

## **ESTUDIO DE RIESGOS SOCIALES Y AMBIENTALES**

### **- TÉRMINOS DE REFERENCIA -**

#### **1. ANTECEDENTES**

Durante los últimos 45 años, la Asociación Inkaterra (ITA) ha estado trabajando en la región de Madre de Dios en Perú. Esta región abarca el 15% de la selva tropical andino-amazónica de la nación, lo que la convierte en una de las regiones con mayor biodiversidad del mundo. Desempeña un papel vital en el almacenamiento de carbono y proporciona una conectividad esencial para los ecosistemas forestales de la zona. Sin embargo, Madre de Dios enfrenta una creciente deforestación y degradación, principalmente debido a la minería de oro ilegal y legal, la tala, la expansión agrícola inadecuada, la apropiación de tierras, los incendios inducidos por el hombre en temporada, entre otros factores. Estas actividades amenazan la salud general, así como el bienestar social, cultural y económico de los residentes del área, e impiden el desarrollo de prácticas sostenibles como la pesca, los mercados forestales, los créditos de carbono y biodiversidad, y el ecoturismo.

La urgencia de proteger los corredores de conservación de Madre de Dios, para preservar su biodiversidad y servicios ecosistémicos, fue destacada en la publicación de Smithsonian Institution de 2019 “El Futuro de Madre de Dios”. En respuesta, ITA junto con USAID y una coalición de empresas privadas con experiencia en negocios sostenibles en la Amazonía, iniciaron el proyecto Paisajes Sostenibles de Madre de Dios (MDSL). El área de enfoque del estudio es el Corredor de Conservación del Bajo Madre de Dios (LMDCC), que cubre más de 102,000 hectáreas. El LMDCC es un conector de corredor de conservación crítico esencial para mantener la integridad ecológica de las áreas protegidas y sus zonas de amortiguamiento dentro del Corredor de Conservación Vilcabamba-Amboro, que se extiende entre Perú y Bolivia

El proyecto MDSL tiene como objetivo facilitar inversiones privadas y públicas sostenibles en la región que salvaguarden su biodiversidad y servicios ecosistémicos. Estas inversiones incluyen actividades como la reforestación de áreas degradadas con plantaciones forestales comerciales o plantaciones de restauración, cosecha sostenible de productos forestales no maderables como Aguaje y Castaña, y ecoturismo.

Para la implementación del proyecto, USAID está ayudando a ITA a financiar parte de los estudios requeridos para evaluar la factibilidad de las inversiones a ser realizadas por las empresas del sector privado que participan en el MDSL.

Uno de los estudios que se requiere realizar dentro del proyecto MDSL es el ***Estudio de Riesgos Sociales y Ambientales*** con la finalidad de recopilar información para cada uno de los sectores productivos y proporcionarla como insumo inicial para sus estudios de factibilidad.

## **2. Título del Proyecto:**

Desarrollo de Paisaje Sostenible en Madre de Dios (MDSL).

## **3. Lugar o lugares de trabajo:**

El área de enfoque del estudio es el Corredor de Conservación del Bajo Madre de Dios (LMDCC), que abarca 102,762 hectáreas.

## **4. Periodo de contrato:**

El presente contrato tendrá una duración de 4 meses (120 días calendario)

## **5. OBJETIVOS DEL ESTUDIO**

Identificación y comprensión de los riesgos sociales y ambientales que podrían afectar a los distintos sectores que son parte del MDSL con la finalidad de identificar y definir una estrategia adecuada para gestionarlos, incluyendo medidas de prevención y solución para los riesgos identificados.

## **6. DESCRIPCIÓN DEL ESTUDIO DE RIESGOS SOCIALES Y AMBIENTALES**

Este estudio tiene por objetivo identificar los riesgos dentro del área de interés que pueden afectar al desarrollo empresarial en marco del proyecto MDSL (ver Anexo 1). Este estudio incluye una revisión inicial de información secundaria, que abarca estudios anteriores centrados en el área de interés. La investigación inicial es para identificar los riesgos potenciales en las áreas de interés, incluido los riesgos de las actividades extractivas, la agricultura extensiva, las contaminaciones por metales pesados y el cambio climático. Además, el estudio incluirá entrevistas en profundidad con expertos y un taller participativo con expertos para identificar y debatir los riesgos sociales y medioambientales presentes en la zona de interés, así como las estrategias para mitigarlos. En preparación para el taller participativo, el/la interesado/a deberá incluir como mínimo, agenda, lista de participantes, resumen de temas conversados, identificación de riesgos, estrategias de mitigación, etc. En respuesta a esta convocatoria, la organización interesada deberá incluir en

su propuesta una descripción detallada de la metodología de trabajo, uso de información primaria y secundaria, metodología de talleres participativos, etc. Asimismo, la organización interesada deberá describir la necesidad de información que pueda ser cubierta con los otros estudios realizados en el marco del proyecto MDSL (ver Anexo 1)

El estudio debe abordar los siguientes temas:

- a. Incorporar una descripción detallada del entorno físico, social y uso actual de la zona de influencia como introducción del estudio.
- b. Descripción detallada de la metodología empleada como por ejemplo: entrevistas con expertos, focus groups, talleres participativos, etc. Asimismo, explicar el proceso del o de los talleres, contribuciones de los expertos y validación o consenso sobre los riesgos (valoración de los riesgos)
- c. Identificar los riesgos relacionados con el desarrollo de la actividad. El interesado deberá describir todos los riesgos sociales y ambientales relevantes al proyecto MDSL en un mapeo de riesgos. La lista a continuación no es excluyente:
  - Riesgos sociales: protestas sociales derivadas de desplazamiento de comunidades, falta de consulta previa y consentimiento libre previo e informado, impactos en la salud, conflictos sociales, etc.
  - Riesgos ambientales: contaminación de suelo y cuerpos de agua, degradación de ecosistemas, agravamiento de efectos del cambio climático, etc
- d. Anticipar potenciales consecuencias de la materialización de los riesgos identificados.
- e. Identificar la probabilidad de ocurrencia y la severidad de las consecuencias de los riesgos. Asimismo, identificar los actores involucrados (e.g. comunidades nativas, concesionarios, gobiernos locales, grupos delictivos, etc).
- f. Diseñar medidas de prevención ante la probabilidad de ocurrencia de los riesgos.
- g. Diseñar posibles soluciones y medidas de mitigación ante la potencial materialización de los riesgos.

## **7. ENTREGABLES**

El Estudio de Riesgos Sociales y Ambientales tendrá los siguientes entregables. El solicitante debe revisar la sección 6, Descripción del Estudio de Riesgos Sociales y Ambientales para asegurarse que los entregables abarquen todas las actividades allí descritas, así como la sección 8, de instrucciones a continuación, cuando prepare todos los entregables:

7.1. Estudio de los riesgos, medidas de prevención y posibles soluciones y medidas de mitigación. El estudio deberá incluir, entre otros detalles, el tipo de riesgo, descripción del riesgo, ubicación geográfica, nivel de severidad y probabilidad, estrategias de mitigación, etc.

7.2. Matriz que aborde la gestión de riesgos sociales y ambientales integrales del proyecto.

## **8. INSTRUCCIONES PARA LA EMISIÓN DE LA PROPUESTA**

Se debe presentar una propuesta técnica y una económica explicando la metodología que utilizará para desarrollar cada uno de los entregables descritos en los presentes términos de referencia, que debe incluir:

**8.1. Antecedentes.** Antecedentes y experiencia de la organización para llevar a cabo el trabajo.

**8.2. Propuesta técnica.** Como mínimo, las propuestas técnicas deben tener:

- Una descripción detallada de cómo se llevarán a cabo las actividades solicitadas, los profesionales que trabajarán en el proyecto y su currículum vitae y su experiencia para realizar este trabajo.
- La propuesta técnica, así como todos los entregables deberán estar escritos en inglés utilizando la fuente Calibri 12 y se presentarán a ITA en forma de borrador. ITA se reserva el derecho de requerir una presentación separada a USAID.
- La propuesta técnica tendrá un máximo de 10 páginas con espacio simple. Los anexos no están incluidos en este límite de páginas.
- El solicitante incorporará las observaciones del ITA antes de presentar las versiones finales para su aprobación
- El pago de los entregables dependerá de la aprobación del ITA y de USAID.
- El solicitante debe describir la metodología para integrar/coordinar este trabajo y todos sus entregables para complementar otros estudios en los Hitos incluidos en la Descripción del Programa (Anexo 1).
- Los informes en inglés para USAID incluirán un índice que incluya, como mínimo: un resumen ejecutivo, introducción/antecedentes, metodología, entregables, recomendaciones, anexos y próximos pasos.

