit from the results of the Project. The proposals for actions presented in the separate Gender Action Plan will have as main subjects the female population, considering that the process of social, political and economic empowerment of women affects the entire family, thereby fostering the sustainable development of the social groups to which they belong.

The following are factors some of which negatively impact and others that enhance the quality of life of the populations of the Caatinga, with special attention to women. These topics should be taken as a reference for the Gender Action Plan (GAP) applying a gender perspective, in order to improve the living conditions of women and thus contribute to social processes, economic, political and political aspects of the social subjects that make up the communities in the Caatinga:

- 1. Water Scarcity:** especially during periods of prolonged drought. Women are often responsible for collecting water for their families, which can become an even more difficult and time-consuming task during periods of drought. This may limit their time for other activities, such as education, political participation, paid work, or family care.
- 2. Food Security:** Subsistence farming is a common practice in the Caatinga, and women play a key role in this activity. Lack of rainfall can lead to food shortages, directly affecting household food security. Women often face the burden of ensuring that there is enough food for their families during periods of drought, which can increase their workload and stress.
- 3. Health:** The climate vulnerability of the Caatinga can also impact women's health. Water scarcity can increase the risk of waterborne diseases such as diarrhea and cholera. Additionally, malnutrition and hunger resulting from food shortages can affect the health of women and their families, especially during pregnancy and breastfeeding.
- 4. Displacement and Migration:** In the face of scarcity of natural resources, some communities in the Caatinga may face displacement due to lack of water and food. Women are often particularly vulnerable during these displacements, facing additional risks of gender-based violence (GBV), exploitation, and lack of access to basic services.
- 5. Adaptation and Resilience:** Despite the challenges, women in the Caatinga also demonstrate a remarkable capacity for adaptation and resilience in the face of climate change. They develop survival strategies, such as diversifying agricultural activities, storing rainwater, and participating in natural resource conservation programs.
- 6. Valuing traditional knowledge:** Women's traditional knowledge provides improvements in food production and conservation, increased land fertility through intercropping (agroforestry), use of planting space, maintenance of productive backyards, cultivation of vegetables and medicinal plants, animal husbandry, knowledge about the cycle of nature, and seed storage to supply times of drought.
- 7. Political participation:** some women are already able to forge groups in their communities that exchange knowledge, know-how, agricultural practices and socio-political organization. However, the existence of sexist conceptions in some family groups, a patriarchal inheritance that accentuates the inequality between men and women, can be an impediment to the ascension and autonomy of other women.

To address these challenges, it is essential to develop policies and programs that take into account the specific needs of women in the Caatinga. This includes strengthening women's participation in decisions related to the management of natural resources, equitable access to basic services such as clean water and health, and supporting the process of women's economic, social, and political empowerment through training programs and access to productive resources, and encouraging political autonomy and confronting all types of gender-based violence (GBV) and sexual exploitation, abuse and harassment (SEAH).

3. ENVIRONMENT AND SOCIAL POLICY, REGULATIONS AND GUIDELINES

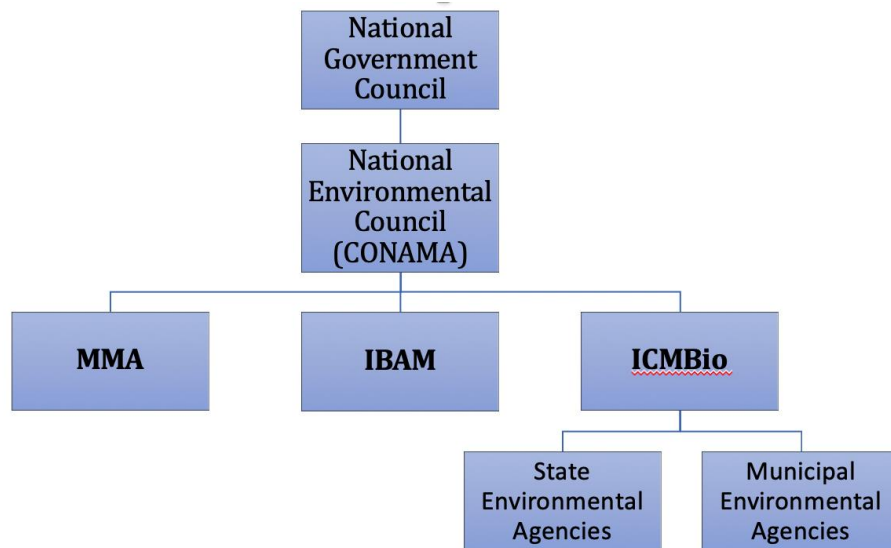
This chapter first outlines the laws and regulations of Brazil and the WWF's ESSF and SIPP that are applicable to the Project, and then discusses gaps between Brazil's Federal and State laws and regulations and the SIPP. **For the purposes of the ARCA Project implementation, the principles and procedures of the ESSF and SIPP shall prevail in all cases of discrepancies.**

3.1 Brazil Policies, Laws, Regulations Guidelines

Brazil has a well developed set of environmental and social laws and regulations at the Federal, State and Local/Municipal levels. Though short summaries are provided below, the breadth of the regulatory framework cannot be delved into at this stage and a thorough review of application laws and regulations will be necessary during the Project implementation phase, once activities and their locations are fully defined.

To protect its environment, Brazil has a National Environmental System (SISNAMA), that brings together various environmental institutions and agencies of different levels (federal, state, municipal) as shown in the following organogram.

Figure 15: Brazil Environmental Agencies and Bodies, State and Federal



(a) Laws on Environmental Protection and Biodiversity Conservation

Constitution. The Federal Constitution (1988) guarantees the right to an ecologically balanced environment, requiring government and society to defend and preserve this right for current and future generations. Environmental protection must be complied with by every law and regulation in Brazil.

CONAMA. The National Environmental Council (CONAMA) has a collegial organization structure and is a deliberative and consultative organ of the National Environment System (SISNAMA). CONAMA was created through Law 6938 (1981), which also instituted the National Environment Policy. The competence of the Council is further regulated by Decree 99274 issued on June 6, 1990 as updated. CONAMA has been housed within a number of Brazilian institutions in the past and is now under the Brazilian Institute for the Environment and Renewable Resources (IBAMA), both within the remit of the Ministry of the Environment which was created by Law 8490 in 1992.

CONAMA is considered as an “environment parliament”, whose composition includes representatives from every State of the Brazilian Federation as well as the Federal District of Brasilia and, in addition to elected members and other appointments, includes representatives of the industrial and agricultural sectors, and civil society. Resolutions are voted by its 109 members²⁴.

National Environmental Policy. Federal Law 6938/81, established the National Environmental Policy (PNMA) to preserve, enhance, and restore environmental quality and support socio-economic development in order to protect national security and human life. One of its key instruments is environmental licensing, required prior to authorizing construction, installation, expansion, and operation of activities that may pollute, degrade, or use environmental resources.

According to CONAMA’s (The National Environmental Council) resolution #1, of January 23, 1986, an impact is “any change in the physical, chemical and biological properties of the environment, caused by any form of matter or energy resulting from human activities that, directly or indirectly, affect:

- the health, safety and well-being of the population;
- social and economic activities;
- the biota;
- the aesthetic and sanitary conditions of the environment;
- the quality of environmental resources.”

It is not expected that Project activities will require going through the licensing process.

Brazilian Institute for Environment and Renewable Resources (IBAMA) created through federal Law 7,735 in 1989

Chico Mendes Institute for Preservation of the Environment and Biodiversity (ICMbio) set-up through Federal Law 11,516 in 2007 Creating the federal agency responsible for the management of federal conservation units

The context in the ESMF does not permit us to go through all the environmental laws and legal framework of Brazil, most of which might not be relevant. In the context of the ESMP development

²⁴ <https://conama.mma.gov.br/images/conteudo/CONAMA-ingles.pdf>

for each activity or set of activities, once defined, under the Project components, relevant federal, state and/or municipal regulations will be identified and listed to ensure compliance. Some examples of high level laws are listed here for reference: (i) National Policy on Water Resources and regulating the regime of water use, Federal Law 9433 in 1997, (ii) Federal Law 9966 in 2000 Governing the prevention, control, oversight of oil pollution and others hazardous substances in Brazilian waters (iii) Federal Law 12187 in 2009 with regards to greenhouse gas emission and the National Program of Climate Change, (iv) Federal Law 12305 in 2010 Establishing the National Policy for Solid Waste and (v) Complementary Federal Law 140 in 2011 Coordinating the constitutional jurisdiction for protecting the environment and natural resources.

Brazilian Forest Code enacted by Federal Law 12651 of 2012 regulates the protection of Legal Forestry Reserves and the Permanent Protected Areas.

Biological Diversity Law Decree 2519 (1998) ratified the Convention on Biological Diversity into law.

Environmental Crimes Federal Law No. 9605 (1998) Established criminal and administrative sanctions for activities and behaviors harmful to the environment.

Payment for Ecosystems Services (PES) Brazil developed a number of PES schemes at Federal, State or Municipal levels. One example is the Amazonas state program Bolsa Floresta, which exchanges cash payments to families residing in protected areas for forest conservation efforts. MMA Ordinance 288/2020 established the Floresta+ program at the federal level to promote PES. Under this program, a pilot Project financed by the GCF provides cash to smallholders and local and indigenous communities for conservation and restoration efforts in the Amazon Forest. There is now a Floresta + Carbono program (for IP/TP&LC), and the Floresta + Empreendedor (for business enterprise and private investments in forest conservation). There are other private-sector oriented PESs.

The 2012 Forest Code authorized the use of PES, and Law 14119/2021 on PES now provides a national harmonized policy framework for PES and its effectiveness monitoring mechanism. A new body, the Secretariat of the Amazon and Environmental Services within the MMA was established to formulate policies and strategies regarding environmental services.

(b) Specific Policies related to Project Focal Areas: Biodiversity, Protected Areas, Wildlife Trafficking/Poaching, and Conservation

The **National System of Conservation Units (SNUC)**, was created by Law 9985/2000 and regulated by decrees 43040/2002 and 5746/2006. It classifies conservation units into two types: full protection, and sustainable use.

Full (aka Integral/Strict) protection conservation units have the main objective of conservation, with only indirect use of natural resources permitted; that is, one that does not involve consumption, collection, damage or destruction of natural resources (e.g., recreation in contact with nature, ecological tourism, scientific research, education and environmental interpretation). This includes ecological stations, biological reserves, parks, natural

monuments and wildlife refuges categories. The first three categories are eminent domain while the last two may include privately-held areas within them as long as the use of the land is compatible with the conservation objectives.

Sustainable use units combine nature conservation with the sustainable use of part of its natural resources. In practice, it allows activities that involve collection and use of natural resources, in a way that ensures the continued renewal of environmental resources and ecological processes. This includes Environmental Protection Area, Area of Relevant Ecological Interest, National (or State) Forest, Extractive Reserve, Fauna Reserve, Sustainable Development Reserve and Private Natural Heritage Reserve. In the first two categories, privately-held lands are allowed, while the rest, despite being in the eminent domain, except Private Natural Heritage Reserves (RPPN), allow resources to be used by communities.

The SNUC provides, in its art. 29, that each integral protection conservation unit has an advisory council, chaired by the body responsible for its administration and made up of representatives from public institutions, civil society, landowners when applicable and Traditional Populations and Communities (PCTs) as long as they are residents of the aforementioned units. Additionally, paragraph 2 of art. 42 of the same law provides that specific rules and activities will be identified in order to make the presence of resident Traditional Populations and Communities (PCTs) compatible with the conservations objectives of the unit, without prejudice to the ways of life, sources of subsistence and places of residence of these populations, ensuring their participation in the development of such rules and activities.

The ICMBio published Normative Instruction No. 29 (Sep 2012), which defines the guidelines, requirements and administrative procedures for the preparation and approval of a Management Agreement in a federal Sustainable Use Conservation Unit with traditional populations. The Management Agreement defined by this standard regulates the use of natural resources and land occupation in Extractive Reserves and Sustainable Development Reserves and in areas used by traditional populations in National Forests, Environmental Protection Areas and Areas of Relevant Ecological Interest. A similar instrument, called Term of Commitment, was regulated by Normative Instruction No. 26 of (Jul 2012) for federal full protection units where the presence of traditional populations is not anticipated or is in disagreement with management instruments. The drafting the Term of Commitment, includes participatory stages, which include: (i) raising awareness and mobilizing local communities; (ii) participatory socio-environmental diagnosis of the use of natural resources and land occupation; (iii) discussion and agreement with local communities on usage and land occupation rules; and (iv) assessing the need and, if applicable, identifying work and income alternatives with low environmental impact activities to improve families' quality of life.

The conservation units selected for activities under ARCA are generally under the management of public authorities, through their federal or state environmental institutions. Additionally, as provided by the SNUC, government institutions from other sectors are involved (science & research, education, culture, tourism, architecture, archeology, indigenous peoples and agricultural settlements) and civil society (environmental NGOs, scientific community, local communities,

traditional groups, property owners, private sector and representatives of river basin committees) through representatives in consultative or deliberative councils, in accordance with chapter V of Decree 3,340 that regulates the SNUC.

There are also other territorial management instruments that help integrate human occupation with biodiversity conservation for sustainable development practices that reach conservation objectives. Indeed, the SNUC Law formalizes ecological corridors, mosaics and Biosphere reserves. The Biosphere Reserve is an integrated, participatory and sustainable management model for natural resources adopted internationally. The management of each Biosphere Reserve is carried out by a Deliberative Council.

Federal Ordinance No. 444/2014 The National List of Brazilian Fauna Endangered Species is a key element of Brazil’s biodiversity conservation tools, where threatened species are identified.

The **National Action Plans for the Conservation of Species Threatened with Extinction or Speleological Heritage** (PAN) are public policies, agreed with society, that identify and guide priority actions to combat threats that put populations of species at risk and the natural environments and thus protect them. For examples see:

<http://www.icmbio.gov.br/portal/faunabrasileira/planos-de-acao-nacional>

The PANs are instruments that support target 4 of the Kunming-Montreal Global Biodiversity Framework at a national scale. Designed as a participatory management tool, PANs organize and prioritize conservation actions for species and their natural habitats. Currently there are 15 PANs under implementation in the Caatinga protecting 470 species. However, most of these PANs are under-implemented highlighting the necessity for further capacity and operational support to ensure the effective protection of the Caatinga biodiversity. See Table 3, for PANs under implementation in the Caatinga biome.

Table 3: PANs under implementation in the Caatinga²⁵

PAN	Cycle	Start	End	Nº of Protected Species	Nº of Protected Endangered Species
Soldadinho-do-Araripe	2º Cycle	2016	2020	1	1
Ararinha-Azul	2º Cycle	2019	2024	1	1
Ararinha	2º Cycle	2016	2020	2	1
Aves da Caatinga	2º Cycle	2018	2023	39	32
Canídeos	1º Cycle	2018	2023	4	4

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<https://app.powerbi.com/view?r=eyJrIjoiaNzFhYzcyMzEtMDg2Ni00ZDYzLWEwMTctMGlxMWVmZWl3YTZliwidCI6ImMxNGUyYjU2LWM1YmMtNDNiZC1hZDljLTQwOGNmNmNmNmU2MCJ9&pageName=ReportSection347e805fed3080309cb3>

Cavernas do Brasil	1º Cycle	2022	2027	168	168
Grandes Felinos	1º Cycle	2018	2023	2	1
Herpetofauna do Nordeste	2º Cycle	2018	2024	104	40
Insetos Polinizadores	1º Cycle	2022	2027	107	56
Pequenos Felinos	2º Cycle	2022	2027	5	5
Pequenos Mamíferos de Áreas Abertas	1º Cycle	2022	2027	20	17
Primatas do Nordeste	2º Cycle	2018	2022	8	6
Rivulídeos	2º Cycle	2022	2027	159	130
Tamanduá-Bandeira e Tatus	1º Cycle	2019	2024	3	3
Ungulados	1º Cycle	2019	2024	7	5

(c) Laws on Labor and Working Conditions

Brazil has ratified eight of the eleven fundamental conventions of the ILO: (i) Right to Organize and collective bargaining, (ii) Forced labor, (iii) Abolition of forced labor, (iv) minimum age, (v) worst forms of child labor, (vi) equal remuneration, (vii) discrimination and (viii) occupational safety and health. Many of the rights associated with these ratified conventions were enshrined in Brazil's Constitution.

In 1943, Law Decree 5,452 approved the consolidation of Labor Laws (CLT). In 2017, Brazil passed a major overhaul and update of the CLT through Law no. 13,467, modernizing the Law to reflect major changes in the Labor work and international Labor standards.

The CLT ensures the fundamental rights of workers, such as the right to vacations, a bonus pay (13th salary), paid maternity (120d) and paternity (5d) leave, annual leave (30d after a year), sick leave, unemployment insurance, severance pay, a retirement pension, child protection, equal pay, maximum working hours, overtime, minimum wage, to list a few.

Larger workplaces require in-house OHS professionals, particularly those with hazardous activities as well as joint employer-employee health and safety committees to address OHS issues. Other regulations and standards apply such as the Regulatory Standards for Occupational Health and Safety (OHS), which cover construction, toxic exposures, and other aspects that cannot be listed here.

Despite the breadth of the regulatory framework, the enforcement is insufficient and progress is needed in terms of inspection, reporting, prosecution and fining.

An identification of applicable law and regulations will be necessary as part of the ESMPs that will be developed for the various activities that will be identified during the Project implementation phase.

Child Labor

Children are protected under the Constitution and the CLT, the Child and Adolescent Statute (law 8,069) prohibits any work for minors less than sixteen years of age, except as apprentices, and dictates that the protection of the work of adolescents is regulated by special legislation, with further details provided in articles 62 & 64 to clarify acceptable apprenticeship conditions. This statute applies to all children and adolescents, without discrimination of birth, family status, age, sex, race, ethnicity or color, religion or belief, disability, personal development and learning condition, economic condition, environment social, place of residence or other condition that differentiates the persons, families or community in which they live.

In 2001, the Ministry of Labor and Employment issued an administrative act listing eighty-one working activities prohibited to minors of less than eighteen years of age. The act prohibits, for instance, work by minors in both civil construction and heavy machinery construction; in industrial operations of paper, plastic, or metal recycling; with infected animals; in fireworks manufacturing, and in slaughterhouses.

See below (Table 4) that summarizes main laws and regulations associated with the protection of children. Despite the breadth of child and adolescent protection, the US bureau of international labor affairs reports that 2.1% of children under 14 are unlawfully working, 57% of which are in the agriculture sector and 35% in the service sector.²⁶

²⁶ <https://www.dol.gov/agencies/ilab/resources/reports/child-labor/brazil>

Table 4: Brazil: laws and regulations associated with the protection of children

Standard	Meets International Standards	Age	Legislation
Minimum Age for Work	Yes	16	Article 403 of the Labor Code (40)
Minimum Age for Hazardous Work	Yes	18	Article 2 of the Hazardous Work List (41)
Identification of Hazardous Occupations or Activities Prohibited for Children	Yes		Hazardous Work List (41)
Prohibition of Forced Labor	Yes		Articles 149 and 149-A of the Penal Code; Article 13 of Law 13.344 amending Penal Code; Articles 1 and 2 of Law 12.781 (42-44)
Prohibition of Child Trafficking	No		Article 149-A of the Penal Code; Article 244-A of the Child and Adolescent Statute (43,45)
Prohibition of Commercial Sexual Exploitation of Children	Yes		Articles 218-A, 218-B, 227, and 228 of the Penal Code; Articles 240, 241, and 244-A of the Child and Adolescent Statute (42,45)
Prohibition of Using Children in Illicit Activities	Yes		Articles 33 and 40 of the National System of Public Policies on Drugs; Article 244-B of the Child and Adolescent Statute (45,46)
Minimum Age for Voluntary State Military Recruitment	Yes	17	Article 127 of the Military Service Regulation (47)
Prohibition of Compulsory Recruitment of Children by (State) Military	Yes		Article 5 of the Military Service Law (48)
Prohibition of Military Recruitment by Non-state Armed Groups	No		
Compulsory Education Age	Yes	17	Article 4 of the National Education Law (49)
Free Public Education	Yes		Article 4 of the National Education Law (49)

Law and regulations on Child Labor (US bureau of international labor affairs)

The US bureau of international labor affairs cites the biennial report published by the Federal Highway Police, in collaboration with Childhood Brazil, which “*identified 3,651 areas along highways throughout the country where children are vulnerable to commercial sexual exploitation. Areas are assessed by evaluating the risk of exploitation and the implementation of preventative mechanisms and strategies that exist within each state. According to the report, the states of Bahia, Goiás, Pará, Minas Gerais, and Ceará are at the highest risk for this type of exploitation. The report also indicated a 0.4 percent decrease in these vulnerable areas since its previous publication.*”

(d) Land Acquisition

In Brazil, the lands are classified in the following categories, which fall under various jurisdictions (Table 5).

Table 5: Brazil land categories and jurisdictions

Type of land	Responsibility
Urban union (federal) lands	National Secretary of Union Assets, together with the Ministry of the Cities
Rural union lands	INCRA, together with the Ministry of Agrarian Development and the National Secretary of Union assets
Indigenous land	FUNAI, together with the Ministry of Justice and National Secretary of Union Assets
Quilombo land	INCRA, together with the Ministry of Agrarian Development and National Secretary of Union Assets

UN-Habitat, 2005²⁷

In addition, lands are classified into public and private lands. Privately-owned land can be freely sold and purchased, with the following restrictions:

Federal: land near the border and in national security areas, natural parks, protected environments, areas home to species in danger of extinction, areas of natural vegetation cover, and Indigenous Reservations;

State: limitations based on environmental regulations, water resources;

Municipal: limitations based on urban land use, traffic congestion, noise, vibrations, visual pollution, and deforestation.

From various sources it appears that land acquisition is very complex and is conducted at the local level in Brazil, with varying rules and processes depending on the municipality.

Following challenges faced by development projects, the World Bank assessed Involuntary Resettlement in Brazil in 2011²⁸ and shared improvement proposals. As a result, Brazil developed a resettlement policy approved in July 2013, laying the procedures and measures to be implemented in cases of involuntary resettlement of families from their homes or business (place of economic activities), caused by the execution of the Growth Acceleration Programme (Programa de Aceleração

²⁷ <https://unhabitat.org/sites/default/files/download-manager-files/Law%2C%20Land%20Tenure%20and%20Gender%20Review%20Latin%20America%20%28Brazil%29.pdf>

²⁸

<https://documents1.worldbank.org/curated/en/574591469672171136/pdf/700350ESW0P11200260March020110FINAL.pdf>

do Crescimento: PAC) and actions under the management of the Ministry of Cities. This brings Brazil closer to requirements of international standards such as the World Bank or WWF's, however, development institutions still report discrepancy, particularly with regards to squatters without land title.

The 2013 policy applies to cities and particular programs and does not apply to Brazil's Traditional Peoples and Communities, which includes Indigenous Peoples, which is addressed in the following section.

(e) Indigenous and Traditional Peoples

Traditional Peoples and Communities (according to the National Policy for the Sustainable Development of Traditional Peoples and Communities PNPCT, Decree no. 6,040/2007) are defined as: "Culturally differentiated groups that recognize themselves as such, that have their own forms of social organization, that occupy and use territories and natural resources as a condition for their cultural, social, religious, ancestral and economic reproduction, using knowledge, innovations and practices generated and transmitted by tradition,"

PNPCT's objective is to promote "the sustainable development of Traditional Peoples and Communities, with an emphasis on recognition, strengthening and guarantee of their territorial, social, environmental, economic and cultural rights, with respect and appreciation for their identity, their forms of organization and their institutions. Actions and activities aimed at achieving the objectives of the National Policy for the Sustainable Development of Traditional Peoples and Communities occur in an intersectoral and integrated manner. The National Commission for the Sustainable Development of Traditional Peoples and Communities (CNPCT), created by Decree of July 13, 2006, is responsible for coordinating the implementation of this Policy."²⁹

The National Policy for the Sustainable Development of Traditional Peoples and Communities (PNPCT), established by Decree 6,040 (2007), aims to promote the sustainable development of Traditional Peoples and Communities, with emphasis on recognizing, strengthening and guaranteeing their territorial, social, environmental, economic and cultural rights, with respect and appreciation for their identity, their forms of organization and their institutions.

In Brazil, despite a history of documents related to the public administration of its territories and the rights of Indigenous peoples, in recent decades the Federal Constitution of 1988 has been the regulatory framework for policies aimed at the individual and collective rights of the original peoples of the Brazilian territory. In the Constitution, articles n. 231 and 232 are those of greatest centrality to the matter. We quote:

²⁹ <https://antigo.mma.gov.br/perguntasfrequentes.html?view=faq&catid=16>

Art. 231. The social organization, customs, languages, beliefs and traditions of the Indians are recognized, and the original rights over the lands they traditionally occupy, it is up to the Union to demarcate them, protect and respect all their goods.

§ 1º The lands traditionally occupied by the Indigenous Peoples are those inhabited by them on a permanent basis, those used for their productive activities, those indispensable to the preservation of the environmental resources necessary for their well-being and those necessary for their physical and cultural reproduction, according to their uses, customs and traditions.

§ 2º The lands traditionally occupied by the Indians are intended for their permanent possession, granting them the exclusive enjoyment of the riches of the soil, rivers and lakes therein.

§ 3º The use of water resources, including energy potentials, research and mining of mineral riches on Indigenous lands can only be carried out with the authorization of the National Congress, after hearing the affected communities, ensuring their participation in the results of the mining, according to the law.

§ 4º The lands referred to in this article are inalienable and unavailable, and the rights over them, imprescriptible.

§ 5º The removal of Indigenous groups from their lands is prohibited, except, “ad referendum” of the National Congress, in case of catastrophe or epidemic that puts their population at risk, or in the interest of the sovereignty of the Country, after deliberation of the National Congress, guaranteed, in any case, the immediate return as soon as the risk ceases.

§ 6º Null and extinct, not producing legal effects, are the acts that have as their object the occupation, domain and possession of the lands referred to in this article, or the exploitation of the natural riches of the soil, rivers and lakes therein, except relevant public interest of the Union, according to what provides complementary law, not generating the nullity and extinction right to indemnification or actions against the Union, except, in the form of the law, as to the improvements derived from the occupation of good faith.

§ 7º The provisions of art. 174, § 3º and § 4º do not apply to Indigenous lands.

Art. 232. The Indigenous Peoples, their communities and organizations are legitimate parties to enter into court in defense of their rights and interests, with the Public Ministry intervening in all acts of the process.³⁰

³⁰ Constituição da República Federativa do Brasil, 1988. Available at: https://www.planalto.gov.br/ccivil_03/constituicao/constituicao.htm

By the Constitution, there are two central mechanisms for the guarantee of original rights to Indigenous peoples: 1) the recognition of their collective possession over the lands they traditionally inhabit and 2) the right to associate and manifest themselves as legitimate parties in processes in which they are stakeholders, a mechanism that put an end to a historical tutelage to which they were subjected in previous legislations.

It should be noted that the official recognition of Indigenous lands by the Brazilian State, namely their identification and demarcation, is not to be confused with the recognition of the Indigenous collectivity as a socially and ethnically differentiated group, to whom specific rights are due even in the absence of officially demarcated lands.

