Profonanpe

Field Entry Protocol

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BACKGROUND

Profonanpe, as the environmental fund of Peru, promotes life's sustainability by connecting humanity with the environment. It is a private, non-profit institution created by law in 1992[1], to administer the National Fund for Natural Areas Protected by the State (FONANPE) and other resources that may be transferred, by the provisions and regulations of the Natural Protected Areas Law[2] (ANP).

Profonananpe is responsible for raising, managing and channeling financial resources to execute programs and projects that contribute to conserving biodiversity, the environment, and the mitigation and adaptation to climate change.

As of 2020, Profonanpe, after an absorption process, incorporated the National Environmental Fund (FONAM). According to this, Profonanpe manage public-sector resources (central, regional, and local governments) to finance remediation activities for environmental liabilities generated by productive, extractive, or service activities in the national territory's continental and marine areas.

It is currently the only Environmental Fund in Peru accredited by two international funds: the Adaptation Fund, as a National Implementation Entity (NIE) since 2014, and the Green Climate Fund (GCF), as a Direct Access Entity (DAE) since 2015.

Profonanpe has an Environmental and Social Management System (ESMS), consisting of policies, strategies, and tools to identify, monitor, and evaluate environmental and social risks in each of Profonanpe's portfolio interventions. The 11 Environmental and Social Policies (ESPs) are the central element of the ESMS.

Within this framework, the protocol for entering the field is a tool of the ESMS and in particular, allows compliance with PAS 1 on Environmental and Social Impact and Risk Assessment and Management, PAS 6 on Stakeholder Involvement and Participation, PAS 7 on Gender Approach, PAS 8 on Indigenous Peoples and PAS 9 on Profonanpe's Cultural Heritage(3). The Annexes that make up this Protocol are for reference and guidance purposes. Their content should be adapted to the particularities of each case, as appropriate.

[1] Decree Law No. 26154
[2] DS N°038-2001-AG
[3] See PAS document at https://profonanpe.org.pe/wp-content/uploads/2021/03/Politicas-Ambientales-y-Social.pdf.

OBJECTIVE

Facilitate culturally relevant guidelines so that the technical and administrative teams of the interventions and Profonanpe's headquarters, as well as consultants or other external personnel, can develop activities in the field during the different stages of the interventions, such as design, implementation, and closure, respecting the cultural particularities of the local populations within the framework of intercultural, gender, intergenerational and human rights cross-cutting approaches.

PURPOSE

Ensure that Profonanpe teams, consultants, or other external personnel carry out field visits that respect the cultural particularities of local populations within the framework of cross-cutting approaches.

SCOPE

The guidelines presented in this Protocol must be complied with by Profonanpe personnel, including those from Profonanpe headquarters, consultants or other external personnel[4], who may intervene or enter the territories of the intervention areas.

CROSS-CUTTING APPROACHES

The following are the cross-cutting approaches that guide this protocol:

- **Human rights approach:** implies the recognition of the individual, his or her needs, and rights so that such state actions contribute to the respect, guarantee, and promotion of human rights, following the Universal Declaration of Human Rights and the international conventions and instruments ratified and recognized by the Peruvian State(5).

- **Intercultural approach:** implies the valorization and incorporation of the different cultural visions, conceptions of well-being, and development of the other ethno-cultural groups for the involvement of local stakeholders, with

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[4] For example, consultants, contractors, journalists, among others.
[5] Supreme Decree N° 010- 2020-JUS

cultural relevance. Also, promoting a citizenship that recognizes diversity based on dialogue and with particular attention to indigenous peoples, the Afro-Peruvian population, and other populations involved in Profonanpe's interventions. From an ethical-political paradigm, it is based on the recognition of cultural differences as one of the pillars for the construction of a democratic society, based on the establishment of relationships of equity and equality of opportunities and rights[6].