**8.3. Propuesta de presupuesto.** Como mínimo, las propuestas de presupuesto deben contener:

- Nivel de esfuerzo requerido (días, horas, etc.)
- Tarifas (diarias, por hora)
- Todos los costes deben describirse en dólares estadounidenses.
- El presupuesto debe incluir todos los impuestos, seguros, transportes, licencias, autorizaciones, inspecciones, pruebas y, en su caso, costes laborales de acuerdo con la legislación vigente, así como cualquier otro concepto que pueda

repercutir en el coste de ejecución del servicio a excepción de aquellos interesados que gocen de alguna exoneración legal, los cuales no incluirán en el precio de su oferta los tributos respectivos.

- Proporcionar las categorías presupuestarias para las actividades del proyecto, tales como viajes, alojamiento, equipamiento, contratos y servicios de consultoría necesarios para el Estudio de Estratificación. El solicitante trabajará y comunicará por escrito al ITA cómo se distribuirá el presupuesto entre las diferentes categorías.
- El costo total máximo de esta consultoría es US\$35,000 (treinta y cinco mil dólares americanos), el mismo que debe incluir todos los gastos relevantes (viajes, equipos, impresiones, materiales, etc), así como los impuestos de ley.

Las propuestas técnicas y económicas que acompañan a la carta de presentación para la precalificación se presentan en idioma castellano; si fuera el interesado extranjero, lo hará en su idioma original, acompañado de su correspondiente traducción. El postulante es responsable de la exactitud y veracidad de dichos documentos. La propuesta técnica puede ser presentada en inglés, pero deberá estar acompañada por una traducción al español.

Las solicitudes y las ofertas deben llevar la rúbrica del interesado, o de su representante legal, apoderado o mandatario designado para dicho fin. Las propuestas técnicas y económicas se presentan en digital.

Si se diera el caso que para el servicio a brindar la empresa principal opta por constituir un consorcio expreso para la ejecución de la actividad para la que es contratado dentro del proyecto, debe adjuntar un documento Promesa de Consorcio Legalizada, en la que se consigne los integrantes, el representante común, el domicilio común y las obligaciones a las que se compromete cada uno de los integrantes del consorcio, así como el porcentaje equivalente a dichas obligaciones. El representante común del consorcio se encuentra facultado para actuar en nombre y representación del mismo en todos los actos referidos al procedimiento de selección, suscripción y ejecución del contrato, con amplias y suficientes facultades. Los integrantes de un consorcio no pueden presentar ofertas individuales ni conformar más de un consorcio en un procedimiento de selección y en un determinado ítem.

#### **8.4 Evaluación de las Propuestas**

El Comité de Selección evaluará las propuestas, según el criterio que el presente documento define.

La evaluación de las ofertas que cumplan con lo señalado en el numeral anterior tiene como objetivo determinar la oferta con el mejor puntaje y el orden de prelación de las ofertas, según los factores y el procedimiento de evaluación enunciados a continuación:

En las contrataciones de consultoría en general, la evaluación técnica y económica se realiza sobre cien (100) puntos en cada caso.

1. Situación Legal del Postulante o empresa consultora (05 puntos)
  - a. RUC y Unique Entity Identifier (UEI, ver sección 12)
  - b. Vigencia de Poder del Representante Legal
  - c. Licencia de funcionamiento
  - d. Monto de Facturación en los últimos tres años en moneda nacional o extranjera (Acreditada con copia simple de facturas o contratos).
  - e. Entidad bancaria con que trabaja
  - f. Nombre de Aseguradora
2. Cumplir con los requisitos establecidos en la Sección 12 “Experiencia de la Empresa Consultora” (65 puntos).
3. Experiencia en el relacionamiento con las poblaciones locales en la Amazonía (20 puntos).
4. Entrevista (10 puntos)

## **9. PLAZO DE EJECUCIÓN DEL SERVICIO**

El Estudio de Riesgos Sociales y Ambientales se completará en 4 meses luego de la firma del convenio.

- Plan de trabajo, escrito, como documento de Microsoft Word en inglés de 10 páginas como máximo. Debe incluir las siguientes secciones: introducción/antecedentes, objetivos, metodología para realizar el estudio y cómo contribuirá al objetivo general del proyecto MDSL (véase el Anexo 1), planificación propuesta (presupuesto, calendario, etc.), contenido de los estudios, hipótesis críticas para el estudio y condiciones por las que los resultados de estos estudios pueden o no mantenerse.
- Entregable 2: Borrador de los informes de Riesgos Sociales y Ambientales en inglés, de un máximo de 20 páginas cada uno, presentados al ITA para su revisión y aprobación. El contenido de estos informes incluirá los detalles descritos en la sección 7 anterior.
- Entregable 3: Informe final de los Informes de Riesgos Sociales y Ambientales revisado para incorporar las aportaciones del ITA y de USAID.
- Entregable 4: Una vez aprobadas las versiones finales por ITA, cargar los informes en el DEC. [Development Experience Clearinghouse \(DEC\) - Home \(usaid.gov\)](https://www.usaid.gov/development-experience-clearinghouse)

## 10. PRESUPUESTO Y FORMA DE PAGO

Nombre	Descripción	Fecha límite de Presentación	Aprobación	Porcentaje de Pago
Entregable 1	Presentación del Plan de Trabajo a ITA	20 días después de la firma del convenio	ITA	40%
Entregable 2	Presentación de los borradores de los informes a ITA	Dentro de los 90 días luego de firmado el convenio (o 7 de octubre 2024, lo que ocurra primero)	ITA	30%
Entregable 3	Presentación de los informes finales a ITA	Dentro de los 100 días luego de firmado el convenio (u 8 de noviembre 2024, lo que ocurra primero)	ITA y USAID	25%
Entregable 4	Envío de los reportes aprobados al DEC	Dentro de los 120 días luego de firmado el convenio	ITA	5%

## 11. PROPIEDAD INTELECTUAL

La empresa que resulte ganadora no tendrá ningún derecho de patente u otros derechos de propiedad intelectual en ninguno de los productos obtenidos, dado que tales derechos pasarán a ser propiedad de ITA y estos pueden ser compartidos, sin costo, con entidades de financiamiento nacionales y/o Agencias de Cooperación Técnica o Internacionales, en caso de que estas lo requieran. La siguiente traducción de las cláusulas obligatorias es de cortesía. Las cláusulas originales en

inglés también han sido incluidas. De haber alguna duda o discrepancia entre ambas versiones, prevalecerá la versión en inglés:

#### 11.1. ENVÍOS AL CENTRO DE INTERCAMBIO DE EXPERIENCIAS DE DESARROLLO Y 5 DERECHOS SOBRE DATOS (DEC)

a. Envíos al Centro de Intercambio de Experiencias de Desarrollo (DEC).

El ganador debe proporcionar a ITA una copia de cualquier Trabajo Intelectual que se publique, y una lista de cualquier Trabajo Intelectual que no se publique.

Además, el ganador debe enviar el Trabajo Intelectual, ya sea publicado o no, al DEC, ya sea en línea (preferido) o por correo. El ganador debe revisar el sitio web del DEC para obtener instrucciones de envío, incluyendo el formato de los documentos y los tipos de documentos a enviar. Las instrucciones de envío se pueden encontrar en: <https://dec.usaid.gov>.

A efectos de los envíos al DEC, el Trabajo Intelectual incluye todos los trabajos que documentan la implementación, evaluación y resultados de las actividades de asistencia al desarrollo internacional desarrolladas o adquiridas bajo este premio, que pueden incluir materiales de programas y comunicaciones, evaluaciones y valoraciones, productos de información, informes de investigación y técnicos, informes de progreso y rendimiento requeridos bajo este premio (excluyendo información financiera administrativa), y otros informes, artículos y documentos preparados por el ganador bajo el premio, ya sean publicados o no.

El término no incluye la información del ganador que sea incidental a la administración del premio, como información financiera, administrativa, de costos o precios, o de gestión.

Cada documento enviado debe contener información bibliográfica esencial, como 1) título descriptivo; 2) nombre(s) del autor(es); 3) número del premio; 4) oficina patrocinadora de USAID; 5) objetivo de desarrollo; y 6) fecha de publicación.

El ganador no debe enviar al DEC ninguna información financieramente sensible o información de identificación personal, como números de seguridad social, direcciones de domicilio y fechas de nacimiento. Dicha información debe ser eliminada antes del envío. El ganador no debe enviar documentos clasificados al DEC.

b. Derechos sobre los Datos



Datos significa información registrada, independientemente de la forma o el medio en el que pueda estar registrada, incluyendo datos técnicos y software de computadora, e incluye Trabajo Intelectual, definido en a. arriba.