In this sense, we can understand Indigenous territoriality as independent of, and prior to, the state formalization of their collective possession rights over the territory they occupy. This differentiation becomes relevant in this Project because, as interested parties, the Indigenous groups of the Caatinga, inhabitants and users of the areas in which the nine PAs are located, must be understood as such even if there are no institutionalized Indigenous lands at the moment.

Thus, we consider it important to mention the Network of the Peoples and Indigenous Organizations of the Northeast, Minas Gerais and Espírito Santo (APOINME) as a potential stakeholder, a reference entity when it comes to the original peoples of the Northeast region. APOINME is responsible for representing, at different scales and forums, the interests and demands of the Indigenous peoples of the Northeast, so it can be understood as an important interested party in the implementation of this Project. In terms of protecting the Caatinga, and conserving this biome of extreme relevance to the peoples of the region, we consider the participation of APOINME and similar entities, such as the National Coordination of Network of Quilombos (CONAQ), of crucial importance for the success of the Project.

Beyond the Brazilian Constitution, it is also important to highlight the well-known ILO Convention 169, which governs, among other guidelines, the right to free, prior and informed consultation to Indigenous and tribal peoples when projects impact them, their livelihoods and territories.

In Brazil, following terms similar to those of the Constitution and ILO Convention 169, there is a National Policy for Sustainable Development of Traditional Peoples and Communities. According to the document, it is understood by:

I - Traditional Peoples and Communities: culturally differentiated groups that recognize themselves as such, that have their own forms of social organization, that occupy and use territories and natural resources as a condition for their cultural, social, religious, ancestral and economic reproduction, using knowledge, innovations and practices generated and transmitted by tradition;

II - Traditional Territories: the spaces necessary for the cultural, social and economic reproduction of traditional peoples and communities, whether they are used permanently or temporarily, observed, with regard to Indigenous peoples and Quilombolas, respectively,

what is provided in articles 231 of the Constitution and 68 of the Act of Transitional Constitutional Provisions and other regulations; and

III - Sustainable Development: the balanced use of natural resources, aimed at improving the quality of life of the present generation, guaranteeing the same possibilities for future generations.³¹

From the text above, it is understood how the present Project can qualify as of interest to the IP/TP&LC occupying the Caatinga, especially those who historically occupy the areas overlapping or surrounding the PAs in question. Due to the diverse nature of the social organizations of IP/TP&LC, as well as their land plurality (Little, 2018), a wide range of social segments are currently classified under the rubric. We mention below the twenty-nine social segments that make up the Brazilian category, according to Decree No. 8750 of 2006:

1. Indigenous peoples;
2. Quilombola communities;
3. Peoples and communities of terreiro/peoples and communities of African origin;
4. Gypsy peoples;
5. Artisanal fishermen;
6. Extractivists;
7. Coastal and marine extractivists;
8. Caiçaras;
9. Faxinalenses;
10. Benzedeiros;
11. Ilhéus;
12. Raizeiros;
13. Geraizeiros;
14. Caatingueiros;
15. Vazanteiros;
16. Veredeiros;
17. Evergreen flower pickers;
18. Pantaneiros;
19. Morroquianos;
20. Pomeranos;
21. Mangaba collectors;
22. Babassu coconut breakers;
23. Retireiros from Araguaia;
24. Communities of Fundo e Fecho de Pasto;
25. Ribeirinhos;
26. Cipozeiros;

³¹Decreto n. 6.040 de 2007, que Institui a Política Nacional de Desenvolvimento Sustentável dos Povos e Comunidades Tradicionais. Available at: https://www.planalto.gov.br/ccivil_03/_ato2007-2010/2007/decreto/d6040.htm

27. Andirobeiros;
28. Caboclos; and
29. Youth from traditional peoples and communities.³²

In the area of interest of the Project, many of the categories above are represented, namely Indigenous, Quilombola, terreiro, ciganos (gypsies), artisanal fishermen, extractivists, caatingueiros, vazanteiros, veredeiros, Fundo and Fecho de Pasto, and also sertanejos, vaqueiros, farmers, among others. The importance of listing all the communities that are part of the PCT category comes from the fact that they are, in their multiplicity, a portrait of the rich socio-environmental and cultural diversity of the peoples of the Caatinga, not always represented by articulated organizations such as the aforementioned APOINME and CONAQ. For example, the Fundo and Fecho de Pasto communities, although they may have a specific settlement status with INCRA, have a lower incidence in Brazilian institutional politics, although they are also represented by organizations such as the Articulação de Fundo e Fecho de Pasto da Bahia (PNCSA, 2007). In 2012, a meeting of the Articulação in Bahia deliberated on the following proposals, definitions and political guidelines for the category:

It is necessary to fight for the effective recognition of Fundos and Fechos de Pasto as traditional communities, bearers of specific rights and, therefore, beneficiaries of a specific public policy.

This recognition of difference must be based on the criterion of self-definition.

Fundos and Fechos de Pasto are a historical and cultural heritage of this country, and should be protected in their way of being and living. Fundos and Fechos de Pasto affirm their sustainable way of coexistence with the Caatinga and Cerrado biomes, and for this reason, their territory must be effectively guaranteed.

Fundos and Fechos de Pasto have the right to their OWN territories, according to delimitations defined by the community itself, without the limit of 2,500ha.

This territory, collective, cannot be sold, it is inalienable and imprescriptible, and will be managed by the community and the association according to their traditions and customs.

The territory should be destined for uses defined by the community and associations themselves, as long as the environment is preserved.

That the titling and environmental licensing are in accordance with the tradition of the Fundo and Fecho de Pasto communities.³³

³² Decreto n. 8.750 de 2016, que Institui o Conselho Nacional dos Povos e Comunidades Tradicionais. Available at: https://www.planalto.gov.br/ccivil_03/_ato2015-2018/2016/decreto/d8750.htm

³³ Princípios e Propostas da Articulação Estadual de Fundo e Fecho de Pasto. Available at: <https://irpaa.org/noticias/395/principios-e-propostas-da-articulacao-estadual-de-fundo-e-fecho-de-pasto>

The Fundo and Fecho de Pasto communities, as well as other IP/TP&LC in the region, are currently involved in “recaatingamento” actions, that is, in the autonomous recovery of degraded environmental areas, and therefore should be listed as interested parties when implementing the Project. Although the legislation pertaining to Indigenous peoples has its own specificities, in the context of implementing this Project it is coherent to also broaden attention to local communities that maintain ways of life consistent with their traditionality and with the sustainable management of the environmental resources of their territories, often coinciding with the internal areas or the surroundings of the nine PAs considered here. Furthermore, even when their territory doesn't coincide with a PA perimeter, for their traditional practices and natural resources use IP/TP&LC often circulate through long distances to reach historically significant places to them. Especially in the dry Caatinga, where natural resources are deeply seasonal and dependent on an irregular climate, conservation of PAs perimeter must be shared by stakeholders whose livelihoods correspond to this dynamic territoriality.

In Brazil, projects of agrarian reform settlements are a significant part of the country's efforts to address land inequality (Sparovek, 2003).³⁴ Within this social movement framework, various social groups have coordinated their efforts to acquire legal possession of unproductive estates. Over the past decades, most settlements of the Brazilian Agrarian Reform (AR) have been established in or near better-preserved natural ecosystems (van de Steeg et al, 2006).³⁵ This proximity leads many land settlements to manage natural resources near or inside recognized PAs. Thus, even without a long-standing relationship with certain places such as the PAs areas, land settlements could be considered as interested parties on environmental protection and conservation.

In a similar way, Fundo e Fecho de Pasto communities are traditional settlements recognized by and regulated by INCRA. These communities have a traditional way of life marked by the collective use of land for raising goats and sheep, especially in the Caatinga, or free-range cattle with native pasture, collection of fruits and medicinal plants, planting of gardens and crops for subsistence. These communities have a history of more than a century and maintain their own traditions and cultures. They consist of a traditional form of territorial occupation making communal use of the land with family farming and maintaining traditions inherited from their ancestors.

Also, there are other relevant traditional communities within the area of this Project, namely traditional fishermen who are organized as labor unions and/or community associations. These categories of social organization are similar to the ones that other IP/TP&LC use to resort to, as aforementioned when the presentation of 232 Constitutional article. Thus, alongside 1) Indigenous peoples, 2) Quilombola communities and 3) Fundo e Fecho de Pasto, 4) artisanal fishermen associations are broadly mentioned below, even without details on their different organizational modes (if a labor union, a fishery colony and so on). During the implementation stage and management planning of the ARCA actions, these collectives must be considered as stakeholders as

³⁴ van de Steeg, J. A., Sparovek, G., Ranieri, S. B. L., Maule, R. F., Cooper, M., Dourado Neto, D., & Alves, M. C.. (2006). Environmental impact of the Brazilian Agrarian Reform process from 1985 to 2001. *Scientia Agricola*, 63(2), 176–183. <https://doi.org/10.1590/S0103-90162006000200010>

³⁵ Spavorek, G. (2003). *A qualidade dos assentamentos da reforma agrária brasileira*. São Paulo: Páginas e Letras.

well, especially for their presence within and around the PAs, and their traditional use of natural resources such as rivers and lakes.

(f) Cultural Heritage

Brazil ratified, through Decree 80,978 (Dec 1977), the Convention for the Protection of World Cultural and Natural Heritage of the General Conference of the United Nations Educational, Scientific and Cultural Organization (UNESCO), which aims to guarantee the protection of works and areas of great interest to the history of the earth or the culture of humanity. Through this Convention, UNESCO recognizes and declares as "World Heritage" sites those that have exceptional universal value based on natural and/or cultural elements that meet conditions of integrity and/or authenticity and have an adequate system of protection and management to ensure its safeguard.

According to the Brazil Constitution, the Brazilian government will promote and protect the country's cultural heritage, both tangible and intangible, in cooperation with the relevant communities, and will ensure the full exercise of the cultural rights and protect the expressions of cultures of national ethnic groups. Several Laws cover Cultural heritage, such as

- Law. 8.113, of 1990 that establishes the Brazilian Institute of Cultural Heritage - EORTC and other measures
- Law 6,292, of 1975 Provides for the registration of goods in the Institute of National Historical and Artistic Heritage - IPHAN
- Law 3.924, of 07.26.1961 Treats of the archaeological monuments and prehistoric
- Decree No. 5,753 of 2006 promulgates the Convention for the Safeguarding of the Intangible Cultural Heritage, adopted in Paris on October 17, 2003
- Decree 3,551 of 2000 Creates the registry of the Intangible Cultural Heritage of Nature which are Brazilian cultural heritage, creates the National Programme of Intangible Heritage and other measures
- Decree 80,978 of 1977 promulgates the Convention on the Protection of the World Cultural and Natural Heritage
- Legislative Decree No. 74 of 1977 Approves the text of the Convention on the Protection of World Heritage Cultural and Natural
- Decree Law No. 25 Organizes the protection of historical and artistic heritage.

Traditional Peoples and Communities (PCT) have a close relationship with natural resources and an important role to play in conserving biodiversity. The traditional knowledge, culture and history of these communities constitute an important heritage. In addition to Indigenous peoples and Quilombola communities, the Project's intervention biomes are home to other traditional communities with very specific customs and ways of life, such as artisanal fishermen, caatingueiros, extractivists and Fundo and Fecho de Pasto ("depth of pasture"), among others. They will all be duly characterized in the sociocultural studies of the proposals to create a Conservation Unit and as part of development and implementation of instruments to strengthen the management of existing Conservation Units because they constitute an important cultural heritage of these biomes.

There are major Cultural Heritage sites in the Caatinga. These include archaeological sites with cave paintings dating back more than 25 thousand years, charcoal and chipped stone artifacts, rock graphic records expressed in paintings and engravings highlighting some of the oldest human occupations in Latin America, but also natural monuments such as unique geomorphological features of karst, caves, shelters etc. According to data from the National Institute of Historic and Artistic Heritage (IPHAN), there is a significant amount of cultural and archeological sites around and within the areas of the nine PAs here considered. See Project Description.

(g) Gender, Gender-Based Violence, and Sexual Harassment

The Brazil National Plan of Policies for Women³⁶ (PNPM) include: equality and respect for diversity (women and men are equal in rights); equity (equal opportunities must be guaranteed to all people, taking into account the specificities of women); women's autonomy (decision-making power over their lives and bodies, as well as the power to influence events in their community); participation and social control (women's participation in the formulation, implementation, evaluation and social control).

Brazilian Law 12.288/2010 (Statute of Racial Equality), on the confrontation of racial discrimination, states:

Article 2: It is the duty of the State and society to guarantee equal opportunities, recognizing the right of every Brazilian citizen, regardless of ethnicity or skin color, to participate in the community, especially in political, economic, business, educational, cultural and sports activities, defending their dignity and their religious and cultural values.

The United Nations (UN) created sustainable development goals with the aim of addressing the main problems for development such as poverty, hunger and also protecting the environment and the climate. Brazil currently has 20 sustainable development goals, the final 3 of which were approved during the 78th Session of the United Nations General Assembly, which took place in September 2023 in New York. The 18th Objective is to promote racial equality by confronting all types of racism and discrimination based on race and/or ethnicity; The 19th Objective must ensure cultural plurality and freedom, the democratization of art and inclusive communication for all and the 20th Objective is to guarantee the rights and promote the culture of indigenous peoples and traditional communities, valuing ancestry and traditional knowledge.

(h) Community Engagement

Consultation and community engagement are covered in multiple areas of Brazil's regulatory framework. For example, art. 231 § 3 of the federal constitution covers consultation of indigenous

³⁶ https://www.gov.br/mdh/pt-br/navegue-por-temas/politicas-para-mulheres/arquivo/sobre/publicacoes/publicacoes/2004/plano_ingles.pdf

peoples while art. 3 of CONAMA Resolution 237/1997 requires public consultation for activities with potential significant environmental harm.

Community engagement in the context of protected areas was partially covered in the prior paragraphs. Indeed, according to Normative Instruction 26 (Jul 2012) of ICMBio, the Term of Commitment is the conflict management and mediation instrument, of a transitional nature, to be signed between the Chico Mendes Institute and traditional populations residing in conservation units where their presence is not permitted or is in conflict with management instruments. This Term of Commitment aims at guaranteeing the conservation of biodiversity as well as the protection of the socioeconomic and cultural characteristics of the local communities.

In practice, this Normative Instruction also covers and considers other communities residing within UCs that are not recognized as traditional communities by the PNPCT.

3.2 WWF Safeguards Standards and Procedures Applicable to the Project

WWF's safeguards standards require that any potentially adverse environmental and social impacts are identified, and avoided or mitigated. Safeguards policies that are relevant to this Project are as follows.

(i) Standard on Environment and Social Risk Management

This standard is applicable because the ARCA intends to support activities that may result in a variety of environmental and social impacts. The Project is expected to have potential negative environmental impacts mainly due to small constructions for UC headquarters, surveillance posts, trails and surveys activities and waste (check what type of alternative sources of livelihood, pesticides?) produced when carrying out management, surveillance and visits or surveys. Most of the expected impacts are expected to be temporary, reversible, and geographically localized and have known mitigation measures that can be easily implemented. The Project may also have social impacts on IP/TP&LC groups as it might affect their access to resources, for example.

The precise location and impact of specific activities cannot be determined at this stage, and will only be known during Project implementation. Thus, an ESMF is prepared to set out guidelines and procedures on how to identify, assess and monitor environmental and social impacts, and how to avoid or mitigate adverse impacts. Site-specific ESMFs will be prepared as required, based on principles and guidelines of the ESMF.

(ii) Standard on Protection of Natural Habitats

WWF's mission is to protect natural habitats, and it does not undertake any projects that would result in conversion or degradation of critical natural habitats, especially those that are legally protected, officially proposed for protection, or identified as having high conservation value.

Overall, the ARCA Project activities will produce significant environmental and social benefits (see Project description).

Any potential adverse environmental impacts on human populations or environmentally important areas will be managed and mitigated through the various instruments (screening, ESMPs, SEP...) presented in this framework, which will be further developed and adapted as the Project activities and their exact locations are identified.

(iii) Standard on Restriction of Access and Resettlement

The WWF's Standard seeks to ensure that adverse social or economic impacts on resource-dependent local communities as a result of restrictions on resource access and/or use are avoided or minimized.

The Project design and the ESMF clarify that the protected areas management plans will be developed in partnership with the IP/TP&LC that may be affected by the plans, including extensive stakeholder engagement and grievance mechanisms as detailed in the SEP. The process will seek the prior free and informed consent of the IP/TP&LC. This may lead to less restrictions that might be considered as ideal for conservation purposes, but is more likely to ensure buy-in and long-term success in reaching conservation objectives.

(iv) Standard on Indigenous and Traditional Peoples

The WWF's standard requires ensuring that indigenous rights are respected, that IPs (inclusive of TPs) do not suffer adverse impacts from projects, and that IPs and TPs receive culturally appropriate benefits from conservation. The policy mandates that projects respect IPs' and TPs' rights, including their rights to FPIC processes and to tenure over traditional territories; that culturally appropriate and equitable benefits (including from traditional ecological knowledge) are negotiated and agreed upon with the IPs' and TPs' communities in question; and that potential adverse impacts are avoided or adequately addressed through a participatory and consultative approach.

Brazil is home to a range of Indigenous People, which is one category under Traditional People and Communities (PCTs). Traditional People in Brazil benefit from legal protection, with the FUNAI, a national institution, dedicated to the protection of Indigenous Peoples. The instruments and processes presented in this ESMF will allow Project activities to seek the prior free and informed consent of the IPs and PCTs, and only those that obtain such consent will be implemented.

(v) Standard on Community Health, Safety and Security

This Standard ensures that the health, safety and security of communities are respected and appropriately protected. The Guidance on Labor and Working Conditions requires employers and supervisors to implement all reasonable precautions to protect the health and safety of workers through the introduction of preventive and protective measures. It also requires that the labor rights of Project-employed workers are observed, as indicated in Annex 1: Screening Tool. Project activities should also prevent adverse impact involving quality and supply of water to affected communities; SEAH-related risks to both affected communities as well as Project staff; safety of Project infrastructure, life and properties; protective mechanisms for the use of hazardous materials; disease prevention procedures; and emergency preparedness and response.

This standard is triggered as a precautionary measure. The Project is expected to have limited construction activities and limited to no outside migration of workers as part of the Project implementation. Whether related to the Project and/or to existing situations, the proper implementation of the screening tool, the SEP, consultation and Gender Action Plan will identify any risks of adverse impact on community health, safety and security. In turn this will permit identification and inclusion of adequate avoidance, mitigation and monitoring measures to be listed in the ESMPs.

(vi) Standard on Pest Management

WWF-funded projects are not allowed to procure or use formulated products that are in World Health Organization (WHO) Classes IA and IB, or formulations of products in Class II, unless there are restrictions that are likely to deny use or access by lay personnel and others without training or proper equipment. The Project will follow the recommendations and minimum standards as described in the United Nations Food and Agriculture Organization (FAO) International Code of Conduct on the Distribution and Use of Pesticides and its associated technical guidelines, and procure only pesticides, along with suitable protective and application equipment, that will permit pest management actions to be carried out with well-defined and minimal risk to health, environment, and livelihoods.

The list of activities and subprojects that might be implemented as part of components 1 and 3 of the ARCA are not clear at this point, so the use of permitted pesticides cannot be excluded at this stage. If and when such activities are identified, a pest management plan will be developed at the appropriate scale for the activity, including mechanisms to avoid and reduce pesticides, list of pesticides that are not allowed (listing the various forms in which they might appear locally), include capacity building to ensure long-term capacity to train users on the safe handling and use of pesticides etc.

(vii) Standard on Cultural Resources

This Standard ensures that Cultural Resources are appropriately preserved and their destruction, damage or loss is appropriately avoided. Physical cultural resources (PCR) include archaeological, paleontological, historical, architectural, and sacred sites including graveyards, burial sites, of unique natural values. Intangible cultural resources include traditional ecological knowledge, performing arts, oral traditions and expressions, traditional craftsmanship and social practices, rituals and events. The impacts on cultural resources resulting from Project activities, including mitigating measures, may not contravene either the recipient country's national legislation or its obligations under relevant international environmental treaties and agreements.

This standard is triggered because there are dozens of archeological sites inside PAs Serra das Confusões, Lagoa de Itaparica, Lago de Sobradinho, Boqueirão da Onça and Serra do Teixeira (and a few around PA Serra da Canoa). See Image in Project Description section. In addition the unknown PA(s) to be created might include more such sites.

(viii) Standard on Grievance Mechanisms

Project-affected communities and other interested stakeholders may raise a grievance at any time to the PMU and WWF. The PMU will be responsible for informing Project-affected parties about the Accountability and Grievance Mechanism. Contact information of the PMU and WWF will be made publicly available. Relevant details are also provided in the Grievance Redress section of this ESMF.

The WWF Standard on Grievance Mechanisms is not intended to replace project- and country-level dispute resolution and redress mechanisms. This mechanism is designed to: address potential breaches of WWF's policies and procedures in a gender-responsive manner; be independent, transparent, and effective; be survivor-centered and offer protections to those reporting SEAH-related grievances; be accessible to Project-affected people; keep complainants abreast of progress of cases brought forward; and maintain records on all cases and issues brought forward for review.

(ix) Standard on Public Consultation and Disclosure

This standard requires meaningful consultation with relevant stakeholders, occurring as early as possible and throughout the project cycle. It requires the Project Team to provide relevant information in a timely manner and in a form and language that are understandable and accessible to diverse stakeholders. This standard also requires that information concerning environmental and social issues relevant to the Project is disclosed for at least 30 days prior to implementation, and 45 days if the Indigenous Peoples Standard has been triggered. WWF will disclose safeguards documentation on its Safeguards Resources web page. The final safeguards documents should be published on national websites of the Implementing Agencies and made available locally in specific locations. The Project is also required to locally release all final key safeguards documents via hardcopy, translated into the local language and in a culturally appropriate manner, to facilitate awareness by relevant stakeholders that the information is in the public domain for review.

(x) Standard on Stakeholder Engagement

This standard ensures that WWF is committed to meaningful, effective and informed stakeholder engagement in the design and implementation of all GEF and GCF projects. WWF's commitment to stakeholder engagement arises from internal standards such as WWF's Project and Program Standards (PPMS), as well as WWF's commitment to international instruments such as United Nations Declaration on Indigenous People (UNDRIP). Stakeholder engagement is an overarching term that encompasses a range of activities and interactions with stakeholders throughout the project cycle and is an essential aspect of good project management.

The Project has prepared a Stakeholder Engagement Plan (SEP) that will be applied during the Project implementation.

(xi) Guidance Note on Gender-based Violence and Sexual Exploitation, Abuse and Harassment

All over the world, it is estimated that one in three women and girls experience GBV during her lifetime. A recent study conducted by IUCN, in collaboration with USAID as part of Advancing Gender in the Environment (AGENT), states that forms of GBV (ranging from sexual, physical and psychological violence, to trafficking, sexual harassment, sexual coercion and in some cases rape) can be linked to environmental issues.

Many projects implemented by WWF relate to effective management of protected areas and the landscapes in which they are located through support to law enforcement, patrolling and better management and restoration of landscapes by restricting access to natural resources. These activities can potentially give rise to GBV/SEAH risks where government-employed law enforcement officials/rangers/guards supported by the Project may misuse the power of their positions by sexually exploiting women in local communities. This is a particular risk if women are collecting water or natural resources in a protected area. As another example, projects that promote alternative livelihoods, particularly ones that improve women's empowerment and decision making, can often lead to changes in power dynamics within communities and increase the risks of GBV/SEAH toward those empowered women.

GBV and SEAH in the implementation of WWF activities in projects and programs is unacceptable and requires timely, proportional, and appropriate action. WWF recognizes that to achieve biodiversity conservation it is vital to promote gender equality and make every effort to ensure that project activities implemented by WWF respect integrity and human rights and mitigate any risk that gives rise to discriminatory and exploitative gender inequalities. WWF does support projects in areas where there is civil war, ethnic conflict, and insurgencies where there are existing GBV/SEAH risks. WWF therefore needs to understand these risks in order to avoid exacerbating local conditions that contribute to GBV/SEAH, which would undermine any conservation outcomes the Project may seek to achieve.

For WWF projects, including GEF projects, under the Standard on Community Health and Security, the Project team should identify any potential GBV/SEAH risks by screening proposed Project activities using the following questions:

- Is there a risk that the Project could pose a greater burden on women by restricting the use, development, and protection of natural resources by women compared with that of men?
- Is there a risk that persons employed by or engaged directly in the Project might engage in gender-based violence (including sexual exploitation, sexual abuse, or sexual harassment)?
- Does the Project increase the risk of GBV and/or SEAH for women and girls, for example by changing resource use practices?
- Does any mandated training for any individuals associated with the Project (including Project staff, government park rangers and guards, other park staff, consultants, partner organizations and contractors) cover GBV/SEAH (along with human rights, etc.)?

The identification of GBV/SEAH risks in a project is normally undertaken as part of project preparation and could be conducted during community/stakeholder consultations together with

identifying potential risks and screening impacts on vulnerable groups, community health, safety and security, labor and working conditions, gender equality issues, and any other social or environmental risks. Any potential GB V/SE AH risk identified during this stage would be factored into the Project's overall social risk, which, in turn, is factored into the overall environmental and social risk associated with a project.

(xii) Guidance Note on Labor and Working Conditions

As a conservation organization, WWF does not typically fund large infrastructure activities in conservation projects implemented by WWF's GEF and GCF Agency and therefore does not directly adversely impact labor and working conditions. However, WWF GCF Agency projects do implement projects in the forestry, agriculture and fisheries sectors, which may have potential unintended adverse impacts. This is mostly seen in financing activities necessary for strengthening protected area management systems, including construction of protected area administrative buildings, watch towers, or accommodations for park guards.

In such cases, these activities are usually executed by third party contractors who employ construction workers including sub-contractors. In such cases, WWF will ensure that any funding for such activities complies with WWF's Environment and Social Safeguards Integrated Policies and Procedures (SIPP) and more specifically international labor and working condition standards such as the International Labour Organization's (ILO) Declaration on the Fundamental Principles and Rights at Work and any relevant local labor standards of the Project specific countries.

This Guidance Note provides detailed guidance of reasonable precautions to implement in managing principal risks to occupational health and safety.

(xiii) Guidance Note on Projects Relating to Dams

The ARCA Project excludes any activities that lead to damming.

(xiv) Guidance Note on Ranger Principles

Rangers play a key role in protecting wildlife, managing protected areas, and resolving human-wildlife conflict. Rangers must act within the law and under high ethical standards in order to achieve positive outcomes from both people and nature. WWF only supports legitimate law enforcement activities that are carried out in a way that respects and protects the human rights of local communities and Indigenous Peoples. Certain measures are in place to uphold WWF's high ethical standards, including a risk assessment, mitigation actions, and continuous monitoring throughout implementation.³⁷ Rangers are expected to adhere to the following principles:

³⁷ See [Ranger Principles document](#) for more details.

