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USAID/PERU PRO-BOSQUES

INDIGENOUS EMPOWERMENT INDEX IN THE AMAZONIAN FOREST SECTOR

MARCH 2019

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DISCLAIMER

CONTENTS

ACRONYMS

AIDESEP	Inter-ethnic Association for the Development of the Peruvian Jungle *(Asociación Interétnica de Desarrollo de la Selva Peruana)*
MCA	Multi-Criteria Analysis
NC	Native Community
CONAP	Confederation of Amazonian Nationalities of Peru *(Confederación de Nacionalidades Amazónicas del Perú)*
CEDIA	Center for the Development of Amazonian Indigenous Peoples *(Centro para el Desarrollo del Indígena Amazónico)*
CVC	Community Control and Oversight activities
DAR	Law, Environment and Natural Resources *(Derecho, Ambiente y Recursos Naturales)*
GESI	Gender and Social Inclusion
GTF	Forest Transportation Guide
IEIFA	Indigenous Empowerment Index in the Amazonian Forest Sector
INEI	National Statistics and IT Institute
LGTBI	Lesbians, Gays, Bisexuals, Transexuals and Intersexuals
MIMP	Ministry of Women and Vulnerable Populations
MINAM	Ministry of Environment
MINAGRI	Ministry of Agriculture and Irrigation
MINCU	Ministry of Culture
CFM	Community Forest Management
IO	Indigenous Organization
NGO	Non-government Organization
OSINFOR	Forest and Wildlife Resources Superintendency
PGMF	Forest Management Plan
PO	Operative Plan
IPIIC	Indigenous Peoples in Voluntary Isolation and Initial Contact
SERFOR	National Forest and Wildlife Service
SERNANP	National Service of Protected Natural Areas
SPDA	*Sociedad Peruana de Derecho Ambiental*
USAID	United States Agency for International Development
USAID Pro-Bosques	USAID/Peru Promotion of Sustainable, Profitable and Inclusive Forests
VMI	Office of the Deputy Minister for Intercultural Affairs
WWF	World Wildlife Fund

1.0   EXECUTIVE SUMMARY

On September 25, 2018, USAID awarded Tetra Tech the five-year contract to implement the "USAID Securing a Sustainable, Profitable and Inclusive Forest Sector in Peru" Activity (USAID Pro-Bosques). The USAID-funded activity supports Peru's forest sector, focusing on strengthening forest governance through forest control and monitoring tools (*Objective 1*), promoting private sector engagement through sustainable forest management and improved business practices (*Objective 2*), and fostering inclusive markets by increasing the participation of indigenous and other forest-dependent communities in forest value chains (*Objective 3*). The overall goal is to provide the pillars for sustainability, legality, inclusivity, and profitability that are necessary to support and modernize Peru's forest sector.

The Indigenous Empowerment Index in the Amazonian Forest Sector (IEIFA) is a contractual requirement of USAID Pro-Bosques' Objective 3 and was developed to monitor changes in the levels of empowerment of Peruvian native communities resulting from Pro-Bosques' technical assistance interventions, designed to scale-up and expand community control and oversight of forest resources to strengthen indigenous rights and improve forest-based livelihoods. However, the IEIFA can also be a useful tool for indigenous organizations, development agencies, academia, and any entity that works in the forest sector looking to monitor the capacities and resources of Amazon native communities.

For the purposes of the IEIFA, empowerment is defined as[1]: the process through which individuals and communities adopt a leading role in their own change, gaining control and mastery over their reality, with the aim of further improving their livelihoods. With the IEIFA, native community empowerment can be measured in three dimensions: development management capacity; effective security and control over community territory; and sustainable management of their natural resources to provide livelihoods and economic growth. The index is comprised of 23 verifiable criteria, which are rated according to their levels of progress. It gives each community a score and makes it possible to draw comparisons and monitor the progress of each community over time.

The IEIFA uses the interculturality, human rights and gender and social inclusion (GESI) approaches. It contemplates the national plans and guidelines on these approaches, such as the Policy for Mainstreaming the Intercultural Approach (MINCU, 2015), the Human Rights Approach of the Ministry of Justice and Human Rights (2013) and the Climate Change and Gender Action Plan (2016).

The native community is the IEIFA's key unit of analysis, given the significance of the collective in Amazonian cosmovision and because the characteristics of native communities correspond to the legislation on harvesting resources. Native communities are composed of family groups linked by several main elements: language or dialect; cultural and social characteristics; common and permanent tenure and legal rights of the same territory with fragmented or dispersed settlements (Law No. 22175, 1978). The organized population in native communities may be considered as indigenous peoples in themselves, or as a part of them (Supreme Decree 009-2013-MINAGRI, item 23).

According to MINAM (2018), there are currently 12.75 million hectares of Amazonian forests in territories belonging to native communities that hold land titles, which constitute 17.7 percent of the remaining forests in the Peruvian Amazon. In the Amazon, forests and water bodies are of special

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[1] (Rappaport quoted by Ferré, 2015)

importance to indigenous peoples, as they provide them with livelihoods. Their economy, worldview and culture are highly related to the ecosystems and biodiversity that are their home.

The Forestry Law (2011) and the Forest Management in Native Communities Regulation (2015) have opened the way for the development of forestry activities for these communities. This results in a diversity of opportunities and rights of use, such as the commercial harvesting right through community forest management; and non-commercial ones, such as subsistence, own-consumption or domestic use, and, finally the use of ecosystem services. These regulations also provide opportunities for communities to exercise their right to participate in monitoring, control and oversight and in forest and wildlife management committees, for instance.

Despite the prospects opened up by the regulatory framework, Peruvian forest legislation is often awkward for native communities and they rarely comply fully with it. Further problems also jeopardize the sustainability or success of community forest management initiatives, such as those triggered by unscrupulous outsiders, and the application of top-down approaches that do not consider the communities' will (desire to participate), local needs, capacities, legal status of community lands, or the local socio-economic context. These problems are reflected in the large number of sanctions and fines that native communities face.

The IEIFA design process included a desk-research phase and a shared-feedback phase with USAID Pro-Bosques regional teams (in the cities of Iquitos and Pucallpa), with experts from the public sector, civil society and indigenous organizations at the national level, some of whom participated in a feedback workshop. These knowledgeable stakeholders contributed in two specific ways: they helped improve the criteria proposed by the Pro-Bosques' technical team, and allocated weight factors for the IEIFA's three dimensions.

2.0   PRESENTATION

The Indigenous Empowerment Index in the Amazonian Forest Sector (IEIFA) is a tool that measures the empowerment of native communities in three dimensions: development management capacity, security and control over the community territory, and sustainable management of their natural resources to provide livelihoods and economic growth. The measurement is made using 23 verifiable criteria, which are rated according to the state or level of progress. Each community is given a score, and so communities can be compared with each other, and the progress of each community can be monitored over time.

The IEIFA has been developed within the framework of the USAID "Securing a sustainable, inclusive, and profitable forest sector" Activity (USAID Pro-Bosques Activity), implemented by Tetra Tech, in alliance with regional counterparts: ProPurús (Ucayali) and CEDIA (Loreto). The Activity in turn is part of USAID's Amazonia Verde project, which has the purpose of conserving biodiversity and ecosystem services in the Peruvian Amazon.

The purpose of the USAID Pro-Bosques Activity is to provide the pillars for sustainability, legality, social inclusion and profitability necessary to support and modernize the Peruvian forest sector. The Activity strengthens the forest sector by focusing on improving forest governance through monitoring and control tools; promoting private sector involvement and commitment to sustainable forest management and good business practices; and promoting market inclusion through increasing the participation of indigenous peoples and other local communities in the forest value chain.

The IEIFA is part of USAID Pro-Bosques' Objective 3: Strengthen indigenous communities' rights and resources through sustainable forest management; in other words, to ensure economic and social sustainability. By using the IEIFA, USAID Pro-Bosques can monitor changes in the levels of empowerment of native communities in the framework of the actions planned. However, it can also be a useful tool for IOs, development agencies, the State, academia, and all entities that work to monitor the capacities and resources of the NCs in the Amazonian forest sector.

The approaches that guide the design and implementation of the IEIFA are intercultural, human rights, and gender and social inclusion (GESI).

- The intercultural approach appreciates and incorporates different cultural visions, concepts of well-being and the development of the diverse ethnic-cultural groups with the goal of providing services with cultural relevance, promoting an intercultural citizenship based on dialogue and differentiated ways of addressing indigenous peoples (MINCUL, 2015).
- The Peruvian Ministry of Justice and Human Rights defines the human rights approach it applies to public policies as strategies, methods and procedures to guarantee the observance of rights by ensuring coverage of basic needs, so that all human beings in freedom and equality may build and carry out their life projects (MINJUS, 2013).
- Finally, the GESI approach addresses unequal power relations between men and women and between different social groups. The GESI approach to development focuses on the need for action to rebalance these power relations and ensure equal rights, opportunities and respect for all individuals regardless of their social identity (Gender Equality and Social Inclusion Working Group, Nepal, 2017). In accordance with national plans, especially the Gender and Climate Change Action Plan (MINAM and MIMP, 2016), the IEIFA sees women as a group differentiated from the rest of the vulnerable population, susceptible to other situations of exclusion and vulnerability. It also considers people with disabilities, the elderly, children and the LGTBI population as vulnerable.