Los derechos serán compartidos, por separado, por ITA y el titular. A menos que se disponga lo contrario en esta disposición, el ganador puede retener los derechos, título e interés sobre los Datos que se adquieran o produzcan por primera vez bajo este premio. USAID se reserva el derecho de uso, divulgación, reproducción, preparación de obras derivadas, distribución de copias al público, y ejecución y exhibición públicas, de manera gratuita, mundial, no exclusiva e irrevocable, en cualquier forma y para cualquier propósito, y de permitir que otros lo hagan.

c. Derechos de Autor

El ganador puede registrar los derechos de autor de cualquier libro, publicación u otros materiales susceptibles de derechos de autor adquiridos o producidos por primera vez bajo este premio. USAID se reserva el derecho de uso, divulgación, reproducción, preparación de obras derivadas, distribución de copias al público, y ejecución y exhibición públicas, de manera gratuita, mundial, no exclusiva e irrevocable, en cualquier forma y para cualquier propósito, y de permitir que otros lo hagan.

El ganador proporcionará a ITA, a solicitud o según lo dispuesto en este premio, una copia de cualquier Dato o material con derechos de autor sobre los cuales el Gobierno de los EE. UU. tenga derechos bajo los párrafos b. y c. de esta disposición. El Gobierno de los EE. UU. no hace representaciones ni garantías en cuanto a título, derecho de uso o licencia, u otros derechos u obligaciones legales con respecto a cualquier Dato o material con derechos de autor.

11.2. DERECHOS DE PATENTE

a. Derechos de Patente

(1) Asignación de Derechos Principales de Patente. El ganador puede retener todos los derechos, título e interés en todo el mundo sobre cada invención sujeta, sujeta a esta disposición. Con respecto a cualquier invención sujeta en la que el ganador retenga el título, el Gobierno de los EE. UU. debe tener una licencia no exclusiva, no transferible, irrevocable y pagada para practicar o hacer practicar en nombre del Gobierno de los EE. UU. la invención sujeta en todo el mundo, y para

sublicenciar a otros para hacer lo mismo. El ganador acepta incluir, dentro de la especificación de cualquier solicitud de patente de los Estados Unidos y cualquier patente que se emita sobre la misma que cubra una invención sujeta, la siguiente declaración: “Esta invención se realizó con el apoyo del Gobierno de los EE. UU. bajo (identificar el acuerdo otorgado por USAID). El Gobierno de los EE. UU. tiene ciertos derechos en esta invención.”

(2) Definiciones. A efectos de esta disposición, los siguientes términos tendrán el siguiente significado: (i) “Invención” significa cualquier invención o descubrimiento que sea o pueda ser patentable o de otro modo protegible bajo el Título 35 del Código de los Estados Unidos. (ii) “Invención sujeta” significa cualquier invención del ganador concebida o reducida a práctica por primera vez en la realización del trabajo bajo este premio.

(3) El ganador debe divulgar cada invención sujeta al Sistema de Seguimiento y Reporte de Patentes iEdison del Instituto Nacional de Estándares y Tecnología (NIST) (<http://www.iedison.gov>), a través de ITA, dentro de los dos meses posteriores a que el inventor la divulgue por escrito al personal del ganador responsable de asuntos de patentes. Además, el ganador acepta presentar, a solicitud, informes periódicos al Representante del Oficial del Acuerdo, no más de una vez al año, sobre la utilización de una invención sujeta.

(4) Condiciones Cuando el Gobierno de los EE. UU. Puede Obtener el Título. El ganador debe ceder el título de cualquier invención sujeta a USAID (a través de ITA), previa solicitud por escrito, sujeto a la retención por parte del ganador de una licencia no exclusiva, libre de regalías en todo el mundo, en cada invención sujeta: (i) Si el ganador no presenta una solicitud de patente en los EE. UU. o no divulga la invención sujeta a USAID al menos 60 días antes del período legal para presentar una patente en los Estados Unidos, no presenta ninguna solicitud de patente fuera de los EE. UU. dentro de los diez meses posteriores a la solicitud de patente inicial correspondiente o seis meses desde la fecha en que el Comisionado de Patentes y Marcas concede el permiso para presentar solicitudes de patentes extranjeras, o elige no retener el título. (ii) En cualquier país en el que el ganador decida no continuar con la tramitación de cualquier solicitud de patente, pagar las tasas de mantenimiento o defender en un procedimiento de reexamen u oposición una patente sobre una invención sujeta.

## CLÁUSULAS ORIGINALES

### M1. SUBMISSIONS TO THE DEVELOPMENT EXPERIENCE CLEARINGHOUSE AND DATA RIGHTS (JUNE 2012)

#### a. Submissions to the Development Experience Clearinghouse (DEC).

1) The recipient must provide the Agreement Officer's Representative one copy of any Intellectual Work that is published, and a list of any Intellectual Work that is not published.

2) In addition, the recipient must submit Intellectual Work, whether published or not, to the DEC, either on-line (preferred) or by mail. The recipient must review the DEC Web site for submission instructions, including document formatting and the types of documents to submit. Submission instructions can be found at:

<https://dec.usaid.gov>

3) For purposes of submissions to the DEC, Intellectual Work includes all works that document the implementation, evaluation, and results of international development assistance activities developed or acquired under this award, which may include program and communications materials, evaluations and assessments, information products, research and technical reports, progress and performance reports required under this award (excluding administrative financial information), and other reports, articles and papers prepared by the recipient under the award, whether published or not. The term does not include the recipient's information that is incidental to award administration, such as financial, administrative, cost or pricing, or management information.

4) Each document submitted should contain essential bibliographic information, such as 1) descriptive title; 2) author(s) name; 3) award number; 4) sponsoring USAID office; 5) development objective; and 6) date of publication.

5) The recipient must not submit to the DEC any financially sensitive information or personally identifiable information, such as social security numbers, home addresses and dates of birth. Such information must be removed prior to submission. The recipient must not submit classified documents to the DEC.

#### b. Rights in Data

1) Data means recorded information, regardless of the form or the media on which it may be recorded, including technical data and computer software, and

includes Intellectual Work, defined in a. above.

2) Unless otherwise provided in this provision, the recipient may retain the rights, title and interest to Data that is first acquired or produced under this award. USAID reserves a royalty-free, worldwide, nonexclusive, and irrevocable right to use, disclose, reproduce, prepare derivative works, distribute copies to the public, and perform publicly and display publicly, in any manner and for any purpose, and to have or permit others to do so.

c. Copyright. The recipient may copyright any books, publications or other copyrightable materials first acquired or produced under this award. USAID reserves a royalty-free, worldwide, nonexclusive, and irrevocable right to use, disclose, reproduce, prepare derivative works, distribute copies to the public, and perform publicly and display publicly, in any manner and for any purpose, and to have or permit others to do so.

d. The recipient will provide the U.S. Government, on request or as otherwise provided in this award, a copy of any Data or copyrighted material to which the U.S. Government has rights under paragraphs b. and c. of this provision. The U.S. Government makes no representations or warranties as to title, right to use or license, or other legal rights or obligations regarding any Data or copyrighted materials.

#### **PATENT RIGHTS (DECEMBER 2022)**

##### a. Patent Rights

(1) Allocation of Principal Patent Rights. The recipient may retain the entire right, title, and interest throughout the world to each subject invention, subject to this provision. With respect to any subject invention in which the recipient retains title, the U.S. Government must have a nonexclusive, nontransferable, irrevocable, paid-up license to practice or have practiced for or on behalf of the U.S. Government the subject invention throughout the world, and to sublicense others to do the same. The recipient agrees to include, within the specification of any United States patent application and any patent issuing thereon covering a subject invention, the following statement: "This invention was made with U.S. Government support under (identify the agreement awarded by USAID). The U.S. Government has certain rights in this invention."

(2) Definitions. For purposes of this provision, the following terms will have the following meaning:

(i) "Invention" means any invention or discovery which is or may be patentable or otherwise protectable under Title 35 of the United States

Code.

(ii) "Subject invention" means any invention of the recipient conceived or first actually reduced to practice in the performance of work under this award.

(3) The recipient must disclose each subject invention to the National Institute of Standards & Technology (NIST) iEdison Patent Reporting and Tracking System (<http://www.iedison.gov>) within two months after the inventor discloses it in writing to recipient personnel responsible for patent matters. In addition, the recipient agrees to submit, on request, periodic reports to the Agreement Officer's Representative, no more frequently than annually, on the utilization of a subject invention.