1. Act within the law.
2. Ensure accountability.
3. Build ranger capacity
4. Support the welfare of rangers and their families.
5. Partner with local communities.
6. Identify, monitor and plan for challenges.
7. Maintain impartiality.
8. Communicate regularly.
9. Sanctions for malfeasance.

3.3 Gaps between Brazil's Federal and State laws and policies and the WWF's ESSF and SIPP

Standard on Environment and Social Risk Management

Based on the limited review conducted as part of the Project preparation, Brazil's regulatory framework appears to be robust for higher risk and impact projects. However, social impacts are not considered in the categorization and the type of activities considered by the ARCA will not trigger environmental licensing by authorities. Despite the robustness of the law, various evaluations highlight cases of weak implementation and enforcement.

WWF Standard requires thorough E&S under conditions that do apply for lower impact and risk projects like ARCA and the most stringent WWF Standard will apply, unless more stringent Brazilian requirements are identified for specific activities in specific locations.

Standard on Protection of Natural Habitats

The limited review conducted at Federal level did not highlight any major discrepancy. Again, various assessments point to limited enforcement capacity and unevenly distributed capacity between federal and state institutions, and from biome to the other.

Standard on Restriction of Access and Resettlement

Brazil has a relatively robust legislative framework on resettlement (whether physical or economic) with regards to Indigenous and Traditional peoples. However, gaps with international standards during the implementation of projects financed by multilateral development banks led Brazil to issue a resettlement policy specific to projects in cities.

Despite this new policy, there is a gap between Brazil's legislation and international standards with regards to vulnerable groups such as illegal squatters and occupants that do not have land rights. There is also a gap in terms of the amount of compensation in cases of involuntary resettlement.

The Project has excluded physical involuntary resettlement and has committed to FPIC in the cases of access restriction/economic resettlement, regardless of the status of the affected groups, in line with WWF and international standards.

The project has also excluded land acquisition from willing sellers, whether for expansion of PAs or for the establishment of new PAs.

Standard on Indigenous Peoples

It seems important to clarify identification and terminology when referring to Indigenous Peoples, Traditional Peoples, and Local Communities (and also Vulnerable Communities) in Project, safeguards, and planning documents, as well as actions and activities for the ARCA Project—especially in the Brazilian context, where there is a legal definition of Traditional Communities (see: Brazil’s national policy on traditional people: Política Nacional de Desenvolvimento Sustentável de Povos e Comunidades Tradicionais - PNPCT) and numerous long-standing/detribalized traditional peoples/communities. In Brazilian policy, Indigenous Peoples are framed legally as a subset of Traditional Peoples, and Traditional Communities have a legal designation in Brazil, within which Indigenous Peoples is one category. And in WWF policy, the term Traditional Peoples seems to be included within the term “Indigenous Peoples” (meaning that traditional peoples, or longstanding detribalized peoples with “traditional” connections to use of natural resources and the land, would also be engaged in an FPIC process). Both are inclusive, just in different ways, and Brazilian law provides more clarity and distinctions.

While WWF directs us to “use WWF/GCF definition of indigenous peoples, which is broad and does not depend upon national recognition,” and the 2017 WWF “Environmental and Social Safeguards: Integrated Policies and procedures” (SIPP) (which draws from and builds on the 2008 WWF “Indigenous Peoples and Conservation: WWF Statement of Principles”--updated as WWF 2023 “Statement of Principles: Indigenous Peoples”--and “Mainstreaming WWF Principles on Indigenous Peoples and Conservation in Project and Programme Management” documents, the ILO Convention 169, 2007 UNDRIP, and the Convention on Biodiversity for identifying purposes) acknowledges that in practice safeguard policies (such as rights to FPIC) for Indigenous Peoples are also applied to Traditional Peoples:

“International instruments recognize the right to free, prior, and informed consent (FPIC) for indigenous/tribal peoples alone. However, in practice, the principles underlying FPIC are increasingly extended to local communities and Project affected communities, as well. This extension is consistent with the Convention on Biological Diversity (CBD), which recognizes that both indigenous and local communities have rights to FPIC. In short, FPIC has emerged as a best-practice standard for all Project-affected communities. In WWF’s work, the processes of consultation and obtaining FPIC will be applied to all Project-affected communities, with the distinction that indigenous peoples enjoy a higher standard of protection based on their vulnerability and place-based culture.”

The 2017 WWF SIPP refers to the 2008 Mainstreaming WWF Principles document for more details about identifying “indigenous peoples,” and offers this clarification/guidance regarding traditional peoples:

“The Convention on Biodiversity uses the terminology ‘indigenous and local communities embodying traditional lifestyles’ in recognition of these resource-related characteristics found often, though not only, among indigenous peoples. WWF’s policy refers specifically to

indigenous peoples, reflecting protections afforded under international law; however, the policy principles and guidance outlined in this document are also highly relevant and applicable to conservation partnerships with traditional peoples.”

The 2008 Mainstreaming WWF Principles document also references ILO Convention 169 for identifying indigenous peoples, and references the following involved in identifying indigenous peoples, from the Convention on Biodiversity, much of which would apply to so-called traditional peoples:

“A close attachment to ancestral/customary lands and territories (including coastal and marine areas where applicable); High presence of subsistence, often low-impact, economies often involving management of (relatively) large territories or areas in relation to population density and intensity of land use; Traditional ecological knowledge and practices; Traditional systems of control, use and management of lands and resources; Collective rights over resources; Traditional institutions and authorities for self-government of their areas; Traditional practices for decision-making on matters of their concern; Traditional systems for benefit sharing.

And the 2008 Mainstreaming WWF Principles documents further states that:

“For the purpose of building partnerships in conservation, WWF views the differences between indigenous peoples and traditional communities as far less relevant than the coincidences. Therefore, whenever WWF refers to indigenous peoples, the concept is applicable by extension to tribal peoples and to traditional communities or ‘local communities embodying traditional lifestyles.’ WWF policies on indigenous peoples are therefore generally applicable to traditional communities as well.”

For the purpose of the ARCA Project and this ESMF, we use IP/TP&LC throughout (with the understanding that TP is synonymous with PCT), since indigenous peoples might be identified as a specific category of traditional peoples (under Brazilian law), and traditional peoples might also be considered indigenous peoples (under WWF policy), and they could also be identified as distinct from each other. This form also continues to distinguish local communities, which might include urban communities or recently resettled people.

Standard on Community Health, Safety and Security

There is no specific legislation on community health and safety, other than basic health and safety regulations that seem to apply.

Standard on Pest Management

The status of Integrated Pest Management in Brazil was not assessed. It is reported to have been highly effective in the 1970s³⁸ in relation to soybean production, including selective pesticides applied in a controlled manner and the use of biological control programs. A gap analysis should be conducted if the use of allowed pesticide (see exclusion list) is considered, and an ESMP should be developed for that purpose.

³⁸ <https://pubmed.ncbi.nlm.nih.gov/23949744>

Standard on Cultural Resources

For the purposes of the ARCA Project the provisions of the WWF's ESSF and SIPP shall prevail over Brazil's legislation in cases of gaps, and compliance with Brazil's legislation will be required in cases where it is more stringent.

Standard on Grievance Mechanisms

Some gaps have been identified between Brazilian legislation and the WWF Standard on Grievance Mechanisms. Brazilian legislation broadly mandates PA councils to express grievances and social or environmental impact concerns to relevant authorities, but does not outline stable and widely-divulged mechanisms for Project-affected individuals and communities to express grievances. For this reason, the GRM outlined in this Project's SEP contains a tripartite array of GRM channels, including those offered by the executing agency (FUNBIO), the GEF Agency (WWF-US), and the GEF Secretariat. These channels follow principles outlined in WWF Standards, including the possibility of confidentiality or anonymity, non-retaliation, and grievance process monitoring.

Standard on Public Consultation and Disclosure

In the context of this Project and the limited review conducted for this ESMF, no major gaps between Brazilian legislation and international standards have been identified, including the WWF Standard on Public Consultation and Disclosure. The WWF standard is more stringent with regard to the participation of Project-affected communities in assessment of environmental and social impacts, and shall thus guide Project implementation.

Standard on Stakeholder Engagement

No major gaps between Brazilian legislation and the WWF Standard on Stakeholder Engagement have been identified, though the WWF Standard is more stringent with respect to the forms and guiding principles of stakeholder engagement. Namely, the WWF Standard requires that stakeholders be engaged throughout the Project cycle, and that FPIC be obtained via culturally-sensitive consultation practices (especially regarding IP/TP&LCs). Nevertheless, both sets of standards require constant engagement as early as possible in the context of PA creation, management, and/or modification, including the digital and print communication of relevant PA management plans and other.

Guidance Note on Labor and Working Conditions

No major regulatory gaps between Brazilian legislation and International standards were identified for this Project and within the limited review conducted for this ESMF. However, implementation and enforcement are reported lacking in a significant way, which will require developing detailed ESMP(s) and close capacity building and/or monitoring during the Project phases that will present significant labor and health and safety risks.

Standard operating procedures should be developed for recurring activities (use of sharp instruments for trail cutting, exposure to allergens, exposure to venom etc.), associated with appropriate training and equipment.

Guidance Note on Ranger Principles

There are no rangers in Brazil's PA systems. There are Protected Area Managers who are not armed and who call on federal or state forces in case major violations require so. Component 2 includes capacity building to increase government capacity for combating illegal poaching and trafficking, which will be developed in line with the guidance note and ranger principles, as relevant.

4. ANTICIPATED ENVIRONMENTAL AND SOCIAL IMPACTS AND MITIGATION MEASURES

This section outlines potential adverse environmental and social impacts that may result from Project activities, including a breakdown of impacts and mitigation measures by Project Component.

4.1 Adverse Environmental Impacts

This Project is focused on enhancing the effectiveness of existing Protected Areas, and creating new Protected Areas, improving conservation and protection for endangered species, and building capacity in and near PAs, plus knowledge and communication about Project lessons and outcomes, all of which are anticipated to have positive environmental impacts.

Potential negative environmental impacts are mainly due to: travel and lodging for consultants conducting field surveys and consultations; construction for UC headquarters; construction of surveillance posts; trails creation; biodiversity and socioeconomic survey activities; management, surveillance and site visits. Additional possible environmental impacts may be created from shifting alternative sources of livelihoods in response to enhanced conservation in Protected Areas and shifting resource-use due to enhanced protection of endangered species, plus any environmental impacts from sub-projects undertaken with community-based subgrants as part of Component 3 (which might involve fertilizers, small construction projects, new seeds introduced to the region, fire management, and may lead to possible impacts such as increased tourism, introduction of invasive species, and other impacts on ecosystems and biodiversity). Other possible adverse impacts included under environmental impacts include the possible physical and health impacts on human-animals involved in construction and biodiversity surveys, such as exposure to dust and noise from construction, and possibilities of snakebites and allergic reactions to wasps.

Most of the known anticipated environmental impacts are expected to be temporary, reversible, and geographically localized, and have known mitigation measures that can be implemented, however, it is important to also consider possible unintended consequences from strengthening Protected Areas and increasing protection for endangered species, such as displacement of impacts to other areas of the Caatinga biome and ecosystems, indirect impacts that are challenging to measure and account for when evaluating and monitoring and accounting for the overall Project impacts (both positive and negative). Consulting the scientific literature will provide data on possible unintended impacts as well as possible mitigation measures. Some examples are provided below and in Table 6, but these are not exhaustive, and more research should be done to understand and prevent unintended consequences from Project activities.

The adverse environmental impacts of activities under Components 1, 2, and 3 may include adverse impacts on forest land, agricultural land, water bodies (including groundwater lakes, streams, ponds, and wetlands), and biodiversity and endangered species. Such adverse impacts may include:

1. Increased GHG emissions from travel of consultants and project team to Project sites;
2. Increased pressure on local food supplies due to Project team visits and biodiversity surveys;
3. Opening trails and disturbing wildlife during biodiversity surveys;
4. Construction related impacts (e.g., pollution, dust, noise, waste, etc.) arising from civil works—excavation, waste and material management at sites during construction or rehabilitation activities related to PA infrastructure;
5. Contamination of water sources from runoff of construction sites or improperly managed black water management;
6. Contamination of groundwater, soils, air, and ecosystems from toxic construction materials (e.g. PVC, styrene, paints);
7. Disturbance of natural habitats due to trails, construction, increased human presence, which may result in the loss of biodiversity or loss of protected species;
8. Cutting down of trees and plants and removing soil for small construction projects, which may negatively affect stability, resilience, and health of ecosystems;
9. Inappropriate usage of new seed varieties that may cause degradation of soil and damage to the local ecosystems;
10. Use of any approved fertilizers and pesticides and their impacts on species and ecosystems;
11. Indirect impacts on biodiversity from shifting resource use to new areas, due to enhanced PAs and creation of new PA(s) and stronger enforcement to prevent poaching and wildlife trafficking;
12. Contamination of water sources from construction and possible increased tourism;
13. Health and safety risks for human-animals related to construction, exposure to toxic materials from construction and equipment use, health and safety risk from field work (transportation, venom, allergies, injuries, and other fieldwork risks), and health and safety risks from transportation;
14. Health risks due to shifting resource use and possible shifts from traditional diets to less traditional diets (including from less access to bushmeat due to outcomes from Component 2), and possible introduction of and/or increase in access to alcohol and processed foods as access to new financial sources/resources shift peoples' practices; and
15. Unanticipated direct and indirect consequences due to establishment of a new PA, enhanced PA management, and enhanced poaching regulation and prevention (for example if people end up killing even more animals because poaching is more restricted and the value of bushmeat and illegally-trafficked live animals goes up as a result).

A detailed (but not exhaustive) overview of these potential environmental impacts, proposed mitigation measures, and responsible managers and authorities is provided in Table 6 below.

4.2 Environmental Mitigation Measures

Table 6. Anticipated Environmental Impacts and Mitigation Measures

Project Activity	Potential impact	Proposed mitigation measures	Responsible party
Component 1 - Creation and Improved Management Effectiveness of Protected Areas			
Outcome 1.1. Creation of New Protected Areas			
Desk and participatory field studies and actions to carry out environmental, socioeconomic and land tenure assessments and consultations to identify the creation and expansion of PAs (1.1.1)	<ul style="list-style-type: none"> ★ Waste produced during participatory and field studies ★ Fuel and greenhouse gas emissions used for participatory and field studies ★ Impacts of housing and food choices during participatory and field studies ★ Possible biodiversity and ecological/ecosystem impacts as resource use might shift in anticipation of new PA creation (for example, people may move into areas where a new PA is planning knowing resettlement would be excluded, in order to prevent PA creation) ★ Health, labor, and safety risks for human-animals related to field work (transportation, venom, allergies, injuries, and other fieldwork risks) 	<ul style="list-style-type: none"> → Reduce and recycle waste and materials used → Ensure that camps are located away from existing stream, river, or water sources, and that no discharge from camps is made into nearby water bodies → Low emission and efficient transportation methods → Use of efficient generators and use solar generators → Use solar/wind/hydro energy source when possible → Choose lodging that has ecological materials and methods and waste disposal → Food choices with lower environmental impacts (e.g. no bushmeat) → Develop and implement a labor and health and safety management plan to avoid and reduce risks and to have 	MMA, PA Management and Councils, PA Coordinating Agencies, ARCA Community Liaison, Gender & Safeguards Focal Point (CLGSFP), with Consultants, and Community Representatives

		<p>contingency plans in case of emergencies</p> <p>→ Hire a nurse with antivenin (for species like <i>Bothrops erythromelas</i>) and other first aid equipment to accompany survey teams and fieldwork teams</p>	
<p>Biodiversity surveys in understudied Caatinga areas to map priority conservation areas to support identification of new PAs, PAs expansion and potential corridors (1.1.2)</p>	<ul style="list-style-type: none"> ★ Disturbing wildlife ★ Opening trails ★ Generating waste ★ Emitting greenhouse gases during travel to and in sites ★ Environmental and ecological impacts of housing and food choices during field studies ★ Health, labor, and safety risks for human-animals related to field work (transportation, venom, allergies, injuries, and other fieldwork risks) 	<p>→ Training scientists and surveyors of techniques for reducing impact on wildlife and delicate ecosystems</p> <p>→ Ensure that camps are located away from existing stream, river, or water sources, and that no discharge from camps is made into nearby water bodies</p> <p>→ Apply and train in low-impact methods of trail clearing</p> <p>→ Reduce and recycle waste and materials used</p> <p>→ Low emission and efficient transportation methods</p> <p>→ Use of efficient generators and use solar generators</p> <p>→ Use solar/wind/hydro energy source when possible</p> <p>→ Choose lodging that has ecological materials and methods and waste disposal</p> <p>→ Food choices with lower environmental impacts (e.g. no bushmeat)</p> <p>→ Develop and implement a labor and health and safety</p>	<p>MMA, PA Management and Councils, PA Coordinating Agencies, ARCA Community Liaison, Gender & Safeguards Focal Point (CLGSFP), with Consultants, and Community Representatives</p>

		<p>management plan to avoid and reduce risks and to have contingency plans in case of emergencies</p> <p>→ Hire a nurse with antivenin (for species like <i>Bothrops erythromelas</i>) and other first aid equipment to accompany survey teams and fieldwork teams</p>	
Outcome 1.2. Improved Management Effectiveness of Existing Protected Areas			
<p>Implementation of eligible activities to improve PA effective management in target PAs (1.2.1)</p>	<ul style="list-style-type: none"> ★ Opening of trails impacting wildlife and ecosystems ★ Infrastructure construction for UC headquarters, surveillance posts, visitation centers and tourism actions ★ Garbage and waste produced in the performance of management, surveillance and visitation actions ★ Increase in the use of fuel for locomotion ★ Emitting greenhouse gasses ★ Health, labor, and safety risks for human-animals related to construction and field work (transportation, venom, allergies, injuries, and other fieldwork risks) 	<ul style="list-style-type: none"> → Training of technicians for low-impact trail clearing → Reduce and recycle waste and materials used → Ensure that camps are located away from existing stream, river, or water sources, and that no discharge from camps is made into nearby water bodies → Comply with the technical standards of the civil construction and the guidelines of Law 9.985/2000 and ICMBio → Burning of construction waste will be prohibited → An environment-friendly toilet (e.g., pit toilet) to be made available for project workers, built with locally available materials → Choosing building material with low toxicity, and low embodied energy 	<p>MMA, PA Management and Councils, PA Coordinating Agencies, ARCA Community Liaison, Gender & Safeguards Focal Point (CLGSFP), with Consultants, and Community Representatives</p>

		<ul style="list-style-type: none"> → Include drainage and sanitation projects where relevant → Avoid interference in fragile environments and bodies of water → Minimize the amount of travel required → Low emission and efficient transportation methods → Use of efficient generators and use solar generators → Use solar/wind/hydro energy source when possible → Develop and implement a labor and health and safety management plan to avoid and reduce risks and to have contingency plans in case of emergencies → Hire a nurse with antivenin (for species like <i>Bothrops erythromelas</i>) and other first aid equipment to accompany construction teams, survey teams and fieldwork teams 	
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Component 2 - Endangered Species Conservation

Outcome 2.1 Improved Implementation of National Action Plans for Endangered Species Conservation

Creation of capacity and operational support for implementation of National Action Plans for	<ul style="list-style-type: none"> ★ Impacts of activities conduction biodiversity surveys ★ Trail creation for biodiversity surveys impacting wildlife and ecosystems 	<ul style="list-style-type: none"> → Training in low-impact survey methods → Ensure that camps are located away from existing stream, river, 	MMA, PA Management and Councils, PA Coordinating
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<p>Endangered Species Conservation in target protected areas (2.1.1)</p> <p>Monitoring of implementation of the National Action Plans for the Conservation of Endangered Species (2.1.2)</p>	<ul style="list-style-type: none"> ★ Ecological impacts of travel, lodging and food for Project teams ★ Health, labor, and safety risks for human-animals related to field work (transportation, venom, allergies, injuries, and other fieldwork risks) 	<p>or water sources, and that no discharge from camps is made into nearby water bodies</p> <ul style="list-style-type: none"> → Training of technicians for low-impact trail clearing → Reduce and recycle waste and materials used → Choose lodging that has ecological materials and methods and waste disposal → Food choices with lower environmental impacts (e.g. no bushmeat) → Minimize the amount of travel required → Low emission and efficient transportation methods → Use of efficient generators and use solar generators → Use solar/wind/hydro energy source when possible → Develop and implement a labor and health and safety management plan to avoid and reduce risks and to have contingency plans in case of emergencies → Hire a nurse with antivenin (for species like <i>Bothrops erythromelas</i>) and other first aid equipment to accompany survey teams and fieldwork teams 	<p>Agencies, ARCA Community Liaison, Gender & Safeguards Focal Point (CLGSFP), with Consultants, and Community Representatives</p>
<p>Outcome 2.2 Combating Illegal Wildlife Poaching and Trafficking</p>			

<p>Media campaign and outreach to reduce engagement in wildlife poaching/trafficking (2.2.1)</p> <p>Government capacity-building for combating illegal wildlife poaching and trafficking (2.2.2)</p>	<ul style="list-style-type: none"> ★ Indirect impact and unintended consequences, such as increased poaching due to increase value of bushmeat and wildlife trade ★ Shifting of resource use to other areas with lower enforcement capacity and associated impacts on biodiversity 	<ul style="list-style-type: none"> → Complete assessments before Project activities to assess for, prevent, and mitigation any adverse and unintended outcomes → Apply a holistic approach to develop Project strategies to reduce wildlife poaching/trafficking → Consult with academic and non-governmental institutions for methods to approach reductions in wildlife poaching/trafficking 	
<p>Component 3 - Capacity-Building of PA Staff and IP/TP&LC</p>			
<p>Outcome 3.1 Strengthened IP/TP&LC and Staff Capacities for Improved PA Governance Management and Natural Resource Use</p>			
<p>Capacity building and training to government and IP/TP&LC groups (3.1.1)</p>	<ul style="list-style-type: none"> ★ Impacts of travel, lodging and food choices for Project team ★ Increased Greenhouse Gas Emissions ★ Health, labor, and safety risks for human-animals related to field-based training (transportation, venom, allergies, injuries, and other fieldwork risks) 	<ul style="list-style-type: none"> → Reduce and recycle waste and materials used → Minimize the amount of travel required → Low emission and efficient transportation methods → Use of efficient generators and use solar generators → Use solar/wind/hydro energy source when possible → H&S risks management, including safe means of transportation → Develop and implement a labor and health and safety management plan to avoid and reduce risks and to have contingency plans in case of emergencies 	<p>MMA, PA Management and Councils, PA Coordinating Agencies, ARCA Community Liaison, Gender & Safeguards Focal Point (CLGSFP), with Consultants, and Community Representatives</p>

		<ul style="list-style-type: none"> → Hire a nurse with antivenin (for species like <i>Bothrops erythromelas</i>) and other first aid equipment to accompany field teams 	
<p>Call for proposals for sub-grants to IP/TP&LC groups to fund capacities and operational support and technical assistance to strengthen their participation in PA governance, PA management and natural resource use within PAs (possibly including sub-projects such as fire management, invasive species removal, bioeconomy start-ups) (3.1.2)</p>	<ul style="list-style-type: none"> ★ Possible Construction impacts from any small building projects ★ Possible fertilizer use from any small farming projects ★ Possible impacts from increased travel due to small-scale tourism projects ★ Impacts on ecosystems from any farming or cultivation projects (including invasive species, excessive water demand etc.) ★ Health, labor, and safety risks for human-animals related to construction, sub-grant projects, field work (transportation, construction, venom, allergies, injuries, and other fieldwork and sub-project activity risks) 	<ul style="list-style-type: none"> → Reduce and recycle waste and materials used → Burning of construction waste will be prohibited. → An environment-friendly toilet (e.g., pit toilet) to be made available for project workers, built with locally available materials → Comply with the technical standards of the civil construction and the guidelines of Law 9.985/2000 and ICMBio → Choosing building material with low toxicity, and low embodied energy → Include drainage and sanitation projects where relevant → Avoid interference in fragile environments and bodies of water → Low emission and efficient transportation methods → Use of efficient generators and use solar generators → Use solar/wind/hydro energy source when possible → Exclude use of prohibited pesticides and fertilizers from subprojects 	

		<ul style="list-style-type: none"> → Choose and encourage subprojects with low/no environmental impacts → Develop and implement a labor and health and safety management plan to avoid and reduce risks and to have contingency plans in case of emergencies → Hire a nurse with antivenin (for species like <i>Bothrops erythromelas</i>) and other first aid equipment to accompany survey teams and fieldwork teams 	
Component 4. Communication and Knowledge Management			
Outcome 4.1 Project Communication and Knowledge Management			
<p>Communications strategy developed and implemented (4.1.1)</p> <p>Project lessons captured and disseminated (4.1.2)</p>	<ul style="list-style-type: none"> ★ Impacts from printing, travel, lodging, and knowledge dissemination ★ Chemicals used for printing and disposed of locally ★ Trees used for paper ★ Energy used for project meetings ★ Impacts of team lodging and travel ★ Greenhouse gasses released during travel ★ Impacts of food choices during travel 	<ul style="list-style-type: none"> → Use low impact printing methods → Minimize printing when possible → Reduce and recycle waste and materials used → Choose lodging that has ecological materials and methods and waste disposal → Food choices with lower environmental impacts (e.g. no bushmeat) → Minimize the amount of travel required → Low emission and efficient transportation methods → Use of efficient generators and use solar generators 	<p>MMA, PA Management and Councils, PA Coordinating Agencies, ARCA Community Liaison, Gender & Safeguards Focal Point (CLGSFP), with Consultants, and Community Representatives</p>

		→ Use solar/wind/hydro energy source when possible	
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4.3 Adverse Social Impacts

Potential negative social impacts are primarily associated with the management of existing conservation areas and the possible establishment of a new one(s), and the strengthening of protection for endangered species, which might require restricting access to natural resources and production practices to IP/TP&LC communities, because of incompatibility of current practices and resource use with conservation objectives. Potential conflicts, violence, resentments, and GBV and SEAH might arise with and/or between communities and with others if the Project is not implemented adequately from a social safeguards perspective. Unintended consequences from increased land speculation due to the Project. Increased tourism due to the Project may include damage to cultural sites and human rights violations by land spectators. Other unintended consequences of the project might include loss of cultural knowledge, negative impacts from shifting social dynamics, impacts from shifting food sources, and negative impacts on socioeconomic factors along with negative impacts on emotional/mental/spiritual/community health. The Project could also lead to human rights violations and violent targeting of IP/TP&LC members due to shifting roles, associations with the Project, alignment with conservation objectives, and more. The Project will not support activities that lead to or require involuntary physical resettlement, however there may be shifting access to resources as a result of this Project.

Because of the ARCA Project's focus on conservation strategies, it may be necessary for some local populations or communities within, near, or overlapping the areas of new or existing Protected Areas (conservation units) are located, to modify some of their practices and traditional resource extraction and land-use and subsistence techniques, or even need to reduce or refrain from using certain territories or natural resources. People who are affected by the Project, especially people who lose access to legally established parks and protected areas with a resulting adverse impact on their livelihoods may be eligible to receive support, mitigation or compensation actions undertaken by the Project.