This report presents the conceptual and legal arguments of this index, and the methodology for obtaining community-level results.

The authors would like to thank the experts who contributed to the methodological section during the workshop held in Lima, which was attended by representatives of the state (SERFOR, MINAM and the Ombudsman's Office), indigenous organizations (AIDESEP and CONAP) and NGOs (CEDIA, DAR, SPDA and WWF).

3.0   BACKGROUND

3.1   INDIGENOUS PEOPLES AND NATIVE COMMUNITIES

3.1.1   THE INDIGENOUS PEOPLES OF THE AMAZON

In Peru, indigenous peoples, also known as original peoples, are identified using the objective and subjective criteria established in international legislation, such as Convention No. 169 concerning Indigenous and Tribal Peoples in Independent Countries, 1989 (ILO, 2014) and national legislation (Act No. 29785, 2011; Supreme Decree No. 009-2013-MINAGRI, 2013).

The objective criteria are used for verifiable characteristics, such as the descent of populations that inhabited the country (or geographical region to which the country belongs) prior to conquest or colonization, or before current state borders were established, regardless of their current legal status. They also consider the partial or total preservation of their own social, economic, cultural and political institutions. The subjective criterion corresponds to the group's awareness of having an indigenous or original identity. It is the recognition of the people themselves that they are a part of a socially and culturally differentiated group. In other words, it refers to the indigenous peoples' self-identification (MINCUL, 2019).

Peru is currently in the process of organizing indigenous peoples, in order to recognize them formally as indigenous nations, in other words, as subjects of collective rights, not only formally recognized, but with autonomy and indigenous territorial rights at the national level. This involves reformulating the relations between the indigenous peoples and the Peruvian State. Merino (2017) points out that, despite limitations, a political project is emerging.

Parallel to the legitimate process started by the recognition of indigenous nations (Merino, 2017), Peruvian law also recognizes native communities and their rights, in terms of the minimum level of organization of the various representative indigenous peoples' organizations.

Current legislation[2] considers indigenous peoples in isolation and in initial contact (IPIIC) as very vulnerable indigenous populations (in immunological and sanitation, territorial, demographic, social and cultural terms) (Ipince, 2016), those who have no contact or who have begun to contact national society, who are respected on the principle of non-contact, and whose lands are intangible and are categorized as indigenous reserves. These indigenous reserves become void when the IPIIC population has decided to become a native community. Indigenous self-determination, understood as their decision regarding the form and process of their relationship with the rest of national society and the State, must also be respected. If license-holders see or believe that the IPIIC are in areas where forest licenses are granted,

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[2]   Law No. 28736, Law on the Protection of Indigenous or Native Peoples in Isolation and in Initial Contact, and its Regulations, approved by Supreme Decree No. 008-2007-MIMDES, amended by Supreme Decree No. 008-2016-MC. Law No. 29763, Forestry and Wildlife Law, and its Regulations governing forest and wildlife management in peasant and native communities, approved by Supreme Decree No. 021-2015-MINAGRI.

by law they must report this to the forest authority and the Ministry of Culture so that the corresponding safeguards may be adopted (Ministerial Resolution No. 240-2015-MC, 2015). Similarly, license holders in areas close to the IPIIC must have a contingency plan for the corresponding PGMF is to be approved.

It is worth mentioning that this legislation also stipulates that in the event that the IPIIC use forest resources for purposes other than subsistence (including commercial purposes), MINCUL's VMI will issue a technical opinion and coordinate with SERNANP or MINAGRI as it sees fit.

To respect the self-determination of the IPIIC, the IEIFA would need to address their vulnerabilities; the no-contact principle; the intangibility of their indigenous reserves (including the period prior to their becoming a native community); and unclear legislation regarding forestry activities other than for subsistence purposes (in the case of those not constituted as a native community). Therefore the IEIFA methodology and its application do not cover these communities.

3.1.2 THE NATIVE COMMUNITIES

Native communities originate from the tribal groups of the Amazon and cloud forests, and are composed of groups of families connected largely by the following elements: language or dialect; cultural and social characteristics; and common and permanent tenure and usufruct of the same territory with fragmented or dispersed settlements (Law No. 22175, 1978). Hence, and in accordance with the provisions of ILO Convention No. 169, in Peru the population organized in NCs may be considered as, or as part of indigenous peoples (Supreme Decree No. 009-2013-MINAGRI, paragraph 23).

The III Census of Native Communities (2017) registered 2,703 communities, which declared that they belonged to 44 indigenous or original peoples. The census identified 212,823 indigenous or original Amazon people (INEI, 2018). Again, according to the Indigenous or Original Peoples Database, to 2019 the Peruvian Ministry of Culture has a complete list of 55 indigenous or original peoples identified in the national territory; of these, 51 are from the Amazon (MINCUL, 2019).

Native communities are usually affiliated to an indigenous organization, often linked to the river basin to which they belong, and to indigenous federations or councils which, in turn, are attached to regional or subnational IOs. The latter are usually part of national IOs. These include, for example, the Inter-ethnic Association for the Development of the Peruvian Jungle (AIDESEP) and the Confederation of Amazonian Nationalities of Peru (CONAP).

AIDESEP is made up of 9 decentralized regional organizations, which in turn have 109 federations, representing 1,809 communities, which group together 64 Peruvian Amazonian indigenous peoples (AIDESEP, 2019a). CONAP is made up of more than 30 federations distributed in Loreto, Huánuco, Junín, Amazonas, Cusco, Pasco and Ucayali (CONAP, 2019).

As mentioned above, although indigenous organizations claim recognition of territories for defining indigenous peoples or nations as subjects of rights, they do not deny their interest in securing various rights and implementing a programmatic agenda, such as land titling, at the level of native communities, as recently pointed out by Lizardo Cauper, president of AIDESEP.

"*A land title is like a person's ID. A community with a title can manage its territory, have its governance (...). A legally recognized community obtains recognition of its rights. This helps in social issues, in management issues, so that a community can develop according to its cosmovision*" (*Actualidad Ambiental*, 2019).

According to the above, both objective and subjective criteria consider the population organized in NCs to be part of indigenous peoples. The IEIFA measurement has given priority to data collection and measurement at the level of the native community, taking into account the characteristics that native communities have as a starting point for the exercise of their rights.

1. The NCs have specific regulations for the harvesting, conservation, management and use of their natural resources in the forestry and wildlife sector and within their community territories.
2. The NCs have specific legal development for the exercise of collective rights over land (on which the indigenous territory is based): autonomy, titling, power over etc.
3. The NCs have an internal organizational apparatus (board of directors, community assembly etc.) that facilitates the exercise of their collective autonomy, as a starting point for their own planning and their relationship with public and private actors.
4. The NCs constitute and are the minimum basis for other IOs at the sub regional, regional and national levels.

Hence the work of USAID Pro-Bosques focuses on NCs. It recognizes the characteristics of the indigenous peoples which make up the community, and liaises with the indigenous organizations that represent them.

3.2 THE INDIGENOUS COMMUNITIES AND THE AMAZONIAN FOREST SECTOR

The indigenous peoples of the Amazon depend directly on their natural environment to survive, both materially (food, medicines, housing and clothing) and spiritually, in the form of their cosmovision (Calmet, 2018).

They find food through fishing, hunting, gathering forest products, and growing traditional crops. In addition, in those communities that continue to be governed by traditional principles of reciprocity and redistribution, it is common to find individuals or families who produce nothing or have no income, and who live on the production and income of others (Renshaw and Wray, 2004).

However, pressure on these resources has been increasing, bringing with it the risk of a supply deficit and an acceleration of dependence on foreign products (Brack, 1997). Timber harvesting with machinery has also been intensifying in recent decades (Malleux 2008, quoted by Cossío and others, 2014), and entails risks for ecosystems and for the native communities' livelihoods.

More than 94 percent of Peru's forests (68.6 million hectares) are located in the Amazon, a biome that constitutes 60 percent of the national territory. The Peruvian Amazon is inhabited by 14 percent of the national population, its economy constitutes less than 5 percent of Peru's gross domestic product (Meneses, Ramos and Toro, 2015) and is affected by incipient development infrastructure, poor governance, low levels of human development and deforestation that reached 155,915 hectares in 2017 (Geobosques, 2019). According to MINAM (2018), there are currently 12.75 million hectares of Amazonian forests in territories of titled native communities, which constitute 17.7 percent of the remaining forests in the Peruvian Amazon.

In the Amazon, forests and water bodies are of special importance to indigenous peoples, as they provide them with livelihoods; their economy, worldview and culture are closely related to the ecosystems and biodiversity that is their home. This is true to such an extent that Peru has legislation for the issue. The Forestry Law (2011) and the regulations that govern forest management in the NCs (2015) have provided for their development of forestry activities as follows:
- It must take place in their titled lands
- Zoning must be determined by the native community through its assembly (where the area of forest use must be expressly indicated).
- It must recognize the community's exclusive use and exploitation of forest and wildlife resources
- It must respect their uses, customs and traditions regarding forest and wildlife resources, and recognize supervisory and control actions which their directors can coordinate with the authorities.