- **Gender approach:** is a way of looking at reality by identifying the roles and tasks performed by men and women in society, as well as the asymmetries, existing gaps, power relations and inequalities occuring between them. It makes it possible to know, explain and understand the causes that produce these asymmetries and inequalities for addressing them in a relevant and differentiated manner, avoiding widening the existing gaps and favoring their reduction as far as possible[7].

- **Intergenerational approach:** decisions and actions taken by current generations ensure that future generations can have the right to safe and healthy lives in a sustainable environmental setting of no lesser quality than that of the current generation[8].
- **Biodiversity approach:** is a form that considers, from design and implementation, the protection and conservation of biodiversity and habitats, ensuring environmental flows of water, among others, to maintain the benefits of ecosystem services and promote the sustainable use and management of natural resources and biodiversity[9].

GUIDELINES FOR ENTERING THE FIELD

1. Before entering the field:

1.1. Scope information

a) Identify which culturally diverse local actors exist in the territory (indigenous or native peoples, fishing communities, Afro-Peruvian peoples, migrants, among others).

b) Seek specific information on the local stakeholders identified: languages spoken, places of cultural interest or importance, activities carried out, organizations, local associations, guilds, levels of governance, representatives and/or community authorities and other representative bodies, if applicable.

[6] Supreme Decree Nº 003-2015-MC.
[7] Ministerial Resolution No. 173- 2016-MIMP.
[8] Law No. 30754, Framework Law on Climate Change
[9] Adaptation of the Biodiversity Principle of the GCF Environmental and Social Policy. Available at https://www.greenclimate.fund/sites/default/files/document/environment-social-policy_0.pdf

c) In case of a first entry to the field:
   - Identify if there has been any type of relationship, previous work, actions or communications with Profonanpe personnel.
   - Prepare a document with the information obtained to help enter the field.

d) In the case of field visits during the development of the interventions, review the following documents, if available:
   - Risk Matrix,
   - Stakeholder Mapping,
   - Stakeholder Involvement Plan,
   - Gender Action Plan,
   - Indigenous Peoples Plan, if applicable, and others.

e) If the team entering the field is different from the one in charge of the particular intervention, it should request a meeting with the latter to be informed of the content of the documents mentioned in the previous paragraph or other information on local actors and existing resources in the territories that are relevant to the entry.

f) Prepare materials/equipment whose use is necessary to fulfill the purposes of the field trip, considering the particularities of the territories visited (availability of electric power, meeting spaces, availability of blackboards, tables, chairs, etc.).

g) The composition of the teams entering the field should be diverse, applying gender, intercultural, and intergenerational approaches. Priority should be given to appropriate professional profiles to achieve the objectives of entering the field.

Tools:

- Base of Database at Pueblos Indigenous Peoples Database from Culture: https://bdpi.cultura.gob.pe/
- Dashboard Profonanpe[10] https://app.powerbi.com/view?r=eyJrIjoiYTc4OTk4M2YtY2FhOC00MjEx LWI5NzQtNTFmOGM1YTI5MjlhIiwidCI6IjUyYzY2OWMyLTkzODItNDI2 YS05ODAxLTc2OTMwZTdjNTQ1MCJ9
- InfoMIDIS. https://sdv.midis.gob.pe/infomidis/#/
- Ethnolinguistic map: https://geoportal.cultura.gob.pe/mapa_etnolinguistico/
- Indigenous federations and/or organizations: Coordinate with OPID.
- IBC Dashboard: https://ibcperu.maps.arcgis.com/apps/dashboards/3a12a68b33024342b 66e002093f326d2
- Other specialized publications on the identified populations

[10] Request to Profonanpe's Office of Research and Development (OID)

- Baselines, Stakeholder Engagement Plan, Stakeholder Mapping or other safeguards instruments/documentation developed by the intervention and/or Profonanpe.