In sociocultural terms, these impacted communities can be classified as “traditional peoples and communities,” or PTCs as defined in the National Policy for Sustainable Development of Traditional Peoples and Communities (Decree no. 6040/2007)—along with groups that may be outside this categorization but which in practice have economic dependence on natural resources. In the specific case of the ARCA Project and its respective surroundings, the main social groups identified so far and that may be affected are: Indigenous Peoples; the remnants of Quilombo communities; agroextractivists; riverside dwellers; Fundo e Fecho de Pasto; and family farmers. Note that a community can fit into more than one category and may have a specific self-designation that represents their social and cultural characteristics. Other groups may be identified during the Project activities.

The initial identification of these communities must take place during the application Inception Phase of the ARCA Project, that precedes the implementation of the main activities of the Project. There are several mechanisms established in the Project to mitigate or compensate indigenous and traditional communities affected by Project activities, which are described below.

Strict Protection Conservation Units: The main adverse effect resulting from the creation and consolidation of Strict Protection Conservation Units is associated with the restriction of the presence of local populations and the use of natural resources existing within them by the

populations of surrounding communities. In this type of PA, the methods for mitigating potentially negative impacts potentially in its creation and consolidation include:

- a) the Terms of Commitment (defined by Decree 4,340/2002 and regulated by the IN of ICMBio No. 26 of July 4, 2012) which are signed among the inhabitants who remain inside the protected area and the UC managers, in which there are agreements that go through the assessment of the need and, if relevant, proposal of low environmental impact work and income alternatives to improve the quality of life conditions of families; and
- b) Joint Management Plans to be developed with the populations neighboring the UC.

Sustainable Use Conservation Units: Some of the traditional conservation activities subsistence of local populations that are carried out within this type of UC can be potentially harmed by limits and restrictions imposed, for example, on livestock farming, hunting and the gathering. Therefore,

- a) the formulation, approval and implementation of management plans or utilization plans, constitute a crucial element of the Project to mitigate the potentially adverse effects arising from restrictions on the use of natural resources by local populations.

All these mechanisms will be developed through broadly participatory processes during which local PCC populations involved in the management of the area are employed in the preparation of Plans, Agreements or Terms. The Project's capacity building and training activities seek to promote conservation actions and sustainable management of natural resources and will provide tools such as diagnostics and participatory planning, strengthening local organizations and monitoring and participatory evaluation. These activities aim to generate a platform to improve local decision-making around the sustainable use of natural resources.

Each of these instruments offers communities—in different ways—the opportunity to increase their production for consumption and income while consolidating production practices for sustainable development. Furthermore, the Project will support some local sustainable action plans that will incorporate other elements to support the execution of Management Plans and/or Terms of Commitment and/or mitigation of risks associated with restricting access to resources in conservation, such as support for alternative technologies and income generation opportunities generated by the management activities of the unit itself.

The main points of contact and negotiation between traditional communities and the Project are the managers of the Protected Areas and their respective Management Councils. The elaboration of Proposals to be funded need to be a joint activity with the active participation of affected communities where their concerns and interests can be expressed.

There may also be cases of restriction of access and use of natural resources that have not been communally agreed. In these cases, the dispute resolution mechanisms will be activated. Any conflicts that become part of the Project will go through a resolution process. In cases of divergences or conflicts of interest between the objectives of conservation units being supported by the Project and Indigenous and Traditional populations, the support will be conditioned on a process of reconciliation of interests, so that Project-Affected-People's (PAP's) and Project-Connected-Communities' (PCCs') rights remain protected. The Project will have the help of consultants, advisors, and working groups formed to analyze the consequences of their support in

resolving or worsening the conflict, as well as to seek conciliatory solutions that provide support to the Project Protected Area(s).

For possible social risks and impacts, it is important to consider possible adverse unintended consequences from the Project, indirect and complex impacts that are challenging to measure and account for when planning for Project executing, as well as evaluating and monitoring and accounting for the overall Project impacts (both positive and negative) at Project completion. Consulting the scientific literature during the inception phase will provide data on possible unintended social impacts and risks as well as possible mitigation measures. Some examples are provided below and in Table 7, but these are not exhaustive, and more research should be done to understand and prevent unintended consequences from Project activities.

The adverse social and cultural impacts of Project activities under Components 1, 2, and 3 and 4 may include:

1. Restriction and shifting of access to resources (physical, emotional, cultural, spiritual) and the many possible consequences of restricted access;
2. Negative impacts on livelihoods and socioeconomic conditions;
3. Negative emotional, mental, spiritual and cultural impacts;
4. Social conflicts related to shifting land-use and resource-use;
5. Social conflicts and tensions due to perceived and real inequalities in who benefits and who does not benefit from Project activities;
6. Shifting power dynamics and associated risks, especially possible gender-based violence (GBV) and sexual exploitation and sexual abuse and harassment (SEAH) risks for women and children and others;
7. The possibility of the use of (any or increased) child labor, as livelihoods and socioeconomic conditions and access to resources are impacted and shift due to Project activities;
8. Restriction of access to cultural resources due to shifting and restricted access to land and resources, including those with spiritual value;
9. Loss of cultural practices and traditional knowledge as access to lands and specific places and shifting resource-use may impact practices and cultural knowledge and knowledge-sharing;
10. Conflicts, including possibly violent, due to increased restrictions on poaching and wildlife trafficking, and stronger restrictions on high-value resources such as timber;
11. Human rights violations and negative and possibly violent targeting of IP/TP&LC members due to shifting roles, associations with the Project, alignment with conservation objectives, and more;
12. Impacts of enhanced conservation on food security and livelihoods (for example protection of predators increasing depredation of livestock, protection of birds and other wildlife impacting crops; and restrictions on poaching impacting food security);
13. Social conflicts related to perceived and real inequalities in who benefits from the subgrants and the Project's resource, and who does not benefit;
14. Shifting power dynamics as some people/communities are involved in Project management and receive subgrants for sub-projects—and some are not—and associated risks of these unequal benefit-sharing, especially possible gender-based violence and SEAH risks for women and children and others;

15. Loss of cultural practices and traditional knowledge as sub-projects and capacity-building shift practices from traditional to new practices as a result of Project resource and “capacity-building” activities;
16. Human rights violations and negative and possibly violent targeting of IP/TP&LC members due to shifting roles, associations with the Project and conservation objectives, and more;
17. Loss of language(s), and knowledge and culture embedded in languages;
18. Resentment and mistrust toward the Project and future projects due to negligence and inconsistency and lack of commitment for the well-being and participation of Project-Connected IP&TP Communities throughout the Project term, and beyond;
19. Health impacts from shifting resource use and possible shifts from traditional diets to less traditional diets (including from less access to bushmeat due to outcomes from Component 2), and possible introduction of and/or increase in access to alcohol and processed foods and access to new financial sources/resources shift peoples’ practices—and the emotional and other impacts of these health impacts;
20. Health and safety risks for human-animals related to construction, exposure to toxic materials from construction and equipment use, health and safety risk from field work (transportation, venom, allergies, injuries, and other fieldwork risks), and health and safety risks from transportation (also listed in the Environmental Risks section, above), and the emotional and social and socioeconomic and cultural risks associated with these possible health impacts;
21. Impacts of possible increased tourism connected to new PAs and enhanced PA protection, leading to increased focus and activities near and on cultural resources (such as graffiti on ancient rock paintings from uncontrolled tourism);
22. Increasing land speculation due to Project activities and possible increases in human rights violations involved in land speculation and attempts to try to take land from IP/TP&LCs, using coercion, pressure and threat;
23. The impacts of conservation goals and development discourse on IP&TP culture, lives and communities, and the discrepancies in expectations between Project teams and IP/TP&LCs and the impacts of those different expectations, for example the Project team focusing on conservation goals while PCCs might focus on goals such as medical and technical and infrastructure assistance (see, for example, the book “Conservation Is Our Government Now,” by Paige West³⁹); and
24. Other possible unintended complex direct and indirect social consequences of Project implementation and Project activities, such as: complex dynamics and impacts due to a sudden/new influx of access to Project financial resources and the ways that can shift social structures and dynamics, and contribute to conflict and violence and other emotional, spiritual, mental and physical health impacts.

A detailed (but not exhaustive) overview of these impacts, potential mitigation measures, and responsible managers and authorities is provided in Table 7 below, and also in the ITPPF 4.6(e) “Social Assessments” (under Section 4.6, sub-section (e) of this document).

³⁹ West, Paige, 2006. *Conservation Is Our Government Now: The Politics of Ecology in Papua New Guinea* (Durham: Duke University Press, 2006), <https://doi.org/10.2307/j.ctv1198x8f>.

4.4 Social Mitigation Measures

Table 7. Anticipated Social Impacts and Mitigation Measures

Project Activity	Potential impact	Proposed mitigation measures	Responsible party
Component 1 - Creation and Improved Management Effectiveness of Protected Areas			
Outcome 1.1. Creation of New Protected Areas			
Desk and participatory field studies and actions to carry out environmental, socioeconomic and land tenure assessments and public and other consultations to identify the creation and expansion of PAs (1.1.1)	<ul style="list-style-type: none"> ★ Conflicts and tensions arising between representatives of different sectors and communities, and impacts of anticipation of possible PA creation ★ Shifting power dynamics with new community roles and anticipated and real influx of Project funds into PA sites (leading to possible GVB and SEAH risks) ★ Impacts and risks to cultural sites due to increased tourism from new PA(s) and enhanced PAs and focus on nearby land and associates Project activities ★ Increasing land speculation due to Project activities and possible human rights violations involved in land speculation and attempts to try to take land from IP/TP&LCs, using coercion, pressure and threat 	<ul style="list-style-type: none"> → Participation of the local population in the creation processes to understand and mitigate conflicts through the use of the Indigenous and Traditional Peoples Plans, Process Framework, Social and Environmental Management Plan, and Gender Action Plan → The management category of the new PAs and definition of boundaries will be carried out based on socioeconomic and cultural surveys and negotiation with other sectors in order to mitigate conflicts. → The ARCA Project will not support proposals that generate involuntary physical resettlement → Environmental education will be promoted for communities to understand the objectives, benefits of the PAs and opportunities to develop alternative practices that generate income to maintain or improve the standard of living of the affected people (eligible to benefit from mitigating or compensatory actions of the impacts of the Project). → Identify development plans at the local or regional levels and potential impacts on the Project and PAs and PCCs 	MMA, PA Management and Councils, PA Coordinating Agencies, ARCA Community Liaison, Gender & Safeguards Focal Point (CLGSFP), with Consultants, and Community Representatives

	<ul style="list-style-type: none"> ★ Inconsistent objectives with other major development plans in the region ★ Health and safety risks for people involved in fieldwork, and associated emotional and mental health risks ★ Emotional and mental health risks from fieldwork 	<ul style="list-style-type: none"> → Hire a land tenure consultant who provides technical support to communities to strengthen land tenure and formalize land titles for IP/TP&LCs (PCCs) associated with the Project, and protect against land speculation-related violence and violations → Project Manager(s) and CSCS coordinate surveys of known and unknown cultural sites in and around focus PAs, and create plans to protect them (signage, fencing, education) → Develop and implement a labor and health and safety management plan to avoid and reduce risks and to have contingency plans in case of emergencies, including hiring a nurse and mental health professional to support survey teams and fieldwork teams 	
Outcome 1.2. Improved Management Effectiveness of Existing Protected Areas			
Implementation of eligible activities to improve PA effective management in target PAs (1.2.1)	<ul style="list-style-type: none"> ★ Occupational health and safety as a result of occupational hazards during construction work, and associated emotional and mental impacts of those risks ★ The introduction of project staff (construction workers, project management staff, trainers and consultants) from outside IP/TP&LC communities can lead to increases in SEAH and GBV ★ Introduction of alcohol into spaces/practices due to Project activities, which can also increase and lead to GBV 	<ul style="list-style-type: none"> → Early and thorough screening for risks of all Project activities, including scientific review, advisory academic institutions and NGOs, and development and application of appropriate prevention and mitigation strategies and methods → Provide a safe and healthy work environment for technicians and the implementing contractors, taking into account physical, chemical or biological risks that may be inherent in project activities—and associated emotional and mental risks → Workers on the building aspects of the Project will be required to sign a code of conduct which will include anti-sexual harassment and anti-GBV clauses 	MMA, PA Management and Councils, PA Coordinating Agencies, ARCA Community Liaison, Gender & Safeguards Focal Point (CLGSFP), with Consultants, and Community Representatives

	<ul style="list-style-type: none"> ★ Possible use/increase in child labor, as livelihoods and socioeconomic conditions and access to resources and roles shift due to Project activities ★ Restriction of access of communities to areas leading to shifting resource use and increased vulnerability of IP/TP&LCs ★ Impacts and risks to cultural sites due to increased tourism from new PA(s) and enhanced PAs and focus on nearby land and associates Project activities ★ Increasing land speculation due to Project activities and possible human rights violations involved in land speculation and attempts to try to take land from IP/TP&LCs, using coercion, pressure and threat ★ Zoning and rules of the Management Plan(s) can restrict production practices of the local population and impact food security, livelihoods, and financial security ★ Conflicts and tensions arising between representatives of different sectors and communities, and possible conflicts and tensions in 	<ul style="list-style-type: none"> → Project team will carry out awareness training among local stakeholders to explain the risks of child labor, and ensure that children are not engaged in any Project labor → Screen all Project workers and conduct gender-based violence training for all Project field staff → The training which is a part of the Project's GAP will focus also on project staff becoming allies in the recognition and prevention of GBV and how to assist victims → Conduct conflict-management training for Project field staff → Development of management tools for the use of the natural resources of the communities residing in and near the PA (management agreements, terms of commitment, etc.) → The PMU will undertake a series of consultations in the first 9-12 months of the Project to validate the Project activities and adjust as needed → Clear and transparent criteria for beneficiary selection shall be developed in an inclusive manner, putting special emphasis on the engagement of vulnerable community members → Participation of Project-connected IP/TP&LC communities in the PA Council and in the elaboration of the Management Plan → Participatory development of Management Plan for the Collection of Non-Timber Forest Resources with project-connected IP/TP&LC communities → Environmental stock monitoring system 	
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	<p>anticipation of possible PA creation</p> <ul style="list-style-type: none"> ★ Shifting power dynamics with new community roles and anticipated and real influx of Project funds into PA sites (leading to possible GBV and SEAH risks) ★ Human rights violations and negative and possibly violent targeting of IP/TP&LC members due to associations/roles with the Project and alignment with conservation objectives ★ Possible increases in child labor as a results of local involvement in Project activities and shifting resource use and community dynamics ★ Health and safety risks for people involved in construction and fieldwork, and associated emotional and mental health risks ★ Impacts of conservation goals and development discourse on IT&TP cultures, lives and communities 	<ul style="list-style-type: none"> → Transparent and inclusive decision-making processes that take into account the needs of the most vulnerable → Project team will carry out awareness training among local stakeholders to explain the risks of child labor, and ensure that children are not engaged in any Project labor → Hire a land tenure consultant who provides technical support to communities to strengthen land tenure and formalize land titles for IP/TP&LCs (PCCs) associated with the Project, and protect against land speculation-related violence and violations → Project Manager(s) and CSCS coordinate surveys of known and unknown cultural sites in and around focus PAs, and create plans to protect known sites (signage, fencing, education) and follow chance find protocol in the event of finding unknown sites. → Develop and implement a labor and health and safety management plan to avoid and reduce risks and to have contingency plans in case of emergencies, including hiring a nurse and mental health professional to support survey teams and fieldwork teams 	
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Component 2 - Endangered Species Conservation

Outcome 2.1 Improved Implementation of National Action Plans for Endangered Species Conservation

<p>Creation of capacity and operational support for implementation of National Action Plans for</p>	<ul style="list-style-type: none"> ★ Restriction and shifting of access for peoples and communities residing in areas where there are proposals for PAs of categories 	<ul style="list-style-type: none"> → Early and thorough screening for risks of all Project activities, including scientific review, advisory academic institutions and NGOs, and development and application of appropriate 	<p>MMA, PA Management and Councils, PA Coordinating Agencies, ARCA</p>
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<p>the Conservation of Endangered Species in target protected areas (2.1.1)</p> <p>Monitoring of implementation of the National Action Plans for the Conservation of Endangered Species (2.1.2)</p>	<p>that are not compatible with the existing land and resources use (Traditional Peoples and Communities or other vulnerable peoples)</p> <ul style="list-style-type: none"> ★ New PAs may restrict production practices for the local population, e.g. Herding, Gathering, Hunting, and Fishing, thereby impacting livelihoods and food security ★ Conflicts between representatives of different sectors and communities ★ Development of national territorial action plans for Conservation of endangered species (PAN) can have adverse economic impacts on people living in the territories ★ Possible use/increase in child labor, as livelihoods and socioeconomic conditions and access to resources and roles shift due to Project activities ★ Impacts and risks to cultural sites due to increased tourism from new PA(s) and enhanced PAs and focus on nearby land and associates Project activities ★ Increasing land speculation due to Project activities and possible human rights violations involved in land speculation and attempts to try to take land from 	<p>prevention and mitigation strategies and methods</p> <ul style="list-style-type: none"> → Participation of the local population in the creation processes to understand and mitigate conflicts through the use of the Indigenous and Traditional Peoples Plans, Process Framework and Social and Environmental Management Plan. → The management category of the new PAs and definition of boundaries will be carried out based on socioeconomic and cultural surveys and negotiation with local communities through an FPIC process and with other sectors in order to mitigate conflicts. → The ARCA Project will not support proposals that generate involuntary physical resettlement → Environmental education will be promoted for communities to understand the objectives, benefits of the PAs and opportunities to develop alternative practices that generate income to maintain or improve the standard of living of the affected people (eligible to benefit from mitigating or compensatory actions of the impacts of the Project) → Screen all Project workers and conduct gender-based violence training for all Project field staff → The training which is a part of the Project's GAP will focus also on Project staff becoming allies in the recognition and prevention of GBV and how to assist victims → Conduct conflict-management training for Project field staff → Project team will carry out awareness training among local stakeholders to explain the risks of 	<p>Community Liaison, Gender & Safeguards Focal Point (CLGSFP), with Consultants, and Community Representatives</p>
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	<p>IP/TP&LCs, using coercion, pressure and threat</p> <ul style="list-style-type: none"> ★ Human rights violations and negative and possibly violent targeting of IP/TP&LC members due to associations/roles with the Project and alignment with conservation objectives ★ Conflicts, including possibly violent, due to increased restrictions on poaching and wildlife trafficking, and stronger restrictions on high-value resources such as timber 	<p>child labor, and ensure that children are not engaged in any Project labor</p> <ul style="list-style-type: none"> → Hire a land tenure consultant who provides technical support to communities to strengthen land tenure and formalize land titles for IP/TP&LCs (PCCs) associated with the Project, and protect against land speculation-related violence and violations → Coordination and communication with state and federal environmental and other enforcement agencies to increase presence at/near Project areas where any (possibly violent) conflicts seem possible → Designing and putting into place communication and safety measures/tools to enhance safety for PCCs and PAP and Project field teams, such as supplying mobile phones with cameras, etc. → Project Manager(s) and CSCS coordinate surveys of known and unknown cultural sites in and around focus PAs, and create plans to protect known sites (signage, fencing, education) and follow chance find protocol in the event of finding unknown sites. → Participatory construction of the PANs with various actors considering and valuing the practices and culture of Local Communities → Prioritization of sustainable economic alternatives that generate social and environmental benefits. 	
<p>Outcome 2.2 Combating Illegal Wildlife Poaching and Trafficking</p>			

<p>Media campaign and outreach to reduce engagement in wildlife poaching/trafficking (2.2.1)</p>	<ul style="list-style-type: none"> ★ Changes in the current access and usage rights of natural resources in project sites (access fishing, hunting) leading to increased vulnerability ★ Increased food insecurity due to strengthened poaching restrictions ★ Possible use/increase in child labor, as livelihoods and socioeconomic conditions and access to resources and roles shift due to Project activities ★ Human rights violations and negative and possibly violent targeting of IP/TP&LC members due to associations/roles with the Project and alignment with conservation objectives ★ Conflicts, including possibly violent, due to increased restrictions on poaching and wildlife trafficking, and stronger restrictions on high-value resources such as timber ★ Possible increased GBV as roles shifts and due to socioeconomic and household stresses from shifting resource-use 	<ul style="list-style-type: none"> → Early and thorough screening for risks of all Project activities, including scientific review, advisory academic institutions and NGOs, and development and application of appropriate prevention and mitigation strategies and methods → Project activities that affect traditional economic livelihoods and practices should only be undertaken upon consultation with all affected individuals— representatives of local communities, local authorities → Early identification of alternative food sources and support for access to them → Project team will carry out awareness training among local stakeholders to explain the risks of child labor, and ensure that children are not engaged in any Project labor → Hire a land tenure consultant who provides technical support to communities to strengthen land tenure and formalize land titles for IP/TP&LCs (PCCs) associated with the Project, and protect against land speculation-related violence and violations → Project Manager(s) and CSCS coordinate surveys of known and unknown cultural sites in and around focus PAs, and create plans to protect known sites (signage, fencing, education) and follow chance find protocol in the event of finding unknown sites. → Screen all Project workers and conduct gender-based violence training for all Project field staff → Coordination and communication with state and federal environmental and other enforcement agencies to increase presence at/near Project 	<p>MMA, PA Management and Councils, PA Coordinating Agencies, ARCA Community Liaison, Gender & Safeguards Focal Point (CLGSFP), with Consultants, and Community Representatives</p>
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		<p>areas where any (possibly violent) conflicts seem possible</p> <ul style="list-style-type: none"> → Designing and putting into place communication and safety measures/tools to enhance safety for PCCs and PAP and Project field teams, such as supplying mobile phones with cameras, etc. → The training which is a part of the Project's GAP will focus also on project staff becoming allies in the recognition and prevention of GBV and how to assist victims → Conduct conflict-management training for Project field staff 	
Government capacity-building for combating illegal wildlife poaching and trafficking (2.2.2)	<ul style="list-style-type: none"> ★ Changes in the current access and usage rights of natural resources in project sites (access fishing, hunting) leading to increased vulnerability ★ Human rights violations and negative and possibly violent targeting of IP/TP&LC members due to associations/roles with the Project and alignment with conservation objectives ★ Possible use/increase in child labor, as livelihoods and socioeconomic conditions and access to resources and roles shift due to Project activities ★ Conflicts, including possibly violent, due to increased restrictions on poaching and wildlife trafficking, and stronger 	<ul style="list-style-type: none"> → Early and thorough screening for risks of all Project activities, including scientific review, advisory academic institutions and NGOs, and development and application of appropriate prevention and mitigation strategies and methods → Project team will carry out awareness training among local stakeholders to explain the risks of child labor, and ensure that children are not engaged in any Project labor → Project activities that affect traditional economic livelihoods and practices should only be undertaken upon (FPIC) and free and prior and informed consultation with all affected individuals—representatives of local communities, local authorities → Coordination and communication with state and federal environmental and other enforcement agencies to increase presence at/near Project 	MMA, PA Management and Councils, PA Coordinating Agencies, ARCA Community Liaison, Gender & Safeguards Focal Point (CLGSFP), with Consultants, and Community Representatives

	restrictions on high-value resources such as timber	areas where any (possibly violent) conflicts seem possible → Designing and putting into place communication and safety measures/tools to enhance safety for PCCs and PAP and Project field teams, such as supplying mobile phones with cameras, etc.	
Component 3 - Capacity-Building of PA Staff and IP/TP&LC			
Outcome 3.1 Strengthened IP/TP&LC and Staff Capacities for Improved PA Governance, Management and Natural Resource Use			
Capacity building and training to government and IP/TP&LC groups (3.1.1)	<ul style="list-style-type: none"> ★ Women's empowerment and change in household dynamics resultant from project activities can lead to increased domestic violence due to men feeling threatened or displaced ★ Possible use/increase in child labor, as livelihoods and socioeconomic conditions and access to resources and roles shift due to Project activities ★ Resentments and tensions arising from disappointments or discrepancies in expectations of Project outcomes by stakeholders 	<ul style="list-style-type: none"> → Early and thorough screening for risks of all Project activities, including scientific review, advisory academic institutions and NGOs, and development and application of appropriate prevention and mitigation strategies and methods → Clear and transparent criteria for beneficiary selection shall be developed in an inclusive manner, putting special emphasis on the engagement of vulnerable community members → Project team will carry out awareness training among local stakeholders to explain the risks of child labor, and ensure that children are not engaged in any Project labor → Screen all Project workers and conduct gender-based violence training for all Project field staff → The training which is a part of the Project's GAP will focus also on project staff becoming allies in the recognition and prevention of GBV and how to assist victims → Conduct conflict-management training for Project field staff 	MMA, PA Management and Councils, PA Coordinating Agencies, ARCA Community Liaison, Gender & Safeguards Focal Point (CLGSFP), with Consultants, and Community Representatives

<p>Call for proposals for sub-grants to IP/TP&LC groups to fund capacities and operational support and technical assistance to strengthen their participation in PA governance, PA management and natural resource use within PAs (3.1.2)</p>	<ul style="list-style-type: none"> ★ Women’s empowerment and change in household dynamics resultant from project activities can lead to increased domestic violence due to men feeling threatened or displaced ★ Possible use/increase in child labor, as livelihoods and socioeconomic conditions and access to resources and roles shift due to Project activities ★ Tensions and conflict and possible violence due to perceived and real inequalities in subproject funding and selection ★ Health and safety risks for people involved in construction and subproject work and fieldwork, and associated emotional and mental health risks ★ Impacts and risks to cultural sites due to increased tourism from new PA(s) and enhanced PAs and focus on nearby land and associates Project activities ★ Increasing land speculation due to Project activities and possible human rights violations involved in land speculation and attempts to try to take land from IP/TP&LCs, using coercion, pressure and threat ★ Human rights violations and negative and possibly violent 	<ul style="list-style-type: none"> → Early and thorough screening for risks of all Project activities, including scientific review, advisory academic institutions and NGOs, and development and application of appropriate prevention and mitigation strategies and methods → Screen all Project workers and conduct gender-based violence training for all Project field staff → The training which is a part of the Project's GAP will focus also on project staff becoming allies in the recognition and prevention of GBV and how to assist victims → Conduct conflict-management training for Project field staff → Project team will carry out awareness training among local stakeholders to explain the risks of child labor, and ensure that children are not engaged in any Project labor → Clear and transparent criteria for beneficiary selection shall be developed in an inclusive manner, putting special emphasis on the engagement of vulnerable community members → Develop and implement a labor and health and safety management plan to avoid and reduce risks and to have contingency plans in case of emergencies, including hiring a nurse and mental health professional to support survey teams and fieldwork teams → Hire a land tenure consultant who provides technical support to communities to strengthen land tenure and formalize land titles for IP/TP&LCs (PCCs) associated with the Project, and protect against land speculation-related violence and violations 	<p>MMA, PA Management and Councils, PA Coordinating Agencies, ARCA Community Liaison, Gender & Safeguards Focal Point (CLGSFP), with Consultants, and Community Representatives</p>
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	targeting of IP/TP&LC members due to associations/roles with the Project and alignment with conservation objectives	<ul style="list-style-type: none"> → Coordination and communication with state and federal environmental and other enforcement agencies to increase presence at/near Project areas where any (possibly violent) conflicts seem possible → Designing and putting into place communication and safety measures/tools to enhance safety for PCCs and PAP and Project field teams, such as supplying mobile phones with cameras, etc. → Project Manager(s) and CSCS coordinate surveys of known and unknown cultural sites in and around focus PAs, and create plans to protect them (signage, fencing, education) 	
Component 4. Communication and Knowledge Management			
Outcome 4.1 Project Communication and Knowledge Management			
<p>Communications strategy developed and implemented (4.1.1)</p> <p>Project lessons captured and disseminated (4.1.2)</p>	<ul style="list-style-type: none"> ★ Resentments and tensions arising from disappointments or discrepancies in expectations of Project outcomes by stakeholders ★ Impacts on future projects from disappointment with Project outcomes 	<ul style="list-style-type: none"> → Consistent and early and reliable consultation and engagement with Project stakeholders at all stages of the Project → Follow-through with Project commitments and clear communication about reasons for changing Project timeline and activities 	<p>MMA, PA Management and Councils, PA Coordinating Agencies, ARCA Community Liaison, Gender & Safeguards Focal Point (CLGSFP), with Consultants, and Community Representatives</p>

4.5 Process Framework: Livelihood Restoration Measures

While it is expected that the economic and sociocultural activities of the resident population will be for the most part compatible with the management objectives of the Conservation Units, accommodating both of the core objectives of conservation and the population's well-being, the development of site-specific management plans under this Project may potentially result in restrictions on access to livelihoods and natural resources for local communities.