This results in a diversity of opportunities or rights of use, among which stand out:

Table 3.2   TYPES OF USE

Type of use	General considerations
Commercial: through CFM	Through permission granted by the regional forestry authority. Involves the payment for a harvesting right. Includes timber products and non-timber forest products, under management plans drafted and implemented by a PGMF signed by a forest authority. Supposes three scales or levels of use corresponding to diverse criteria (high, medium, low; in the latter case it requires a Declaration of Environmental Management, DEMA). If the community has agreed to enter into contracts with third parties for forestry activities, this must be communicated to the regional forestry authority.
Non-commercial: subsistence, own consumption, domestic use	Carried out by those who appear in the community census and on what is necessary to supply basic needs individually or as a family, without commercial purposes; this includes subsistence hunting (wildlife, as a traditional source of food). Regulated by agreements of the community assembly and in all cases environment law must be respected (on threatened species and resource conservation). Does not require any permission granted by the forestry authority or management plans. Does not involve the payment for harvesting rights.
Use of ecosystem services	Every native community may be considered as a contributor if it ensures the permanence of a service provided by the ecosystems that exist in the community territory. Benefits must be received from the mechanisms for remunerating the contribution of the native community. A permit must be established for the use of forest ecosystem services, which the community must file with the forestry authority.

Prepared by the authors, based on the Forest and Wildlife Law (2011), the Regulations Governing Forest and Wildlife Management in Peasant and Native Communities (2015) and the Law on Compensation Mechanisms for Ecosystem Services, Law No. 30215 (2014).

Similarly, both the Forestry Act and its regulations provide opportunities for communities to exercise their right to participate, for example in:

- Monitoring, control and oversight, through a committee created to be in charge of such actions, and which can intervene when forest products are found or transported in the community, and communicate to the forest authority about non-compliance with the forest regulations as detected.
- The forest and wildlife management committees, which can participate and take action before the different levels of government to draft or implement proposals or public policies on forest and wildlife resources, establish strategic alliances, prevent conflicts, contribute to administration, control and supervision actions, etc.

Despite the opportunities provided by the regulatory framework, Menton, Cronkleton and Larson (2014) find that forest legislation is complicated for communities and slow to implement due to government bureaucracy, so communities cannot properly comply with it. The complexity of CFM requirements makes it inaccessible to communities and dependent on professionals registered with the forestry authority, who prepare their management plans, which are sometimes forged. The difficulty of these procedures forces the communities to depend on external help from NGOs to address them if they are to exercise CFM.

In addition to legislation, the authors have identified other problems, which put at risk the sustainability or success of CFM initiatives and are caused by outsiders:

- Top-down approaches: willingness (desire to participate), local needs, capacities and local socio-economic context are not taken into account. For example, CFM project initiatives tend to ignore the dominant mode of resource use, which occurs in subunits within communities (households, extended families or other subgroups) and in informal contexts.
- Dependence on external financial and technical assistance: unlike informal and illegal activities, the CFM has additional expenses (drafting management plans and obtaining authorizations). They need equipment and materials, working capital and labor, which communities do not always have.
- Lack of support strategies: the short duration of NGO projects shows that many initiatives lack support strategies (or accompaniment, i.e. assistance and support that builds local capacity) to promote the sustainability of these initiatives in the communities.

On market access, the authors find the following problems:

- Distance to markets, unreliable transport and competition from large commercial companies.
- The CFM initiatives do not fully assess the potential market for the proposed products as part of the preliminary draft market studies.
- The prevalence of informal markets and illegal products means that market prices may not cover the transaction costs incurred by legal production. Costly legislation exacerbates this situation.
- Limited access to credit and a lack of discussion and knowledge of best practices.

The authors also encounter difficulties associated with the legal security of land: many native communities are still awaiting titles for their community lands, which jeopardizes long-term forest management planning.

All of the above puts communities at a disadvantage, with unequal treatment and manipulation on the part of third parties. Forestry sanctions imposed on native communities today can be seen as an expression of the complex problem described above. In many cases, communities have been fined after establishing agreements with third parties that carried out inadequate CFM, did not follow management plans, or these were not clear, and used GTF transport wood extracted from unauthorized zones (Menton, Cronkleton and Larson, 2014).

In order to reduce the amount of fines, OSINFOR approved the "Directive for the Application of Humid Forest Conservation as a Compensation Mechanism for the Payment of Fines Imposed by the OSINFOR, for Native and Rural Communities" (Presidential Resolution N° 027-2016-OSINFOR, 2016). Native communities are now starting to use these mechanisms. The communities that can benefit from them are those that have received fines greater than 4 UIT (tax unit, valued at S/.4,150 for this year). According to OSINFOR (2018), the fines of the twenty communities that accepted the compensation mechanism up to April 2018 totaled S/. 3'507,994.50 and the areas that must be conserved (that is, from which they will not be able to extract timber) total 14,283.89 hectares.

These problems show that it is necessary to consider the challenges native communities face for manifesting their autonomy in forest and wildlife issues according to their own development priorities; security and control over their community territory; and the way they develop their economic activities, whether considered commercial activities or not.

Addressing the challenges presented in this section involves considering and respecting the organization, autonomy and management capacities of the community's own forestry development, facilitating the evaluation of various factors inside the community, so that this framework contributes to its definition of priorities and its relationship with third parties (other IOs, the State and its different levels of government, civil society, etc.). This includes the possibility of facilitating financial sustainability through opportunities offered by the different levels of government that respond to the priorities set by the community

It is also necessary to provide the communities with support so that they can access the lands that correspond to them with legal security, and have control over them, according to the legislation in force; so that they can safely plan their forestry actions (zoning, monitoring, control and oversight in coordination with the authorities, etc.).

Finally, it means that the communities must develop CFM activities comprehensively and sustainably, as part of their indigenous economy and with full knowledge of the necessary requirements: access to the market, legal requirements, adequacy of their internal organization, etc.

The IEIFA has been developed on the basis of these opportunities and challenges in three fields: development management, security and control over the community territory, and sustainable management of natural resources.

4.0   IEIFA OBJECTIVE

The IEIFA is a tool that measures the empowerment of native communities in three dimensions: *development management capacity, security and control over the community territory, and sustainable management of their natural resources to provide livelihoods and economic growth*. To do so, it uses 23 verifiable criteria, each of which is rated according to its state or level of progress. The IEIFA can use these to establish scores for each community, compare them and monitor the progress of each community over time.

The IEIFA thereby makes it possible to monitor changes in the levels of empowerment of native communities, within the framework of the actions planned by the USAID Pro-Bosques Activity.

In addition, the IEIFA can also be a useful tool for the State, indigenous organizations, development agencies, academia, and any entities that aim to monitor the capacities and resources of the native Amazonian communities in the forest sector.

5.0   CONCEPTUAL FRAMEWORK:

5.1   EMPOWERMENT AND INDIGENOUS EMPOWERMENT

The term 'empowerment' was coined by Rappaport in 1987 and refers to the process through which individuals and communities become protagonists of their own change, gaining control and mastery over their reality, with the ultimate aim of achieving improvements in their quality of life (Ferré, 2015).

According to Zimmerman (Zimmerman quoted by Ferré, 2015), there are three inter-related levels of empowerment: *the community level, the organizational level and the individual level.* All levels are related and influence each other.

- The *community level* of empowerment is achieved through the collective action of individuals in their community, which leads to an increase in the quality of life and an improvement in the relationship between the various organizations involved in the community.
- The *organizational level* is achieved through the participation of community members in certain structures and institutions, which serve to achieve the joint objectives of the community.
- Finally, the *individual level* refers to personal empowerment, whereby the person understands his/her environment from a critical perspective, works to be influential in his/her environment and participates together with the other components of the community for the achievement of shared goals.

The IEIFA, by focusing on native communities, works at the organizational level, without disregarding the importance of other levels.

USAID (2012), referring to the individual level, defines empowerment as the process that enables people to exercise their rights and develop their potential as full and equal members of societies. Similarly, for Dodson (Dodson, quoted by McClellan and Tanner, 2011), the empowerment of Aboriginal people in Australia means that they can take responsibility for their own situation and then act to change it. However, it must be borne in mind that all empowerment processes - including those at the individual level - are socially conditioned, insofar as it is cultures, societies and institutions that create conditions that facilitate or hinder empowerment possibilities (USAID, 2012). The level of social structures (legal framework, economic system and cultural patterns) should therefore not be excluded from analysis or intervention in empowerment processes.

Although women's empowerment has seen the greatest theoretical development, it is applicable to other vulnerable groups (Murguialday, Pérez de Armiño and Eizagirre, 2019). For indigenous empowerment, the individual dimension of empowerment must be transcended, given the importance that the collective has in the indigenous identity and worldview. There are further key issues for this population that must be considered, such as the situation of lands or territories, access to natural resources, available services and community organizations (Renshaw and Wray, 2004). Hence the IEIFA will focus on the community as a unit of analysis, which allows it to address the collective vision of the indigenous population and its relationship with territory and its resources.

Similarly, the variety of indigenous peoples also entails a variety in what they consider desirable development goals. This is why the intercultural approach must be present in any intervention related to the topic. In other words, this is a search for full citizenship, for all members of society, respecting their cultural differences (PRODES, 2005).

