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ADDRESSING BIODIVERSITY-SOCIAL CONFLICT IN LATIN AMERICA (ABC-LA)

FINAL REPORT, VOLUME II OF II

MARCH 2016

This publication was produced for review by the United States Agency for International Development. It was prepared by DAI.

Cover photo: An indigenous co-researcher throws a net to collect aquatic samples as part of an environmental baseline assessment on the Abujao River in the Amazon in Ucayali, Peru.

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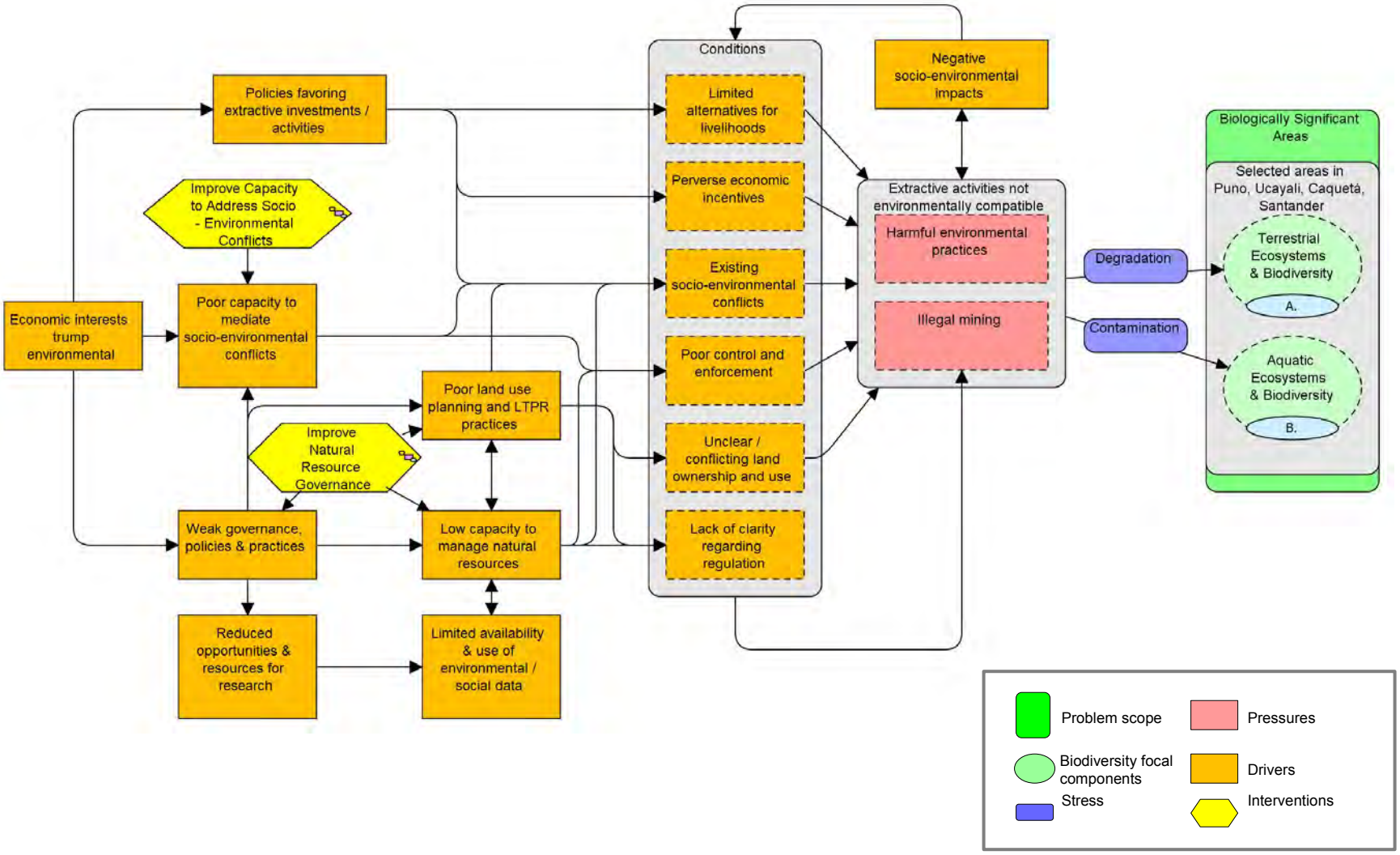
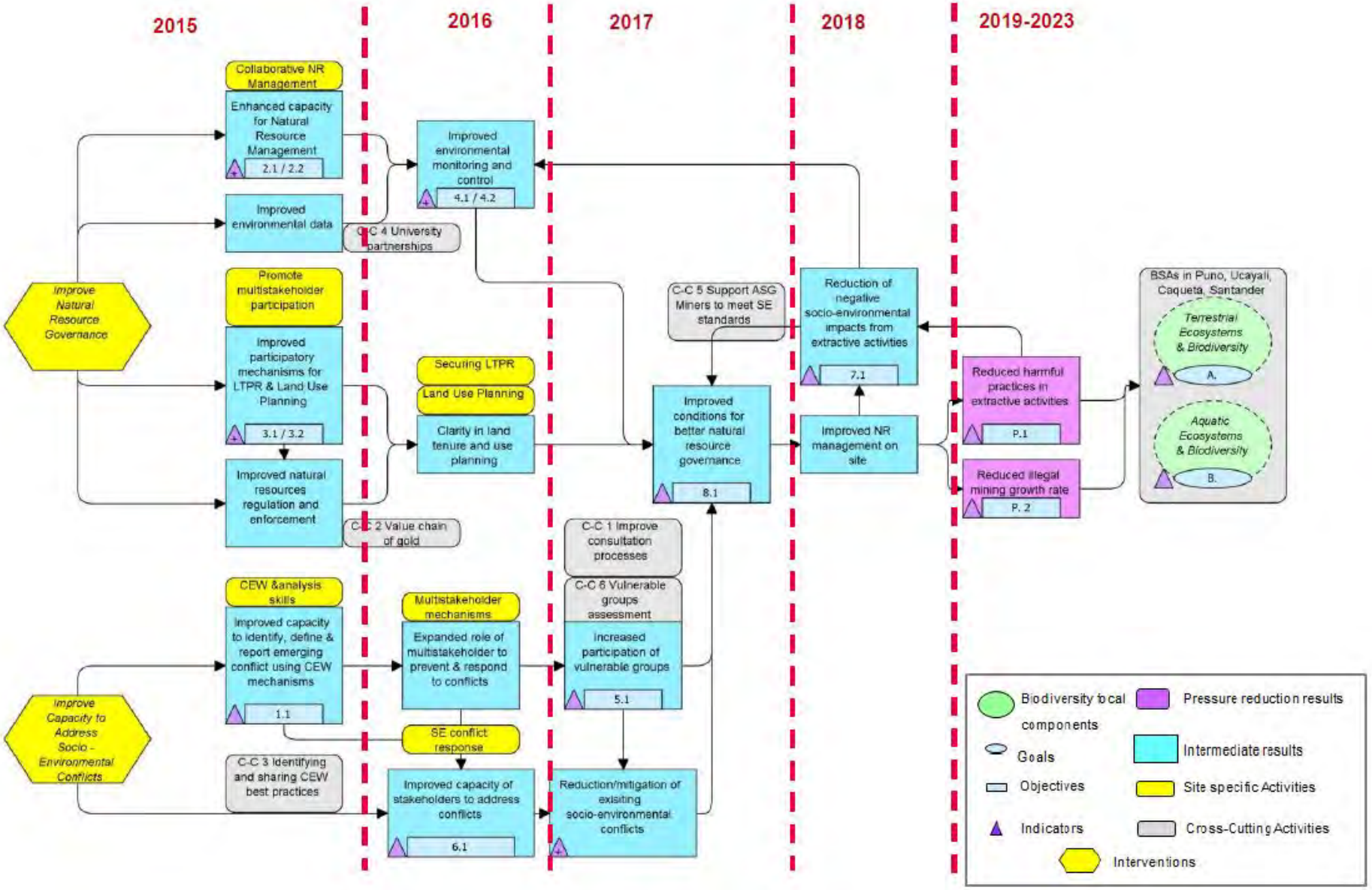
ANNEX I: ABC-LA SITUATIONAL MODEL AND THEORY OF CHANGE