(4) Conditions When the U.S. Government May Obtain Title. The recipient must convey title to any subject invention to USAID, upon written request, subject to recipient's retention of a nonexclusive, royalty-free license throughout the world, in each subject invention:

(i) If the recipient fails to file a U.S. patent application or to disclose the subject invention to USAID at least 60 days prior to the statutory period for filing a patent in the United States, fails to file any non-U.S. patent applications within either ten months of the corresponding initial patent application or six months from the date permission is granted by the Commissioner of Patents and Trademarks to file foreign patent applications, or elects not to retain title.

(ii) In any country in which the recipient decides not to continue the prosecution of any application for, to pay the maintenance fees on, or defend in reexamination or opposition proceeding on a patent on a subject invention.

b. Subawards and Contracts: Recipient must include this the Standard Provision, suitably modified to identify the parties, in all subawards and contracts, regardless of tier, for experimental, developmental, or research work to be performed by a small business firm or nonprofit organization. The recipient must retain all rights provided for the USG in this the Standard Provision, and the recipient must not, as part of the consideration for awarding the contract or subaward, obtain more rights in the contractor's or subrecipient's subject inventions than provided in this provision.

## **12. EXPERIENCIA Y CAPACIDADES REQUERIDAS**

- Empresa nacional o extranjera con reconocida trayectoria en consultoría a empresas.

- Experiencia de 10 años o más realizando estudios de Riesgos Sociales y Ambientales.
- Experiencia en proyectos con participación de USAID.
- Experiencia en el relacionamiento con las poblaciones locales en la Amazonía.
- Manejo de herramientas informáticas.
- El interesado debe contar con su Identificador Único de Identidad (*Unique Entity Identifier* - UEI). Este identificador lo asigna el Sistema de Gestión de Adjudicaciones (*System for Award Management* - SAM) en el sitio web <https://www.sam.gov>.

### 13. ENMIENDAS

Las cláusulas y condiciones de estos TDRs podrán ser modificadas previa aprobación por escrito de ITA. Algunas condiciones pueden requerir, además, de la aprobación previa de USAID (por ejemplo, los plazos de entrega). Por ello, el/la implementador/a de estos TDRs deberá comunicar a ITA la necesidad de cualquier tipo de enmienda con al menos 10 días hábiles de anticipación.

### 14. CRONOGRAMA DE SELECCIÓN

ETAPAS DEL PROCESO DE SELECCIÓN	CRONOGRAMA
Publicación de Convocatorias en redes sociales	Día 1
Consultas sobre Términos de Referencia	Día 5 – 6
Fecha de Resolución de consultas	Día 7 – 8
Fecha límite de recepción de Propuesta Técnica, Propuesta Económica, Curriculum Vitae y documentos solicitados, al correo electrónico (el que se use para el proyecto)	Hasta el día 9
Verificación de cumplimiento de requisitos y evaluación curricular	Día 10
Evaluación de las propuestas técnicas y económicas, y selección de consultores y/o empresas proponentes aptas	Día 11 – 12
Comunicación a postulantes seleccionados	Día 13
Entrevista personal	Día 14
Resultados finales	Día 15
Suscripción del contrato	Día 16

### 15. CONSULTAS

#### 15.1 FORMULACIÓN DE CONSULTAS

■ Calle Víctor Larco Herrera 130, Miraflores, Lima - Perú  
Teléfono +51.1.2495036

Todo participante puede formular consultas sobre los Términos de Referencia, dentro del plazo señalado en el calendario del procedimiento de selección, que no puede ser menor a cinco (05) días hábiles desde el día siguiente de la convocatoria, y tendrá una duración de dos (02) días. Las consultas u observaciones a los Términos de Referencia se realizarán fundamentando las supuestas infracciones al objeto de contratación.

## **15.2 RESOLUCIÓN DE CONSULTAS Y OBSERVACIONES A LOS TÉRMINOS DE REFERENCIA**

El Comité de Selección absolverá las consultas y observaciones, respondiendo a los interesados mediante comunicación escrita virtual en un plazo de no más de dos (02) días hábiles contados desde el vencimiento del plazo para recibir consultas y observaciones.

## **16. SELECCION DE CONSULTORES**

Habiendo cumplido las etapas previas y luego de la evaluación, el comité de selección de ITA calificará las propuestas y las expresiones de interés, en un plazo no mayor a tres (3) días hábiles de vencido el plazo de recepción, consignando el resultado en un acta debidamente suscrita y publicada en los mismos medios de la convocatoria.

Asimismo, se publicará el cronograma de entrevistas personales para completar la evaluación.

## **17. RESULTADOS FINALES**

ITA procederá a publicar la lista final de consultores seleccionados, por orden de méritos. En caso el consultor ganador o empresa ganadora tuviera algún impedimento para ejecutar el trabajo, se procederá a comunicar al siguiente postulante en el orden finalizado, para que asuma la consultoría.

## **18. CONTRATO**

Una vez otorgada la conformidad de la prestación, el producto de la consultoría es publicado en el portal institucional de la Entidad contratante con un modelo del contrato a suscribir, salvo la información calificada como secreta, confidencial o reservada, que será utilizada según la necesidad y utilidad para el proyecto, los financiadores y aliados estratégicos.

El contrato se elaborará dependiendo de las características de la contratación y requisitos de la entidad cooperante o la agencia internacional proveedora de los fondos.

## **ANNEX 1. Program Description**

The following is the Program Description included in the Award from USAID to Inkaterra Asociacion. The applicant of this Scope of Work (SOW) must review it carefully to identify tasks, actions, methodologies, reports and products that may apply to this SOW.

### **MADRE DE DIOS SUSTAINABLE LANDSCAPE PROJECT (MDSL)**

#### **CONTEXT**

Peru's Department of Madre de Dios holds 15% of the nation's Andean-Amazon tropical rainforest and is one of the world's most biodiversity-rich regions. The region performs a crucial role as storage for critical amounts of carbon and provides connectivity to forest ecosystems in the region.

However, the environmental patrimony of Madre de Dios confronts growing levels of deforestation and degradation, largely because of both illegal and legal gold mining and logging, improper agricultural expansion, land grabbing, and seasonal human-induced fires, among others. These activities threaten the overall health, social, cultural, and economic well-being of residents of the area while limiting the development of sustainable practices in the region, such as fishing, markets for forestry, carbon and biodiversity credits, and eco-tourism, among others.

The main limitations for the formation of formal/legal, profitable, and sustainable businesses comprise:

- Limited promotion of sustainable businesses by the public and private sectors
- Limited information on risks and investment opportunities in the area
- Limited local population capacity to participate in sustainable investment projects
- Inadequate basic services and infrastructure
- Weak governance and institutions in the area
- Potential presence and retaliation of gangs in illegal activities

In this context, the Madre de Dios Sustainable Landscapes (MDSL) project seeks to overcome, where possible, such obstacles and promote sound private and public investments in the area. The Coalition<sup>1</sup> plans to incentivize private investments in sustainable activities such as reforestation of degraded areas, commercial forest plantations, sustainable harvesting of non-timber forest products such as Aguaje

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<sup>1</sup> The Coalition is defined as the Private sector alliance made up of Inkaterra, Inkaterra Asociacion, Asociación Reforestadora Amazónica (RAMAZ), Tamesis Partners and AJE Group supported by Smithsonian Institution and collaborators research. The coalition is not closed and may expand to include other actors interested in promoting and mobilizing investments while abiding by the coalition's governance principles anchored in social and environmental responsibility.



and Brazil nuts, and ecotourism, among others in the Lower Madre de Dios Conservation Corridor (LMDCC). The area of interest encompasses over 102,000 hectares and is an essential connector for the ecological integrity of the protected areas and their buffer zones within the Vilcabamba-Amboro Conservation Corridor between Peru and Bolivia.

#### **PROBLEM STATEMENT**

Reliable data, evidence-based practices, and formal studies that can be used to make informed investment decisions to attract nature-positive, sustainable private resources are absent in the LMDCC.

#### **THEORY OF CHANGE**

If:

There is adequate and sufficient information for making nature-positive investment decisions AND the coalition generates a trustworthy environment for such investments,

Then,

The Coalition will mobilize significant nature-positive investments for conservation and sustainable development activities in the LMDCC.

Impacts – Medium & Long term If:

.The Coalition mobilizes significant nature-positive investments for sustainable development activities (nature-positive business activities) and implements the businesses related to those investments in the LMDCC, and

.Technical and economic capacity within the communities to either join the newly created businesses' value chains or support the initiatives as employees are developed,

Then,

.Collaborative integrated value chains will be formed alongside local communities, generating formal, legal and direct employment opportunities, fostering related local initiatives, and curbing damaging practices that harm biodiversity and ecosystem services; and

.A more biodiverse ecosystem will be fostered, and local communities will enjoy a better quality of life.

#### **ILLUSTRATIVE INDICATORS<sup>2</sup>:**

The following indicators will be measured after the pre-feasibility and feasibility studies are completed and coalition activities start.