At the same time, the rights-based approach must also be considered. Indigenous empowerment in the Peruvian Amazonian forest sector must start with the native communities' current exercise of their rights in this area, taking into account that the legal framework assumes and proposes opportunities for action. These include the community assemblies' right to express their will on forest and wildlife issues according to their own priorities of development and autonomy, security and control over their community territory, and over the development of economic activities, whether commercial or not.

Any intervention geared to empowerment must also consider the gender and social inclusion approach. Empowerment means that the actors to be empowered are at the forefront, which makes development workers facilitators of this process. However, it must be taken into account that participatory processes tend to exclude the most vulnerable sectors. Women, the elderly, people with disabilities or other disadvantaged groups are commonly excluded from empowerment processes, because agencies tend to focus on working with community leaders, who are generally men, and have a higher educational level than the rest of the members of their communities and more networks and links outside them (Gascon, 2018). For this reason, the gender and social inclusion approach must be considered from the beginning of any intervention and measures must be adopted that allow all social groups to participate without exclusion.

5.2   IEIFA DIMENSIONS

As mentioned above, the indigenous population organized in native communities has a special link to and depends on the ecosystems of the forests in their community territories; at the same time, they face social conditions of exclusion and disadvantages in the Amazonian forest sector.

There are also opportunities for action provided for in the existing national legal framework (Constitution of Peru, 1993; Act No. 30215, 2014; Act No. 29763; Act No. 30215, 2014; Native Communities Act,

1978)[3] and in the international legal framework (ILO, 2014; IACHR, 2007, United Nations, 2008), linked to the exercise of indigenous autonomy for defining their development priorities, security and control over their community territories, and developing indigenous economic or business initiatives.

Hence, taking the indigenous problems in the forest sector as a basis, the rights established in the international legal framework, and the opportunities offered by the current national forestry regulatory framework, the authors identified the following key dimensions that make up the IEIFA:

- Development management capacity
- Security and control over the community territory
- Sustainable management of natural resources to provide livelihoods and economic growth

5.2.1   DEVELOPMENT MANAGEMENT CAPACITY

National and international legislation defines the right to self-determination as the possibility for indigenous peoples to establish their own development priorities through their representative organizations, such as native communities and their own organizations (directors, community assembly, etc.). Although this right is exercised without affecting the political or territorial integrity of the Peruvian State (it does not grant a veto), it is a touchstone for the development of dialogue with the different sectors and levels of government, geared to enable the inclusion of communities' forestry interests in public administration. This is the framework which shapes the priorities agreed upon within the community and entrusted to its leaders, the community's life plans, and the relationship of the community with its IOs, government bodies and third parties.

The links with the State have forced indigenous peoples to create relationship structures parallel to their own traditional structures. At present, IOs follow certain legal guidelines and procedures that allow them access to a series of services and links with entities outside the community, such as NGOs and companies (Espinosa, 2009; Sarmiento, 2016). From this relationship, the indigenous communities have adapted to the forms imposed by the State, in order to fulfill their objectives (Espinosa, 2009), without necessarily leaving their own organizational forms and power relations, more linked to the kinship and tradition of each ethnic group.

Community assemblies are an example of organization parallel to traditional forms. As Sarmiento (2016) states, the assemblies reflect the understanding of the community's official dealings and temporarily put other types of ties on hold.

Another management tool, promoted by the State and now being appropriated in the native communities are the life plans, which can take various names, including 'good living plans' and 'quality of life plans'. In all cases, it is a community planning and implementation document that presents the overall vision of the life of the indigenous or original people (or part of it), in relation to environmental, territorial, social, economic, political and cultural aspects. It is worth mentioning that MINCUL has approved the document "*Plan de Vida. Guía para la Planificación Colectiva*", to be used as a reference, in order to guide community planning based on respect for self-determination (Macedo and Velásquez, 2016).

As Espinoza (2014) states, life plans are like indigenous 'government plans' and follow a pattern very similar to the strategic plans drafted by other public or private entities (Espinosa, 2014). However, by starting from each community's own vision and agreements, they are aligned with the right to self-determination. According to Espinoza, they can contribute to forms of indigenous self-government that go beyond local

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[3] See also the sentences given by the Constitutional Court in the Cordillera Escalera and Tres Islas Native Community cases.

forums, since these must be articulated with supra-community bodies (municipalities and others).

Hence, indigenous self-determination, channeled through its internal organization and the planning of community life, can find opportunities for meeting forestry needs with third parties such as the various levels of government, the private sector, organized civil society, academia, etc.

5.2.2 SECURITY AND CONTROL OF COMMUNITY TERRITORY

National and international legislation defines territory according to the geographical areas recognized exclusively for the indigenous population organized in native communities, such as those in possession and ownership, which may correspond to titled community lands. Similarly, the definition also includes the lands to which they have access for the development of traditional and subsistence activities, and which may not be for the exclusive use of a community (protected natural areas, forest concessions, etc.).

These diverse land uses and rights constitute the concept of territory, plus the autonomous, political, economic and cultural character that the community exercises over these areas. Thus, it incorporates, but transcends the patrimonial character (property, possession, use) of the lands on which it is configured. This assumes a right **to** community territory, through access to the legal security offered by the titling of community lands. In the same way, a right **in** the community territory, understood as the possibility of exercising dominion, control, oversight and the possibility of protecting its community territory from illegal activities, unauthorized income, etc.

Control over lands and territories is one of the most critical factors for indigenous peoples. Indigenous identity is intimately linked to land, which is not conceived solely as a resource or factor of production. At the same time, land and natural resources provide the basis for its economy (Renshaw and Wray, 2004).

In this regard and despite the current regulatory framework that regulates the granting of land titles to native communities, the Ombudsman's Office published a report (Ombudsman's Office, 2018) attesting that, at the end of 2017, of the 2129 NCS, 631 are still pending titling. This dimension addresses the level of progress in legal security that community lands need for the development of their activities linked to the forest sector; that is, the comprehensive exercise of the right to indigenous territory within the framework of community lands that the State must formally recognize. The Activity must therefore work with a right to community territory as the minimum condition for carrying out comprehensive CFM.

It is worth mentioning that the Forestry Law and its regulations cover licenses for forestry activities to NCS with titles and to those that are undergoing the titling process (the authors understand that this starts with the Resolution of demarcation of territory, granted by the corresponding Regional Government).

On the other hand, as mentioned above, the community, through its assembly, decides autonomously on its interests, which include the purpose or disposition for its community territory. This assumes the exercise of rights in the community territory, which determines who, where, what, when and how activities such as forestry can be carried out. This goes hand in hand with the planning or zoning that may be agreed by the assembly in order to develop forestry activities in the community territory, and monitoring, control and oversight actions that protect forest resources and trigger the interventions and coordination against illegal activities that may be carried out on community lands.

5.2.3 SUSTAINABLE NATURAL RESOURCES MANAGEMENT FOR PROVIDING LIVELIHOODS AND ECONOMIC GROWTH

Free indigenous initiative is the right of every native community to participate in the economic life of the country, i.e. to initiate and subsequently develop the activity it chooses within the limits established by law, to produce goods, provide services or engage in the distribution of goods with full autonomy

(Rodríguez, 2016); activities that are in line with the Social Market Economy (Constitution of Peru, art. 58). This means being able to carry out commercial and non-commercial exploitation activities in forest and wildlife issues, depending on ancestral practices and the range of action provided by current legislation. In this way, the community can meet its needs linked to self-consumption, but complementing them by articulating with the market, depending on the different levels of use foreseen for CFM (timber or not), wildlife management and hunting, etc. (AIDESEP, 2019b; CONAP, 2019b).

In this context, CFM is an alternative for forest resource management. It contributes to sustaining the livelihoods of many of the indigenous communities in the Amazon region through their involvement in all aspects of sustainable forest management. CFM impacts on reducing emissions from deforestation and forest degradation and mitigating climate change, and so can impact on poverty reduction (Gaviria and Sabogal, 2013).

In the same way, it involves a growing understanding of the market and the actors it involves, those with whom the community will finally have to relate, looking for sustainable and beneficial alternatives for itself.

CFM initiatives should also consider the different roles of men and women in natural resource management. Women's knowledge of forest resources and their role in their management are commonly overlooked (Manfre and Rubin, 2013). While it is true that male forestry activities generate more income, through their association with timber extraction, female forestry activities are directly related to subsistence and nutrition (non-timber products), the first step in initiating community development efforts.

This third dimension will evaluate the existing levels of communities' capacities for CFM, their link with the market, non-commercial use, and so on.

6.0 IEIFA METHODOLOGY

6.1 METHODOLOGICAL DESIGN

The IEIFA design process included a desk phase and a socialization phase with USAID Pro-Bosques regional teams (in the cities of Iquitos and Pucallpa), with experts from the state, civil society, and national level indigenous organizations. According to Renshaw and Wray (2004), indigenous participation improves the reliability of data collection tools and strengthens the technical capacity of IOs. Hence the Activity hopes to continue working in coordination with the organizations in all subsequent phases.

Pro-Bosques held a workshop with the goal of collecting feedback from experts in the subject, such as government agencies, civil society organizations and national IOs (see list of participants in Annex 2). They made two specific contributions: improving the criteria proposed by the Pro-Bosques technical team and weighting the index dimensions. The dynamics of weighting will be explained at a later point.