ABC-LA SITUATIONAL MODEL



ABC-LA THEORY OF CHANGE



ANNEX II: INITIAL PROGRAM ASSESSMENTS & SITE SELECTION

Initial Program Assessments: ABC-LA designed, developed and conducted a series of initial program assessments (IPAs) in selected areas of Peru and Colombia during the project's assessment and mapping phase. The purpose of the IPAs was to help inform critical project tasks such as the identification of threats to biologically significant areas (BSAs) posed by extractive activities and related threats associated with ongoing and emerging socio-environmental conflicts. The IPAs informed the further development of the project's theory of change (TOC) and work planning, including activity planning and site selection at the sub-national level where ABC-LA will prioritize programmatic efforts.

The assessment teams were comprised of members with complementary and interdisciplinary skill sets. Members contributed to refining assessment tools, instruments, approach and methodologies, as well as interview guides and data collection and management protocols before commencing IPA field work. Prior to initiating field work, ABC-LA initiated outreach and engagement of stakeholders, conducted initial desk research and developed selection criteria for IPA sites from which ABC-LA priority focus areas would be determined. ABC-LA consulted USAID on the proposed sites and shared work plans for conducting IPAs in Peru and Colombia, along with site specific supporting documentation.

The following criteria were used to guide the selection of IPA sites:

- Biologically Significant Areas (BSAs) threatened by the impact of extractive activities;
- Extractive activities negatively impacting BSAs;
- Vulnerable population negatively impacted by extractive activities;
- Socio-Environmental and Land related Conflicts (actual or emerging);
- Perceived political will at the regional / local level; and
- Existence of likely programmatic allies.

Feedback and adjustments were incorporated into the IPA planning process and implementation prior to and during implementation of the IPAs. In Peru, IPAs were conducted in Piura, Loreto, Ucayali, Madre de Dios and Puno. In Colombia, IPAs were conducted in Putumayo and Santander, with additional site visits made to Choco and Antioquia to assess relevant dynamics emblematic of threats and to discern lessons from pilot efforts in the formalization process involving artisanal and small scale gold (ASG) miners. A desk study was completed on dynamics in Caquetá as a potential site. IPA team members then contributed to the compilation and analysis of data and information collected, and the drafting of IPA reports shared with USAID.

IPA reports and supporting documentation provided sector and site specific data, reference material, geo-referenced data, maps and information concerning the nature and scale of extractive activities (legal and illegal), identified threats to protected areas and BSAs and of socio-environmental conflicts, as well as profiles and dynamics involving key public, private and community based stakeholders including vulnerable populations.

The IPA reports from Peru and Colombia included the following:

- Executive summary highlighting threats, opportunities and prospective project relevant interventions;

- An assessment of regional/local context (political, economic data)
- Data on extractive activities including oil, gas and mining (legal, informal and illegal);
- Financial data on regional allocations from state of revenues/royalties from extractive activities;
- Threats-based assessments of BSAs and protected areas;
- Identification of vulnerable group, populations and communities;[1]
- Assessment of natural resource management/governance (NRM/G), land tenure and land use; and,
- Threats-based assessment of socio-environmental conflict associated with extractive activities.

Geo-referenced data and maps with depiction of key variables were developed and included with the reports along with concept maps which graphically represent some of the key dynamics involving key local and regional actors, especially regarding issues of environment and biodiversity, extractive activities, and associated conflict.

Site Selection: In addition to informing the further development of TOCs, results frameworks, and planned activities, the IPA process and outcomes also contributed to the basis for proposing priority sites where ABC-LA focused programmatic attention at the sub-national level, the project's primary point of entry. The project recommended that the regions of Ucayali and Puno in Peru, and the departments of Santander and Caquetá in Colombia be designated as the priority sites for ABC-LA programming. Although all of the sites assessed exhibit conditions and dynamics that warrant programmatic intervention, there are particularly compelling reasons for prioritizing attention in the departments of Santander and Caquetá and the Puno and Ucayali regions.