1.2. Prior coordination with representatives and/or authorities of the territory

a) Coordinate with the representative and/or community authorities regarding the purpose of the visit, number of people traveling and length of stay, planned activities, among other relevant issues. This coordination can be done in person, if the interventions have personnel on the ground, by telephone or other means depending on the area (radio, local radio, etc.).

b) Inform the identified authorities, at least 7 days in advance, through a written communication, telephone, e-mail or other verifiable means, the purpose of the visit, the number of people who will enter, the length of stay, the activities planned, among other relevant information.

c) When the activities include sessions with women, youth, older adults or other relevant specific groups, methodologies that include cross-cutting approaches should be considered. In those cases, you should request the advising of the Indigenous Peoples Office and the Coordination of Safeguards of Profonanpe's Monitoring and Evaluation Directorate.

d) Request information on possible environmental and social risks in the area to be visited during the scheduled date of entry - for example, diseases or epidemics, rainy season or landslides, among others - as well as on communal activities, prohibitions, codes of conduct of the local populations in the territories.

e) Obtain information on the need for an interpreter of the indigenous or native language, if applicable. If it has not been possible to obtain the information in advance, arrange for the participation of an interpreter from the population, in coordination with the representative and/or community authorities.

f) If it is necessary to spend the night in the community, inform the representative and/or community authorities in advance to identify a suitable environment for this purpose.

g) Prepare a work plan with the information obtained and present it to the representative and/or authorities at the team's presentation. If the entry is in charge of a different team from the one in the area, the work plan must be previously shared with that team. The plan must have the validation of the coordinator, director or manager of the particular intervention.

h) If the purpose of entering the field is to hold meetings or workshops that imply the transfer and stay of people from the populations from their territories to the place where these actions will take place, the availability of resources to cover the expenses incurred must be coordinated and foreseen.

Tools

- National Registry of Interpreters: https://traductoresdelenguas.cultura.pe/
- Telephone database, baselines, among others, if applicable.

2. During field entry:

2.1. Arrival in the field

a) Submit a document that serves as a presentation. This document must accredit each person entering the territories, whether Profonanpe personnel, consultants or other external personnel, and must be signed by the director/manager/chief/coordinator in the superior line to whom it accredits. If the persons entering are consultants or external personnel, they must be accompanied by someone from the intervention team and/or Profonanpe. Take into account the model **Accreditation Letter** in **Annex 1**.

b) Hold a meeting with the representative and/or community authorities, according to the previously established arrangements. Use the model **Methodological Guideline** in **Annex 2** as a reference.

c) Deliver the Work Plan to the representative and/or communal authorities and confirm its reception with a sign, or other evidence available. Use the **Work Plan** model in **Annex 3** as a reference.

d) Whenever possible, prioritize hiring people from the territories. Some of the areas in which hiring may be considered are transportation, interpretation in indigenous or native languages, guide services for specific visits to the territory, and food preparation. If this is not possible, coordinate with the representative and/or community authorities to prevent any type of social or environmental risk due to the entry of outsiders into the territory.

2.2. Development of field activities

a) Begin the activities according to the work plan.

b) Travel to the space assigned by representative and/or communal authorities to develop activities, overnight stay or luggage storage, as appropriate.

c) If more time is required than planned, the authorities must be coordinated, informed and explained. In order to carry out activities other than those indicated in the Work Plan, it must be ensured that the representative and/or community authorities are duly informed, which must be verified by a means of verification.

d) Develop the recording of information through digital media -photography, photo, video, audio, etc.- only by the objectives of the intervention and with the authorization of the representative and/or community authorities and the person responsible for the team in the field. For the use of the material collected at the audiovisual level, the **"Image Use Cession" form** must be signed, which is included in **Annex 4**. Under no circumstances will audiovisual information of minors be recorded without prior authorization from their parents or guardians.