Table 6.1   SUMMARY OF IEIFA DESIGN PROCESS

STEPS
Bibliographical review (conceptual and legal framework) for an initial criteria proposal.
First review of criteria with USAID Pro-Bosques regional teams (Iquitos and Pucallpa).
Workshop to review criteria and to weight dimensions, with experts from the State, NGOs and national indigenous organizations.
Final review of criteria with USAID Pro-Bosques regional teams (Iquitos and Pucallpa).

6.1.1 CRITERIA FORMULATION

Based on the conceptual review and the legal framework, the authors drafted a first version of criteria for each dimension, which was later shared with the USAID Pro-Bosques regional teams and with the experts at the workshop held in Lima.

In total, there are 23 criteria, distributed throughout the 3 dimensions. Dimension 1 has 10 criteria; dimension 2 has 4 criteria; and finally, dimension 3 has 9 criteria (see Annex 3: Criteria Matrix).

Each criterion will be given one of three numerical values indicating its degree of compliance or progress (0.1.2), in addition to the additional value of 9 (nominal), which indicates that the criterion does not apply to the community or circumstance in question. Values are exclusive; it is not possible to meet more than one value at a time per criterion.

Table 6.2   CRITERIA VALUES

9	N/A	When the criterion does not apply to the circumstances of the community in question
0	Fails to comply	If the criterion is not present, not even in an incipient form
1	Compliance/partial compliance	There is some level of progress or partial achievement of the goal
2	Compliance/ satisfactory compliance	The stated goal has been met

The team defined the significance of the degree of compliance for each criterion (See Criteria Matrix in Annex 3), and designed a card for data collection in the field and for establishing values for each criterion (See Annex 5).

6.1.2 DIMENSION WEIGHTING AND MULTI-CRITERIA ANALYSIS

The team used Multi-Criteria Analysis (MCA) to determine weights for the different dimensions. The MCA is formulated based on the different points of view of experts working on a specific subject, in order to obtain weights for each dimension.

The most common methodologies in MCA are classification and rating (Morán, Campos and Louman, 2006). The methodology selected for the project was rating, since it allows the same weight to be placed on different dimensions, if that is the expert's recommendation. At the workshop, the team asked the experts to place a percentage value from 0 to 100 to each of the three dimensions for measuring the empowerment of communities in the forest sector, depending on the importance they attributed to each dimension. The three weights should add up to 100.

Sixteen experts assessed the dimensions of the project, and the (average) result of their assessments is as follows:[4]

Table 6.2.2   DIMENSIONS AND WEIGHTS

DIMENSION	WEIGHT[5]
Development management capacity	40
Security and control of community territory	30
Sustainable management of forest resources to provide livelihoods and economic growth	30

6.2   DATA COLLECTION INSTRUMENT AND APPLICATION

6.2.1   INSTRUMENT

A **Community card**, will be used to collect information. This card has two types of information: *General information* and *Specific information.*

General information

The card contains general information about the community, such as the number of households, the proportion of the population by sex, the presence of schools, etc.

This information can be accessed by asking the head of the community and/or stakeholders who are in a position to provide the information that is required in the card[6]. Some of this information, such as the existence of economic infrastructure, can be filled in by direct observation.

Specific Information

This information is directly linked to the IEIFA criteria. The person gathering the information in the community will ask questions that elicit the answers. It can be applied first with an individual community authority (the President or some designated Member of the Board); however, **some questions are open, and/or require consideration or assessment (levels of agreement with statements). For these questions, the person in charge will use a group dynamic with diverse** stakeholders (see Annex 5: Community card).

For the group dynamics, the team will invite authorities and former community authorities, men and women who are leaders of community organizations, and people who have no position in the community board but have legitimacy in the community (the wise, for example). They must ensure the diversity of the group in terms of gender, age, capacity/disability and relevant criteria in the communities. Responses will be decided by consensus. The person facilitating this exercise should ask for permission to record the group discussion.

The Activity will show a first version of this tool to the members of the USAID Pro-Bosques regional teams, who will serve as the first checkpoint to validate the clarity and pertinence of the items, and the dynamics of data collection. Subsequently, it will apply a pilot in some of the communities in the prioritized areas, in order to make the necessary adjustments before deploying the application of tools to other communities.

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[4] For details of the weighting given by each expert, see Annex 4.
[5] Round numbers have been used to eliminate decimals. For details in decimals, see Annex 4.
[6] Including members of the PRO-BOSQUES team.

6.2.2 APPLICATION OF INSTRUMENT

The first data collection for the baseline is planned for the April-June 2019 period. This will be coordinated with the corresponding indigenous organizations and with the community authorities (Board of Directors).

The first application, in 2019, will constitute the baseline for the index, i.e. it will ascertain and describe the initial situation of the NCs with which the Activity works. It will also be an opportunity to make some adjustments to the instrument to ensure better data collection. The second and third measurements, planned for 2021 and 2023, will monitor the communities and show their evolution.

Table 6.2.2 APPLYING THE COMMUNITY CARD

Target population	-Community authorities and former authorities -Community organizations' leaders -People with no post, but recognized by the community (the wise, etc.) -Members of vulnerable groups. - Pro-Bosques technical staff. (More than one informant, per card)
Application	Individual or Group
Data collection team	USAID Pro-Bosques regional team. Support from local people, designated by community authorities
Scope	NCs participants from the Ucayali and Loreto regions
Frequency	Baseline: April-June 2019 Second measurement: at the end of the Activity's third year (2021) Third measurement: at the end of the Activity's fifth year (2023)
Results level	Each community

6.3 RATING AND INDEXING

To calculate the IEIFA by community, each criterion (value ranging from 0 to 2) must be multiplied by the weight of the dimension to which it belongs and then divided by 100. Subsequently, all the results are added.

This can also be done as follows:

INDEX BY COMMUNITY = 0.4 *Σ(C1) + 0.3 * Σ(C 2) + 0.3 *Σ(C 3)

Where:

Σ(C1): sum of total values for dimension criteria 1

Σ(C2): sum of total values for dimension criteria 2

Σ(C3): sum of total values for dimension criteria 3

According to this formula:

- The minimum possible rating per community, assuming that the 23 criteria had a rating of 0, is 0.

- The maximum value possible per community, assuming that the 23 criteria had a maximum rating of 2, is 15.8.

6.4   ANALYSIS

The IEIFA helps classify the communities in three empowerment categories: *incipient, medium and high,* according to the results found.

Table 6.4.   CLASSIFICATION ACCORDING TO RESULTS

Range of results	Classification categories
12.6 – 15.8	High empowerment
7.9 -12.5	Medium empowerment
0 – 7.8	Incipient empowerment

To establish the maximum value of the *high* empowerment range, the Activity has assumed as a reference that each criterion gets the maximum value of 2. The total value of the IEIFA in a community in such a situation, according to the formula, would be 15.8. The high empowerment category is the narrowest: it contemplates those communities that obtain 80 percent or more of the total score.

To establish the minimum value of the average empowerment category, the Activity has assumed as a reference that each criterion has a maximum value of 1. The total value of the IEIFA in a community in such a situation, according to the formula, would be 7.9.

The index also takes the value of 7.8 as the upper range of the incipient level. The incipient empowerment range is the broadest. The communities that obtain a little less than half of the total score will be in that range.

The IEIFA will enable empowerment level comparisons between each of the communities and their respective indices. It will also make it easier to see how their score gaps are narrowed (or increased) throughout the Activity.

The Activity will also be able to see how the scores of each community within each range are progressing. The results will enable the Activity to respond more to communities that report the lowest rates and to give recommendations on specific aspects that need to be reinforced.

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ANNEX 2: WORKSHOP PARTICIPANT LIST

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18	Alonso Córdova.	World Wildlife Fund- WWF Perú	Coordinador de Proyectos del Programa Bosques

ANNEX 3: CRITERIA MATRIX

Nº	DIMENSIONS/CRITERIA	VALUES				TOOL	MEANS OF VERIFICATION
		9 (NA)	0	1	2		
D1. Development management capacity							
1	Community currently uses its community management tools (statutes, book of minutes, board of director's book, inventory, cash ledger, community member registry, life plan or equivalent)	Does not have management tools	NC uses up to two management tools	Uses 3 to 4 management tools	NC uses over four management tools	Community card	Management documents
2	In the last 12 months, the community has complied with assembly agreements, in accordance with the statute	NC has not had assembly agreements, or does not have an assembly	NC complies with less than 10% of its agreements	NC complies with 10% - 40% of its agreements	NC has complied with over 40% of all agreements adopted in its assembly	Community card	Assembly minutes
3	Community implements actions related to natural resources, planned in their community management plan (life plans or planes equivalent).	No community management plan (neither life plan or equivalent)	NC implements less than 10% of activities planned for natural resources	NC has complied with 10% - 40% of the planned activities for natural resources	NC has implemented over 40% of planned activities, related to NC's natural resources	Community card	Management plans or similar tool
4	Most women in the community take part in community planning	There has been no community planning process	Less than 10% of the NC's women took part	Between 10% - 40% of the women in the community were involved in formulating or updating the community management plan	Over 40% of NC's women were involved in formulating or updating the plan	Community card	Minutes testimony, photos of event, attendance list, register
5	Community authorities place positive value on relations between community and the indigenous organization they belong to local level)	The NC does not belong to a federation	Community authorities believe there is no relationship with the federation	Community authorities value the relationship between the NC and the federation as "relatively close"	Community authorities value relationship between NC and federation as 'very close'	Community card	Testimony, indigenous organization work plan, NC minutes