Any change of land use, or new zoning should be based on free and prior informed consultations and/or consent processes with affected communities and relevant authorities (depending on legal status of LCs that are not identified as IP/TP), carried out prior to finalizing any use changes. For both new and existing UCs, social impacts associated with restricted access to natural resources (e.g., fishing areas, mineral deposits, pastures, etc.) that may have economic consequences and require livelihood restoration, will require special consultations with the affected population aimed informing them of the impacts and related project activities, and defining in a participatory manner the measures to be followed in order to mitigate or compensate them, so that they will be directly agreed upon with the affected individuals and communities.

The creation and management of new PA(s) and the definition of their limits will be carried out based on socioeconomic and cultural surveys and negotiations with affected communities through an FPIC process and other interested parties aimed at preventing, mitigating and resolving potential conflicts. The two key instruments included in the Project with regard to implementing WWF/GEF Standards are the Stakeholder Engagement Plan (SEP) and the Complaints and Grievance Mechanism, both of which will be implemented under the responsibility of FUNBIO and intended to identify and resolve key issues, complaints, grievances, and manifestations by interested and affected parties. The Project will create working groups as needed to analyze the process followed in each case and consequences in terms of resolving or worsening the conflict and in seeking conciliatory solutions that provide support for the UC for the Project.

The main mechanisms for mitigation and compensation will be Livelihood Restoration Plans (LRPs), to be developed jointly with affected communities via participatory workshops to define economic alternatives that meet their economic, social and cultural needs. Due to the fact that LRPs must be site and community specific, multiple plans will likely be developed throughout the life of the project, designed in partnership with each of the affected communities. These economic alternatives or compensatory measures should be appropriate and provide at minimum equivalent and where possible greater gains for the affected persons. Persons affected by the Project (i.e., who lose access to legally established parks and protected areas with resulting adverse impacts on their livelihoods) are eligible to receive support, mitigation or compensation actions through the Project, which will be decided upon through an FPIC process with the affected communities.

Livelihood-related support during Project implementation will be provided to the households (HH) of all communities impacted by Project-induced restrictions of access to natural and community resources within the targeted areas. This process will involve the following four phases:

- 1) Screening;
- 2) Socio-economic assessment;
- 3) Livelihood Restoration Plans;
- 4) Mitigation measures as part of the LRPs; and
- 5) Compensation.

4.6 Indigenous and Traditional Peoples Planning Framework (ITPPF)⁴⁰

(a) IP & TP Population of Project Sites

As explained in Section 3, there is a sociocultural diversity in the areas of Project implementation that should be considered. Even though there are no officially demarcated Indigenous lands whose perimeters coincide or overlap with those of the PAs defined here, it is prudent that the Project seeks updated information directly with the responsible sector of FUNAI, namely, the General Coordination of Identification and Delimitation. The non-existence of demarcated lands does not necessarily imply the non-existence of traditional use of environmental resources by the communities of the Caatinga (whether Indigenous or belonging to other Traditional Communities, i.e., IP/TP&LC). There is current research that points out, as a weakness of the management and governance of protected areas, the lack of communication and cooperation with local and Indigenous communities (Dawson et al, 2023). In this sense, we will identify below the established areas of each of the nine PAs, their perimeter and the presence of rural and Traditional Communities inside the PAs and in the surrounding areas, as well as indicate, for each municipality in which the PAs are located, the presence of Indigenous People (according to IBGE) and Quilombola communities (according to the Palmares Foundation), and agrarian reform settlements, based on the data presented in the methodology section. In the Project Description Section of this ESMF are a number of maps where PAs borders, Indigenous, Quilombolas and INCRA Land Settlements are all displayed to better understand the information below.

Parque Nacional da Serra das Confusões — Piauí

Among the municipalities in which the PARNA Serra das Confusões is located, we can point out the presence of five (05) Indigenous persons in Alvorada do Gurguéia; three hundred and twenty-one (321) Indigenous persons in Bom Jesus; five (05) Indigenous persons in Canto do Buriti; one (01) Indigenous person in Caracol; four (04) Indigenous persons in Cristino Castro; twelve (12) Indigenous persons in Curimatá; and eight (08) Indigenous persons in Redenção do Gurguéia. Only in Redenção do Gurguéia we found data on the presence of a Quilombola community, called Brejão

⁴⁰ References (ITPPF):

Dawson, N., Carvalho, W. D., Bezerra, J. S., Todeschini, F., Tabarelli, M., & Mustin, K. (2023). Protected areas and the neglected contribution of Indigenous Peoples and local communities: Struggles for environmental justice in the Caatinga dry forest. *People and Nature*, 5, 1739–1755. <https://doi.org/10.1002/pan3.10288>

Little, P. E. (2018). Territórios sociais e povos tradicionais no Brasil: por uma antropologia da territorialidade. *Anuário Antropológico*, 28(1), 251–290.

Pacheco de Oliveira, J. (2016). O nascimento do Brasil e outros ensaios: “pacificação”, regime tutelar e formação de alteridades. Rio de Janeiro: Contra Capa.

PNCSA. Fundos de Pasto: nosso jeito de viver no sertão, Lago de Sobradinho, Bahia. Brasília, 2007.

Prado Júnior, C. (2008). História econômica do Brasil. São Paulo: Brasiliense.

Spavorek, G. (2003). A qualidade dos assentamentos da reforma agrária brasileira. São Paulo: Páginas e Letras.

van de Steeg, J. A., Sparovek, G., Ranieri, S. B. L., Maule, R. F., Cooper, M., Dourado Neto, D., & Alves, M. C.. (2006). Environmental impact of the Brazilian Agrarian Reform process from 1985 to 2001. *Scientia Agricola*, 63(2), 176–183. <https://doi.org/10.1590/S0103-90162006000200010>.

dos Aipins, but we could not specify its geographical location. As for agrarian reform settlements, there are four (04) of them in Alvorada do Gurguéia, all in the vicinity of the PA; five (05) in Bom Jesus, of which two (02) are located in the vicinity of the PA; five (05) in Canto do Buriti; two (02) in Caracol, one being in the vicinity of the PA and the other overlapping its border; five (05) in Cristino Castro, with four of them in the vicinity of the PA; seven (07) in Curimatá; two (02) in Jurema; and five (05) in Redenção do Gurguéia.

Parque Nacional da Serra do Teixeira — PB

Among the municipalities in which the PARNA Serra do Teixeira is located, there are five (05) Indigenous persons in Água Branca; two (02) Indigenous persons in Cacimba de Areia; eight (08) Indigenous persons in Catingueira; eighteen (18) Indigenous persons in Imaculada; two (02) Indigenous persons in Juru; two (02) Indigenous persons in Mãe d'Água; two (2) Indigenous persons in Santana dos Garrotes; two (02) Indigenous persons in Santa Teresinha; and sixty-four (64) Indigenous persons in Teixeira. There are no registered quilombos in the region. As for agrarian reform settlements, there are three (03) in Catingueira, two (02) of them close to the area and one (01) coinciding with the perimeter of the PA; two (02) in Imaculada, close to the PA area; three (03) in Maturéia, close to the PA area; two (02) in Olho d'Água, close to the PA area; three (03) in Santa Teresinha, two (02) of which coincide with the PA area; one (01) in São José do Bonfim, close to the PA area; and one (01) in Teixeira, close to the PA area.

Parque Nacional do Boqueirão da Onça — BA

Among the municipalities in which the PARNA Boqueirão da Onça is located, there are two hundred and fifty-five (255) Indigenous persons in Campo Formoso; three thousand, six hundred and seventy-eight (3678) Indigenous persons in Juazeiro; one hundred and twenty-eight (128) Indigenous persons in Sento Sé; three hundred and sixty-eight (368) Indigenous persons in Sobradinho. With regard to Quilombola communities, there are twenty-one (21) in Campo Formoso, totaling 12,735 people; and fourteen (14) in Juazeiro. In Campo Formoso are registered twelve (12) Fundo e Fecho de Pasto communities, with twenty four (24) related labor unions or community associations. In Juazeiro there are seven (07) Fundo e Fecho de Pasto communities and thirty one (31) related unions or associations. In Sento Sé, there are four (04) communities and seven (07) unions or associations. In Sobradinho, three (03) communities and sixteen (16) associations. Also, in Juazeiro there are twenty (20) registered artisanal fishermen associations. In Sobradinho there are five (05) associations of this sort; and thirty two (32) associations in Sento Sé. As for agrarian reform settlements, there are eleven (11) in Campo Formoso, one of them coinciding with the PA area; three (03) in Juazeiro, one of them coinciding with the PA area; eight (08) in Sento Sé, four (04) coinciding with the PA area and another two (02) being in the vicinity; three (03) in Sobradinho, one (01) of them coinciding with the PA area; and two (02) in the city of Petrolina, Pernambuco, both coinciding with the PA area.

Área de Proteção Ambiental do Boqueirão da Onça — BA

Among the municipalities in which the APA Boqueirão da Onça is located, there are two hundred and fifty-five (255) Indigenous persons in Campo Formoso; three thousand, six hundred and seventy-eight (3678) Indigenous persons in Juazeiro; one hundred and fifteen (115) in Morro do Chapéu; one hundred and twenty-eight (128) Indigenous persons in Sento Sé; three hundred and sixty-eight (368) Indigenous persons in Sobradinho; eighty-five (85) Indigenous persons in Umburanas. With regard to Quilombola communities, there are twenty-one (21) in Campo Formoso, totaling 12,735 people; fourteen (14) in Juazeiro; nine (09) in Morro do Chapéu. In América Dourada there are fifteen (15) Quilombola communities; and three (03) in Itaguaçu da Bahia. There is one (01) Fundo e Fecho de Pasto in Umburanas and a related community association; and nine (09) communities in Itaguaçu da Bahia. As for agrarian reform settlements, there are eleven (11) in Campo Formoso, one of them coinciding with the PA area; three (03) in Juazeiro, one of them coinciding with the PA area; nine (09) in Morro do Chapéu; eight (08) in Sento Sé, four (04) coinciding with the PA area and another two (02) being in the vicinity; three (03) in Sobradinho, one (01) of them coinciding with the PA area; one (01) in the city of América Dourada, coinciding with the PA area; and two (02) in the city of Itaguaçu da Bahia, close to the PA.

Área de Proteção Ambiental Lago de Sobradinho — BA

Among the municipalities in which the APA Lago de Sobradinho is located, there are eight hundred and eighty-one (881) Indigenous persons in Casa Nova; thirteen (13) Indigenous persons in Pilão Arcado; eighty-three (83) Indigenous persons in Remanso; one hundred and twenty-eight (128) Indigenous persons in Sento Sé; three hundred and sixty-eight (368) Indigenous persons in Sobradinho. With regard to Quilombola communities, there is one (01) in Casa Nova; one (01) in Remanso. There are nineteen (19) Fundo e Fecho de Pasto communities in Casa Nova, with twenty eight (28) related associations; and forty one (41) communities in Pilão Arcado. In Remanso there are seven (07) of these communities with ten (10) related associations. Also, there are twenty four (24) artisanal fishermen associations in Casa Nova; twelve (12) in Pilão Arcado; seven (07) in Remanso; thirty two (32) in Sento Sé and five (05) in Sobradinho. As for agrarian reform settlements, there are eighteen (18) in Casa Nova, two (02) of them coinciding with the PA area; twelve (12) in Pilão Arcado; four (04) in Remanso, one of them coinciding with the PA area; eight (08) in Sento Sé; three (03) in Sobradinho. The aforementioned book on Fundo e Fecho de Pasto communities (PNCSA, 2007) focuses on this region, thus it would be important to conduct a detailed survey of their presence during the next Project steps.

Área de Proteção Ambiental Dunas e Veredas do Baixo Médio São Francisco — BA

Among the municipalities in which the APA Dunas e Veredas do Baixo Médio São Francisco is located, there are three hundred and eighty-one (381) Indigenous persons in Barra; thirteen (13) Indigenous persons in Pilão Arcado; and five hundred and seventy-one (571) Indigenous persons in Xique-Xique. Regarding Quilombola communities, there are ten (10) in Barra; and two (02) in Xique-Xique, one of which is within the PA area. There are twenty one (21) Fundo e Fecho de Pasto communities in Barra, with two (02) related associations; forty one (41) communities in Pilão Arcado; nine (09) of them in Xique-Xique, with nine (09) related associations. Also, there are eight (08) artisanal fishermen associations in Barra; twelve (12) in Pilão Arcado and thirty five (35) in Xique-Xique. As for agrarian

reform settlements, there are eleven (11) in Barra, one of them near the PA area and three (03) of them coinciding with the PA area; twelve (12) in Pilão Arcado; and six (06) in Xique-Xique, four of them having areas overlapping the PA and, coincidentally, also overlapping the APA Lagoa de Itaparica.

Área de Proteção Ambiental Lagoa de Itaparica — BA

Among the municipalities in which the APA Lagoa de Itaparica is located, there is data on the presence of seven (07) Indigenous persons in Gentio do Ouro; and five hundred and seventy-one (571) Indigenous persons in Xique-Xique. With regard to Quilombola communities, there are seven (07) in Gentio do Ouro; and two (02) in Xique-Xique. There are nine (09) Fundo e Fecho de Pasto communities in Xique-Xique, with nine (09) related associations. Also, there are thirty five (35) artisanal fishermen associations in Xique-Xique. As for agrarian reform settlements, there are six (06) in Xique-Xique, four of them having areas overlapping the PA and, coincidentally, also overlapping the APA Dunas e Veredas do Baixo Médio São Francisco.

Parque Estadual Mata da Pimenteira — PE

In the municipality of Serra Talhada, where the PE Mata da Pimenteira is located, there is data on the presence of six hundred and ninety-five (695) Indigenous persons. With regard to Quilombola communities, there are three (03) of them registered in the municipality. As for agrarian reform settlements, there are twenty-one (21) of them in the municipality, one (01) of which is located near the PA area and four (04) of which have areas coinciding with the PA perimeter.

Estação Ecológica Serra da Canoa — PE

In the municipality of Floresta, where the PE Mata da Pimenteira is located, there is data on the presence of two (02) demarcated Indigenous Lands, namely, the Kambiwá Indigenous Land and the Pipipã Indigenous Land. In the municipality there are five thousand, four hundred and fifty-nine (5459) Indigenous persons. With regard to Quilombola communities, there are two (02) of them, but they seem to be subdivided into another five (05), at least. More studies are needed. As for agrarian reform settlements, there are twenty (20) of them in the municipality of Floresta.

4.6.1.2. Rural Environmental Registry and superposition of rural properties within PAs borders

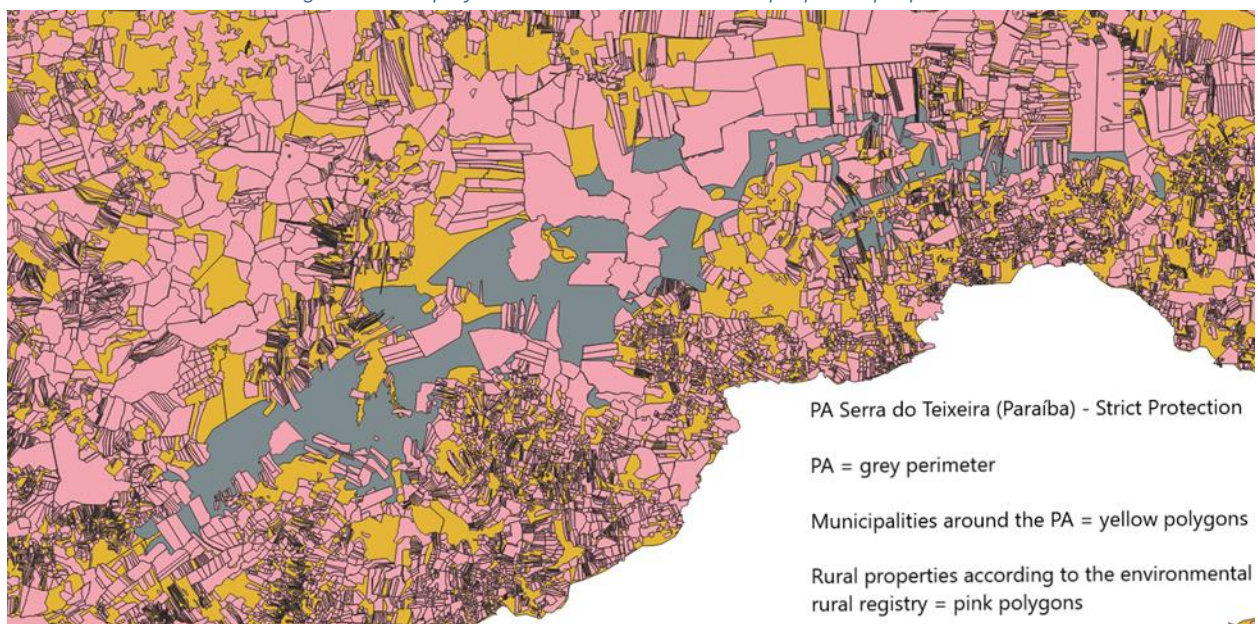
Besides the aforementioned IP/TP&LC, there are a number of rural properties that are incised into the PAs borders, according to a survey on the Rural Environmental Registry database (CAR in Portuguese). Different from IP/TP&LC presence, though, CAR data indicates a formal registry of a land property without considering the long-standing inhabitants of its landowners. Nevertheless, it could be screened against the goals of ARCA projects to investigate the opportunity of including these landowners as stakeholders (for the cases where PA lies under sustainable use category), and how to resolve this in the case of PAs under strict protection.

CAR is a federal law regulated by the Ministry of Environment, being mandatory for all rural properties. It has the purpose of integrating environmental information on rural properties and possessions referring to Permanent Preservation Areas — APP, restricted use, Legal Reserve, remaining forests and other forms of native vegetation, helping to consolidate areas, composing a database for control, monitoring, environmental and economic planning and combating deforestation.⁴¹

Due to the centuries-old colonization of Northeast and its Caatinga region (Pacheco de Oliveira, 2016), almost all the particular rural properties can be understood as contemporary iteration of land conflicts between the colonial efforts to control the conquered territory and long-standing, more collective and traditional ways of living with it (Little, 2018). The abundance of particular properties around and superimposed on PAs areas may indicate the existence of such conflicts, of which this Project should be aware when implemented.

As a brief example, see below a map of Serra do Teixeira PA, in Paraíba, and its superposed particular properties as defined above, in Figure 16.

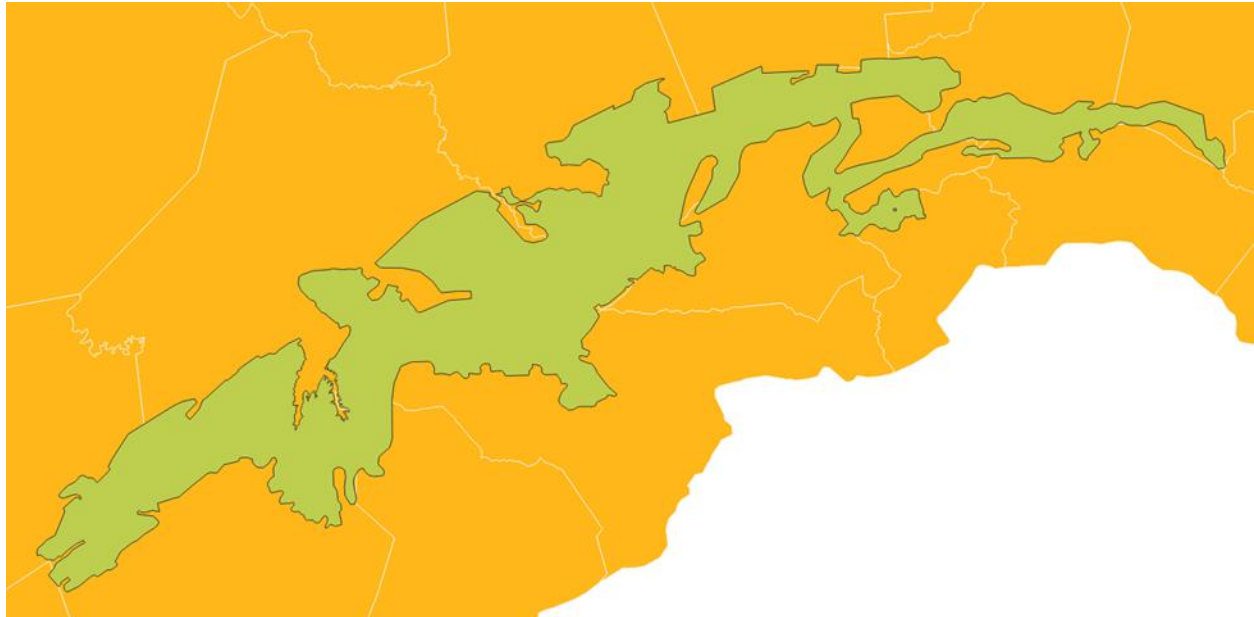
Figure 16: Map of Serra do Teixeira PA and superposed properties



When compared to a version without rural property polygons, we see the entirety of this PA (in green), in Figure 17.

⁴¹ SNIF. Available at: <https://snif.florestal.gov.br/en/rural-environmental-registry>

Figure 17: Map of Serra do Teixeira PA with no superposed properties



The same could be said of the other PAs, to the extent that it would be an important step for the ARCA Project to include an initial screening on these superpositions, as illustrated above.

(b) Project Impacts on IPs and TPs Groups

Considering ARCA Project's goal of strengthening management effectiveness of Brazil's National System of Protected Areas through its expansion and improvement; and considering also the expected engagement of IP/TP&LC as stakeholders, both their historical relations with the environment and their previous experiences with PA management should be assessed.

There are a number of studies monitoring long-term relations between IP/TP&LC and PA staff and management councils, aiming to illuminate both its potential and any grievances. Recently, a rigorous study undertaken on another Caatinga PA pointed out that there are many situations of miscommunication and negligence towards IP/TP&LC some years after the PA implementation (Dawson et al, 2023). According to the authors, what began as a case of collaboration between IP/TP&LC and PA staff can become, without the proper continuous support and attentive communication, a scenario of grievance and mistrust.

During the first years of a PA implementation it is important to bring together both managers and IP/TP&LC that live within the PA region. But as the time goes by, many miscommunications have been reported by some groups, emphasizing either the progressive disengagement of formerly active IP/TP&LCs or the negligence and intercultural insensitivity of PA staff, or both.

As an example, this quote illustrates the understanding of a Pankararé Indigenous woman from Bahia, who lives close by another PA in the state, distant 200 km from the PA Boqueirão da Onça:

In fact, there is an Ecological Reserve. It borders [the Indigenous village] Baixa do Chico. Within Pankararé territory. Here we are caregivers. We take care of the hyacinth macaws on the walls in Baixa do Chico, that's where they end up breeding. Staying for a while [...] Twice a year we see a large number of macaws there on those walls. They are located between Jeremoabo and Baixa do Chico. But they also come here, through Serrota [...] They stay here in the nearest fields. They even end up calming down. But they destroy a lot of our cornfields, they make a bit of a mess with the other fields too. They are Lear's macaws. [...] In the beginning, back in 2006, 2007, around 2008, ICMBio still got in touch with us and made some inquiries regarding the school. To talk about the issue of the [conservation] project, the care of the macaws, etc. But they haven't been to school for many years, they haven't done any projects with the community. They don't give us feedback. The macaws have ravished many crops belonging to some people here, and they [ICMBio] do not compensate these people. We found out that there was a project to return the crops, the corn, to pay something to those farmers who lost their crops completely... Because they break the corn stalk right at the bottom. So, break it down, do what you want and leave. So when they enter the farm, they come in to eat. And then the licuri too, the same thing. [...] These people from ICMBio, for a long time, were doing the rounds, they didn't want that we deforested, that we didn't do a lot of things, couldn't hunt, couldn't do this, couldn't do that, and we understand that hunting is also a means of survival, right? From many family men here. To eat, for one's existence as a whole. And there were a lot of prohibitions on us, but they don't take care of the territory, because... for us Indigenous people, hunting can't be done without care, but for those who enter the territory to hunt, and often they go hunting near the... ecological reserve, [ICMBio] don't even say anything. So there are a lot of hunters out there. People who come from outside, from the Paulo Afonso region, from other places, who enter the area, who hunt out of time. Mainly peba, armadillo, tatuí... the deer itself, and so many other games that we have here. So, I don't see them having that zeal. ICMBio has no care for the Pankararé territory. And just now, they are also allowing a wind energy project to come and carry out studies here within the territory, and they have not taken any action, we have not heard from these people, from ICMBio, because we are the ones who are fighting with the Federal Public Ministry, calling... Funai in Brasília, calling everyone to resist some Chinese who are carrying out studies on wind energy within our territory. So, why take care of Lear's macaws if they now want to launch a project like this without consulting the community? Totally irregular, as it is a demarcated Indigenous territory... and where is ICMBio to defend the hyacinth macaws now, and so many other species of birds and game here in our region? [...] Today I am unaware of the care provided by ICMBio and IBAMA here within our territory. (Pankararé Indigenous woman, Bahia).

By considering capacity building of PA staff and IP/TP&LC as one of its goals, ARCA Project must be aware of the intercultural dimension encompassing inter-ethnic relations in the Caatinga region, relations with which IP/TP&LC have also a long history of dealing. IP/TP&LC engagement with ARCA

Project should be a continuous goal, to prevent the result of decreasing IP/TP&LC involvement due to miscommunication and the emergence of PA institutional and intercultural blind spots.