In each of the four proposed sites, there is a confluence of factors and dynamics associated with threats to BSAs posed by a representative range of the types of extractive activities (oil, gas exploration/extraction as well as large scale and ASG mining, both legal and illegal). In each site there are existing, emerging and growing levels of associated socio-environmental conflict, and adverse impacts on vulnerable and marginalized populations. The four proposed sites also include a range of different bioregions and ecosystems and emblematic challenges to them.

Peru. There are compelling reasons for the project to focus on priority threats and opportunities in Puno and Ucayali. Both Ucayali and Puno share borders with Madre de Dios. However, conditions in both sites are not so advanced nor are positions of stakeholders there as entrenched or as polarized in comparison with Madre de Dios.

The selection of Ucayali is supported by existing or emerging government and donor assistance for complementary initiatives; the lower costs operating there (compared to Loreto); and, the under-reporting of threats and conflicts in and around BSAs related to growing levels of illegal gold mining. While there are clearly priority needs the project could address in Loreto, this region and Ucayali share much in common in terms of biodiversity, ecosystems and types of threats and challenges to biodiversity and to vulnerable indigenous populations, which argued against selecting both.

Puno's selection as a priority site is justified by the range and intensity of current and planned extractive activity in Puno, with the second highest number of concessions in the country; the concentration of both legal and illegal extractive activity; the assessed and emerging threats to both BSAs and of increased levels of associated conflict involving vulnerable populations. With extensive levels of illegal and informal gold mining, and relatively sophisticated levels of organization among associated ASG mining associations there, Puno also possess favorable conditions for project supported development, implementation and

[1] These including indigenous or native and "campesino" communities, afro-descendants among others affected by extractive activities and related conflict and environmental degradation.

testing of innovative processes and approaches, including those involving the formalization of informal ASG miners, improved compliance with environmental and social standards, and pilot the use of cleaner technologies to mitigate adverse impacts.

As the two proposed sites are located directly to the north and south of Madre de Dios, they are susceptible to the negative spillover effects from what has become the most prominent example of extractive activities unfettered by effective control or regulation. Neither Puno nor Ucayali have yet to experience the degree of extreme negative consequences from extractive activities, such as illegal gold mining, that has so negatively affected biodiversity and vulnerable populations in Madre de Dios. The proposed regions are good candidates for more effectively responding to challenges posed by legal and illegal extractive activities and corresponding negative social and environmental impacts and can serve as models of how to better address these threats. By focusing on improved policies and practices in Ucayali and Puno, project supported efforts can help Peru establish an effective "fire-wall" against the predations that poorly or under governed spaces invite, and which as aided and abetted the environmental degradation in Madre de Dios.

Interventions in Puno and Ucayali will help prevent the widespread and, in some cases, lasting environmental and social damage done in Madre de Dios, which may never be undone or will take long, and costly, remediation efforts. Effective and innovative project supported approaches from Puno and Ucayali can also inform more effective interventions elsewhere, including Madre de Dios. By investing in improved conflict early warning and response capabilities, formalization of ASG mining associations in Puno, improved land use and environmental governance in Ucayali, and strengthening local capacity to develop and implement more rigorous environmental monitoring, ABC-LA can assure that the recent history of Madre de Dios need not serve as a prologue to the future of Puno, Ucayali and other vulnerable areas.

Colombia. The USAID Mission in Colombia has been receptive to the project's proposal to focus priority programmatic attention on the departments of Santander and Caquetá.

The Department of Santander is an area of important biological significance, as it includes the biologically unique and vulnerable Santurbán Páramo, a regional ecosystem that provides water for 2 million Colombians. The Santurbán Páramo is also under extreme threat caused by large-scale and artisanal mining, while at the same time the subject of recent Government of Colombia (GOC) efforts to increase environmental protection of the paramo complex. To date, only about 40% of the páramos in Colombia have some type of biodiversity/environmental protection, and when they have some protection, they end up being managed from a watershed perspective and not an eco-regional perspective. With the GOC's Ministry of Environment (MADS)'s recent designation of an additional 70,000 hectares to the páramo's borders, and associated restrictions on mining, extractive activities, and farming, there is significant potential for increased social-environmental conflict, as well as an important test case for environmental management.

Caquetá is a department with some of the highest levels of mineral exploration and exploitation activities, including gold mining. These activities directly affect indigenous territories, cause considerable social and environmental impacts, and create growing threats to important protected areas and areas of biological significance. In addition to the environmental, social, cultural and public health impacts associated with mining, this department is believed to have important oil reserves and the process of exploration and expectations for increased extractive activities in the territory are growing.

Caquetá is also a priority area for the national government and its strategy for better managing tensions between promoting extractive activity and economic growth with an increased focus on sustainability by mitigating deforestation and social conflict. In addition, the U.S. Department of Interior (DOI) and USAID supported ICAA program, with which ABC-LA collaborates, as well as other complementary

donor-funded projects are active in Caquetá, providing an opportunity to positively leverage the outcomes and impacts of project supported activities.

ANNEX III: ABC-LA AREAS OF PROGRAMMATIC FOCUS

ABC-LA has produced a series of briefs on key programmatic themes that resulted from the process of planning, implementing, and assessing programmatic interventions. This annex compiles a synthesis of the six themes that formed the basis and overarching rationale of ABC-LA's work: biodiversity, extractive activities, vulnerable groups, socio-environmental conflict and land use planning. These thematic briefs are intended by ABC-LA to benefit future initiatives addressing similar challenges.

The first brief presents the context of biodiversity conservation in Peru and Colombia, as well as the strategy developed by the project, useful tools, good practices, and considerations for replicability in other contexts. This brief includes a framework analysis of the project's focal Biologically Significant Areas (BSAs), which enabled the understanding of threats, pressures, vulnerable groups affected and the corresponding objective and activities realized in each project focal area.

The second brief focuses on large and small scale extractive activities. It presents a regional overview of the extractive model of development in Latin America and the related challenges for the viability of operations, paying special attention to Peru and Colombia. Moreover, the brief presents the threats and impacts derived from artisanal and small scale gold mining (ASGM) in Peru and Colombia.

The third brief is connected to the previous on extractive activities and presents a number of international standards and guidance developed by international organizations that contribute to the mitigation of socio-environmental impacts derived from extractive activities. Specifically, this brief synthesizes recent standards, tools and reports developed by the United Nations Environmental Program (UNEP), the United Nations Working Group on Human Rights and Business, the Extractive Industries Transparency Initiative (EITI), the OECD, the International Council on Mining and Metals (ICMM) and the Better Gold Initiative.