N°	DIMENSIONS/CRITERIA	VALUES				TOOL	MEANS OF VERIFICATION
		9 (NA)	0	1	2		
6	Community establishes forest commercial agreements with third parties, producing benefits	The NC has no current commercial agreements for forest issues, with third parties	The agreements do not benefit the community	The agreement only benefits one group of the community	Agreement benefits over 50% of community population	Community card	Assembly minutes, agreements/contracts/signed by NC with private party
7	The NC has a form of organization for harvesting timber resources, recognized by the assembly	NC has no forest timber management	No organization at all, exclusive or not, for using timber resources	The board of directors or other organization is not specialized, and manages non-timber forest resources	NC has a specific organization (committee or similar) for forest and timber resources management	Community card	Testimony/ Pro-Bosques/technical reports/committee minutes, NC minutes, PGMF and/or PO
8	Community has some kind of organization for managing non-timber forest resources (flora, wildlife , ecotourism or an ecosystem service)	NC has no non-timber forest management (flora, wildlife, ecotourism or environment services)	No organization at all, exclusive or not, for using timber resources	The board of directors or other organization is not specialized, and manages non-timber forest resources	NC has a specific organization (committee or similar) for forest and non-timber resources management	Community card	Testimony/ Pro-Bosques/technical reports/committee minutes, NC minutes, PGMF and/or PO
9	Community currently has direct or indirect state finance (through services, goods, money transfers , etc.) for CFM activities (through participatory budget, for example, or agreed development plan, etc.)	Community has no forest activity	Community currently has no State funding for its forest initiatives	The community currently has state funding, but has not yet executed it	Funding is currently being executed	Community card	Project name (Invierte.pe), participatory budget minutes/consensus development /community minutes
10	Comunity currently has resources goods serviceos, funding etc.) from private sources NGOs international cooperation, companies, for CFM	Community has no forest activity	NC currently has no privately funded resources for CFM, nor over the last two years	NC currently has private resources for CFM, and has had over the last two years	The NC has executed resources (goods, services, funding etc.) from private sources for CFM, in the last two years	Community card	NC minutes and/or contracts

Nº	DIMENSIONS/CRITERIA	VALUES				TOOL	MEANS OF VERIFICATION
		9 (NA)	0	1	2		
D2. Community territory security and control							
11	Community has zoning	NA	Zoning process started	NC is zoned (or has zoning), in accordance with uses (map or other)	Community card	Minutes, zoning map and/or territory use	Zoning process started
12	Community has native community title registered	NA	NC title in process or has demarcation resolution	NC title is registered in SUNARP	Community card	Property title, registered at SUNARP	NC title in process or has demarcation resolution
13	NC has registered and georeferenced title	No title	Title is registered but not geo-referenced	NC has registered and geo-referenced title	Community card	Property title, registered at SUNARP, geo-referenced cadastral plan	Title is registered but not geo-referenced
14	Community currently implements territory contril activities, recognized by the State	NC has no demarcation	NC has committees or another kind of organization that carry out territory control	NC has territory control committees or organizations that carry out activities, recognized by the State	Community card	NC minutes and/or Pro-Bosques technical reports, report cards, photos, video	NC has committees or another kind of organization that carry out territory control

D3. Sustainable management of forest resources for providing livelihood and economic growth						
15	NC exploits timber resources commerically	NC has no forest resources, or has decided not to exploit them	The NC informally exploits commercial timber	Community has management plan in process	NC makes commercial use of its timber resources and has a current management plan	Community card	NC minutes, management plan, exploitation permit, contracts and/or Pro-Bosques technical reports
16	NC exploits non-timber resources (including forest products, wildlife, crafts etc.)	NC has no forest resources, or has decided not to exploit them	The NC informally exploits commercial timber	NC has a management plan in progress	NC makes commercial use of its non-timber resources and has a current management plan	Community card	NC minutes, management plan, exploitation permit, contracts and/or Pro-Bosques technical reports
17	NC exploits hydrobiological resources commercially	NC has no hydrobiological resources, or has decied not to exploit them	NC makes informal commercial use of hydro biological resources (without PROMAPE)	Community has management plan in process	NC makes commercial use of its hydro biological resources and has a current management plan	Community card	NC minutes, management plan, exploitation permit, contracts and/or Pro-Bosques technical reports
18	NC exploits forest resources commercially (forest, lake and river products) and makes profit	NC does not commercially exploit its natural resources	Natural resources are commercially exploited at a loss	Commercial use of natural resources does not produce profit or loss	The NC makes a profit from the commercial use of the natural resources	Community card	NC minutes, accounting balance, and/or Pro-Bosques technical reports
19	The community has not been given sanctions for forest timber activitiy in last two years	No harvesting plan	NC has been given very serious or serious sanctions, according to forest legislation	NC has only been given mild sanctions in last two years, in accordance with forest legislation	The NC has not received forest sanctions in the last two years	Community card	OSINFOR, regional forest authority

20	Community trades in timber with added value	NC does not commercialize timber	NC sells standing or logged wood	NC sells commercial sawn timber (first process)	The NC sells sawn timber (second process)	Community card	Pro-Bosques technical reports. Invoices. Direct observation
21	Community has control over forest use in its territory	No forest harvesting	The community is not involved in the control of forest activity in its territory	It is involved in one of the process phases	The NC has control over the whole process (planning, use, commercialization)	Community card	Assembly minutes, CVC reports, audit reports, testimonies
22	Profit from community forest business/commerce (timber or non-timber), benefit community households, as agreed in community assembly	No commercial forest activity	Commercial forest activity does not generate profit or benefit (training events, team etc.) for any member of the NC	Forest activity only produces economic profit and/or benefit for those who are directly involved and not for the NC	Forest activity is beneficial (economic, labor, infrastructure, services etc.) not only for those directly involved, but is redistributed or invested in activities that benefit the whole community	Community card	Assembly minutes, Pro-Bosques technical reports
23	Agreements for families to have equitable and sustainable access to forest resources (for commercial and non-commercial purposes)	N/A	There are no agreements for equitable and sustainable access to the territory resources	There are agreements (meat quota, fishing quota, etc.) for equitable and sustainable use of territory's resources	The NC implements agreements (and sanctions, if such is the case) to ensure equitable and sustainable access to the territory's resources	Community card	Assembly minutes

ANNEX 4: PONDERACIÓN DE DIMENSIONES – EXPERTOS/AS

Código de experto[7]	1	2	3	4	5	6	7	8	9	10	11	12	13	14	15	16	*Promedio*
D1. Capacidad de gestión del desarrollo	15	33	50	35	60	30	40	45	60	20	60	30	50	50	50	25	*40.8*
D2. Seguridad y control del territorio comunal	25	33	20	35	20	40	30	20	20	70	30	30	20	25	25	30	*29.6*
D3. Gestión sostenible de sus recursos forestales para proporcionar medios de subsistencia y crecimiento económico	60	33	30	30	20	30	30	35	20	10	10	40	30	25	25	45	*29.6*

[7] El código de experto no tiene relación con el número de orden de la lista de asistentes al taller. USAID Pro-Bosques mantiene las fichas de los/as expertos/as con sus nombres y apellidos, para ser tomados como medios de verificación, pero se reservará su identidad para agentes externos a USAID, USAID Pro-Bosques y Tetra Tech.

ANNEX 5: FICHA COMUNAL

DATOS GENERALES DE LA COMUNIDAD

NOMBRE DE LA CN: FECHA DE ANIVERSARIO: MES/AÑO INCORPORACIÓN A PRO-PROBOSQUES:
RUC DE LA CN: N° DE TELÉF ……………………..

SI NO TIENE TELÉF: Localidad más cercana con telef y número: ……………….   Tiempo aprox. a la localidad con telef: ……………
PERTENENCIA A ORGANIZACIONES Y ANO DE AFILIACIÓN (C5):
LOCAL: ……………….. AÑO: …..   REGIONAL: ……………….. AÑO: ……   NACIONAL: ……………. AÑO: ……

UBICACIÓN/MICROCUENCA: ………………………..   RIO/QUEBRADA: ………………………..   MARGEN: ………………………..

DISTRITO: ………………………..   PROVINCIA: ………………………..   REGIÓN: ………………………..

*COORDENADAS UTM DEL CENTRO POBLADO: ……………….N …………E DATUM:……….
(*Recoger solo si es necesario para ustedes. Las coordenadas con que cuentan las CN usualmente no son del centro poblado)

TIPO DE ASENTAMIENTO: Nuclear ( )   Disperso ( )

GRUPO ÉTNICO PREDOMINANTE: ………………………..   OTROS GRUPOS ÉTNICOS PRESENTES: ………………………..