- (PSE-3) Number of private sector enterprises with improved

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<sup>2</sup>This section may add new indicators as studies define sustainable approaches and determine the indicators applicable to this scope.

- participation in the local economy as a result of USG assistance
- (PSE-4) Value of private sector resources leveraged by the USG to support U.S. Foreign Assistance Objectives
- (EG. 10.2-4) Number of people trained in sustainable natural resources management and/or biodiversity conservation as a result of USG assistance
- (STIR-12) Number of peer-reviewed scientific publications resulting from USG support
- (EG. 13-4) Amount of investment mobilized (in USD) for sustainable landscapes as supported by USG assistance.<sup>3</sup>

### MAGNITUDE OF CHANGE

Given the complexity and dynamic nature of the ecosystem, as well as the untested nature of the intervention model, its dependence on coalition members abiding by governance principles established at the onset of the project, and the acknowledgement that actual investments realistically can only start after the feasibility stage ends, presenting an exhaustive inventory of possible impacts is impossible. However, it is reasonable to project that \$100 million of investment in nature-friendly private sector investments in the Lower Madre de Dios Corridor will generate the following outcomes<sup>4</sup>:

**Economic Growth:** Approximately 1,000-1,500 jobs created directly and 2,000-3,000 indirectly. Expansion into new forest plantations and fruit/nut landscapes.

**Deforestation Reduction:** A 20% reduction in deforestation rates, compared to historical averages in the targeted Lower Madre de Dios Corridor, leading to the preservation of approximately 60,000 hectares of forest.

**Climate Mitigation:** Sequestration of approximately 30,000 metric tons of CO<sub>2</sub> annually due to reforestation efforts only within the Lower Madre de Dios Corridor.

**Biodiversity Conservation:** Restoration of approximately 5,000 hectares of degraded land to maintain LMDCC connectivity, biodiversity, and ecosystem services.

**Community Resilience:** A 50% decrease in illegal activities, such as logging and mining, within the communities situated in the Lower Madre de Dios Corridor due to improved economic prospects and alternative livelihoods.

**Eco-Tourism Revenue:** An estimated \$4 million in annual revenue generated from ecotourism activities within the Lower Madre de Dios Corridor, contributing to local economies and conservation efforts in this specific area.

**Environmental Education capacity building:** Participation of 200 students in environmental capacity building activities within the LMDCC, leading to increased awareness and responsible environmental behaviors in this region.

<sup>3</sup> There are two types of investment within this indicator: (i) investment mobilized during the Activity implementation, and (ii) investment mobilized after the Activity ends. It remains to be defined whether resources will be allocated to the measurement of indicators once the Activity is concluded.

<sup>4</sup> Estimates consider the information known as of today by all Coalition members. Numbers might vary substantially with the findings of the studies to be done under the Program/Activity.

**Research and Monitoring:** Establishment of a comprehensive biodiversity and monitoring and assessment program (BMAP) within the LMDCC, to develop a science-based baseline for biodiversity and ecosystem services. This will generate reliable indicators for measuring the status and trends of these factors at both landscape and local levels. The gathered information will enhance our understanding of how biodiversity responds to changes arising from on-the-ground activities conducted by the coalition. It will indirectly gauge the coalition's environmental performance and provide recommendations for adaptive management. Furthermore, the implementation of BMAP is expected to result in the submission of 2-3 scientific papers to scientific journals, 4-6 peer review BMAP protocols, reports, and data-driven conservation strategies for the LMDCC.

### **IMPLEMENTATION STRUCTURE**

The project will be implemented according to five (5) milestones. This implementation approach is intentional and aimed at controlling and adapting to unknown factors throughout the life of the project.

- Milestone 1: Workplan
- Milestone 2: Minimum investment conditions for Aguaje and Ecotourism
- Milestone 3: Minimum investment conditions for Forest plantations and Brazilian nuts
- Milestone 4: Pre-feasibility studies
- Milestone 5: Feasibility studies

Please note that the content of the studies listed below is subject to evaluation during the preparation of the scope of work/terms of reference. The Prime should consider that feasibility studies are crucial documents for analysis from potential investors.

Therefore, it is suggested that the content of these studies should include technical, legal, environmental, and social information requirements demanded by financing sources.

The following information is provided as a reference for potential study content.

### **MILESTONE 1 – WORKPLAN**

Milestone 1 is intended to include a detailed workplan that clearly articulates the required steps to achieve project goals by setting measurable deliverables. It will include at a minimum: background information, objectives and indicators, methodology(ies), organizational chart with roles and responsibilities, proposed planning (budget, schedule including deliverables/milestones), studies content, and steps to be taken for mapping and working with key stakeholders. It will also include a management plan that reflects sufficient and adequate resources to carry out the implementation of this activity.

Table 1. Expected Deliverables for **Milestone 1** Deliverables

Activity	Contents
Workplan	<ul style="list-style-type: none"> <li>● Background information</li> <li>● Objectives and indicators</li> <li>● Methodology</li> <li>● Organizational chart with roles and responsibilities</li> <li>● Budget</li> <li>● Implementation schedule (deliverables/milestones)</li> <li>● Studies content</li> <li>● Management plan</li> <li>● Others established in the FAA agreement</li> </ul>

## **MILESTONE 2 – MINIMUM INVESTMENT CONDITIONS FOR AGUAJE AND ECOTOURISM**

Milestone 2 primarily serves the purpose of verifying the overall viability of the project, assessing the practicality of the intervention model, and creating the governance, administration, and procurement protocols essential for the management of the entire project and its associated partnerships.

Among other things, the recipient is required to establish a governance plan (2.6) to include the following key considerations:

- Corporate governance. Definition of the Project Management Team and its responsibilities.
- Guidelines for coalition management. Definition of (i) how ITA will coordinate, manage, and allocate the funding; (ii) how activities will be coordinated for the field work activities; (iii) how ITA will coordinate and manage the information, reports and the assessment of project indicators.
- Social and biodiversity conservation standards. Set of social and environmental guidelines that the members of the coalition and their respective value chains will follow.
- Due diligence for the partners to the coalition. Process and requirements for the inclusion of additional members to the coalition. Subcontracting plan: Guidelines for the selection and contracting of independent consultants and suppliers in charge of the project studies.
- Community outreach and involvement strategies. Definition of the set of rules to be followed for the field work that is planned for the development of pre-feasibility and feasibility studies. It will also include the role that the coalition expects the communities to assume in their businesses (e.g. suppliers, workers, etc.).

- Mechanisms designed to promote effective private sector/ local communities' engagement and collaboration to protect the LMDDC.
- Process to access information generated by the coalition. Definition of the studies and/or specific contents that will be public and those that will remain confidential.
- Communication strategy. Definition of the strategy for online and newspaper presence in order to get exposure, establish and reinforce the consortium's Corporate Social Responsibility.
- Fundraising plan. USAID funds are not meant to cover the costs of the required studies, so the recipient should present a set of specific goals and steps to be followed to get additional funding for the financing of the remaining costs of the studies and the business development.
- Strategies to attract new partners, including banking sector support: Definition of how the coalition will approach potential partners and investors, and who they could be.
- Leverage compliance plan. Definition of the concepts and amounts that will be considered as contribution and the strategy to meet the leverage goal. It is important to note that the leverage plan may change during the lifetime of the initiative.
- Similarly, the recipient shall commission transversal studies conducted by third-party firms possessing demonstrable expertise in the relevant study areas. These studies aim to provide a comprehensive evaluation of the potential for private investment within the designated region. They will primarily involve the creation and examination of maps derived from the review of secondary information, satellite imagery, and on-site reconnaissance. The development of these maps will enable a suitability analysis for the implementation of specific economic activities within the area of focus. The particulars of these transversal studies are outlined as follows:
  - With support from the Smithsonian Institution and collaborators, a study of Biodiversity and ecosystem services (2.1) to include the following components:
    - Development of initial maps: A land use cover map of the Bajo Madre de Dios corridor will be developed from secondary sources. Forest areas, aguajales and deforested areas will be located, among others. In addition to the secondary sources, to elaborate this map the description of productive activities and needs of the coalition shall be considered. Additional maps will be generated including information on soil types, protected areas, priority areas for conservation, roads, political boundaries, among others. This spatial information will support the stratification process and will be used alongside the land use/cover baseline map to perform the suitability analysis. The completion of this map will trigger the initial

development of the pre-feasibility studies of two sectors:  
(i) aguaje and (ii) ecotourism.