The fourth brief outlines the implications of ABC-LA's work on prior consultation. It describes the current regional context, focusing on the progress achieved during the past decade as well as challenges to further progress. It also provides a brief discussion on consultation mechanisms in Colombia and Peru including of some gaps and obstacles identified by the project.

The fifth brief focuses on the project's approach to vulnerable groups, including how vulnerable groups were defined and identified in the project's focal areas, and the strategy developed by ABC-LA.

The sixth brief presents ABC-LA's approach to improving local conflict prevention and management within the current regional context as well as the project's conceptual and methodological framework and outcomes. The brief concludes with good practices and tools identified, lessons learned and considerations for replicability.

The seventh and final brief focuses on land use planning mechanisms, tenure and property rights in the context of vulnerable groups and biodiversity conservation. Challenges in Peru and Colombia are presented along with discussion of approaches designed, tools and methodologies employed, lessons learned and considerations for replicability.

3.1. BIODIVERSITY AND ABC-LA

Context and Challenges

In 2010, the Strategic Plan for Biological Diversity for 2011-2020 was approved in Japan, along with the 20 Aichi Goals. Almost half way into the plan, the fourth iteration of the World View on Biological Diversity offers important insights into what progress has been achieved. The ratifying countries have been improving their performance, but more efforts are needed in order to fully implement the plan and fulfill its mission and goals.

The Andean-Amazonian region is one of the few "mega-diverse" regions in the world, and Amazonian ecosystems offer services that are essential for human survival and development. These services include: the conservation and preservation of water sources and quality, conservation of soil quality and erosion, production of oxygen, and climate control. These also play an important role in social and cultural relations. In this context, Andean-Amazonian countries (Colombia, Ecuador, Peru and Bolivia), have made great progress in the sustainable use of biodiversity, environmental services payments (ecotourism, for instance), and other mechanisms for biodiversity conservation.

These changes have occurred simultaneously with population increases and economic growth; a combination which has led to both improvements in living standards and increases in demand for natural resources to support them. These pressures have led to an unsustainable use and exploitation of biodiversity and natural resources. Rampant deforestation, for example, has led to an invaluable loss of unique ecosystems and native species, which in turn impacts the livelihoods of native Amazonian peoples and other vulnerable groups.

Aside from deforestation, there are many other pressures on the region's biodiversity and through it, on vulnerable groups. The stark increase in agriculture, raising cattle, infrastructure projects and logging all have high-impact on the environment. Migration, mostly as a response to poverty and exclusion, has led to the rise of spontaneous urban settlements and occupation of protected land; contributing to deforestation and social conflict. Last but by no means least, the boom in extractive activities continues to leave a long list of social, environmental and cultural impacts in the region.

Peru is among the top five biodiverse countries in the world. Approximately 60% of its economy depends on biodiversity; both in the primary sector (farming, agriculture, and logging), and in industry. Culturally, biodiversity is also a primary source of livelihoods for local communities and small-scale trade. Likewise, Colombia is among the top 14 biodiverse countries in the world. Although the country represents a mere 0.22% of the planet's landmass, it hosts 10% if its known species. Its ecosystems supply valuable inputs to the agricultural sector (soil, water), as well as sources of income and security to vulnerable and local groups. Any post-conflict scenario in Colombia will have to carefully consider and include biodiversity considerations if it is to formulate an inclusive and sustainable roadmap to peace for its peoples and institutions.

Implications for ABC-LA: This context led to ABC-LA's programmatic approach, based in applied research focused on socio-environmental data gathering and participatory action planning to protect biodiversity and foster a sustainable use of the region's environmental services.

Strengthening institutions and governance: the project built capacity and developed tools for biodiversity management, strengthening governance at the community (indigenous and non-indigenous), local, regional and national levels. Biodiversity conservation has been included in indigenous governance plans (*Planes de Vida*) in Peru, and in municipal governance plans in Colombia.

Generation and effective use of biodiversity information: through collaborative work with scientific and research institutions, including academia, the project promoted the use and exchange of scientific information and traditional knowledge of Andean-Amazonian groups around biodiversity conservation and socio-environmental conflict. ABC-LA increased access to this information, as well as its relevance to local contexts and different stakeholders.

ABC-LA APPROACH TO BIODIVERSITY

Land use planning: in collaboration with local partners, the project was able to formulate and validate sustainable use plans for areas of influence of protected areas. These plans, in conjunction with local, regional and national development plans, not only covered environmental protection, but also social and economic considerations. The developments of these plans followed a participatory process which included different levels of government and focused on promoting sustainable use of biodiversity while fostering socio-economic development.

Tools and Best Practices

- It is important to create and validate a definition of biodiversity through participatory processes that resonates with communities and which incorporates considerations of the socio-scientific significance of biodiversity loss and practical benefits of its conservation and sustainable use.
- Share the above notion of biodiversity with all relevant stakeholders and decision-makers, so as to create a shared vision and way-forward.
- Strengthen communication skills and capacity, both in terms of expressing and receiving ideas, and in understanding and managing technical concepts.
- Supply and demand approach to capacity building: acknowledge and build on local skills, capacity and tools, identifying gaps and listening to local needs and demands.
- Convene different stakeholders with differing notions and views on biodiversity so that there is more consensus and local ownership of solutions.
- Create and strengthen vertical and horizontal linkages at the national, regional and local levels, among government, academia, civil society and communities.
- Practical focus through technical roundtables that work on outputs/outcomes, not "themes."
- Incorporate local universities by providing technical data to achieve credibility within the community. In addition, technical data doesn´t have significance without being communicated, and mechanisms for data dissemination are equally as important as the scientifically rigorous methods used to collect data.

Considerations for Broader Applicability

- Convening groups where different visions come together in a structured platform and can articulate inclusive solutions and agree on collective action for biodiversity conservation (e.g. through game theory workshops).
- Integrate community-level management and governance tools with regional goals and plans.

- Continue to work on vertical linkages among different levels of government.
- Applied research and participatory monitoring of biodiversity conservation and management through citizen science initiatives.
- Roll-out ASGM assessments, as well as formalization processes' assessments.
- Foster a knowledge sharing and capacity building platform for the entire Amazonian region.