Currently, in Brazil, governance and popular participation, especially from IP/TP&LC, are a main top-down agenda as well as a bottom-up demand. Institutional actions which fail in considering IP/TP&LC before its implementation tend to incur, thus, in a long-term intercultural flaw that is difficult to repair.

(c) Mitigation Planning

Mitigation planning will assess and anticipate and mitigate any possible social and environmental impacts on Indigenous and Traditional Peoples and Communities (IP&TPs), for all stages of the ARCA Project, especially during the first 9-12 months of inception, and then throughout the Project phases as more information and details are understood. For ARCA Project activities that have a potential impact on Indigenous and Traditional Peoples and Communities, the following principles will be adopted, to screen and assess and mitigate the potential social and environmental risks on Indigenous and Traditional Peoples (IPs&TPs) in the ARCA Project areas:

1. The Project recognizes the importance of Indigenous and Traditional Peoples and Communities (IPs&TPs) and vulnerable groups for social and cultural development, as well as for environmental sustainability.
2. The Project promotes respect for the rights and livelihoods of IPs&TPs based on the dignity, aspirations and culture of the affected groups.
3. All Project activities that involve or impact IPs&TPs should receive formal support from their representative organization, obtained through a culturally appropriate FPIC consultation process, and laid out in an ITPP that has been co-created with the community in question.
4. The Project recognizes the importance of traditional knowledge and techniques in the management of natural resources and will encourage their use in the fulfillment of the Project's goals.
5. The Project capacity-building processes involving IPs&TPs should take into account their traditional environmental practices.
6. The Project shall anticipate and avoid negative impacts on IPs&TPs. Where negative impacts are unavoidable, the Project shall indicate how to minimize, restore and/or compensate for these impacts in proportion to the nature and scale of such impacts, in collaboration with and considering the vulnerability of the affected communities.
7. The Project supports the active participation of men and women and other gender-identities and people of different age groups when working with IPs&TPs, in a way that respects cultural and social traditions.

For Components 1 and 2 of the Project, creating and strengthening Protected Areas, SNUC includes three categories of management of full protection conservation units (UCs) that allow only the indirect use of their natural resources: Ecological Station, Biological Reserve and National Parks. The ARCA Project will take the following measures in order to avoid involuntary physical resettlement

(which will not be supported by this Project) and avoid or reduce economic and social impacts caused by the restriction of access and use of natural resources:

1. All activities of the Project will assess the risks of resource-use displacement, involuntary physical resettlement and economic, social, cultural, and human-health and ecosystem and climate impacts by completing **socio-environmental and cultural verification forms with a summary of the potential positive and negative impacts of the proposed activities** (to be developed and tested during the 9-12 month Project Inception Phase) for each Project Area and for any Project-Connected Communities (PCCs) and any Project Affected Peoples (PAP), including vulnerable groups.
2. Within the scope of each Project Component, measures will be taken to prevent any involuntary physical resettlement and reduce economic impacts due to resource-use displacement.
3. Mitigating measures to prevent economic impacts due to resource-use displacement should be incorporated into the planning of the Project's operating units and will be periodically monitored through the Project's progress reports and through field inspections, when necessary.

For Project Component 1, for the creation or redefinition of boundaries of new Protected Areas, the main risks identified would depend on the management category of the proposed PA(s), the need for land expropriation, and the relocation of economic activities. To avoid these risks, the following are the main measures to be adopted within the scope of Component 1:

1. Carry out environmental, socioeconomic, cultural, ethnographic and land studies to characterize the area in order to support the design of the proposal.
2. Propose the category and limits of the PA according to the studies carried out and the local reality, especially considering the characterization of the affected IP/TP&LC communities;
3. Conduct public consultations in accordance with Article 5 of Decree 4,340⁴², so that transparency is given to the creation process, and contributions from civil society can be gathered;
4. Consider the results of the public consultations to support the definition of the most appropriate location, size and boundaries for the PA unit. Possibly redefine the category or boundaries in order to avoid conflicts and guarantee economic alternatives to groups vulnerable to impoverishment due to restricted access to natural resources;
5. If the PA category is incompatible with the direct use of natural resources, there are IP/TP&LC communities living within the area and there is no legal instrument that guarantees their permanence in the area or adequate economic alternative for restricting access to resources, then the Project will not support the declaration or expansion of the PA in question.

The ARCA Project will not support involuntary physical resettlement, and only areas and categories where there is no need for physical displacement will be considered for the creation

⁴² <https://leap.unep.org/en/countries/br/national-legislation/decreo-no-4340-implementing-act-no-9985-regulating-national>

of new PAs. If situations of restricted access to natural resources occur, the Project will take actions to prevent, monitor, and mitigate any economic and other impacts (such as SEAH and GBV) risks, due to the creation of the new PA(s).

For Component 1, for strengthening and enhancing management and effectiveness of PAs and adjacent areas:

1. All IP/TP&LC Communities will first be identified within and around each of the Project's nine (9) focal PAs during the 9-12 months of the Project Inception Phase.
2. The objectives of Component 1 are the improvement of the effectiveness of the PAs, and to achieve these objectives, the participation of local IP/TP&LC communities plays a fundamental role.
3. For strengthening the management of the PA, Project activities and actions will be screened and prioritized based on the application of the SAMGe management tool, which identifies the uses and their relationship with the objective of creating the PA, categorizing them as allowed, encouraged or prohibited
4. This SAMGe analysis will allow the visualization and illumination of any conflicts that occur within the PA and the Project will be able to diagnose and prioritize activities that aim to reduce conflicts or negative impacts on IP/TP&LC communities.
5. In order to strengthen the PAs, the participation of civil society in the process of planning and supporting the management of the PAs is essential. The conservation of biodiversity must be allied to sustainable development, ensuring quality of life and citizenship for the populations that interact with the ecosystem.
6. Various formal or informal institutions and individuals may be partners from the early stages of the Project in order to solidify long-term Project actions and activities and prevent and mitigate possible Project risks.
7. In addition to partner institutions, external professional Facilitators will assist in IP/TP&LC participation. A facilitator must be impartial from the interests involved in the issue to be conducted by him/her, and, in addition to acting in the conduct of meetings or workshops, he/she must assist so that all those involved express their opinions on equal terms. In this way, this professional facilitator helps in the proper planning and development of meetings, aiming to achieve the set objectives. Facilitators must also moderate conflicts, transforming seemingly negative situations into positive possibilities, thus helping to produce agreements, and aiming to achieve the best participation of all and improved results.

The Project will support the participation and engagement of local communities through activities in the four Project Components (Table 1), such as participation in the Management Bodies and Councils of the PAs, in integrated fire management actions, in biodiversity monitoring, in ecosystem restoration, and in the elaboration and implementation of action plans for endangered species—as well as through community-based Projects under the grant-making process under Component 3.

The promotion of dialogue is one of the primary ways to avoid conflicts and promote the joint construction of economic alternatives to the restriction of access to natural resources, when the need

for changes in the productive, economic or social practices of a given community is identified. Toward this end, the Project adopts the following guidelines:

1. Prevent all involuntary physical resettlement and displacement of persons.
2. Minimize the adverse impacts resulting from the restriction of access to natural resources in fully protected or legally protected PAs from any Project activities, under Project Components 1, 2 and also 3. In these cases, the following measures should be followed:
 - i. Conduct a socioeconomic and cultural study that quantifies the economic and sociocultural impacts and the restriction of access to resources and that develops, in a participatory manner, mechanisms for their mitigation and compensation;
 - ii. Conduct participatory workshops to jointly build economic alternatives with Project Affected People (PAP) and Project-Connected Communities (PCCs) that satisfactorily and adequately meet their economic, social and cultural needs;
 - iii. Propose economic alternatives or appropriate compensatory measures with equivalent or higher gain for local communities and lay out the agreements into a formal LRP;
 - iv. Implement economic alternatives or compensatory measures through legal instruments (agreements or terms of commitment, among others), when applicable;
 - v. The Project will not support any actions that would result in involuntary physical resettlement.

Legal Instruments such as Terms of Commitment (TOC), will be used for the management and mediation of conflicts, to be signed between the Managing Bodies of the PAs and Indigenous and Traditional Peoples and Communities and other local people residing in PAs (conservation units) where their presence is not admitted or is not in alignment with the management instruments, aiming to ensure both the conservation of biodiversity and to support the socioeconomic and cultural characteristics of the social groups involved. Within the scope of federal PAs, this instrument is regulated by the IN26/2012⁴³.

The social impacts in the case of the application of the Terms of Commitment, regulated by IN26/2009, are, as a rule, impacts associated with the restriction of access to natural resources (e.g. fishing areas, mineral deposits, pastures, timber, firewood, etc.) with economic and sometimes cultural consequences. The Term of Commitment is the measure to mitigate these impacts, by defining, with participatory and consent methods, the way in which the economic and socio-cultural activities of the resident populations can be made compatible with the management objectives of the Conservation Units, accommodating in a rational and equitable way both objectives—that is, ensuring the well-being of the IP/TP& LC populations concomitantly with nature conservation activities.

Brazil ratified ILO Convention 169 on July 25, 2002. From this, the presence of Traditional Peoples (PCTs) in conservation units (UCs) began to be supported by this international standard, which

⁴³ available at https://www.gov.br/icmbio/pt-br/aceso-a-informacao/institucional/legislacao/instrucoes-normativas/arquivos/dcom_instrucao_normativa_26_2012.pdf

overlaps with what is established by the SNUC. In this sense, ICMBio and other PA Management Bodies' praxis in cases of the presence of IP&TP populations in PAs, both of full protection and of sustainable use, has consisted of seeking mechanisms of coexistence with Traditional populations (PCTs) and vulnerable groups (small farmers, agrarian reform settlers, riverside dwellers, artisanal fishermen, among many others).

The ARCA Community Liaison, Gender & Safeguards Focal Point (CLGSFP) and PA Management and PA Council, and State and Federal Agencies that oversee and manage the PAs, and the MMA will all participate in the environmental and social mitigation steps and processes. The FUNBIO Project Manager will also coordinate its activities with the Brazilian federal and state governmental entities that need to participate and support the Project's execution in the geographic or technical area corresponding to their respective legal mandates. ICMBio will assist FUNBIO in the implementation of risk-assessment and mitigation measures from Project Activities under Components 1, 2, 3 and 4, particularly those focused on federal PAs and surrounding areas. The environmental secretariats for the States of Bahia and Pernambuco will support FUNBIO in the implementation of risk-assessment and mitigation measures from Project Activities under Components 1, 2, 3 and 4 activities focused on their respective state-level PAs. Each of these entities will act as an operating unit in support of the Project.

The following steps should be followed to screen and assess the Project's potential social and environmental risks including restriction of access to resources and livelihoods, and to prepare the required management plans for avoiding, and where avoidance is not possible, reducing, mitigating and managing potentially adverse impacts. The screening, social assessment, planning and implementation of the management plans (IPPs and LRPs) and their monitoring and evaluation will be the responsibilities of PMU using Project budget allocated for Project activities.

The mitigation and planning steps are summarized as follows:

1. Identification of specific activities under Project Components 1, 2, 3, and 4 (PMU)
2. Screening of the activity using the "Safeguard Eligibility and Impacts Screening Tool" (in Annex 1 of this ESMF) and questions in "Checklist for whether an activity may require an FPIC Process" (in Box 1 of this ESMF) (Community Liaison, Gender & Safeguards Focal Point, with support from MMA, PA Managers, PMU Project Manager)
3. After screening:
 - a. If initial screening indicates Project activity would lead to restriction of access to resources and sources of livelihood and other adverse impacts on IP/TP groups and other vulnerable groups such as women, and also triggers an FPIC requirement (using the Box 1 checklist), conduct a more complete social assessment of the possible activity, and initiate an FPIC process.
 - b. If initial screening indicates that the proposed Project activity would result in no negative impacts on IP/TP groups and other vulnerable groups such as women, prepare an action plan to continue consultations with IP/TP groups and include their participation and feedback while designing and implementing the proposed activities.

4. If FPIC is required: Create an action plan for engaging a process of seeking FPIC with the affected IP/TP groups for the activity or sub-project that requires an FPIC process (See Box 2 for “Steps for Seeking FPIC from Project Affected IPs and TPs”).
5. If FPIC is not required: Initiate the preparation of ITPP for the activity impacting IPs and TPs.
6. If IPs’ and TPs’ livelihoods and access to resources would be impacted by the proposed activity, initiate a process for designing the LRP (See Section 4.5) to restore livelihoods and ensure access to common resources where access to common resources and sources of livelihoods of local IP and TP communities and other vulnerable groups are restricted by execution of the specific Project activity.
7. Implement ITP, FPIC Action Plan, ITPP and LRP.

(d) Steps for Formulating an ITPP

WWF’s Standard on Indigenous People requires that, regardless of whether Project affected IPs and TPs are affected adversely or positively, an ITPP needs to be prepared with care and with the full and effective participation of affected communities.

The requirements include screening to confirm and identify affected IP and TP groups in the Project areas, social analysis to improve the understanding of the local context and affected communities; a process of free, prior, and informed consent (FPIC) with the affected IP/TP communities in order to fully identify their views and to obtain their broad community support to the Project; and development of Project-specific measures to avoid adverse impacts and enhance culturally appropriate benefits.

Minimum requirements for projects working in areas with IPs and TPs are:

- Identification of IP and TP groups through screening;
- Assessment of possible Project risks and impacts for specific Project Components and Activities, including possible unintended consequences;
- Consultations with affected IP and TP people and communities following FPIC principles and obtain their broad community support;
- If (free and prior) consent is obtained, development of site-specific and activity-specific Indigenous and Traditional Peoples plans (ITPP) to avoid adverse impacts and provide culturally appropriate benefits; and
- In activities with no anticipated negative impacts, the requirements could be limited to consultations during implementation to keep local communities informed about Project activities, and documentation of all consultations held.

(e) Social Assessments

WWF's Standard on Indigenous People requires screening for IPs and TPs to assess risks and opportunities and to improve the understanding of the local context and Project Affected People and Project Connected Communities (PCCs).

ARCA Project activities may result in the following adverse impacts on IP and TP and other Local communities and vulnerable groups (such as women, children and elderly), as a direct and indirect result of Project activities aimed at achieved the goals and outcomes outlined under Component 1 (Creation and Improvement of Management Effectiveness in Protected Areas) and Component 2 (Conservation of Threatened Species):

1. Restriction and shifting of access to resources;
2. Negative impacts on livelihoods and socioeconomic conditions;
3. Social conflicts related to shifting land-use and perceived and real inequalities in who benefits and who does not;
4. Shifting power dynamics and associated risks, especially possible gender-based violence (GBV) and sexual exploitation, sexual abuse, and harassment (SEAH) risks for women and children (and others);
5. The possibility of child labor and increases use of child labor, as livelihoods and access to resources are impacted and shift;
6. Restriction of access to cultural resources;
7. Loss of cultural practices and traditional knowledge as access to lands and specific places and shifting resource-use may impact practices and cultural knowledge and knowledge-sharing;
8. Health impacts from shifting resource use and possible shifts from traditional diets to less traditional diets (including from less access to bushmeat and "wild" food sources due to outcomes from Component 2), and possible introduction of and increase in access to alcohol and processed foods as access to new financial resources shift peoples' practices;
9. Conflicts, including possibly violent, due to increased restrictions on poaching and wildlife trafficking, and stronger restrictions on resource extraction, for example enhanced restrictions on taking of high-value resources such as timber;
10. Loss of language(s) and knowledge embedded in languages;
11. Impacts of enhanced conservation on food security and livelihoods (for example, protection of predators leading to perceived or real increasing depredation of livestock, protection of birds and other wildlife impacting crops, and restrictions on poaching impacting food security);
12. The impacts of conservation goals and development discourse on IT&TP culture, lives and communities, and the discrepancies in expectations between Project teams and IP/TP&LCs and the impacts of those different expectations, for example the Project team focusing on conservation goals while PCCs might focus on goals such as medical and technical and

infrastructure assistance (see, for example, the book “Conservation Is Our Government Now,” by Paige West⁴⁴);

13. Impacts of possible increased tourism and new PA(s) and enhanced PA protection, leading to increased focus and activities near and on cultural resources (such as graffiti on ancient rock paintings from uncontrolled tourism);
14. Increasing land speculation due to Project activities and possible increases in human rights violations involved in land speculation and attempts to try to take land from IP/TP&LCs, using coercion, pressure and threat;
15. Human rights violations and negative and possibly violent targeting of IP/TP&LC members due to shifting roles, associations with the Project, alignment with conservation objectives, and more;
16. Resentment and mistrust toward the Project and future projects due to negligence and inconsistency and lack of commitment for the well-being and participation of Project-Connected IP&TP Communities throughout the Project term, and beyond; and
17. Unintended consequences of project implementation such as the complex dynamics and impacts due to a sudden/new influx of access to Project financial resources and the ways that can shift social structures and dynamics, and contribute to conflict and violence and mental and physical health impacts.

ARCA Project activities may result in the following adverse impacts on IP and TP and other Local communities and vulnerable groups (such as women), as a direct and indirect result of Project activities aimed at achieved the goals and outcomes outlined under Component 3 (Capacity-Building of Protected Area Managers, Staff and IP/TP&LC):

1. Social conflicts related to perceived and real inequalities in who benefits from the subgrants and the Project and who does not;
2. Shifting power dynamics as some people/communities are involved in Project management and receive subgrants for sub-projects—and some are not--and associated risks, especially possible gender-based violence and SEAH risks for women and children;
3. The possibility of child labor, as livelihoods and socioeconomics conditions shift as a results of Project activities;
4. Loss of cultural practices and traditional knowledge as sub-projects and capacity-building shift practices from traditional to new practices as a result of Project resource and “capacity-building” activities;
5. Health impacts from shifting incomes due to the influx of Project resources, and possible shifts from traditional diets to less traditional diets, and possible introduction/increase in access to alcohol and processed foods as new financial resource shift peoples’ practices;
6. Loss of languages and knowledge embedded in languages;
7. The impacts of conservation goals and development discourse on IT&TP cultures, lives and communities, and the discrepancies in expectations between Project teams and IP/TP&LCs and the impacts of those different expectations, for example the Project team focusing on

⁴⁴ West, Paige, 2006. *Conservation Is Our Government Now: The Politics of Ecology in Papua New Guinea* (Durham: Duke University Press, 2006), <https://doi.org/10.2307/j.ctv1198x8f>.

conservation goals while PCCs might focus on goals such as medical and technical and infrastructure assistance (see, for example, the book “Conservation Is Our Government Now,” by Paige West);

8. Resentment and mistrust toward the Project and future projects due to negligence and inconsistency and lack of commitment for the well-being and participation of Project-Connected IP&TP Communities throughout the Project term, and beyond; and
9. Unintended consequences of project implementation such as the complex dynamics and impacts due to a sudden/new influx of access to Project financial resources and the ways that can shift social structures and dynamics, and contribute to conflict and violence and mental and physical health impacts.

ARCA Project activities may result in the following adverse impacts on IP and TP and other Local communities and vulnerable groups (such as women), as a direct and indirect result of Project activities aimed at achieved the goals and outcomes outlined under Component 4 (Communication and Knowledge Management):

1. Resentment and mistrust toward the Project and future projects due to negligence and inconsistency and lack of commitment for the well-being and participation of Project-Connected IP&TP Communities throughout the Project term, and beyond;
2. Dissatisfaction in Project-Connected IP&TP Communities with the results of the Project and the ending of the Project, including the ending of financial resources;
3. The impacts of conservation goals and development discourse on IT&TP cultures, lives and communities, and the discrepancies in expectations between Project teams and IP/TP&LCs and the impacts of those different expectations, for example the Project team focusing on conservation goals while PCCs might focus on goals such as medical and technical and infrastructure assistance (see, for example, the book “Conservation is our Government Now,” by Paige West⁴⁵);
4. Socioeconomic impacts on Project-Connected IP&TP Communities due to the ending of the Project and funding mechanisms; and
5. Shifting power dynamics in Project-Connected IP&TP Communities as the Project nears completion, and associated risks, especially possible gender-based violence (GBV) and SEAH risks for women and children.

Many Activities under Project Components 1 and 2 and 3 will require site-specific Indigenous and Traditional Peoples Plans (ITPPs) to ensure the most equitable and low-risk Project benefits sharing with Indigenous and Traditional communities connected to and living in the Project Protected Areas and regions of focus. For this purpose, complete Social Safeguards screening and assessments will be conducted in consultation with the IP and TP communities to identify Project-Affected Peoples (including IPs, TPs, and vulnerable groups such as women and children) and the potential direct and indirect Project activity impacts, and severity of those possible impacts among the different IP and TP and vulnerable groups affected by each activity, in order to reassess and change the proposed

⁴⁵ West, Paige, 2006. *Conservation Is Our Government Now: The Politics of Ecology in Papua New Guinea* (Durham: Duke University Press, 2006), <https://doi.org/10.2307/j.ctv1198x8f>.

Project activity, or to address and ameliorate the impacts with mitigation and compensation and other methods.

The Social Safeguards Screening and Assessment (SSSA) will be completed by the CLGSFP and relevant Project team members, and should gather the following information about IP and TP and other vulnerable individuals and local communities possibly affected, for each Project activity, which will include: socioeconomic and cultural and life- and livelihood-practices data of the IP&TP communities and other vulnerable groups affected by the Project; how the Project activities will involve and connect to the Project-Connected Communities; how Project implementation will address the particular circumstances of Indigenous and Traditional and other vulnerable Peoples; and how IP and TP and other vulnerable groups will participate and be consulted during Project implementation, for example with FPIC processes; through evaluation of possible risks and impacts on IP/TP&LC peoples and communities; evaluation of possible unintended and future consequences and risk to IP/TP&LC peoples and communities from the proposed Project activity (in consultation with the scientific literature on development projects, as well as local advisory academic institutions and organizations). See Mitigation Planning (Section C, above).

(f) Development of IP and TP Plans (ITPP)

Based on the results of the social assessments, an IP and TP Plan shall be developed for each Project site.

The contents of the ITPP will depend on the specific Project activities identified and the impacts these activities may have on IPs in the Project area. As a minimum, the ITPP should include the following information:

- ✓ Description of the IPs and TPs affected by the proposed activity;
- ✓ Summary of the proposed activity;
- ✓ Detailed description of IPs' participation and consultation process during implementation;
- ✓ Description of how the Project will ensure culturally appropriate benefits and avoid or mitigate adverse impacts;
- ✓ Budget;
- ✓ Mechanism for complaints and conflict resolution; and
- ✓ Monitoring and evaluation system that includes monitoring of particular issues and measures concerning indigenous communities.

For Project activities that may result in changes in IPs' and TPs' access to livelihoods , the provisions of the Process Framework (Section 4.5) should be followed.

(g) Free, Prior and Informed Consent (FPIC) Framework

Free, Prior and Informed Consent (FPIC) is an approach for ensuring that the rights of IPs and TPs are guaranteed in any decision that may negatively affect their lands, territories or livelihoods. It

ensures that they have the right to give or withhold their consent to these activities without fear of reprisal or coercion, in a timeframe suited to their own culture, and with the resources to make informed decisions.

FPIC is composed of four separate components:

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

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

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

Box 1: Checklist for whether an activity may require an FPIC Process

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

1. Will the activity involve the use, taking or damage of cultural, intellectual, religious and/or spiritual property from IPs and TPs?
2. Will the activity adopt or implement any legislative or administrative measures that will affect the rights, lands, territories and/or resources of IPs and TPs (e.g. in connection with the development, utilization or exploitation of mineral, water or other resources; land reform; legal reforms that may discriminate de jure or de facto against IPs, TPs etc.)?
3. Will the activity involve natural resource extraction such as logging or mining or agricultural development on the lands/territories of IPs and TPs?
4. Will the activity involve any decisions that will affect the status of IPs’ and TPs’ rights to their lands/territories/water resources, resources or livelihoods?

5. Will the activity involve the accessing of traditional knowledge, innovations and practices of indigenous and local communities?
6. Will the activity affect IPs' and TPs' political, legal, economic, social, or cultural institutions and/or practices?
7. Will the activity involve making commercial use of natural and/or cultural resources on lands subject to traditional ownership and/or under customary use by IPs and TPs?
8. Will the activity involve decisions regarding benefit-sharing arrangements, when benefits are derived from the lands/territories/resources of IPs and TPs (e.g. natural resource management or extractive industries)?
9. Will the activity have an impact on the continuance of the relationship of the IPs with their land or their culture?
10. Will the interventions/activities restrict access to NTFPs, timber, lands, etc. and other sources of livelihoods and community resources?

If the answer is 'Yes' to any of these questions in Box 1, it is likely that FPIC will be required of the potentially affected indigenous peoples for the activity that may result in the impacts identified in the questions. When an FPIC process is required, a stakeholder consultation process will need to be initiated to define and agree on an FPIC process with the community or communities. The IPs and TPs who may be affected by the Project will have a central role in defining the FPIC process, based on their own cultural and governance practices. The consultation process should be launched as early as possible to ensure full, effective and meaningful participation of IPs and TPs.

All consultations with IPs and TPs should be carried out in good faith with the objective of seeking agreement or consent. Consultation and consent is about IPs' and TPs' right to meaningfully and effectively participate in decision-making on matters that may affect them. Consultations and information disclosure are integral parts of FPIC process and any development support planning for IPs and TPs to ensure that the priorities, preferences, and needs of the indigenous groups are taken into consideration adequately. With that objective in view, a strategy for consultation with IPs and TPs has been proposed so that all consultations are conducted in a manner to ensure full and effective participation. The approach of full and effective participation is primarily based upon transparent, good faith interactions, so that everyone in the community is empowered to join fully in the decision-making process. It includes providing information in a language and manner the community understands and, in a timeframe, compatible with the community's cultural norms.

The affected IPs and TPs will be actively engaged in all stages of the Project cycle, including Project preparation, and feedback of consultations with the IPs and TPs will be reflected in the Project design, followed by disclosure. Their participation in Project preparation and planning has informed Project design and will continue to actively participate in the Project execution. Once the ITPP or Livelihood Restoration Plan (LRP) is prepared, it will be translated into local languages (as applicable) and made available to them before implementation, including in formats other than written documents if and when requested by the communities.

FUNBIO shall ensure adequate flow of funds for consultation and facilitation of planned activities within the ITPP. Project brochures and pamphlet with infographic containing basic information such as sub-project location, impact estimates, and mitigation measures proposed, and implementation

schedule will be prepared, translated into a language understandable to the IPs, and distributed among them. If literacy is low in the communities, other means of communication must also be agreed upon with them, especially targeting community members who may have lower literacy levels.

A range of consultative methods will be adopted to carry out consultation including, but not limited to: focus group discussions (FGDs), public meetings, community discussions, and in-depth and key informant interviews; in addition to the censuses and socioeconomic surveys.

The key stakeholders to be consulted during screening, impact assessment; design and implementation of ITPP, LRP and Process Framework (PF) include:

- All affected persons belonging to IPs/TPs/marginalized groups;
- Appropriate government Departments/Ministries
- Provincial and municipal government representatives;
- Insert relevant community cooperatives, management structures, umbrella bodies, etc;
- The private sector;and
- Academia representatives.