- Secondary Forest age map: A mid-resolution secondary forest age map will be modeled using secondary information (MapBiomas land-use/cover maps). This map will be based on the number of years since the last deforestation event and will provide information about the natural or human-induced regeneration process. The “secondary forest age” map will support the suitability analysis. For example, by combining the “secondary forest age” map, together with the land-use/cover baseline map, spatial information such as roads and mining maps, and the criteria defined by the business activities, several landscape analyses will be performed to find suitable forest patches for agroforestry activities. These activities include areas of secondary forest between 5-10 years, close to access roads, and far from mining sites. Suitability maps will be provided to the members of the coalition according to their needs in order to conduct their feasibility analysis.
- Preliminary of land-use/cover maps: A new land-use/cover baseline map using satellite images to show the current classes of covers and uses of the study area (e.g., for natural areas: forest, aguajales, pacal, etc., and for modified areas: mining, agriculture, pastures, urbanized areas, etc.). The land-use/cover baseline map will be used to a) support the stratification process, b) conduct the suitability analysis, and c) support the pre-feasibility and feasibility analyses of the project. These maps will start in Milestone 2 but will be completed in Milestone 3.
- Preliminary Suitability analysis: Perform suitability analysis for the productive sectors, such as aguaje and ecotourism, to identify potential sites for each sustainability business development based on each business-specific needs and biodiversity conservation priorities. For example, while the land-use/cover baseline map will inform where the aguajales patches are located (for the year 2022), the suitability analysis will identify the aguajales distribution areas suitable for business activities based on their size, location, and accessibility. This analysis will start in Milestone 2 and will be completed in Milestone 3. This information will be validated in the field by the company in

charge of the Field stratification study during the field stratification and will be explained in the text that accompany the map.

- Biodiversity Monitoring and Assessment Program (BMAP) framework and BMAP protocols: Maps of the Lower Madre de Dios Conservation Corridor (LMDCC) for all sectors considering all existing secondary information of the area.
- Transversal field stratification study (2.2): this study is aimed at identifying the potential use of soils in the area of interest and will identify and categorize areas without natural coverage, areas with natural forest coverage that has been previously deforested and aguajales. In addition, it incorporates an inventory of owners and concessionaires within the area of interest. Initially, this study included a first survey of the residents' interest in participating in the initiative. However, as part of the co-design discussion, it was suggested to assign the first poll of neighbors' interests to Milestone 4 (pre-feasibility studies). To contrast the map of property owners with the cadaster and avoid any type of overlap, the following activities will be carried out:
  - Ground verification and update (exact GPS coordinates) of the initial maps from Smithsonian and data gathering for all sectors that will establish new plantations in the MDSL Initiative, including data for the elaboration of an "existing productive systems" map.
  - Ground verification for Secondary Forest age map from Smithsonian.
  - Obtention of the most updated cadaster maps and concessions maps from national and regional governments.
- Transversal stakeholders' & gender analysis (2.3): this is an initial study oriented to assess if minimum investment conditions exist in the LMDCC for each business-line. It is expected for this study to include the specific features of each sector, but not an exhaustive interest poll. The interest poll will be included in the stakeholder analysis that is included as an activity in each business-line pre-feasibility study (Milestone 4). Government institutions will be included in this analysis as potentially important impinging factors on the project. The results of this study will serve as an input to design the strategy to approach communities and stakeholders.

The study includes Gender Analysis within the context of Madre de Dios.

- Illustrative gender issues in the MDSL landscapes, usually associated with illegal activities, include trafficking in persons, GBV, and Adolescent pregnancy but mostly to the role of women and youth in the MDSL these days but also thinking in their possible

role under the possible future activities promoted by the project. This will be validated during Milestone 2.

- Gender, indigenous and social inclusion assessments will be part of the cross-cutting studies, especially thinking in the communities that are or will be part of the project and future possible investments, as feasible.
- Identification of transversal social and environmental risks (2.4): this study aims to identify risks within the area of interest that may affect business development. This study includes an initial secondary information review, which covers previous studies with focus on the area of interest. In addition, the study will include a participatory workshop with experts to identify and discuss social and environmental risks present within the area of interest as well as the strategies to mitigate those risks.
- Madre de Dios Tourists Arrival Study (2.5): This study is oriented to estimate the existing and potential demand for tourist activities in Madre de Dios in a post-COVID scenario. It also includes a characterization of the available supply, identification of comparable projects and success cases.



Table 2. Expected Deliverables for **Milestone 2** Studies and Deliverables

Activity	Contents
<p>Biodiversity and Ecosystem services (2.1)</p>	<ol style="list-style-type: none"> <li>1. Development of initial maps <ul style="list-style-type: none"> <li>• Description of productive activities and coalition needs.</li> <li>• Mid-resolution remote sensing land use map of the MDSL area based on secondary information.</li> <li>• Aguajales map based on secondary and satellite information.</li> <li>• Secondary spatial information database including soil types, protected areas, priority areas for conservation, roads, political boundaries, and aboveground carbon estimates, among others.</li> </ul> </li> <li>2. Secondary Forest age map <ul style="list-style-type: none"> <li>• Mid-resolution secondary forest age map of the selected MDSL study area.</li> </ul> </li> <li>3. Development land-use/cover maps <ul style="list-style-type: none"> <li>• A preliminary version of land-use/cover baseline map using satellite images to show the current classes of covers and uses of the study area.</li> </ul> </li> <li>4. Preliminary Suitability analysis <ul style="list-style-type: none"> <li>• Preliminary suitability analysis to identify potential sites for each sustainability business development based on each business-specific needs and biodiversity conservation priorities.</li> </ul> </li> <li>5. Preliminary BMAP Framework and BMAP protocols. Analysis of Maps of the Lower Madre de Dios Conservation Corridor (LMDCC) for all sectors considering all existing secondary information of the area</li> </ol>

<p>Field stratification (2.2)</p>	<ul style="list-style-type: none"> <li>• Stratification of areas without natural forest coverage.</li> <li>• Stratification of areas with natural forest coverage that has been previously deforested.</li> <li>• Obtention of the most updated cadaster maps and concessions maps from national and regional governments.</li> </ul>
<p>Stakeholder &amp; Gender Analysis (2.3)</p>	<ul style="list-style-type: none"> <li>• Stakeholder mapping according to their potential influence and interests on the initiative.</li> <li>• In-depth interviews with experts.</li> <li>• Illustrative gender issues in the MDSL landscapes, usually associated with illegal activities, include trafficking in persons, GBV, and Adolescent pregnancy but mostly to the role of women and youth in the MDSL these days but also thinking in their possible role under the possible future activities promoted by the project. This will be validated during Milestone 2.</li> <li>• Gender, indigenous and social inclusion assessments will be part of the cross-cutting studies, especially thinking in the communities that are or will be part of the project and future possible investments, as feasible.</li> </ul>
<p>Social and environmental risks (2.4)</p>	<ul style="list-style-type: none"> <li>• Initial research to identify potential risks in the area of interest, including risks of extractive activities, extensive agriculture, heavy metal contamination, and climate change.</li> <li>• In-depth interviews with experts.</li> <li>• Workshop with experts.</li> </ul>
<p>Madre de Dios Tourists Arrival Study (2.5)</p>	<ul style="list-style-type: none"> <li>• Oriented to estimate the potential future demand for tourist activities in Madre de Dios in a post-COVID scenario to be used by potential financiers (banks, financial institutions).</li> </ul> <p>Will be a public document shared with other tourist companies in Madre de Dios.</p>
<p>Coalition corporate governance document (2.6)</p>	<ul style="list-style-type: none"> <li>• Guidelines for coalition management.</li> <li>• Comprehensive fundraising and leverage compliance plan.</li> <li>• Standards for social and biodiversity conservation agreements.</li> <li>• Access to information generated by the project.</li> <li>• Creation of mechanisms that promote the private sector, collaborate on sustainable management, engage with the communities, and protect the LMDD.</li> <li>• Strategy to attract new partners and banking sector</li> </ul>

	<p>support.</p> <ul style="list-style-type: none"> <li>• Communication’s strategy.</li> <li>• Due diligence for the entry into the coalition.</li> <li>• Guidelines for the selection and contracting of independent consultants and suppliers (subcontracting plan).</li> <li>• Community outreach and involvement strategies.</li> <li>• Corporate social responsibility communication plan.</li> </ul>
Pause & Reflect 1 for Milestone 2	
Finalization Milestone 2 and approval of Risk Assessment. Finalization of initial conditions studies for aguaje and ecotourism and coalition governance document draft. Decision of whether or not to move forward.	

**MILESTONE 3 – MINIMUM INVESTMENT CONDITIONS FOR REMAINING SECTORS,**  
Milestone 3 includes the initial studies for minimum conditions expressed in Milestones 2 to cover forest plantations, Brazilian nuts investments and other crops.