3. Closure of the field work

a) Inform the representative and/or community authorities and Profonanpe of the actions developed within the framework of the Work Plan, through a report mentioning the results obtained, using the means available. Take into account the **Activity Report** model in **Annex 5**.

b) Inform about the next steps, avoiding expectations beyond the entry objectives, and if necessary clarify any doubts that may have arisen.

c) Verify that the documents - letters, minutes, reports or agreements - have the signatures of the representative and/or community authorities with legitimacy and authority. Leave a copy of the signed documents with them. If this is not possible, an agreement should be reached on the means and timeframe for delivery of the documents.

d) Establish direct communication channels between the representative and/or community authorities and the person in charge of the field entry team and/or the intervention team, in case consultations or future coordination on field entry are required.

e) Ask the people and/or authorities who accompanied the activities to inform the other representative and/or community authorities regarding the completion of the activities and to share additional information provided by the personnel who entered the territory.

4. Actions to avoid

Profonanpe personnel, including those from headquarters, consultants or other external personnel are prohibited from performing the following actions:

a) Entering and/or ingesting alcoholic beverages on the indigenous or other populations' lands.
b) Engaging in any act of sexual harassment[11] against any woman, child or other member of the locality/community.
c) Carrying out activities that generate annoying noise, and emitting any gases or spilling waste or harmful substances that affect adjacent populations and their territories, including water sources.
d) Carrying out natural resource exploitation activities such as fishing, hunting or gathering, unless it is one of the activities authorized by the representative and/or communal authorities for the intervention.
e) Leave papers, plastics or other materials at the entrances to the wetlands, forests, lakes, harvesting areas or other areas of the territory. Manage the waste generated during the activities contained in the Work Plan.
f) Avoid deterioration, appropriation, alteration, destruction, extraction, unauthorized removal, commercialization, transfer or concealment, as well as any other act that affects the tangible and intangible cultural heritage[12] of the populations living in the territories visited, taking into account that it could mean civil and/or criminal liability, as appropriate.

[11] Conduct of a sexual nature or other behaviors of a sexual connotation, unwanted or rejected by the person against whom it is directed and that affect the dignity of the person. Article 1, paragraph b of the Regulation of Law No. 27942 Law for the Prevention and Punishment of Sexual Harassment.

[12] According to Law No. 31770, General Law of the Cultural Heritage of the Nation "is understood as an integral good of the Cultural Heritage of the Nation to any place, site, landscape, building, space or material or immaterial manifestation related or with incidence in the human activity, that by its importance, meaning and archaeological value, architectural, historical, urban, artistic, military, social, symbolic, anthropological, vernacular or traditional, religious, ethnological, scientific, technological, industrial, intellectual, literary, documentary or industrial, intellectual, literary, documental or documentary or traditional, architectural, historical, urban, artistic, military, social, symbolic, anthropological, vernacular or traditional, religious, ethnological, scientific, technological, industrial, intellectual, literary, documentary or bibliographic value, is expressly declared as such or is legally presumed to be such. Such property has the status of public or private property, subject to the limitations established by this Law".

Annex 1

Letter of Introduction

[Place and date of the letter]

[Name of the corresponding authorities]

[Position of the corresponding authorities].

[Name of Locality/Settlement/Community/District/Annex]

I am pleased to introduce you to *[Name of the person responsible for entering the field, Profonanpe personnel, consultants or other external personnel]*, who will be entering the field for the purpose *of [purpose of entering the field]* during [*indicate the number of days the field visit will last*].

The activities will be developed in coordination with you as the authority, respecting the Social and Environmental Policies and Profonanpe's Field Entry Protocol. We appreciate the opportunity to work together and we are committed to carry out the activities according to the established coordination. For any questions or doubts you may have, please do not hesitate to contact us:

[Contact details of the person in charge of coordination, preferably cell phone number].