Lessons Learned

ABC-LA's lessons learned regarding biodiversity are linked to continuity. First, changes in central government have a very large impact on approaches and systems of biodiversity conservation. As a result, ABC-LA would suggest integrating these systems into local (municipal) and regional frameworks. Secondly, the most valuable activities carried out by the project (e.g. environmental and social baselines) need to be sustained and iterative processes, not one-off exercises. This means that biodiversity conservation activities need stable funding, planning and resources.

The tables on the following two pages summarize the threats, pressures, vulnerable populations, and project activities and objectives in each of ABC-LA's Biologically Significant Areas of focus.

BSA'S, THREATS, PRESSURES, VULNERABLE GROUPS AND ACTIVITIES / OBJECTIVES IN ABC-LA FOCAL AREAS

PERU					
	Biologically Significant Areas	Threats	Pressures (Extractive Activities)	Vulnerable Populations	Project Activities & Objectives
PUNO - Sandia & Carabaya	**Ecosystems:** typifying both Andean and Amazonian: wetlands, marshes, ponds, lakes and rivers. **Hydric net:** Inambari Upper Basin and Upper Tambopata Basin **National Protected Areas:** Parque Nacional Bahuaja Sonene (PNBS). **No. of hectares** forest conditions affected by project: Direct 375,876 ha / indirect 1,476,063 ha (Total BSA)[2]	Fragmentation & Degradation of Biomes Deforestation & Contamination of terrestrial & aquatic ecosystems / habitats Endemic species loss	High # of mining concessions & mining, including ASGM (legal, illegal & alluvial) Exploration and exploitation of gas/oil Logging, agricultural (including coca) Wildlife trafficking	"Native" & "Rural" communities (comunidades campesinos) including: Quechua, Aymara & Spanish speakers.	• Applied Research for Environmental & Vulnerable Groups Assessments • Capacity & Consensus Building for NRM / CEW to improve NRG & Multi-stakeholder mechanisms. • Improve Control / Regulation of ASGM to reduce environmental impact. ➢ Conservation and Sustainable Land Use Plan PNBS Area of influence (implemented by regional government & *Mancomunidades*). ➢ Multi-stakeholder platform for conflict early warning (CEW) to monitor plan implementation and biodiversity conservation in AID/PNBS.
UCAYALI - Col. Portillo & Padre Abad	**Ecosystems:** Wetlands, Tropical Rain Forest. **Hydric net:** Ucayali Lower Basin, Aguaytia Lower basin & Abujao Sub basin. **National Protected Areas:** Zona Reservada Sierra del Divisor (ZRSdD) and Territorial Reserve Isconahua **No. of hectares** forest conditions affected by project: Direct 438,829 ha / Indirect 1,959,871 ha (Total BSA)	Fragmentation & Degradation of Biomes Deforestation & Contamination of terrestrial & aquatic eco-systems/habitats Endemic species loss Unique ecosystems loss ("aguajales")	Increasing alluvial ASG mining, legal & illegal High levels of exploration & exploitation of oil & gas reserves Mega-projects, logging, agriculture (& coca) production, livestock	Indigenous People (IPs) including Territorial Reserve Isconahua & IPs living in Voluntary Isolation. Asháninka, Shipibo-Conibo, Isconahua, Cacataibo & Spanish speakers.	• Applied Research for Environmental & Vulnerable Groups Assessments • Capacity & Consensus Building for NRM / CEW to improve NRG & Multi-stakeholder mechanisms. • LGU Strengthening to improve NRM / biodiversity conservation. ➢ Conservation and Sustainable Land Use Plan - Area of Influence ZRSdD implemented by regional & district governments. ➢ Multi-stakeholder platform for socio-environmental conflict early warning (CEW) to monitor Plan implementation and biodiversity conservation in area of influence.

[2] Gobierno Regional de Puno. 2013. PLAN REGIONAL DE ACCIÓN AMBIENTAL PUNO 2014 AL 2021

COLOMBIA					
	Biologically Significant Areas	Threats	Pressures (Extractive Activities)	Vulnerable Populations	Project Activities & Objectives
Caquetá Albania, S.J. Fragua & Solano	**Ecosystems:** Biogeographic region Amazon Piedmont **Hydric net:** Caquetá Upper Basin and Fragua Chorroso sub basin **National Protected Areas:** Serranía del Chiribiquete & Alto Fragua Indi-Wasi National Parks, Municipal area of soil conservation[3] Inga de San Miguel Territory & Puerto Torres Community **No. of hectares:** forest conditions affected by project: direct: 4,962,218 ha./ indirect: 36,143,950 ha (total BSA)	Fragmentation and Degradation of Biomes Deforestation / Contamination of terrestrial and aquatic ecosystems / habitats Endemic species loss	High levels of gas / oil exploration & growing exploitation Growing levels of medium, ASG legal & illegal mining Massive logging; coca cultivation & livestock (cattle)	Indigenous People & Rural Communities Resguardo Indígena de Villa Azul (Nonuya & Muinane IPs) Resguardo Indígena Yurayaco (Inga IPs)	• Applied Research for Environmental & Vulnerable Groups Assessments • Capacity & Consensus Building for NRM / CEW to improve NRG & Multi-stakeholder mechanisms • LGU Strengthening to improve NRM / biodiversity conservation ➢ Conservation and Sustainable Land Use Agenda implemented by department & municipal governments. ➢ Multi-stakeholder platform for socio-environmental conflict early warning (CEW) to monitor Plan implementation and biodiversity conservation.
Santander California, Vetas, Surata Bucaramanga	**Ecosystems:** Paramo Santurbán Complex **Hydric net:** Upper & Lower Surata Basin, Vetas, Charta, & Tona micro basins . **National Protected Areas:** Santurbán Regional Natural Park **No of hectares** forest conditions affected by project intervention: direct: 11,700 ha. / indirect 142.000 ha. (total BSA)	Fragmentation and Degradation of Biomes Endemic species loss Deforestation / Contamination of terrestrial & aquatic ecosystems/ habitats Unique ecosystems loss ("Paramo")	Large-, medium- and ASG gold mining	Rural Communities	• Capacity & Consensus Building for NRM / CEW to improve NRG & Multi-stakeholder mechanisms • Applied Research for Citizen Science Pilot H_2O Monitoring • Value Chain Analysis of Gold ➢ Conservation and Sustainable Land Use Agenda (Paramo de Santurban) implemented by department and municipal governments (LGUs). ➢ Multi-stakeholder platforms for socio-environmental consensus building and environmental monitoring of H_20 quality and strategic management of ecosystem's health.