ACCESO A LA CN: Solo fluvial: ……Tiempo: ………   Fluvial y carretera: …… Tiempo: ………   Solo carretera: …… Tiempo: ………
(marcar con aspa solo una opción) y escribir el tiempo)
        Desde:
        Tipo de embarcación:

TITULACIÓN (C11, 12 y 13)   (Puede tomarse foto al título, para un recojo más rápido)   Fuente: …………….……………..

Año de fundación: …………….   Resolución de reconocimiento: …………….

Resolución de titulación: …………….   N de titulo

Área titulada: …………….   Área de cesión en uso: …………….   Otra: …………….   ÁREA TOTAL : …………….

N° de partida registral/partida electrónica: ¿El título está georeferenciado? (¿la entidad correspondiente ha tomado puntos GPS?) SÍ: ………   NO: ………

OBSERVACIONES

DEMOGRAFÍA	Fuente:

N° de población: ……………   N° de Familias : ……………   N° de personas con alguna discapacidad (física o mental) ……………

N° mujeres ……………   N° mujeres < 18 años…………… N° mujeres > 60 años………………

N° hombres……………   N° hombres <18 años …………… N° hombres > 60 años ……………

SERVICIOS BÁSICOS

ELECTRICIDAD (Si el servicio funciona por horas, indicar horas)	N° DE FAMILIAS QUE CUENTA CON EL SERVICIO	AGUA SEGURA (SERVICIO)	N° DE FAMILIAS QUE CUENTA CON EL SERVICIO	SISTEMA DE DISPOSICIÓN DE EXCRETAS	N° DE FAMILIAS QUE CUENTA CON EL SERVICIO
Ninguno		Tratada/filtrada		Desagüe	
Panel solar		No tratada/ni filtrada		Letrina (artesanal)	
Generador eléctrico				Silo (entubado)	
Otro:				Otro:	

SERVICIOS DE COMUNICACIÓN

COMUNICACIÓN (Si el servicio no está operativo, indicarlo)	OPERADOR	COMUNICACIÓN	OPERADOR
Teléfono público		Servicios de TV señal abierta	
Estación de radiofonía (colocar frecuencia)		Servicios de TV señal satelital	

Cobertura de celular		Radio más escuchada	
		Internet	

EQUIPAMIENTO DE LA CN							
	LOCAL COMUNAL	OFICINA DE JUNTA DIRECTIVA	PEQUE-PEQUE	FUERA DE BORDA	GENERADORES	MOTOSIERRA	OTRA RELEVANTE
CANTIDAD COMUNAL							
CANTIDAD PARTICULAR							

INSTITUCIONES EDUCATIVAS (PREGUNTAR AL/LA DIRECTOR/A DE LA IE)				
	NOMBRE DE IE	N°IE	N° ALUMNADO	NOMBRE DE DIRECTOR/A
PRONOEI				
INICIAL				
PRIMARIA				
SECUNDARIA				

INFRAESTRUCTURA DE SALUD
TIPO (MARCAR CON UN ASPA): Botiquín comunal………   Puesto: …………….   Centro …………….   MICRORED: ……………. …..   RED:…………….   NOMBRE DE PROMOTOR/A: ………………………………………   Condición del establecimiento: ……………..   ¿Está implementado con medicinas?.................   SI NO HAY ESTABLECIMIENTO DE SALUD: Puesto de salud más cercano (CN en la que está): …………….   Tiempo de viaje: …………….   OBSERVACIONES:

B. ORGANIZACIÓN SOCIAL Y GESTIÓN

JUNTA DIRECTIVA					
PERIODO DE VIGENCIA: ……………… ¿REGISTRADO EN SUNARP?: SÍ… NO … N° DE FICHA REGISTRAL: ………………					
CARGOS	NOMBRE	SEXO	EDAD	DNI	PERIODO*
Jefe/a o Apu					
Sub-Jefe/a o Vice Apu					
Secretario/a					
Tesorero/a					
Vocal(es)					

*Llenar solo en caso haya habido cambio en algún cargo.

EN LAS ASAMBLEAS COMUNALES SE LLEGAN A ACUERDOS DE DIVERSOS TIPOS Y NO TODOS SE CUMPLEN NECESARIAMENTE. EN EL CASO DE ESTA COMUNIDAD, ¿CUÁL DIRÍA QUE ES EL PORCENTAJE DE ACUERDOS QUE SE HAN CUMPLIDO EN LOS ÚLTIMOS DOCES MESES? (C2) (indagar por el número total de acuerdos y preguntar cuántos de ellos se han cumplido)	OBSERVACIONES/MOTIVOS POR LOS CUÁLES NO SE CUMPLIERON LOS ACUERDOS:

HERRAMIENTAS DE GESTIÓN COMUNAL (C1)					
TIPO	¿Tiene? (Sí/No)	AÑO DEL DOCUMENTO	¿ESTÁ VIGENTE? (Sí/No)	¿QUIÉN APOYÓ SU ELABORACIÓN?	¿QUIÉN APOYÓ SU IMPLEMENTACIÓN?
Padrón comunal					
Libro de actas de asamblea					
Libro/Acta de junta directiva					
Libro de contabilidad/Libro de caja					
Libro de inventario comunal					
Estatuto					
Plan de vida o similar (nombre del documento)					

…………………………..					
Plan de gestión del incentivo/PNCB					

DE EXISTIR PLAN DE VIDA O HERRAMIENTA DE PLANIFICACIÓN SIMILAR:
¿Cuántas mujeres y hombres, aproximadamente, participaron en la elaboración del plan/documento? (C4)
Mujeres: …………………….   Hombres: ……………………   TOTAL:…………………………….
¿Cuál es el estado de avance del plan de vida (o herramienta similar), con relación a las actividades sobre recursos naturales? (marcar con aspa solo una) (C3)
 Menos del 10%: …………………….   Entre 10% y 40%: ……………………   Más del 40%:…………………………….
OBSERVACIONES:

ORGANIZACIONES DE LA CN						
	ORGANIZACIONES	NOMBRE DE LA ORG.	RESPONSABLE	SEXO	EDAD	PERIODO DE VIGENCIA
SOCPRODUCTIVAS SOCIALES	Forestales					
	Maderables (C7)					
	No maderables					
	Pesqueras					
	Artesanías					
	Agrícola					
	OTRAS:					
	Club de Madres					

Vaso de leche					
Club deportivo					
Org. juvenil					
APAFA inicial					
APAFA primaria					
APAFA secundaria					
Iglesia					
OTRAS:					

SI LA CN CUENTA CON ALGÚN COMITÉ U ORGANIZACIÓN PARA EL MANEJO DE RECURSOS FORESTALES: ¿EL COMITÉ ES EXCLUSIVO PARA EL MANEJO DE RECURSOS FORESTALES O COMPARTE OTRAS FUNCIONES? (marcar una) (C7)

La junta directiva realiza actividades de manejo de recursos   …..
El comité es distinto de la junta directiva, pero realiza también otras labores además del manejo forestal   …..
Existe un comité exclusivo para el manejo de recursos forestales   …..

ACUERDOS CON TERCEROS			
¿LA CN HA TENIDO ALGÚN ACUERDO CON TERCEROS EN TEMAS FORESTALES EN LOS ULT. 12 MESES? (marcar con aspa) (C6)	SI LA RESPUESTA ES SÍ:¿EXISTE UN CONTRATO?(marcar con aspa)	SI LA RESPUESTA ES SÍ: ¿LA CN CUMPLIÓ LOS ACUERDOS? (marcar con aspa)	NIVEL DE CUMPLIMIENTO DE ACUERDOS (ESCRIBIR PORCENTAJE)

SÍ ………… NO …………	SÍ ………… NO …………	SÍ ………… NO …………	

EN CASO EXISTAN ACUERDOS CON TERCEROS: ¿A CUÁNTAS FAMILIAS DE LA CN BENEFICIAN ESOS ACUERDOS? (C6) : ………………………………….	DETALLE /OBS SOBRE LOS BENEFICIOS (indagar si esos beneficios alcanzan a mujeres de la comunidad o grupos con necesidades especiales: personas con discapacidad, ancianos/as, personas que requieren ayuda por situaciones particulares, etc.)
¿CUÁLES SON LOS BENEFICIOS?	

PRESENCIA DE INSTITUCIONES PÚBLICAS Y PRIVADAS EN LA COMUNIDAD*

PROYECTOS O ACTIVIDADES ASOCIADOS A MANEJO FORESTAL QUE SE HAN EJECUTADO EN LA CN EN LOS ÚLTIMOS 2 AÑOS (LISTAR)	N° DE FAMILIAS BENEFICIADAS	PERIODO (EMPEZAR POR EL MÁS ACTUAL) (C9, C10)	¿QUIÉN FINANCIA/FINANCIÓ? (C9, C10)	¿QUIÉN EJECUTÓ?	ESTADO ACTUAL/ RESULTADO

OTROS PROYECTOS O ACTIVIDADES QUE SE HAN EJECUTADO EN LA CN EN LOS ÚLTIMOS 2 AÑOS (LISTAR)	N° DE FAMILIAS BENEFICIADAS	PERIODO (EMPEZAR POR EL MÁS ACTUAL)	¿QUIÉN FINANCIÓ?	¿QUIÉN EJECUTÓ?	ESTADO ACTUAL/ RESULTADO

*(indagar por proyectos de USAID si no saliera de forma espontánea)

CAPACITACIONES
(Indagar por capacitaciones en manejo forestal y por capacitaciones en control y vigilancia, si no saliera de forma espontánea)

ÁREAS O MATERIAS EN LAS CUÁLES MIEMBROS DE LA CN HAN RECIBIDO CAPACITACIÓN EN LOS ÚLTIMOS 2 AÑOS	N° DE PERSONAS CAPACITADAS	AÑO	DURACIÓN APROX. DEL EVENTO (HORAS, SEMANAS, MESES)	INSTITUCIÓN EJECUTORA

AUTORIDADES ESTATALES PRESENTES					
	Agente Municipal	Teniente Gobernador	Juez de Paz	Registrador civil	Otro:
Nombre					
Teléfono					

RELACIÓN CON LA ORGANIZACIÓN INDÍGENA LOCAL (C5)
¿CÓMO ES LA RELACIÓN CON LA FEDERACIÓN? ¿DIRÍA QUE ES NADA CERCANA, MEDIANAMENTE CERCANA O MUY CERCANA? (MARCAR SOLO UNA)

Las autoridades comunales consideran que no hay relación con la federación ……..