Sincerely yours,

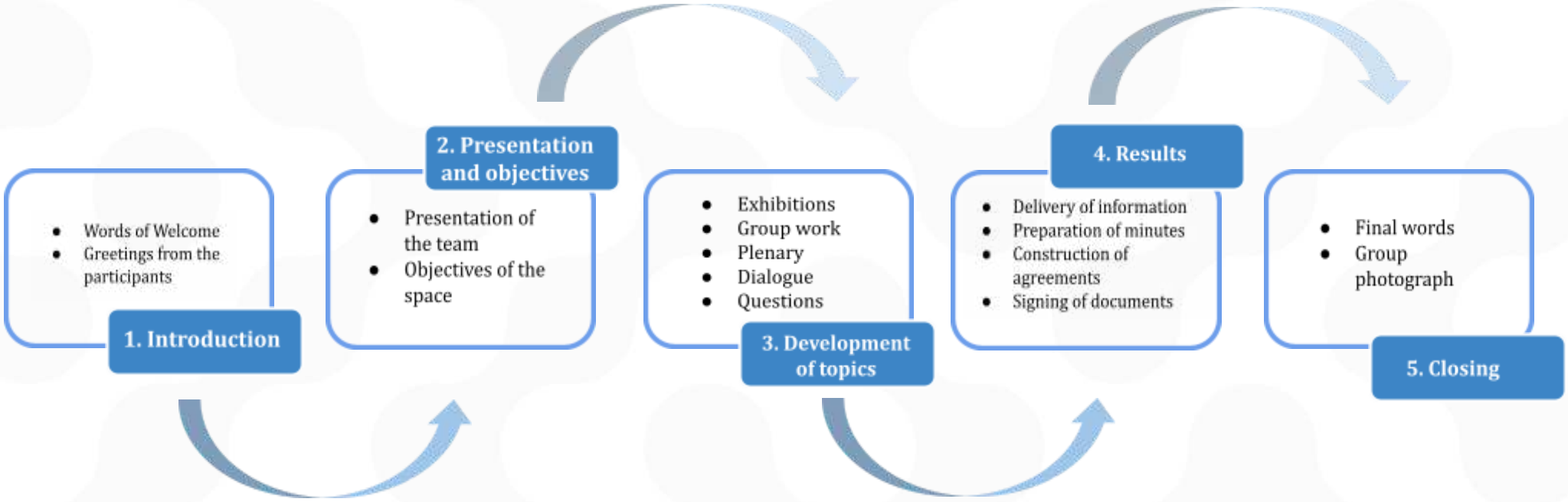
[Signature]

[Name and Title of Project Coordinator/Project Director/Manager/Chief/Executive Director, as applicable].

Annex 2

Methodological guideline for meetings/workshops/spaces to be developed during the field entry.

This methodological guideline should be appropriate according to the objectives of the space and/or characteristics of the territory. Its purpose is to organize the development of the session to contribute to the achievement of the objectives set out in the time foreseen. In this sense, it is proposed to consider the following five moments:



Model Methodological Guideline

Subject: XX Meeting/Workshop — *[insert type of session: meeting, training workshop, informative workshop, validation workshop, consultation or other]*

Location: XXXX, XXX,XXXX — *[indicate the precise place where the session takes place: locality/settlement/village center/community/district/province/department].*

Date: XX/XX/XX/XXXX — *[insert day, month and year].*

Time: XX:XX XX X.XX — *[indicate duration, as appropriate: from X:XX a.m. to X:XX p.m.].*

TIME	ACTIVITY	PROCEDURE	RESOURCES	RESPONSIBLE (S)
Moment 1: Introduction				
XX a.m. XX a.m.	Reception and registration of participants	Register the attendance of the participants	- Attendance list/registration *[Indicate resources to be used: camera, tape recorder, etc., as appropriate].*	*[Person(s) responsible for the reception and registration of attendance, and for the archiving of attendance].*
XX a.m. XX a.m.	Welcoming remarks, introduction of participants and meeting/workshop objectives	**Words of welcome** *[Determine in advance how the start will take place, whether it will be the authorities of the local actor(s) who will give the welcome or whether it will be the team that enters the territory].* **Presentation of participants**	- XXXXXXXXXX *[Indicate the resources to be used: table of authorities, layout of the auditorium, list with*	*Person in charge of this space] [Person in charge of this space*