[3] CORPOAMAZONIA, 2014. Determinantes y asuntos ambientales para el ordenamiento territorial en el departamento del Caquetá.

3.2. EXTRACTIVE ACTIVITIES AND ABC-LA

Context and Challenges

Extractive industries have gathered increasing importance as an engine of economic growth in Latin America, given the abundance of natural resources and government policies to incentivize foreign investment. In this context, the boom in international prices for metals and hydrocarbons between 2002 and 2008 was characterized by large-scale exploitation of these resources in the region.

As a result, in Peru mining concessions have increased from 2,258,000 hectares in 1991 when the reforms started to 25,983,461 hectares in 2014, which represents 20.42% of the country's landmass (INGEMET, 2014); while a similar situation occurred with the oil concessions between 1970 and 2009 which now represent about 70% of the Peruvian Amazon. In Colombia, over the past two decades, almost 40% of the country's landmass has been concessioned to mining and oil companies (Instituto de Estudios para el Desarrollo y la Paz, 2012). It is estimated that about 8.4 million hectares have been concessioned for mining exploration and 27 million hectares for hydrocarbons exploration.

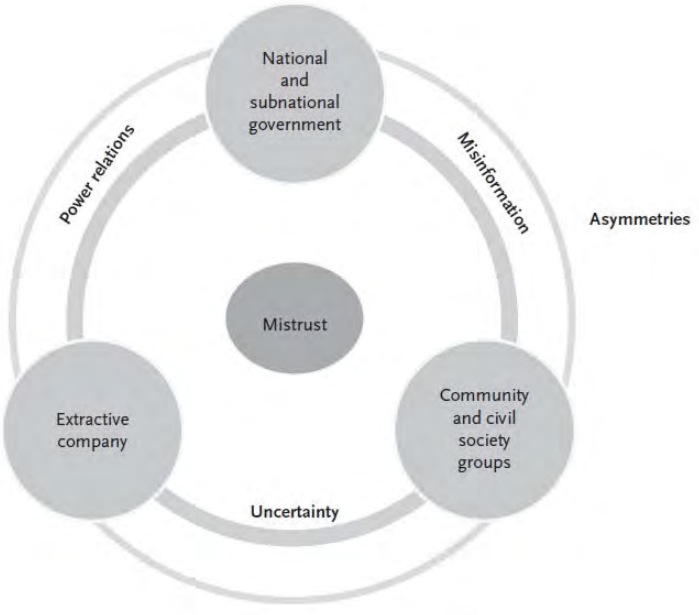
A range of favourable conditions put 13 Latin American countries amongst the 15 leading producers of minerals in the world. Among these countries, Peru is one of the world's top five producers of silver, copper, gold, tin, zinc and lead; and Colombia is the ninth largest producer of refined nickel and the eleventh producer of coal (US Geological Survey, 2014). Regionally, hydrocarbons and mining products were equivalent to 40% of South and Central American exports in 2013, compared to the global average of 22% (Viscidi, 2015).

While the production performance of extractive industries has improved and remains fundamental for South American economies, despite the current global crisis, many companies have been facing difficulties obtaining a social license to operate from local communities, who do not perceive clear development opportunities from these activities. Widespread dissatisfaction among neighboring communities has resulted in the growth of social resistance to extractive industries; countries in South America that experienced most resource-led growth now have the most conflicts within the region.

For instance, among the 8 million hectares in Caquetá, about 5 million have been already awarded in concessions for oil and gas exploration or exploitation. These agreements have produced many tensions with the local population due to environmental damage to key ecosystems and habitats, particularly where indigenous communities are located.

Each conflict stems from specific dynamics among company, community and government where social, economic and environmental pressures converge. However some recurrent tensions are a result of the mistrust, misinformation and uncertainty caused by different asymmetries and power relations, as referred to in the figure to the right[4]. Those tensions in the region have therefore placed the linkages between economic development, environmental quality, land and

TENSIONS BETWEEN STAKEHOLDERS



[4] Extracted from Carrillo, S. (2015). Extractive Industries and Conflict Prevention. *Business, Peace and Sustainable Development*

human rights on the public agenda in new and powerful ways.

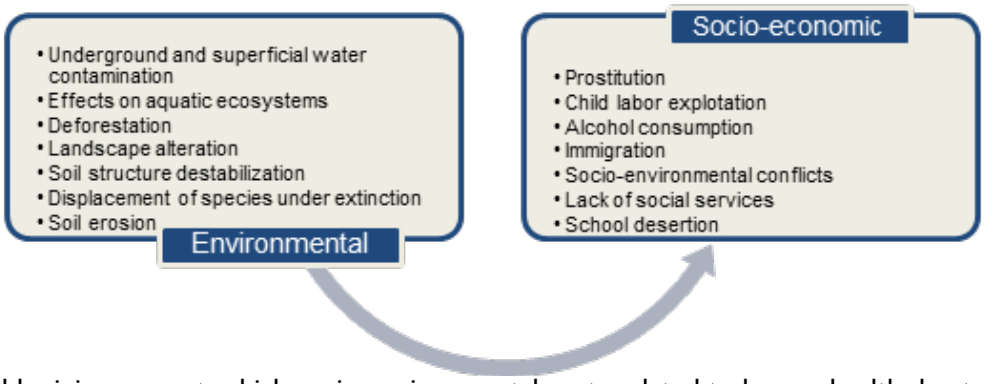
Implications for ABC-LA: Artisanal and Small Scale Gold Mining (ASGM)

Latin America has not only lived through a boom of large-scale extractive activities, but also an expansion of artisanal and small-scale gold mining (ASGM) activities which employ a higher quantity of local workers than the formal industry. They also have been generating deeper impacts on the environment and vulnerable groups as a result of unregulated practices.