The Project will ensure adequate representation of each group of stakeholders mentioned above while conducting consultations using various tools and approaches.

The views of IPs and TP communities are to be considered during execution of Project activities, while respecting their practices, beliefs and cultural preferences. The outcome of the consultations will be documented into the periodical reports and included in the ARCA Project's trimester progress reports. The Project Manager with support of the Community Liaison, Gender & Safeguards Focal Point will also ensure that affected persons are involved in the decision-making process.

Procedures to seek FPIC

Project interventions and activities adversely affecting the IPs and TPs, therefore, need to follow a process of free, prior, and informed consent, with the affected IPs and TPs in order to fully identify their views and to seek their broad community support to the Project; and development of Project-specific measures to avoid adverse impacts and enhance culturally appropriate benefits.

Community involvement is a critical component of FPIC, as FPIC is a collective process, rather than an individual decision. In practice, FPIC is implemented through a participatory process involving all affected groups that is carried out prior to the finalization or implementation of any Project activities, decisions or development plans. FPIC is established through good faith negotiation between the Project and affected IPs and TPs. A facilitator should support this process, a person who will be available throughout the Project, who speaks the necessary languages and is aware of the Project context. This person may or may not be part of the PMU, but should be agreeable to all parties involved.

Box 2 below outlines some generic steps to be followed for FPIC with the affected IPs and TPs in order to seek their broad community support.

Box 2. Steps for Seeking FPIC from Project Affected Indigenous Peoples and Traditional Peoples

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

Agreements reached must be mutual and recognized by all parties, taking into consideration customary modes of decision-making and consensus-seeking. These may include votes, a show of hands, the signing of a document witnessed by a third party, performing a ritual ceremony that makes the agreement binding, and so forth;

14. When seeking “broad community consent/support” for the Project, it should be ensured that all relevant social groups of the community have been adequately consulted. This may mean the Project staff have to seek out marginalized members, or those who don’t have decision-making power, such as women. When this is the case and the “broad” majority is overall positive about the Project, it would be appropriate to conclude that broad community support/consent has been achieved. Consensus building approaches are often the norm, but “broad community consent/support” does not mean that everyone has to agree to a given project;
15. When the community agrees on the project, document the agreement process and outcomes including benefits, compensation, or mitigation to the community, commensurate with the loss of use of land or resources in forms and languages accessible and made publicly available to all members of the community, providing for stakeholder review and authentication;
16. The agreements or special design features providing the basis for broad community support should be described in the IPs and TPs Plan; any disagreements should also be documented; and
17. Agree on jointly defined modes of monitoring and verifying agreements as well as their related procedures: how these tasks will be carried out during Project implementation, and the commission of independent periodic reviews (if considered) at intervals satisfactory to all interest groups.

(h) Disclosure

The final ITPPF and PF and any site specific ITPPs and LRPs will be disclosed on the website of FUNBIO, the executing agency, and the website of WWF, and made available to affected IPs and TPs in the form of printed material in appropriate language(s) to the extent possible; information dissemination and consultation will continue throughout Project execution. Summaries of ITPPs and mitigation measures proposed in ITPPs will be translated into Brazilian Portuguese (no Indigenous languages is needed according to experts), and paper copies will be made available to the affected persons in the office of relevant local authorities, using Federal/State/Local PA authorities who will have them available the landscape level?

(i) Institutional and monitoring arrangements

The Community Liaison, Gender & Safeguards Focal Point will be responsible for the development and implementation of the ITPPF and any ITPP, with support from the PMU Project Manager and/or the PMU Community Engagement Specialist(s) on logistical matters (e.g., conducting field visits, reaching out to IP and TP communities, convening meetings, etc.).

The Community Liaison, Gender & Safeguards Focal Point will periodically report on the implementation of the ITPPF/ITPP to the Project Manager, FUNBIO, and WWF US. Monitoring and reporting will be undertaken together with reporting on the other ESMF commitments (as indicated in Section 5.4).

4.7 Cultural Heritage Mitigation Measure

Once specific activities are identified under each component, the screening process (using the *Safeguards Eligibility and Impacts Screening* form in Annex 1 of this document) ahead of field activities will be implemented to identify any existing cultural heritage site, whether tangible or intangible. This process will be led by the PMU Community Liaison, Gender & Safeguards Focal Point (CLGSFP) with the support of Cultural Heritage Safeguards specialists knowledgeable of the local area and the local indigenous community (implemented using the SEP).

Any cultural heritage site identified through that process will be avoided through alternative routing/locations during Project activities design and implementation.

In addition to the screening and avoidance process, a chance-find procedure will be developed and implemented, to ensure that any chance finds are immediately mapped and reported to the PMU Community Liaison, Gender & Safeguards Focal Point and further to relevant authorities. Avoidance through alternative routing/location will be implemented from there on.

4.8 Pest Management Plan

Once specific activities are identified under each component, the screening process using the *Safeguards Eligibility and Impacts Screening* form, Annex 1 of this document) ahead of field activities will be implemented to identify whether there might be a risk of use of pesticides to control pests.

This process will be led by the PMU Community Liaison, Gender & Safeguards Focal Point (CLGSFP). If the screening highlights the potential use of pesticides, an Integrated Pest Management Plan will be developed, potentially with the support of a specialized safeguard specialist that can be hired for that specific purpose.

5. IMPLEMENTATION ARRANGEMENTS

5.1. Procedures for the Identification and Management of Environmental and Social Impacts

The following is an exclusion list of activities that will not be financed by the ARCA Project. This includes activities that:

1. Lead to land management practices that cause degradation (biological or physical) of the soil and water. Examples include, but are not limited to: the felling of trees in core zones and critical watersheds; activities involving quarrying and mining; commercial logging; or dredge fishing.

2. Negatively affect areas of critical natural habitats or breeding ground of known rare/endangered species.
3. Significantly increase GHG emissions.
4. Use genetically modified organisms or modern biotechnologies or their products.
5. Involve the procurement and/or use of pesticides and other chemicals specified as persistent organic pollutants under the Stockholm Convention or within categories IA, IB, or II by the World Health Organization.
6. Develop forest plantations.
7. Result in the loss of biodiversity, alteration of the functioning of ecosystems, and introduction of new invasive alien species.
8. Involve the procurement or use of weapons and munitions or fund military activities.
9. Lead to private land acquisition and/or physical displacement and voluntary or involuntary relocation of people, including non-titled and migrant people.
10. Contribute to exacerbating any inequality or gender gap that may exist.
11. Involve illegal child labor, forced labor, sexual exploitation or other forms of exploitation.
12. Adversely affect Indigenous and Traditional Peoples' rights, lands, natural resources, territories, livelihoods, knowledge, social fabric, traditions, governance systems, and culture or heritage (physical and non-physical or intangible) inside and/or outside the Project area.
13. Negatively impact areas with cultural, historical or transcendent values for individuals and communities, whether tangible or intangible.
14. Involves physical resettlement.
15. Involves river damming activities.
16. Involves land acquisition from willing sellers who are not IP/TP&LC.

In advance of the initiation of any Project activity, the Community Liaison, Gender & Safeguards Focal Point (CLGSFP) should fill in detailed information regarding the nature of the activity and its specific location in the *Safeguards Eligibility and Impacts Screening* form (Annex 1). Part 1 of this form comprises basic information regarding the activity; Part 2 contains basic “pre-screening” questions. If the response to any of the questions in these two parts is “Yes”, the activity will be deemed ineligible for funding under the Project. The executing partners will thus be required to change the nature or location of the proposed activity so that it complies with all safeguards requirements and all responses at the *Safeguards Eligibility and Impacts Screening* form are negative.

If the activity is deemed eligible according to Part 2, an environmental and social screening procedure will be carried out in accordance with Part 3 of *Safeguard Eligibility and Impacts Screening* format, which is based on the WWF’s SIPP and applicable Brazilian laws and regulations. The executing partners shall respond to the specific questions in Part 3 of the form, provide general conclusions regarding the main environmental and social impacts of each proposed activity, outline the required permits or clearances, and specify whether any additional assessments or safeguard documents (e.g., ESMP) should be prepared.

Issues that are considered as part of this environmental and social screening include the following:

- a. Need for government-land acquisition;

- b. Environmental impacts (e.g., dust, noise, smoke, ground vibration, pollution, flooding, etc.) and loss or damage to natural habitat;
- c. Social impacts: identification of vulnerable groups or indigenous peoples, impacts on community resources, impacts on livelihoods and socio-economic opportunities, restrictions of access to natural resources, land usage conflicts, impacts on tangible or intangible cultural heritage, etc.; and
- d. Health and safety issues (both for workers and for local communities).

The screening of each activity should be undertaken by the Community Liaison, Gender & Safeguards Focal Point (CLGSFP). If the screening process indicates that additional assessments or safeguards documents shall be prepared, these should be carried out by the executing partners prior to the start of activities.

If the screening reveals adverse environmental or social impacts that may arise from the planned activity, an ESMP should be prepared. The ESMP should be prepared by the Community Liaison, Gender & Safeguards Focal Point, in collaboration with the Project Manager(s).

5.2. Guidelines for ESMP Development

In case that the Environmental and Social screening process identifies any adverse environmental or social impacts as a result of specific Project activities, the Community Liaison, Gender & Safeguards Focal Point in collaboration with the Project Manager(s) should develop a site- and activity-specific ESMP. The ESMP should be prepared before the initiation of the Project activity and closely follow the guidance provided in this ESMF.

The ESMP should describe adverse environmental and social impacts that are expected to occur as a result of the specific Project activity, outline concrete measures that should be undertaken to avoid or mitigate these impacts, and specify the implementation arrangements for administering these measures (including institutional structures, roles, communication, consultations, and reporting procedures).

The structure of the ESMP should be as follows:

- (i) **A Concise Introduction:** explaining the context and objectives of the ESMP, the connection of the proposed activity to the Project, and the findings of the screening process.
- (ii) **Project Description:** Objective and description of activities, nature and scope of the Project (location with map, construction and/or operation processes, equipment to be used, site facilities and workers and their camps; bill of quantities if civil works are involved, activity schedule).
- (iii) **Baseline Environmental and Social Data:** Key environmental information or measurements such as topography, land use and water uses, soil types, and water quality/pollution; and data on socioeconomic conditions of the local population. Photos showing the existing conditions of the Project sites should also be included.

- (iv) **Expected E&S Impacts and Mitigation Measures:** Description of specific environmental, social and health and safety risks and impacts of the activity and corresponding avoidance and mitigation measures, following the mitigation hierarchy
- (v) **ESMP Implementation Arrangements:** Responsibilities for design, bidding and contracts where relevant, implementing, monitoring, reporting, recording and auditing.
- (vi) **Capacity Need and Budget:** Capacity needed for the implementation of the ESMP (competencies/experience of personnel needed) and cost estimates for implementation of the ESMP.
- (vii) **Consultation and Disclosure Mechanisms:** Timeline and format of consultation, engagement, and disclosure following the SEP
- (viii) **Monitoring:** Environmental and social safeguards compliance monitoring with responsibilities, timelines and reporting needs.
- (ix) **Grievance Mechanism:** Provide information about the grievance mechanism, how PAPs can access it, and the grievance redress process, based on SEP/GRM of the ESMF.
- (x) **A site-specific community and stakeholder engagement plan:** In order to ensure that local communities and other relevant stakeholders are fully involved in the implementation of the ESMP, a stakeholder engagement plan should be included in the ESMP. Specific guidelines on community engagement are provided in Section 5.8 below.

5.3. Stakeholders' Role & Responsibilities in the ESMF Implementation

(a) General

The institutional arrangement (see Figure 18, below) for Project implementation includes the following institutions and institutional arrangements (see chart below):

Lead Executing Agency: The Executing Agency (EA) for the Project is the Fundo Brasileiro para a Biodiversidade – FUNBIO, a not-for-profit entity specialized in the fiduciary and operational management of environmental projects, accredited as GEF agency. FUNBIO was founded in 1996 as a financial mechanism for the implementation of the UN Convention on Biological Diversity (CBD) in Brazil. FUNBIO will be responsible for the technical, financial and fiduciary execution and administration of the Project, as well as for all procurement activities.

Project Management Unit (PMU): FUNBIO will execute the Project through a PMU to be created within its organizational structure and will allocate the necessary human and technical resources needed for Project execution. The Project will use FUNBIO's existing systems, especially Sistema Cérebro, for integrated Project planning, procurement, financial administration, reporting, and monitoring, while ensuring compatibility with GBFF and WWF-US Standards, procedures and control systems.

Policy level leadership: The MMA's Secretariat for Biodiversity, Forest and Animal Rights (SBio), will have overall policy-level leadership and will lead the institutional and technical coordination of the relationship among the government institutions participating in the Project through:

- 1) the Department of Protected Areas – DAP (responsible for Components 1 and 3);
- 2) the Department of Biodiversity Conservation and Sustainable Use – DCBio (responsible for Component 2); and
- 3) a **Project Coordination Unit (PCU)** that will sit in the MMA

Institutional operating unit support: FUNBIO will also coordinate its activities with the following Brazilian federal and state governmental entities, which have agreed to participate and support the Project's execution in the geographic or technical area corresponding to their respective legal mandates:

- 1) ICMBio will assist FUNBIO in the implementation of activities contained in Components 1, 2, 3 and 4, particularly those focused on federal PAs and surrounding areas; and
- 2) The environmental secretariats for the States of Bahia (INEMA) and Pernambuco (CPRH) will support FUNBIO in the implementation of Components 1, 2, 3 and 4 activities focused on their respective state-level PAs. Each of these entities will act as an operating unit in support of the Project;

Project Advisory Council (PAC): Project governance will also include a multi-institutional PAC to include a broader set of stakeholders including representatives from IP/TC&LC.

Project Operational Committee (POC): At executive level, the POC will be the decision-making body comprising the key implementing and executing agencies that oversee Project implementation. The POC will be supported by MMA's PCU and FUNBIO'S PMU. The POC plays the role of Steering Committee.

WWF GEF Agency: WWF-US, through its WWF GEF Agency will: (i) provide consistent and regular Project oversight to ensure the achievement of Project objectives; (ii) liaise between the Project and the GEF Secretariat; (iii) report on Project progress to GEF Secretariat (annual Project Implementation Report); (iv) ensure that both GEF and WWF policy requirements and standards are applied and met (i.e. reporting obligations, technical, fiduciary, M&E); (v) approve annual workplan and budget; (vi) approve budget revisions, certify fund availability and transfer funds; (vii) organize the terminal evaluation and review Project audits; (viii) certify Project operational and financial completion; and (ix) provide no-objection to key terms of reference for Project management unit.

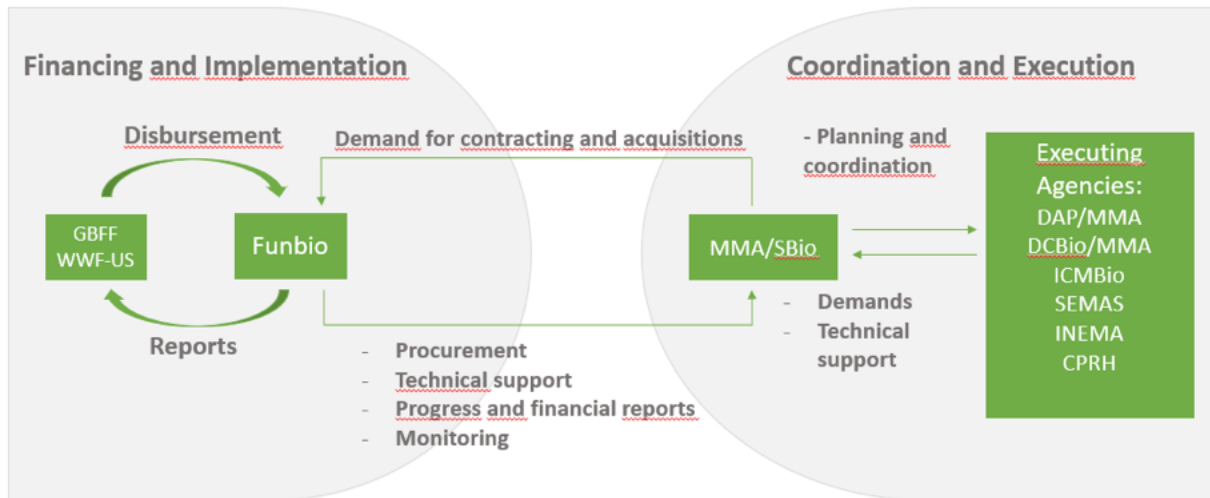


Figure 18. Project Institutional Arrangement

(b) Safeguards Implementation

Specific arrangements and responsibilities related to the implementation of environmental and social safeguards requirements, as stated in this ESMF/PF are as follows:

Lead executing agency (FUNBIO):

- Will set-up the PMU, create an organogram that integrates the need for safeguards as part of the Project implementation, provide the financial and human resources necessary to implement this ESMF and set-up policies and procedures to ensure safeguards activities are integral part of Project development and implementation.
- Key management approval steps will include safeguards as part of the process before notices to proceed and disbursements in particular.

Project Operational Committee (POC - aka Project Steering Committee):

- Oversight, Ensures Safeguards are implemented, provides support and guidance if/when safeguards issues arise, facilitate connection with other supporting structures (like cultural heritage institutions in case of chance finding)

WWF GEF Agency:

- Overall oversight and monitoring of compliance with safeguards commitments.
- Support and specific recommendations on specific safeguard issues if needed.

PMU:

- Project Management and Coordination: (i) Prepare Project documents and guidance (operational manual, procedures manual); (ii) In partnership with the PCU, conducts planning and provides support to executing partners; (iii) Train executing partners in Project

execution procedures; (iv) Responsible for day-to-day management and monitoring of Project activities; and (v) Liaise with internal and external stakeholders to facilitate Project execution, including procurement activities and contract management.

Community Liaison, Gender & Safeguards Focal Point (CLGSFP) within the PMU:

- The PMU will have in place a ***Community Liaison, Gender & Safeguards Focal Point (CLGSFP)***, who will have continuity in his/her role and will not have competing responsibilities or conflicts of interest, such as overall Project management.
- Some of the key continuity elements are the SEP, GRM, ITPPs, any LRPs, and GAP implementation, that will be managed by the CLGSFP with local/external support, as needed throughout the various phases of Project implementation.
- The CLGSFP will have authority to review/clear/approve safeguards documents, under the management of the PMU Manager, will be part of management reviews as part of overall Project monitoring,
- The CLGSFP will have responsibility to bring to the attention of management and/or the steering committee any critical issue that requires attention on the safeguards front and will ensure the timeliness of preparation and implementation of the safeguards instruments presented in the ESMF, which require adaptive management as the Project activities will be defined during various phases of the Project.
- The CLGSFP will establish a roster of environmental, health and safety, gender & social experts, that can: (i) address the various safeguards aspects; (ii) conduct specific assessment; (iii) prepare relevant documents such as chance-find procedure, Pest Management Plan or health and safety plans
- The CLGSFP will establish safeguards and gender communications channels with the various partners in charge of implementing sub-Projects, such as the various PA's Managers for component 1, and organize a presentation session at the beginning of the Project to present the ESMF, its various instruments, monitoring & reporting requirements etc.. The session will have to be renewed in case of turnover and new participants joining the Project.
- The CLGSFP will supervise and monitor safeguards implementation, receive reports from the field and consolidate information for overall Project reporting on activities, progress, effectiveness and challenges.

5.4. Monitoring

Compliance of Project activities with the ESMF will be carefully monitored by multiple actors at the various stages of preparation and implementation.

Monitoring at the Project level

As described in the previous section, the PMU's **Community Liaison, Gender & Safeguards Focal Point (CLGSFP)** will be in charge of monitoring at the Project level to ensure adequate implementation of the ESMF and the various safeguards and gender instruments it calls for, identifying and analyzing issues and challenges as early as possible, analyzing trends and developing practical solutions. The CLGSFP will work under the support and guidance of the PMU manager and the POC (in the capacity of what WWF terms the “Steering committees”).

With the PMU’s support, the CLGSFP will integrate to the extent possible safeguards monitoring systems into existing systems to facilitate the flow of information and data in a centralized digital manner (e.g., data entered online in the field and then processed and consolidated at the PMU level).

Monitoring at the field activity level

PA Managers, with support from the PA Council for each PA, will be responsible for monitoring field activities and ensuring their compliance with the Project ESMF and any relevant Brazilian laws.

MMA’s Project Coordination Unit (PCU), together with DAP and DCBio, will also support safeguards implementation and monitoring and collect monitoring and data and information from the PA Managers.

The relevant PA Federal and State Administrative Agencies (ICMBio, CPRH, and INEMA) will also facilitate and participate in field-level safeguards compliance monitoring.

The **ARCA Project PMU’s Community Liaison, Gender & Safeguards Focal Point (CLGSFP)** will be responsible for receiving, aggregating and monitoring field activities, based on input from the PA Managers and MMA’s project coordination unit, and ensuring that they fully comply with the ESMF and Brazilian national law. The CLGSFP will take action in case field monitoring is not occurring as expected and adapt requirements and field support as needed.

Other key stakeholders in Project execution at the field level will be engaged in the monitoring of field activities and their compliance with the ESMF, as relevant (for example, NGOs and Academic Organizations, such as the Associação Quilombola de Conceição das Crioulas (AQCC), Center for Advisory and Support to Workers and Alternative Non-governmental Institutions (CAATINGA), Society, Population, and Nature Institute (ISPN), The Caatinga Association, and the National Institute of the Semiarid (INSA)).

Disbursement of Project funds will be contingent upon full compliance with WWF safeguard requirements.

Monitoring at the agency level

WWF, as the Project's implementing agency, and FUNBIO, as executing agency, are responsible for overseeing compliance with the ESMF.

In order to facilitate compliance monitoring, FUNBIO will include information on the status of ESMF implementation in the regular Progress Reports, including bi-annual Project Progress Reports (PPRs) and annual Project Implementation Review (PIR) reports.

5.5. Community Engagement

Community consultation has been an integral part of these assessments as well as the proposed Project design and will be carried out as a continuous process through the Project cycle. This section describes the community engagement during Project preparation and implementation. This section is an overview, whereas the full details will be written out in the Stakeholder Engagement Plan.

(a) Community Engagement during Project Preparation

Project preparation began with a January 2024 workshop conducted by ICMBio, aimed at developing an institutional plan to guide the identification, establishment, and strengthening of PA management in target biomes. This occurred in the context of a renewed governmental initiative with regard to the establishment and registration of PAs as part of the national environmental policy. The ICMBio workshop and early Project concepts responded to needs voiced by communities within the Caatinga biome, including the need for stronger environmental management and protection and the development of income-generation activities based on sustainable natural resource use. WWF-US and FUNBIO therefore adopted participatory objectives in the designation of new PAs, and in the Project approach emphasizing sustainable resource management and use by IP/TP&LCs for improved livelihoods and PA management.

(b) Community Engagement during ESMF/PF Preparation

A direct community consultation process was further undertaken as part of ESMF/PF preparation in March 2024, with selected sample communities in four of the nine identified PAs, chosen to represent a cross section of the different types of communities in the area (Quilombola, artisanal fishermen, extractivists, caatingueiros, Fundo and Fecho de Pasto, family farmers, etc.).

These consultations were held in the local communities, in locations designated by the communities themselves (usually a local association or school), with representatives of key local institutions and unaffiliated community members. Each meeting began with a round of introductions followed by a brief summary explanation by the consultation team of the Project, its structure, financing, and key areas of action, as well as of the sorts of potential benefits and impacts it could potentially bring the community. These descriptions were intentionally kept simple and short, due to the Project's largely technical nature (largely focused as it is on the strengthening of management practices) and a desire to minimize descriptions of potential project benefits so as not to unduly raise expectations.

The groups overall appeared well-organized and informed, and virtually all had at least some ongoing projects and activities, some of them with external support. Participants were extremely engaged in the discussions, and expressed overall positive attitudes toward the Project, which they saw as an opportunity to address environmental challenges they are struggling with, such as water, waste, and fire management. There were few questions regarding the Project itself, although one participant raised the issue of the potential impacts of restrictions due to strengthened enforcement capacities on local communities (e.g., on artisanal subsistence hunting), even as the benefits of such reinforced compliance (e.g., in the combat against predatory hunting) was recognized. These issues promise to figure prominently in the participatory development of the PA Management Plans.

The discussions centered on the communities' concerns regarding their own environmental challenges and aspirations. The discussions were extremely focused and showed a cohesive understanding of both the causes and effects of diverse environmental problems, as well as ideas on ways in which the communities could be empowered to confront these challenges and take advantage of related income generating opportunities. The wide range of priority issues identified by each community suggests that there is considerable potential for local buy-in for the proposed Project. The consultations further suggested the role that local communities can play in the identification and development of and participation in actions around key environmental issues. While many of the issues raised cut across virtually all the communities, each community tended to focus on one or two key issues that they felt to be most critical. They demonstrated a nuanced and holistic understanding of the multiple causes and effects of these issues and their proposals for addressing them were also multi-dimensional. One striking aspect of the interventions was their environment focus, which was not imposed by the consultation team but seems to come spontaneously from the participants.

The consultations revealed multiple vectors of conflict, perhaps the most serious involving issues around land, as land titling is uneven and some communities have CFI collective titles that are prone to intra-community conflict. Land invasion (often by powerful plantation owners) and speculation are widespread, as are destructive uses of land (e.g., burning, predatory hunting, littering due to uncontrolled tourism, etc.) and the need for support in land titling was widely expressed.

In Lage dos Negros, there is an issue with powerful real estate interests encroaching on Cultural Heritage land and pressuring and applying pressure, harassment, and even threats Quilombola community leaders. Suggested actions included the creation of a Community Archive on the Cultural Heritage Site, support to environmental conservation activities, and training in income generation activities.

In Nova Canaã, land invasion, deforestation, conflicts around land speculation, access to water for animals, logging, predatory hunting, outmigration of local youth, and intra-community conflicts were the main issues cited, with land issues a dominant concern, coupled with deforestation by "invaders," who take advantage of the irregular tenure situation to engage in environmentally destructive practices. They expressed a need for legal advice to help them resolve these land issues. They also emphasized the importance of irrigation and their desire for an irrigation project on the perimeter of the settlement to help the local farmers produce beyond the level of subsistence, as well as concerns around the local river, which is used to water their animals. Current projects, such as a

community garden, are in need of additional training and technical assistance to help identify and exploit income generating opportunities. Ecotourism was discussed as an income generating alternative, with local youth mobilized and encouraged to participate. The idea of a community workshop to help them plan, organize and better manage their internal conflicts was also raised.

In Brejo Dois Irmãos, the key concern was with fires in the dry season, which are largely created by local actors and chase away key local species (e.g., jaguars) and contribute to the drying of the river and decreasing yields of fruit trees. The community seeks training in fire prevention, the development of awareness raising programs, the formation of a local volunteer fire brigade, and technical support to the replanting of fruit trees, in part to help combat rising temperatures. The community has tried to plant *buriti* seedlings and is also seeking technical support to sustainable *buriti* farming. Other main priorities are revitalization of the local river, cleaning of lakes and streams, repopulating fish stocks, and the development of fish farming, as well as combatting predatory hunting by outsiders.