		[Plan a dynamic presentation considering the number of people attending the meeting/workshop].	*names and positions of authorities, etc.]*	
Moment 2: Presentation and purpose of the visit				
XX a.m. XX a.m.	**Topic 1:**	Brief introduction of Profonanpe *[Guiding questions: Who are we and what is our role in this intervention?]*	- XXXXXXXXXX *[resources to be used: PPT, flip charts, markers, sound equipment, microphones].*	*Person in charge of this space] [Person in charge of this space*
XX a.m. XX a.m.	**Topic 2:**	Explanation of the objectives of field entry *[Guiding questions: what results do we want to obtain at the end of the space?]*	- XXXXXXXXXX *[Indicate the resources to be used: PPT, flip charts, markers, sound equipment, microphones].*	*Person in charge of this space] [Person in charge of this space*
XX a.m. XX a.m.	**Item 3**	Introduction of the team entering the field and their responsibilities. *[Guiding questions: Who are the team members and what will be their responsibilities during the visit?]*	- XXXXXXXXXX *[Indicate the resources to be used: PPT, flip charts, markers, sound equipment, microphones].*	*Person in charge of this space] [Person in charge of this space*
XX a.m. XX a.m.	**Questions and Dialogue**			
Moment 3: Presentation of specific topics *[Presentation of the project, validation of documents, contributions to the development of activities, informative workshop, information exchange visit, monitoring and/or supervision visit, training workshop, among others.]*				
XX a.m. XX a.m.	**Item 1**	Presentation Space for questions and dialogue	- XXXXXXXXXX [Indicate the resources to be used: PPT, handouts,	*Person in charge of this space] [Person in charge of this space*

	[Detail the specific topics to be addressed to achieve the workshop objective]	*[Topics will be added as necessary according to the objectives of the session].*	pens, sound , microphones].	
XX a.m. XX a.m.	**Questions and Dialogue**			
Step 4: Establishment of results *[Agreement taking, construction of minutes with agreements, validation of documents and means of verification, signature of documents, delivery of information, delivery of results, accountability, among others].*				
XX a.m. XX a.m.	**Item 1**	Establishment of results *[Topics will be added as necessary according to the objectives of the session].*	- XXXXXXXXXX [Prepare a proposal for the meeting documents, prepare a document to evidence the reception of the information, among others, as appropriate.	*Person in charge of this space] [Person in charge of this space*
XX a.m. XX a.m.	**Questions and Dialogue**			
Moment 5: Closing [Clarification of doubts or questions, key closing messages, establishment of trust, recapitulation of results, as appropriate].				
XX a.m. XX a.m.	**Closing of the session**	We proceed with the completion of the space [Determine whether there is a final photograph, or any closing words, as the case may be.]	- XXXXXXXXXX [indicate the resources to be used: table of authorities, layout of the auditorium, list of names and positions of authorities, etc.].	*Person in charge of this space] [Person in charge of this space*

Recommendations

- *Cultural contextualization:* to adapt the content of the session to the cultural particularities of the population of the territories, this means adapting the language and the language used, as well as considering the schedule in which the activities are carried out. These are among other aspects to be considered to show our openness, empathy and respect towards their identities.

- *Clarity and simplicity in the presentation:* Express Profonanpe's function and the specific purpose of the project clearly and simply, as well as the other topics to be developed in the session, avoiding technicalities that may generate confusion or raise expectations. Use messages appropriate to the reality being visited.

- *Emphasis on Shared Values:* To establish common ground from the beginning of the interaction, highlight shared values between Profonanpe and the populations, such as commitment for the environment, biodiversity, sustainable development, and impact on people's lives to establish common ground from the beginning of the interaction.