From a socio-economic perspective, it is undeniable that ASGM represents a fundamental source of income for vulnerable populations who are directly and indirectly involved in it. Within the context of competitive stock market prices, ASGM represents an attractive source of employment in comparison with traditional activities like agriculture or farming. Both in Peru and Colombia, ASGM activities also represent a high fiscal gap for the government, with these activities not being taxed. Moreover, ASGM poses environmental threats to biodiversity and the health and security of the miners, their families and communities involved. Despite the fact that these effects are commonly known, the weak presence and limited capacity of the state to monitor and mitigate these impacts, and to promote the formalization process, is favouring the expansion of these activities and their detrimental externalities (see the figure below).

MAIN EXTERNALITIES DERIVED FROM ASGM

Positive Impacts of Small Scale Mining Formalization on Biodiversity



Illegal gold mining generates high socio-environmental costs related to human health due to the use of mercury, biodiversity loss, and emissions of CO2 and carbon. It also results in migration processes to high biodiversity areas with concentration of minerals, particularly gold. The Andean population tends to temporarily migrate to the Amazon and operate these activities in non-authorized areas, as for example the buffer zones of protected natural areas, or even within them. Generally, these areas face a lack of budget for monitoring and control activities.

In ABC-LA focal areas, the project identified that the conditions and quality of life in mining communities are not significantly better than the communities where mining activities are not developed. This means that the local population does not necessarily receive economic benefits from this activity. Moreover, in those communities where mining activities are developed, the mining concessions do not necessarily belong to residents of the community but rather generally belong to persons outside the community. This situation contributes to the community disappointment and usually causes conflicts between miners and communities.

ABC-LA has identified diverse opportunities to decrease, prevent and/or mitigate the degradation and loss of ecosystems with high levels of biodiversity where the illegal and informal mining is operating:

1) Developing a Land Use Plan

2) Developing a Regional Development Plan as part of the dialogue processes through multi-stakeholder platforms
3) Create a Regional Environmental Authority
4) Promote alternative economic activities to mining
5) Mining formalization

These potential measures, and particularly the formalization of illegal and informal miners, create direct benefits for biodiversity conservation, which include:

- Decrease pressures on natural resources, favoring biodiversity conservation.
- Adoption and accountability of regulation, through the presentation of environmental assessments and the corresponding plan of impact mitigation.
- Access to clean or green technologies decreasing impacts on biodiversity and ecosystem services.

ASGM IN COLOMBIA

Colombia has one of the highest percentages of informality in Latin America. ASGM increased substantially between 1990-2010, while biodiversity degradation has accelerated and deforestation has reached approximately 6,216,000 hectares of forest lost or 6% of the country's landmass.

ASGM also has contributed to the exacerbation of the country's armed conflict, since it is an important source of revenue for illegal and armed groups. Not surprisingly, most territories where mineral-rich areas coincide with the presence of armed groups and the highest poverty rates. In this sense, the post-conflict process offers an opportunity to foster the regional development through the economic inclusion of affected communities given that the formalized mining associations could be a potential source of employment if secure and legal conditions are ensured.

ASGM IN PERU

In Peru, ASGM has also expanded to regions where strategic biodiversity areas are located, and has seen the number of people directly employed by the sector increase to 150,000, while the number of people indirectly involved has reached 500,000. ABC-LA's focal regions in Peru, Puno and Ucayali, have seen illegal mining activities increase dramatically over the past decade, together with the corresponding negative externalities.

Illegal mining in Peru generates profits of around US$ 1 billion/year, avoiding about $305 million in taxes (MACROCONSULT, 2012). The government has been fostering the formalization process, although it still suffers from many limitations. A coherent, clear and viable policy is needed after the failure of the current interdiction policy to dissuade illegal miners from resuming their work after interdiction interventions.

3.3. STANDARDS AND GOOD PRACTICES IN EXTRACTIVE ACTIVITIES

This brief presents some of the initiatives developed by international organizations, which, similarly to ABC-LA, aim to reduce the negative environmental and social impacts, particularly on biodiversity and vulnerable groups, of extractive activities.

Natural Resource-Related Conflicts

The United Nations Environmental Program (UNEP) has re-launched the Peacebuilding Initiative to provide technical assistance to enable country missions to promote better management of natural resource-related conflicts, particularly those involved with extractives.

ABC-LA's lessons learned provide a valuable contribution for the current and upcoming approaches in this field, since it has developed a community -based strategy for conflict prevention and natural resource governance, while also involving local, regional and national decision-making actors.

UNEP has conducted case studies to understand the trends related to socio-environmental conflicts in resource-rich countries, including Peru. The case studies, developed in partnership with McGill University and Columbia, resulted in a guide looking to consolidate decades of experience in the field of natural resource conflict mitigation and offer a route for practitioners on mediation. The document is titled "Natural Resources and Conflict: A Guide for Mediation Practitioners".

Extractive Activities and Human Rights

Since the launch of the UN Guiding Principles on Business and Human Rights in 2011, there has been a recognizable increase in awareness of their relevance to the extractive industry value chain, particularly in relation to land use, socio-environmental impacts, indigenous people and labor.

Within Latin America, Colombia has made great progress with the support of the UN Working Group on Business and Human Rights[5]. The government is developing a national agenda to address the core challenges derived from extractive activities and public and private stakeholders have formed the Mining-Energy Committee on Security and Human Rights to promote voluntary principles within the daily practices and processes of mining and energy companies.

Illegal mining-related pressures on human rights are still not being addressed in a material way by Latin American countries or in international fora. There is a small but growing understanding of informal economics and how to improve labor standards along the value chain, including demand from developed countries.

Large and small scale extractive operations often offer inadequate information to vulnerable groups, especially indigenous peoples. Almost none of the initiatives involved in this field seem to address the issue of integrating community participation into socio-environmental impact assessments.

Promoting Governance and Transparency

The Extractive Industries Transparency Initiative (EITI), which is increasingly present in Latin America, incorporates the obligation to generate information on government revenues in order to prevent, mitigate and – in exceptional cases – compensate for the socio-environmental impacts.

The next EITI Global Conference, scheduled to take place in Peru, will be the first time that this event is held in Latin America.