With support from the Smithsonian Institution, studies of ecosystem services will continue the studies expressed in Milestone 2 including the following components:

Table 3. Expected Deliverables for **Milestone 3** Studies and Deliverables

Activity	Contents
<p>Biodiversity and Ecosystem services (3.1)</p>	<ol style="list-style-type: none"> <li>1. Development of initial maps <ul style="list-style-type: none"> <li>· Description of productive activities and coalition needs.</li> <li>· Mid-resolution remote sensing land use map of the MDSL area based on secondary information.</li> <li>· Aguajales map based on secondary and satellite information.</li> <li>· Secondary spatial information database including soil types, protected areas, priority areas for conservation, roads, political boundaries, and aboveground carbon estimates, among others.</li> </ul> </li> <li>2. Secondary Forest age map <ul style="list-style-type: none"> <li>· Mid-resolution secondary forest age map of the selected MDSL study area.</li> </ul> </li> <li>3. Development of land-use/cover maps <ul style="list-style-type: none"> <li>· Final Land-use/cover maps (3.3): A new land-use/cover baseline map using satellite images to show the current classes of covers and uses of the study area (e.g., for natural areas: forest, aguajales, pacal, etc., and for modified areas: mining, agriculture, pastures, urbanized areas, etc.).</li> </ul> </li> <li>4. Preliminary Suitability analysis <ul style="list-style-type: none"> <li>· Final Suitability maps (3.4): Perform suitability analysis for the productive sectors, such as forest plantations and Brazilian nuts and other crops, to identify potential sites for each sustainability business development based on each business-specific needs and biodiversity conservation priorities.</li> </ul> </li> <li>5. Biodiversity Monitoring and Assessment Program (BMAP) framework and BMAP protocols:</li> </ol>

	<ul style="list-style-type: none"> <li>· Design the BMAP framework including biodiversity indicators related to project activities that provide science-based data to analyze biodiversity status and trends for decision making. The BMAP framework will include between four and six BMAP protocols.</li> </ul>
Field stratification (3.2)	<ul style="list-style-type: none"> <li>· Stratification of areas without natural forest coverage.</li> <li>· Stratification of areas with natural forest coverage that has been previously deforested.</li> <li>· Production of the most updated cadaster maps and concessions maps from national and regional governments.</li> </ul>
Stakeholder & Gender Analysis (3.3)	<ul style="list-style-type: none"> <li>· Stakeholder mapping according to their potential influence and interests on the initiative.</li> <li>· In-depth interviews with experts.</li> <li>· Illustrative gender issues in the MDSL landscapes, usually associated with illegal activities, include trafficking in persons, GBV, and Adolescent pregnancy but mostly to the role of women and youth in the MDSL these days but also thinking in their possible role under the possible future activities promoted by the project. This will be validated during Milestone 3.</li> <li>· Gender, indigenous and social inclusion assessments will be part of the cross-cutting studies, especially thinking in the communities that are or will be part of the project and future possible investments, as feasible.</li> </ul>

<p>Social and environmental risks<sup>2/</sup> (3.4)</p>	<ul style="list-style-type: none"> <li>· Initial research to identify potential risks in the area of interest, including risks of extractive activities, extensive agriculture, heavy metal contamination, and climate change.</li> <li>· In-depth interviews with experts.</li> <li>· Workshop with experts.</li> </ul>
<p>Madre de Dios Tourists Arrival Study (3.5)</p>	<ul style="list-style-type: none"> <li>· Oriented to estimate the potential future demand for tourist activities in Madre de Dios in a post-COVID scenario to be used by potential financiers (banks, financial institutions).</li> <li>· Will be a public document shared with other tourist companies in Madre de Dios.</li> </ul>
<p>Coalition corporate governance document (3.6)</p>	<ul style="list-style-type: none"> <li>· Guidelines for coalition management.</li> <li>· Comprehensive fundraising and leverage compliance plan.</li> <li>· Standards for social and biodiversity conservation agreements.</li> <li>· Access to information generated by the project.</li> <li>· Creation of mechanisms that promote the private sector, collaborate on sustainable management, engage with the communities, and protect the LMDD.</li> <li>· Strategy to attract new partners and banking sector support.</li> <li>· Communication's strategy.</li> <li>· Due diligence for the entry into the coalition.</li> <li>· Guidelines for the selection and contracting of independent consultants and suppliers (subcontracting plan).</li> <li>· Community outreach and involvement strategies</li> <li>· Corporate social responsibility communication plan.</li> </ul>

Pause & Reflect 2 for Milestone 3

Finalization Milestone 3 and approval of Risk Assessment. Finalization of all initial conditions studies and coalition governance documents. Decision of whether or not to move forward.

#### MILESTONE 4 - PRE-FEASIBILITY STUDIES

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The recipient shall contract out specific pre-feasibility studies for each business line to determine. (i) market conditions, and (ii) species viability and potential for revenue generation.

Pre-feasibility studies will play a pivotal role in defining investment possibilities and ascertaining the sustainability of each business line. Achievement of this milestone indicates the presence of a feasible and profitable business option that meets the social and environmental criteria necessary to realize the desired impacts. A deeper exploration of feasibility, along with comprehensive calculations and estimations, will be undertaken in Milestone 5.

Pre-feasibility studies shall involve field visits to determine which activities, plants, and species are viable investment options among those proposed, such as aguaje, huasai, and ungurahui. These studies also involve a stakeholder analysis, identification of specific risks and conditions associated with each business line, and an examination of social permits.

In addition, a basic inventory and environmental sustainability of the possible harvest will be analyzed to be considered in this milestone. Also, an ecosystem services study (4.1) is planned. For its execution, the following activities are foreseen: (i) biological baseline fieldwork, (ii) suitability maps, (iv) design of BMAP protocols to measure sustainable management of the LMDCC and (v) complete the project implementation documents, findings, and recommendations.

Table 4. Milestone 4 Pre-Feasibility Studies

Activity	Contents
Transversal studies	
Biodiversity and Ecosystem services <sup>2/</sup> (4.1)	<ul style="list-style-type: none"> <li>• Final land-use/cover baseline map using satellite images to show the current land use/ land cover classes of the study area.</li> <li>• Identification and location of economically important palm and Brazilian nut trees distribution.</li> <li>• Biological baseline fieldwork activities*.</li> <li>• Updated suitability maps for project productive activities.</li> <li>• Final conceptual framework for the landscape and BMAP. BMAP protocols. implementation documents, findings and recommendations.</li> </ul> <p>*Note: Subject to project starting date. Fieldwork needs to be conducted during the dry season and the BMAP protocols will need to be completed before conducting the fieldwork. Field data takes months to be analyzed. A preliminary report summarizing main findings can be submitted after fieldwork.</p>

Social baseline (4.2)	<ul style="list-style-type: none"> <li>• Control group definition for social baseline.</li> <li>• Social indicators definition.</li> <li>• Field measurement of selected indicators.</li> </ul>
Pre-feasibility studies	
Aguaje, huasai, ungurahui (4.3)	<ul style="list-style-type: none"> <li>• Estimation of potential harvesting volumes per site.</li> <li>• Legal Analysis of landowners / concessionaires.</li> <li>• Initial analysis for installing a processing plant, addressing topics such as productivity of potential areas, producer prices, logistics costs to pulper plant, and willingness to sell under tree-cutting prohibition and forest conservation. Exploration of collaboration opportunities includes visits to nearby pulper plants for related products within the influence zone.</li> <li>• The use of chemicals as pesticides are a risk for the investment. Should chemical products be identified as necessary, this should be clearly stated in the report for discussion with USAID to follow the PERSUAP.</li> </ul>
Forest plantations (4.4)	<ul style="list-style-type: none"> <li>• Identify several (but at least two) initial native species that are suitable for plantations that have longer rotations (20+ years) than bolaina (8+ years) and can offer commercial and/or biodiversity values and social benefits.</li> <li>• Identify the type of existing soils in the deforested land, to select the best native species suitable for those soils, preferably without the use of chemicals as pestsplague are is a risk for the investment. Should chemical products be identified as necessary, this should be clearly stated in the report for discussion with USAID to follow the PERUSUAP.</li> <li>• Develop an updated and accurate outlook for selected native species (target species) log supply and demand, financials of carbon credits, raw material pricing and the end-use market.</li> <li>• Confirm economic feasibility of the selected target species in this region of Peru.</li> <li>• Estimate financial return for the selected target species plantation in this region (high-level assumptions).</li> </ul>