Las autoridades comunales valoran la relación entre la CN y la federación como "medianamente cercana" ……..

Las autoridades comunales valoran la relación entre la CN y la federación como muy cercana   ……..

OBSERVACIONES:

TERRITORIO Y RECURSOS

ZONAS DE INTERÉS TURÍSTICO O ARQUEOLÓGICO:	
ZONAS SAGRADAS:	

ZONIFICACIÓN (C11)		
¿LA CN CUENTA CON ZONIFICACIÓN/ ORDENAMIENTO DE USO DEL TERRITORIO?	SI CUENTA CON ZONIFICACIÓN: TIPO DE DOCUMENTO: (MAPA, OTROS)	SI LA RESPUESTA FUE QUE NO CUENTA CON ZONIFICACIÓN: ¿EN QUÉ ESTADO SE ENCUENTRA EL PROCESO DE ZONIFICACIÓN?
SÍ….. NO….		

EQUIPAMIENTO PARA ACTIVIDADES FORESTALES Y CONTROL DEL TERRITORIO										
	Patio de acopio/trozas	Almacén	GPS	Drones	Laptop	Cámara fotográfica	Motosierra	Aserradero portátil	Winche	OTRA RELEVANTE
CANTIDAD COMUNAL										
CANTIDAD PARTICULAR										

CONTROL DEL TERRITORIO				
¿LA CN EJECUTA EN LA ACTUALIDAD ACTIVIDADES DE CONTROL DEL TERRITORIO?	¿QUÉ MECANISMOS USA PARA EL CONTROL DEL TERRITORIO?/ ¿CÓMO SE ORGANIZAN?	¿CUENTA CON FINANCIAMIENTO ACTUAL PARA ACCIONES DE CONTROL?	FUENTE DE FINANCIAMIENTO:	SI LA CN CUENTA CON ALGÚN COMITÉ U ORGANIZACIÓN PARA EL CONTROL DEL TERRITORIO: ¿EL COMITÉ U ORGANIZACIÓN CUENTA CON RECONOCIMIENTO DEL ESTADO
SÍ……. NO……		SÍ……. NO……		SÍ……. NO……

SI LA CN CUENTA CON ALGÚN COMITÉ U ORGANIZACIÓN PARA EL CONTROL: COMPOSICIÓN DEL COMITÉ O GRUPO DE CONTROL DEL TERRITORIO (NOMBRES Y CARGOS)	OBSERVACIONES SOBRE EL COMITÉ O GRUPO (DESDE CUÁNDO EXISTE, EN QUÉ PROCESO ESTÁN ACTUALMENTE, CÓMO SE DA LA PARTICIPACIÓN DE MUJERES)

ACTIVIDADES ECONÓMICAS

ACTIVIDADES ECONÓMICAS ASOCIADAS AL BOSQUE					
	N° DE FAMILIAS				
PRINCIPALES ACTIVIDADES ECONÓMICAS	AUTOCONSUMO	VENTA	PRINCIPALES PRODUCTOS (explorar si hay valor agregado/transformación) (C20)	PRECIO	PRINCIPAL MERCADO
Pesca					
Caza					
Extracción madera (C15, C20)					
Extracción no maderables (C16)					

¿HAY PLAN DE APROVEHAMIENTO? (C15.16. 17)	NIVEL DE PLAN (DEMA, PGMFI, PGMF)	¿HAY ACUERDO CON TERCEROS?	¿CON QUIÉN?	¿QUÉ TIPO DE ACUERDOS?
SÍ……. NO……		SÍ……. NO……		

31. ¿CUANTO SE INVOLUCRA LA COMUNIDAD EN EL APROVECHAMIENTO DE SUS RECURSOS FORESTALES? (MARCAR SOLO UNA OPCIÓN) (C21)

1.La CN no se involucra en el control de la actividad forestal que se desarrolla en su territorio   ……………

2. La CN se involucra en alguna de las fases del proceso   ……………

3.La CN tiene control sobre todo el proceso (planificación, aprovechamiento, comercialización)   ……………..

OTRAS ACT. ECONÓMICAS					
	N° DE FAMILIAS				
	AUTOCONSUMO	Venta	PRINCIPALES PRODUCTOS (explorar si hay valor agregado/transformación)	PRECIO	PRINCIPAL MERCADO
Agricultura					
Crianza de animals menores					
Artesanía					

Ganadería				
Comercio (vendedores, bodegas, etc.)				
Venta de servicios/empleos				

BENEFICIOS DE LA ACTIVIDAD FORESTAL (BOSQUES, LAGOS, RIOS)			
ACTUALMENTE, ¿LA ACTIVIDAD COMERCIAL FORESTAL GENERA GANANCIAS O BENEFICIOS A LA CN? (C18)	SOLO SI LA RESPUESTA FUE QUE SÍ HUBO BENEFICIOS: ¿CUÁLES?	¿A QUIÉN/QUIÉNES BENEFICIA? /¿A QUÉ ACTIVIDAD SE DESTINÓ? *Esta p. debe hacerse a persona/as ajenas a la junta directiva (c.22)	OBSERVACIONES
SÍ……. NO……		A Nadie …… Solo los directamente involucrados …… No solo a los directamente involucrados/ A toda la comunidad ……	

ACUERDOS PARA EL APROVECHAMIENTO (NO COMERCIAL Y COMERCIAL) DE RECURSOS C.23		
¿EXISTE ALGÚN DE ACUERDO COMUNAL DE USO Y ACCESO A RECURSOS (NO COMERCIAL Y COMERCIAL)?	SI LA RESPUESTA ES SÍ: ¿QUÉ TIPO DE ACUERDOS? (EXPLORAR SI HAY CUOTAS DE PESCA, CAZA, MADERA, ETC.)	¿SE CUMPLEN LOS ACUERDOS? OBSERVACIONES
SÍ……. NO……		

SANCIONES (C.19) Fuente:		
¿LA CN REGISTRA ALGUNA SANCIÓN POR INFRACCIÓN A LA LEGISLACIÓN FORESTAL EN LOS ÚLTIMOS DOS AÑOS?	EN CASO HAYA TENIDO INFRACCIÓN: ¿DE QUÉ GRADO FUE LA INFRACCIÓN?	¿CUÁL FUE LA SANCIÓN? ¿SE HA ACOGIDO A ALGÚN MECANISMO DE PAGO? (DETALLAR)
SÍ……. NO……	1. Muy grave …… 2. Grave …… 3. Leve …… 4. No sabe ……	

SOLO PARA COMUNIDADES QUE REALIZAN ACTIVIDAD COMERCIAL MADERABLE:

DATOS DE LA PARCELA
Extensión de la parcela de corta: Coordenadas UTM: _____   _____   _____   _____   DATOS DE EXTRACCIÓN: Servicios disponibles que facilitan la extracción (¿transporte de carga entre centros poblados, prestadores de servicio?, etc.):   ¿Tiene plan operativo? Sí ____   No____   ¿Está disponible en la CN? Sí ____   No____   ¿Quién es la persona encargada de guardarlo?   _____   Distancia desde la parcela al centro de acopio: Tipos de camino a la PC:

Distancia del centro de acopio a la comunidad:

Facilidad de tránsito de caminos a la PC (¿dificultades en alguna época del año?):

Modalidad de aprovechamiento (mecanizado, manual, etc.):

Forma de venta de productos (Troza tumbada y rodeada en bosque, troza puesta a la orilla del camino, etc.):

Lugar de venta:

¿HAY EXPERIENCIAS PREVIAS DE INCUMPLIMIENTO DE LA CN CON EMPRESAS FORESTALES EL ÚLTIMO AÑO (12 MESES)?	RESUMEN DEL CASO:	¿EXPERIENCIAS PREVIAS DE INCUMPLIMIENTO DE ACUERDOS DE EMPRESAS FORESTALES CON LA CN (EL ÚLTIMO AÑO (12 MESES?	RESUMEN DEL CASO:
SÍ……. NO……		SÍ……. NO……	

INFORMANTES Y CARGOS: (IMPORTANTE: La mitad de los/as informantes debe ser mujeres, con o sin cargo)

Nombre	Sexo	Cargo (si tuviera)