- *Participatory interaction:* involve the participants in the sessions, allowing for questions, contributions or comments to foster mutual understanding and thus allow for adjustments to be made according to the needs raised, if applicable, or to take them into account for the next entries to the locality. To this end, consider making available an editable version of the document(s) that are the subject of the session, so that contributions can be gathered and incorporated, as appropriate, favoring a jointly validated final version.

- *Time for clarification:* ensure adequate time is available to clarify terms or details of the document(s) being discussed, prioritizing the full understanding of the document(s) by those participating in the session.

- *Have evidence:* with the prior authorization of the participants, take photographs of the meeting, or generate evidence of compliance with the objective of the session, as appropriate - validation of documents, collection of contributions, etc. -. It should be evaluated whether or not it is appropriate to have minutes, as the case may be.

- *Confirmation of documents reception:* ask the representative and/or community authorities, or those acting in their stead, to confirm receipt of the documents submitted, if applicable. Explain the importance of the documents submitted and request to share them with other population members.

- *Strengthen the relationship of trust:* The closing of spaces, meetings and workshops is crucial to strengthen the relationship of trust with local stakeholders. It must be ensured that, regardless of the people who participate in entering the territories, local stakeholders understand that entering the territories has an institutional logic. Therefore, it is essential that all persons entering the territories follow the guidelines established in this protocol.

Annex 3

Work Plan

- Name of Project or Intervention: XXXXX
- Objective of entry into the territory: XXXXXXXX
  [indicate the purpose of entering the territory].
- Responsible for the equipment entering the territory: XXXXXXXXXX
  [insert name and position of the responsible person].
- Date of entry: XX/XX/XX/XXXX
- Date of departure: XX/XX/XX/XXXX

Scheduled Activities:

N°	Activity	Description	Responsible	Date/day/week	Resources Necessary
1					
2					
3					
4					
5					
6					
7					

Annex 4

Image Use Consent

Date(s) of Registration:

Place of Registration:

I, _____with DNI_____ _____i give my **consent and allow** the use of my image, and/or that of my son/daughter_____with ID_____for Profonanpe's _____ _____ _____of Profonanpe.

Likewise, I agree that the institution has the right over the registered material to edit and reproduce the images for purposes of dissemination and information of the mentioned project and institutional purposes.

SURNAMES			
NAMES			
DNI		SIGNATURE	
LOCATION		DATE	

Annex 5

Sample report of activities carried out during field entry

Report of Activities Performed	
Project name	
Responsible for equipment entering the territory	
Name of locality/community/district/annex/district/province/department visited	
Arrival date	
Departure date	
Activities	**Description**
Coordination with local stakeholder authorities	• XXXXX • XXXXXXXX *[Mention to documents evidencing coordination].*
Session information	• Number of participants: Males XXX Females XXX *[This information should be obtained from the attendance list, information about their ethnic identity and the language they speak must be included in the attendance lists].* • Representative organizations *[It can be an association, cooperatives, indigenous organization, among other forms of associativity to which belongs]*

Summary of activities carried out and results.	• Activity 1
	  • Result(s)
	• Activity 2
	  • Result(s)
	• Activity 3
	  • Result(s)
	[Describe the activities according to the Work Plan and the results obtained, detailing whether 100% or partial compliance was achieved, supporting the reasons for not achieving 100% results.
	The information contained in this section must be reported to the representative and/or communal authorities].

Recommendations and lessons for future entries into the territory	• XXXXX • XXXXXXXX

	[Describe logistical, administrative, social, cultural and other aspects that contribute to improving the following entries. *For example, if there is constant mobility or not, if there is electric power by the hour, if there are elections of authorities, or if there are no authorities in charge or do not have the corresponding accreditation or are in the process of updating their documents, among others].*
Data on authorities and key players (name, position, telephone number)	• Name: Positio n Contact information: *[Detail the names of the people who exercise authority, including their contact information. It is important to consider key actors in the territories such as women, young people or the elderly].*
Other additional information you consider relevant	• XXXXXXXXXX

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