In Brejo da Quixaba and Brejo Bomfim (both consulted together), concerns centered around the local river, which is suffering from drought, trash (plastic bags, bottles, etc.), the use of pesticides, and the spread of a local plant that has in recent years become invasive (possibly due to climate change or the loss of natural predators). They have made efforts to clean it with help from the surrounding communities but are hampered by others with less environmental awareness and want a more robust system of community litter prevention, waste collection, cleanup, and maintenance. They already have an environmental education and recycling project for youth that promotes selective collection and the production of crafts, painting and crochet from recovered materials, in the aim of generating income and protecting the local environment, with a dedicated locale, a registered association, and 60 local youth participating but they need additional technical support and training in environmental education and the preparation of replicators to work with surrounding communities in the wetlands to spread awareness of these issues and good practices for addressing them.

In Santo Inacio, the negative effects of uncontrolled tourism on local bodies of water was highlighted, including the leaving of trash by weekenders in springs and waterfalls, uprooting of plants, and writing of graffiti on ancient cave paintings. There is municipal trash collection but no proper final disposal (only burning and uncontrolled dumps), no selective collection, and raw sewage dumped directly into the river with no treatment or control of effluents. Fruit trees are being cut and destroyed. Uncontrolled exploitation of local sand is another concern, as well as waste management. The main demand was for an environmental education project with a focus on ecotourism, training of tour guides/environmental agents, and awareness raising for tourists, along with the development of a selective collection program and appropriate final disposal site, signage, and public information and warnings on fines for breaking environmental laws, starting with environmental training for local residents. Recovery of the river and other water bodies and preservation of local cactus were also priorities. The replanting of fruit trees (*mangaba*, *murici*, *buruti*, etc.) and investment in the processing of their fruits into sweets, liquor and other artisanal products, along with support to the growth and dehydration of medicinal plants for commercial sale, were also raised.

The needs, risks, and concerns expressed by project-affected stakeholders (PAPs and PCCs) will inform future updates to project documents and implementation, as well as stakeholder analyses to be developed in the PIF phase.

Consultations with PA Managers

Further virtual consultations with all nine current PA managers were also conducted. These interactions were diverse and varied, including group virtual and one-on-one meetings, face-to-face meetings, and in some cases joint field trips. Discussions were wide ranging and included various aspects of the project areas and local populations, key challenges in operations, and expectations for the future. The overall picture that emerged from these interactions was of a considerable unevenness among the various PAs in terms of staffing, material support, and funding, as well as of the training, knowledge, and experience of the managers themselves in safeguard-related issues. These differences will need to be taken into account in project implementation.

The individual consultations held and their results are more fully summarized below (see Appendixes 2-2.4 for more information regarding consultations and their attendance).

Details of these meetings are found in the Project Stakeholder Engagement Plan (SEP).

A second round of consultations is planned in the 5 remaining PAs, to be completed by May 1st, with reporting and results included in the final version of the SEP and this EMSF.

(c) Community engagement during Project implementation

The stakeholder engagement strategy for the Project implementation phase encompasses a series of planned consultations with diverse key stakeholders, following a structured and respectful approach aligned with the FPIC principles outlined in WWF-US Policy on Indigenous Peoples, Annex 7.5.⁴⁶ The early inception phase (i.e., in the first 9-12 months of implementation) will involve engagements focused on the introduction and validation of Project activities and approaches with affects local communities. Before these take place, FUNBIO will ensure that a designated Grievance Officer is in place to manage the Project-specific Grievance Redress Mechanism (GRM), to be developed within the first 3 months of implementation.

Throughout implementation, PA management teams will actively engage with communities within and around PAs to ensure their involvement in the management process. This engagement will include the participatory development and revision of Area Management Plans with the incorporation of community inputs. Priority will be given to communities already engaged in the development of management plans, with remaining communities to be consulted once their respective planning processes have been initiated (Components 1 and 3). These consultations will address any social, economic, and/or environmental risks and impacts associated with the management plans and ensure that community concerns are considered before finalization. Special emphasis will be placed on consulting communities affected by the expansion or creation of new PAs

⁴⁶ [WWF Policy on Indigenous Peoples, Annex 7.5](#)

and providing special attention to IP/TP&LCs, particularly Quilombola groups, to ensure that their cultural heritage is respected with regard to land and resource use. This approach aims to foster collaborative conservation efforts, mitigate potential conflicts, and enhance the effectiveness and sustainability of PAs while respecting and supporting local livelihoods.

After the Project concepts and related documents have been validated, and as part of the participatory development or revision of PA Management Plans, executing units will conduct a stakeholder analysis in Project areas. This process will identify stakeholders potentially affected by or interested in the Project, assessing their support or opposition and any specific concerns they may express. It will evaluate the Project's impact on stakeholders, their relative influence, the necessity of FPIC for engagement, and the creation of Indigenous and Traditional Peoples Plans. The analysis will aim to ensure comprehensive engagement across all relevant groups, addressing gender-specific needs and inequalities in line with FUNBIO's Gender Mainstreaming Policy and overcoming barriers to stakeholder participation, whether they relate to communication methods or to the physical accessibility of meetings.

Key government agencies, such as the Ministry of the Environment and Climate Change (MMA) and the Chico Mendes Institute for Biodiversity Conservation (ICMBio), will have operational and technical roles throughout the Project, with regular participation in the Project Operational Committee (POC) and Project Advisory Council (PAC) meetings to oversee Project implementation. Community-based organizations (CBOs), such as the Associação Quilombola de Conceição das Crioulas (AQCC) and Central da Caatinga, along with NGOs with relevant expertise, such as the Caatinga Association and the Society, Population, and Nature Institute (ISPN), will be engaged through field visits, workshops, and consultation processes. Their contributions will inform the development of communication campaigns, sub-grant proposals for community-led conservation initiatives, and the facilitation of knowledge management activities (Components 2, 3, and 4). Academic institutions, such as the National Institute of the Semiarid (INSA), will also be involved in supporting biodiversity surveys and management improvements in PAs, with participation in PAC meetings to ensure the Project's alignment with scientific and academic standards regarding Component 1.

5.6. Guidance for SEAH Risk Mitigation

According to the results of the screening provided in Annex 1 of this ESMF, a detailed plan to address SEAH risks will be developed within the first six months of Project start-up, using both information already included in the GAP and updated procedures for SEAH-specific grievances outlined in Section 5.9 below. This will include:

- Inclusion of any identified SEAH-related risk mitigation measures into the Project's annual workplan and budget and annual reporting requirements.
 - This will require the participation of the entire PMU in reviewing any identified risks and mitigation measures to ensure that all staff understand their responsibilities and the responsibilities of Project Executing and Implementing

Agencies, Project partners, contractors, and any other entities who will receive GCF funding for this Project.

- Development of a communication mechanism between the local Project partners and the PMU's Community Liaison, Gender & Safeguards Focal Point (CLGSFP) and any additional SEAH focal staff members in order to address in a timely manner any SEAH situation that may arise at the territorial level. This early warning system will be included in the Project's security protocol, and will require:
 - Reporting any such grievances or challenges within a defined time period of no less than 5 business days. This shall hold true even if grievances are informally submitted (i.e. not through an official GRM)
 - The confidentiality of anyone who has received a complaint or become aware of a SEAH-related situation, including protecting the personal identifiable information of all parties- both the potential victim(s) and potential perpetrators(s).
- Strengthen the capacities of the Project's implementing partners on prevention of GBV and SEAH as well as WWF policies and codes of conduct to address SEAH risk. These trainings will be done in partnership by the Project's Community Liaison, Gender & Safeguards Focal Point, and additional SEAH and ESS point-people and consultants, and should include:
 - Training within the first 3 months of Project implementation that have been prepared with oversight and final approval from the WWF GCF AE Safeguards and Gender Leads.
 - Be mandatory for all implementing partner staff who will be involved in the GCF-financed activities.
- Strengthen the site-based technical committees and Project managers on the ground in each project site, so that they can establish rapid response mechanisms to address issues associated with threats to environmental leaders and gender-based violence. This includes, but is not limited to:
 - In cases of such threats, provide committees and managers with additional resources to ensure a timely response that is focused on the well-being of anyone who is threatened.
 - Provide the same GBV and SEAH training to these committees that the implementing partners will receive.
- Strengthen the capacities of the entities that participate in the multi-stakeholder bodies that will be strengthened by the Project, so that specific prevention and rapid response measures are included to address GBV and SEAH-specific threats, including to any social and environmental leaders those multi-stakeholder bodies may work with.
 - Provide the same GBV and SEAH training to these multi-stakeholder bodies that the implementing partners and agencies will receive.

5.7. Communications and Disclosure

All affected communities and relevant stakeholders shall be informed about the ESMF requirements and commitments. The executive summary of the ESMF will be translated into Brazilian Portuguese

and made available along with the ESMF and SEP on the websites of FUNBIO, as well as the websites of the WWF GEF Agency. Hard copies of the ESMF will be placed in appropriate public locations and at FUNBIO. Project Managers and the Safeguards and Gender Specialists at FUNBIO will be responsible to raise community awareness regarding the requirements of the ESMF, and will also ensure that all external contractors, partner agencies, and service providers are fully familiar and comply with the ESMF and other safeguards documents.

During the implementation of the Project, activity-specific ESMPs shall be prepared in consultation with affected communities and disclosed to all stakeholders prior to Project concept finalization. All draft ESMPs shall be reviewed and approved by FUNBIO in consultation with the PSC and WWF GEF Agency in advance of their public disclosure. The PMU must also disclose to all affected parties any action plans prepared during Project implementation, including gender mainstreaming.

Disclosure should be carried out in a manner that is meaningful and understandable to the affected people. For this purpose, the executive summary of ESMPs or the terms and conditions in environment clearances should be disclosed on FUNBIO and WWF websites and in hard copy (see Table 8, below).

The disclosure requirements are summarized in Table 8 below.

Table 8: Disclosure framework for ESMF related documents

Documents to be disclosed	Frequency	Where
Environment and Social Management Framework, including the ITPPF and PF	Once in the entire Project cycle. Must remain on the website and other public locations throughout the Project period.	On the website of FUNBIO and WWF. Copies should be available at the PMU office, and in local municipal offices in Project areas
Environmental and Social Management Plan/s	Once in the entire Project cycle for every activity that requires ESMP. Must remain on the website and other disclosure locations throughout the Project period.	On the website of FUNBIO and WWF. Copies should be available at the PMU office, and in local municipal offices in Project areas
Indigenous and Traditional Peoples Plans	Once in the Project cycle for every community that requires an ITPP, pending approval from the communities in question. Must remain on the websites and other disclosure locations throughout the Project period.	On the website of FUNBIO and WWF. Copies should be available at the PMU office, and in the relevant community in a location accessible to all community members.

Safeguards Progress Reports	Quarterly & Annually	Copies should be available at the PMU office, and in local municipal offices in Project areas
Minutes of Public Consultation Meetings required by this ESMF	Within two weeks of meeting	Copies should be available at the PMU office and in PAs headquarters. Availability in local municipal offices in Project areas, may be an option, if PA buildings are not easily accessible. Note: personally identifiable information should be removed and the privacy of stakeholders protected in these Meeting Minutes.
Grievance redress process	Quarterly, throughout the Project cycle	On the website of FUNBIO. Copies should be available at the PMU office

5.8. Capacity Building and technical assistance

Capacity building activities will be provided as needed by WWF-US to FUNBIO to support the latter with ESMF/PF/ITPPF implementation requirements and good practices. These will focus in particular on issues related to the preparation of ESMPs, LRPs and ITPPs, organization of consultations, operationalization of the GRM, and monitoring of ESMF implementation. The budget for capacity building shall be included in Component 4, Project management and capacity building.

5.9. Grievance Mechanisms

The Project will have a direct and tangible effect on local communities and individuals residing within or in the vicinity of Project sites. There is thus a need for an efficient and effective Grievance Redress Mechanism (GRM) that collects and responds to stakeholders' inquiries, suggestions, concerns, and complaints. This section will describe the details of the GRM, including details on the process to submit a grievance, how long the PMU will have to respond, and who on the PMU will be responsible for its implementation and reporting.

The GRM will operate based on the following principles:

1. **Fairness:** Grievances are assessed impartially, and handled transparently.
2. **Objectiveness and independence:** The GRM operates independently of all interested parties in order to guarantee fair, objective, and impartial treatment to each case.

3. ***Simplicity and accessibility:*** Procedures to file grievances and seek action are simple enough that Project beneficiaries can easily understand them and in a language that is accessible to everyone within a given community, especially those who are most vulnerable.
4. ***Responsiveness and efficiency:*** The GRM is designed to be responsive to the needs of all complainants. Accordingly, officials handling grievances must be trained to take effective action upon, and respond quickly to, grievances and suggestions.
5. ***Speed and proportionality:*** All grievances, simple or complex, are addressed and resolved as quickly as possible. The action taken on the grievance or suggestion is swift, decisive, and constructive.
6. ***Participation and inclusiveness:*** A wide range of affected people—communities and vulnerable groups—are encouraged to bring grievances and comments to the attention of the Project implementers. Special attention is given to ensure that poor people and marginalized groups, including those with special needs, are able to access the GRM.
7. ***Accountability and closing the feedback loop:*** All grievances are recorded and monitored, and no grievance remains unresolved. Complainants are always notified and get explanations regarding the results of their complaint. An appeal option shall always be available.

Complaints may include, but not be limited to, the following issues:

- (i) Allegations of fraud, malpractices or corruption by staff or other stakeholders as part of any Project or activity financed or implemented by the Project, including allegations of gender-based violence or sexual exploitation, abuse, or harassment;
- (ii) Environmental and/or social damages/harms caused by projects financed or implemented (including those in progress) by the Project;
- (iii) Complaints and grievances by permanent or temporary workers engaged in Project activities.

Complaints could relate to pollution prevention and resource efficiency; negative impacts on public health, environment or culture; destruction of natural habitats; disproportionate impact on marginalized and vulnerable groups; discrimination or physical or sexual harassment; violation of applicable laws and regulations; destruction of physical and cultural heritage; or any other issues which adversely impact communities or individuals in Project areas. The grievance redress mechanism will be implemented in a culturally sensitive manner and facilitate access to vulnerable populations. Special training will be provided to the Community Liaison, Gender & Safeguards Focal Point (CLGSFP) within the first 6 months of Project implementation, or before the GRM is finalized, whichever is sooner. This will help to ensure they have the capacity to address SEAH-related grievances in a culturally sensitive and victim-centered way. The GRM process includes:

- (1) Disseminating information about the GRM;**
- (2) Submitting complaints;**
- (3) Processing complaints;**
- (4) Acknowledging the receipt of complaints;**

- (5) Investigating complaints;**
- (6) Responding to complainants;**
- (7) Appeal;** and
- (8) Monitoring and evaluation.**

The GRM seeks to complement, rather than substitute, the judicial system and other dispute resolution mechanisms. All complainants may therefore file their grievance in local courts or approach mediators or arbitrators, in accordance with the legislation of Brazil.

In addition to the Project-specific GRM, a complainant can submit a grievance to the WWF GEF Agency. A grievance can also be filed with the Project Complaints Officer (PCO), a WWF staff member fully independent from the Project Team, who is responsible for the WWF Accountability and Grievance Mechanism and who can be reached at:

Email: SafeguardsComplaint@wwfus.org

Mailing address:

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

Stakeholder may also submit a complaint online through an independent third-party platform at <https://report.whistleb.com/pt/message/wwfthirdparties>

5.10. Budget

The ESMF implementation costs, including all costs related to compensation to Project affected people, will be fully covered from the Project budget. It will be the responsibility of the Community Liaison, Gender & Safeguards Focal Point (CLGSFP) to ensure that sufficient budget is available for all activity-specific mitigation measures that may be required in compliance with the ESMF.

At least one full time Community Liaison, Gender & Safeguards Focal Point (CLGSFP) will be employed and 100% of their time will be dedicated to ensuring the ESMF and GAP implementation. Depending on the Project's phase and needs, it might be necessary to form a team of two or more safeguards specialists for different subject matters and/or different areas. The Project Manager in the PMU will oversee the ESMF implementation.

Budget for capacity building on the ESMF/PF/ITPPF implementation, travel costs and workshops and meetings for safeguards monitoring (including travel, workshops and meetings) will be included in the overall monitoring and evaluation budget of the Project.

Annex 1. Safeguard Eligibility and Impacts Screening

This screening tool needs to be filled out for each activity or category of activities included in the annual work plan and budget. In addition, the screening tool needs to be completed whenever management measures or management plans are developed and/or when Project intervention areas are determined.

The tool will be filled out by the Community Liaison, Gender & Safeguards Focal Point (CLGSFP) and reviewed by the Monitoring and Evaluation (M&E) Officer. The decision on whether a Site-Specific Environmental and Social Management Plan (ESMP) or Livelihood Restoration Plan (LRP) are required shall be made by the Community Liaison, Gender & Safeguards Focal Point in consultation with the WWF GEF Agency Safeguards Specialists and PMU Project Manager, based on the information provided in this screening form, as well as interviews with the PMU staff, local communities, and any other relevant stakeholders.

Part 1: Basic Information

1	Activity Name	
	Description of Activity (“sub-activities”)	
2	Type of Activity:	New activity <input type="checkbox"/> Continuation of activity <input type="checkbox"/>
3	Activity location:	
4	Total size of site area	
5	Activity implementation dates	
6	Total cost	

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

Part 2: Eligibility Screening

No.	Screening Questions: <i>Would the Project activity</i>	Yes	No	Comments/Explanation
1	Lead to land management practices that cause degradation (biological or physical) of the soil and water? Examples include, but are not limited to: the felling of trees in core zones and critical watersheds; activities involving quarrying and mining; commercial logging; or dredge fishing.			
2	Negatively affect areas of critical natural habitats or breeding ground of known rare/endangered species?			
3	Significantly increase GHG emissions?			

No.	Screening Questions: <i>Would the Project activity</i>	Yes	No	Comments/ Explanation
4	Use genetically modified organisms or modern biotechnologies or their products?			
5	Involve the procurement and/or use of pesticides and other chemicals specified as persistent organic pollutants under the Stockholm Convention or within categories IA, IB, or II by the World Health Organization?			
6	Develop forest plantations?			
7	Result in the loss of biodiversity, alteration of the functioning of ecosystems, and introduction of new invasive alien species?			
8	Involve the procurement or use of weapons and munitions or fund military activities?			
9	Lead to private land acquisition and/or to the physical displacement and voluntary or involuntary relocation of people, including non-titled and migrant people?			
10	Contribute to exacerbating any inequality or gender gap that may exist?			
11	Involve illegal child labor, forced labor, sexual exploitation or other forms of exploitation?			
12	Adversely affect indigenous and traditional peoples' rights, lands, natural resources, territories, livelihoods, knowledge, social fabric, traditions, governance systems, and culture or heritage (physical and non-physical or intangible) inside and/or outside the Project area?			
13	Negatively impact areas with cultural, historical or transcendent values for individuals and communities?			
Please provide any further information that can be relevant:				

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

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

Part 3: Impacts screening

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

No	Would the Project activity:	Yes/No	Provide explanation and supporting documents if needed
<i>Environmental Impacts</i>			
1	Result in permanent or temporary change in land use, land cover or topography.		
2	Involve clearance of existing land vegetation		If yes, number of trees to be cut down: Species of trees: Are the trees protected: Total land area of vegetation cover removed: Estimated economic value of the trees, crops and vegetation to be cut down/removed and any replacement costs (e.g., fees, registration, taxes): <i>Provide additional details:</i>
3	Does the activity involve reforestation or modification of natural habitat? If yes, will it involve use or introduction of non-native species into the Project area?		
4	Will pesticides be used? If so, are they on the list of those excluded by the Stockholm Convention?		
5	Result in environmental pollution? This may include air pollution, liquid waste, solid waste, or waste as the result of earth moving or excavation for example		
6	Trigger land disturbance, erosion, subsidence, or instability?		
7	Result in significant use of water, such as for construction?		
8	Produce dust during construction and operation?		
9	Generate significant ambient noise?		
10	Increase the sediment load in the local water bodies?		
11	Change on-site or downstream water flows?		
12	Negatively affect water dynamics, river connectivity or the hydrological cycle in ways other than direct changes of water flows (e.g. water filtration and aquifer recharge, sedimentation)?		
13	Result in negative impacts to any endemic, rare or threatened species; species that have been identified as significant through global, regional, national, or local laws?		

14	Could the activity potentially increase the vulnerability of local communities to climate variability and changes (e.g., through risks and events such as landslides, erosion, flooding, or droughts)?		
<i>Socio-Economic Impacts</i>			
15	Negatively impact existing tenure rights (formal and informal) of individuals, communities or others to land, fishery and forest resources?		
16	Operate where there are indigenous peoples and their lands/territories/waters are located? OR Operate where any indigenous communities have close cultural/spiritual or land use relationships? If yes to either, answer questions below:		
	a. Has an FPIC process been started? b. Will any restrictions on their use of land/territories/water/natural resources be restricted?		
17	Restrict access to natural resources (e.g., watersheds or rivers, grazing areas, forestry, non-timber forest products) or restrict the way natural resources are used, in ways that will impact livelihoods?		
18	Restrict access to sacred sites of local communities (including ethnic minorities) and/or places relevant for women's or men's religious or cultural practices?		
19	Operate where there are any cultural heritage or religious or sacred sites that may be impacted by the Project?		
20	Undermine the customary rights of local communities to participate in consultations in a free, prior, and informed manner to address interventions directly affecting their lands, territories or resources?		
<i>Labor and Working Conditions</i>			
21	Involve hiring of workers or contracting with labor agencies to provide labor? If yes, answer questions a-b below.		
	c. Are labor management issues prevalent in the landscape? d. Are illegal child labor issues prevalent in the landscape?		

22	Involve working in hazardous environments such as steep, rocky slopes, areas infested with poisonous animals and/or disease vectors?		
<i>Minorities and Vulnerable Groups</i>			
23	Negatively affect vulnerable groups (such as ethnic minorities, women, poorer households, migrants, and assistant herders) in terms of impact on their economic or social life conditions or contribute to their discrimination or marginalization?		
24	Stir or exacerbate conflicts among communities, groups or individuals? Also considering dynamics of recent or expected migration including displaced people, as well as those who are most vulnerable to threats of sexual exploitation, abuse or harassment.		
<i>Occupational and Community Health and Safety</i>			
25	Involve any risks related to the usage of construction materials, working high above the ground or in canals where slopes are unstable?		
26	Expose local community to risks related to construction works or use of machinery (e.g., loading and unloading of construction materials, excavated areas, fuel storage and usage, electrical use, machinery operations)		
27	Generate societal conflicts, increased risk of sexual exploitation, abuse or harassment or pressure on local resources between temporary workers and local communities?		
28	Work in areas where forest fires are a threat? If yes, how recently was the last one?		
29	Work in areas where there the presence or history of vector-borne diseases (some examples include malaria, yellow fever, encephalitis)		
<i>GBV/SEAH Risks</i>			
30	Is there a risk that the Project could pose a greater burden on women by restricting the use, development,		

	and protection of natural resources by women compared with that of men?		
31	Is there a risk that persons employed by or engaged directly in the Project might engage in gender-based violence (including sexual exploitation, sexual abuse, or sexual harassment)? The response must consider risks not only at the beneficiary level, but also to workers within all the organizations receiving GEF funding (e.g., FUNBIO).		
32	Does the Project increase the risk of GBV and/or SEAH for women and girls, for example by changing resource use practices or singling out women and girls for training without complimentary training/education for men? The response must consider all workers within the organizations receiving GEF funding (e.g., FUNBIO).		
33	Does any mandated training for any individuals associated with the Project (including Project staff, government officials, park rangers and guards, other park staff, consultants, partner organizations and contractors) cover GBV/SEAH (along with human rights, etc.)?		
<i>Conflict Sensitivity and Risks</i>			
34	Are there any major underlying tensions or open conflicts in the landscape/seascape or in the country where the landscape/seascape is situated? If yes, answer a-d below		
	<ul style="list-style-type: none"> e. Is there a risk that the activities interact with or exacerbate existing tensions and conflicts in the landscape/seascape? f. Do stakeholders (e.g. implementing partners, rights holders, other stakeholder groups) take a specific position in relation to the conflicts or tensions in the landscape/seascape or are they perceived as taking a position? g. How do stakeholders perceive WWF Country Office and IA and its partners in relation to existing conflicts or tensions? h. Could the conflicts or tensions in the landscape/seascape have a negative impact on the activities? 		
35	Could the activities create conflicts among communities, groups or individuals?		
36	Are some groups (stakeholders, rights holders) benefiting more than others from the activities? And if so,		

	how is that affecting power dynamics and mutual dependencies?		
37	Do the activities provide opportunities to bring different groups with diverging interests positively together?		

List of documents to be attached with Screening form:

1	Layout plan of the activity and photos
2	Summary of the activity proposal
3	No objection certificate from various departments and others relevant stakeholders

Screening Tool Completed by:

Signed:

Name: _____

Title: _____

Date: _____

Screening Conclusions [TO BE COMPLETED BY Coordinating Environmental and Social Safeguards Specialist(s)]

i. Main environmental issues are:

ii. Permits/clearance needed are:

iii. Main social issues are:

iv. Further assessment/ investigation needed and next step.

a. Need for any special study:

b. Preparation of ESMP (main issue to be addressed by the ESMP):

c. Preparation of LRP (main issue to be addressed by the LRP):

d. Any other requirements/ need/ issue etc:

	Screening Tool Reviewed by: Signed: Name: _____ Title: _____ Date: _____
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ARCA Project Exclusion List

The following practices and activities will not be supported by the Project:

1. Lead to land management practices that cause degradation (biological or physical) of the soil and water. Examples include, but are not limited to: the felling of trees in core zones and critical watersheds; activities involving quarrying and mining; commercial logging; or dredge fishing.
2. Negatively affect areas of critical natural habitats or breeding ground of known rare/endangered species.
3. Significantly increase GHG emissions.
4. Use genetically modified organisms or modern biotechnologies or their products.
5. Involve the procurement and/or use of pesticides and other chemicals specified as persistent organic pollutants under the Stockholm Convention or within categories IA, IB, or II by the World Health Organization.
6. Develop forest plantations.
7. Result in the loss of biodiversity, alteration of the functioning of ecosystems, and introduction of new invasive alien species.
8. Involve the procurement or use of weapons and munitions or fund military activities.
9. Lead to private land acquisition and/or physical displacement and voluntary or involuntary relocation of people, including non-titled and migrant people.
10. Contribute to exacerbating any inequality or gender gap that may exist.
11. Involve illegal child labor, forced labor, sexual exploitation or other forms of exploitation.
12. Adversely affect Indigenous and Traditional Peoples' rights, lands, natural resources, territories, livelihoods, knowledge, social fabric, traditions, governance systems, and culture or heritage (physical and non-physical or intangible) inside and/or outside the Project area.
13. Negatively impact areas with cultural, historical or transcendent values for individuals and communities, whether tangible or intangible.
14. Involves physical resettlement.
15. Involves river damming activities.
16. Involves land acquisition from willing sellers who are not IP/TP&LC