Castaña (4.5)	<ul style="list-style-type: none"> <li>• International market study for Brazil nuts.</li> <li>• Estimation of potential harvesting volumes per site.</li> <li>• Legal Analysis of landowners/concessionaires to be included in the value chain. Contemplates legal advice for those who wish to join the Brazil nut initiative under the MDSL Initiative. This will be possible through an alliance with ASCART (Asociación de Castañeros de la Reserva Nacional de Tambopata) or other stakeholders in the MDSL corridor.</li> <li>• Logistic cost study for each selected site.</li> <li>• Coordination with owners.</li> </ul>
Ecotourism (4.6)	<ul style="list-style-type: none"> <li>• Legal analysis of all potential areas to invest in the hotels.</li> <li>• Investment costs calculations for the development of 3 new hotels within MDSL Initiative's area</li> </ul>
Camu Camu, Cocona, Copuazú (4.7)	<ul style="list-style-type: none"> <li>• Estimation of potential harvesting volumes per site.</li> <li>• Legal Analysis of landowners / concessionaires.</li> <li>• Initial analysis for installing a processing plant, covering the establishment of new plantations in deforested areas of adequate quality, considering availability of the product in MDSL, prices to producers and willingness to sell under a ban on logging and conservation of remaining forests. In addition, visits to nearby pulp mills are included to explore possible collaborations.</li> <li>• The use of chemicals as pesticides are a risk for the investment. Should chemical products be identified as necessary, this should be clearly stated in the report for discussion with USAID to follow the PERSUAP.</li> </ul>
Pause & Reflect 3 for Milestone 4	
Finalization and approval of all pre-feasibility studies and decision of continuing in the initiative in line with their results.	

#### **MILESTONE 5 - FEASIBILITY STUDIES**

The primary objective of the Milestone 5 of the Activity is to formulate feasibility studies for all sectors that have demonstrated favorable results during the pre-feasibility stage. This milestone entails the identification of the chosen investment alternative(s) for each sector, enabling the establishment of specific operational strategies within the designated area. In particular, the feasibility studies will generate cash flow projections for each business line and a more precise profitability assessment.

This phase anticipates the finalization of the social and biological baseline. However, in order to continue measuring the coalition's environmental performance of the MDSL project, it is expected that the BMAP implementation will continue with funds generated by the sustainable activities (TBD) and other financial supporters. This program will validate the conservation and sustainable approach of the coalition

brand, which will bring confidence to future investors based on the nature-positive outcome of the LMDCC project.

If this milestone extends beyond the fixed amount awards' timeframe, it is envisioned that the Consortium leverages and funds this milestone to materialize potential investments for the activity.

The Coalition will share in advance the terms of reference of pre-feasibility and feasibility studies to be validated by USAID.

Table 5. Milestone 5 Studies

Activity	Contents
Transversal studies	
Biodiversity and Ecosystem services (5.1)	<ul style="list-style-type: none"> <li>• Baseline fieldwork data analysis.</li> <li>• BMAP implementation (monitoring biodiversity and ecosystem services indicators).</li> <li>• Carbon stock and ecosystem services valuations assessment.</li> <li>• Biodiversity and landscape indicators.</li> <li>• Provide recommendations.</li> </ul>
Field stratification (5.2)	<ul style="list-style-type: none"> <li>• Stratification of areas with secondary or primary natural forest coverage that has never been deforested, identifying the different types of forests in order to estimate the carbon sequestration of each type of forest.</li> </ul>
Feasibility studies	
Forest plantations (5.3)	<ul style="list-style-type: none"> <li>• Select native species for the Feasibility studies.</li> <li>• Locate land suitable for the selected target species.</li> <li>• Growth and yield modeling for selected target species.</li> <li>• Validation of valuation model assumptions.</li> <li>• Deeper studies on marketing and distribution strategy.</li> <li>• Cashflows expectations for Feasibility studies.</li> <li>• The use of chemicals as pesticides are a risk for the investment. Should chemical products be identified as necessary, this should be clearly stated in the report for discussion with USAID to follow the PERSUAP.</li> </ul>
Ecotourism (5.4)	<ul style="list-style-type: none"> <li>• Cashflows considering all market values for the operations and commercialization of the new hotels in the selected locations.</li> </ul>
Aguaje, huasai, ungurahui (5.5)	<ul style="list-style-type: none"> <li>• Cashflows considering all market values for the operations and commercialization of aguaje, huasai and ungurahui in the selected locations.</li> <li>• The use of chemicals as pesticides are a risk for the</li> </ul>

	investment. Should chemical products be identified as necessary, this should be clearly stated in the report for discussion with USAID to follow the PERSUAP.
Camu Camu, Cocona, Copuazú (5.6)	<ul style="list-style-type: none"> <li>• Cashflows considering all market values for the operations and commercialization of camu camu, cocona and copoazú in the selected locations.</li> <li>• The use of chemicals as pesticides are a risk for the investment. Should chemical products be identified as necessary, this should be clearly stated in the report for discussion with USAID to follow the PERSUAP.</li> </ul>

Table 5. Milestone 5 Studies

Activity	Contents
Castaña (5.7)	<ul style="list-style-type: none"> <li>• Cashflows considering all market values for the operations and commercialization of Brazilian nuts in the selected locations.</li> </ul>
Pause & Reflect 4 for the whole project.	
Finalization Milestone 5 of all feasibility studies.	

### BUSINESS IMPLEMENTATION

In the project timeline it is anticipated that the award recipient, along with partners, leveraging insights gained from earlier milestones will have obtained financial institution instruments and secured the requisite legal permits and approvals essential for commencing environmentally sustainable investments. This encompasses the exploration and finalization of agreements with banks and prospective investors to fund these initiatives.

Business Implementation extends beyond the awards' timeframe. It is envisioned that some investments will materialize during the agreement's lifespan with the potential for additional investments beyond this period. This phase also anticipates the continuation of the BMAP implementation to support the MDSL initiative's goals and the long-term conservation and sustainability of the region.

#### Key Contractual Considerations:

- It is important to note that USAID funds are not meant to fully cover the costs of all these studies. The Coalition will continue fundraising efforts to secure the necessary resources for completing all required studies in addition to USAID funds.
- Each pre-feasibility study will involve an initial survey of the community's interest in the MDSL initiative.
- The pre-feasibility studies for aguaje and ecotourism, although part of Milestone 4, can commence in Milestone 2 upon the completion of the land

use cover map developed from secondary information.

- This study will span Milestone 4 and 5 with varying timelines for each sector, but the full study is anticipated to last 30 months concluding just as business implementation commences.
- Forest plantations will aim to prioritize soils with long-term nutrient sustainability to avoid excessive reliance on fertilizers for both environmental and cost considerations, as feasible.
- The selection of native species will consider pest analysis, as pest infestations pose significant investment risks; for instance, Bolaina, a native species, is known to have no recorded pest issues.
- This activity must present a social safeguards implementation plan draft and social impact assessment included in the Work Plan. This document has to work with the guidance on “National Parks and Protected Areas” in the Statement of Managers with respect to the FY 2022 Department of State, Foreign Operations, and Related Programs Appropriations Act. The document has to include these components:
  - Component 1: Information sharing with local communities, including free, prior, and informed consent of affected indigenous communities. The implementing partner will provide a plan for consultation and engagement with local communities and their potential environmental and social impacts, including consultation in accordance with USAID’s Policy on Promoting the Rights of Indigenous Peoples (Pro-IP Policy) when Indigenous Peoples are likely to be affected. To the extent that the Program Description for any activity already addresses some or all of the foregoing, please include appropriate cross-references.
  - Component 2: Potential impacts on existing land or resource claims by affected local communities or indigenous peoples. The implementing partner will provide a description of how it intends to:
    - assess the environmental and social impacts of each proposed activity, consistent with the USAID Optional Social Impact Assessment Framework,
    - avoid, mitigate, or address negative impacts as appropriate, and
    - monitor the impacts of its proposal, with particular attention paid to the potential activity impacts on land or resource rights claimed by affected local communities.To the extent that the Program Description for any activity already addresses some or all of the foregoing, please include appropriate cross-references.
  - Component 3: Training and monitoring of eco-guards, park rangers, and other law enforcement personnel authorized to protect biodiversity.  
No training or other assistance to eco-guards, park rangers, or other

law enforcement personnel authorized to protect biodiversity is planned under this activity.

- Component 4: Effective grievance and redress mechanisms  
The implementing partner will provide a plan for implementing one or more Grievance and Redress Mechanisms by or on behalf of the implementing partner, allowing members of the affected community to bring environmental and social grievances (including potential human rights violations) to implementing partner, and a means for the implementer to report all such grievances to the USAID AOR within 72 hours. This plan will include consulting with communities on the design of the GRM so as to ensure it best meets their needs and situation. The implementing partner may propose such a Mechanism with respect to all activities collectively, or may propose separate Mechanisms for one or multiple activities.