[5] The UN Working Group on human rights and business is formed by five independent experts, who are following the agenda and implementation of guidelines principles. This group is currently supporting the development of national plans, as well as the development of methodologies to track the progress of implementation.

In South America, Peru is the only EITI compliant country and Colombia is the only EITI candidate country. With the support of the EITI Multi-Donor Trust Fund[6], both countries could improve the dissemination of data from environmental impact assessments as a way to strengthen other aspects of revenue management and transparency, like facilitating social engagement in the process. Moreover, private companies will start publishing the payments they make to governments, complying with the obligations set in the environmental impact authorizations once they are approved, as well as any actions necessary to prevent damages.

OECD Monitoring and Standards for Latin America

OECD monitors events in member countries as well as outside OECD membership, and publishes regular projections of short and medium-term economic developments. In doing so, the OECD supports Latin American countries (very few of which are members) by providing policy review and recommendations. The recently published Latin American Economic Outlook 2016 addresses the many challenges derived from the fall in commodities prices and suggest some recommendations to improve average growth.

Another recently published report, Corporate Governance of Company Groups in Latin America, provides an overview of frameworks and experience in Latin America and beyond dealing with the challenges associated with corporate governance. It also delves into some of the risks and more specific challenges involved in ensuring protection of minority shareholder rights and managing or minimizing conflicts of interest within groups. Country-specific chapters provide more in-depth descriptions of the set-up in Argentina, Brazil, Chile, Colombia, Mexico and Peru.

Community Relations and ICMM Standards and Tools

Over the past decade, the International Council on Mining and Metals (ICMM)[7] has developed tools and guidance to support the sustainability performance of its members. In 2015 ICMM launched an updated 'Indigenous Peoples and Mining' position statement which sets out members' approach to engaging with indigenous peoples and commitment to free, prior and informed consent (FPIC).

> Although ICMM and other large-scale companies have improved standards and practices to foster sustainability and mitigate impacts on vulnerable groups, applying effective targeted actions and improving relations with the local communities remain important challenges. The dissemination of ABC-LA outcomes and lessons learned can foster better practices in this sector.

The main commitments include respecting indigenous peoples' rights, interests, special connection to the environment, and perspectives, if and when mining projects are located on lands traditionally owned by or under customary use of indigenous peoples. ICMM members commit to apply engagement and consultation processes that ensure the meaningful participation of indigenous communities in decision making, through a process that is consistent with their traditional decision-making processes and is based on good faith negotiation. ICMM has published an updated version of their good practice guidance on indigenous peoples and mining to support members in implementing these commitments, and then promote better practices more broadly across the sector.

The "Understanding Company-Community Relations" toolkit was also published in 2015, enabling companies to identify the reasons why community support may be lacking, and develop targeted

6 The multi-donor trust fund (MDTF) provides technical assistance to countries that are implementing EITI. Through the MDTF, the World Bank Group supports the EITI by administering the funds to provide technical and financial assistance to countries implementing or considering implementing the EITI.

7 Established in 2001 to improve sustainable development performance in the mining and metals industry. It brings together many of the world's largest mining and metals companies as well as national and regional mining associations and global commodity associations. All ICMM member companies commit to implement and measure their performance against a set of 10 sustainable development principles.

approaches for improving company-community relationships. Its main contribution is the recognition of the impacts derived from the company's attitudes and behaviors towards communities; they play a fundamental role in determining the degree to which communities support a particular project or operation and the quality of relationships between the company and the community.

Fostering a Sustainable Gold Value Chain: From Mine to Market

The Better Gold Initiative (BGI), through targeted interventions in production, trade and demand, hopes to increase the supply of sustainably-sourced gold from small and medium-sized mines, reinforce the relevant voluntary sustainability standards and bring together the various stakeholders along the value chain. This will enable small and medium-sized mines to meet the growing requirements regarding traceability and responsible production. This should secure them a better income and long-term access to international markets.

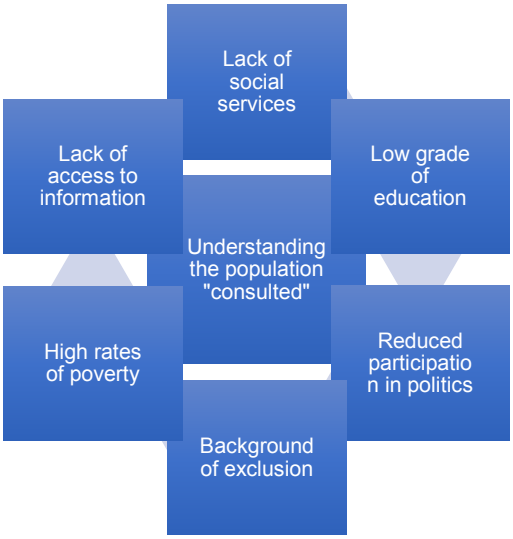
The project is being run as a public-private partnership between SECO and the Swiss Better Gold Association. This approach is being taken for the first time in Peru, and there are plans to roll out the project to other countries. The total budget for three years is CHF 2.9 million.

3.4. PRIOR CONSULTATION: IMPLICATIONS AND LESSONS FROM ABC-LA

Context and Challenges: Although over the past decades Latin American economies have focused on fostering private investment in extractive industries, through the implementation of a set of public policies, it's important to acknowledge that the region has also improved the recognition of indigenous peoples' rights during this time.

These processes have presented significant challenges for the governments trying to balance compliance with international standards on human rights and corporate interests, while incorporating ILO Convention 169 Convention into their legislations. Remarkably, most of the socio-environmental extractives-related conflicts have been linked to the dissatisfaction of indigenous peoples and local communities who still live in extreme poverty.

CHARACTERIZATION OF POPULATION CONSULTED



The prevalence of conflicts and their associated costs have raised the awareness of all stakeholders of the need to implement prior consultation mechanisms with indigenous peoples and other actions that have been formulated to this end. As a result, compared to previous years, there is no longer a question around the fact consultation should take place, but rather around how it should be carried out.

However, consultation processes have not been an effective mechanism through which to guaranteed rights; they are often carried out as part of regulatory compliance, without using them as an opportunity for engagement and trust-building. In some cases, progress around prior consultation regulation has been minimal or very limited due to the power asymmetries between political and business sectors and indigenous communities.

Implications for ABC-LA

In Colombia: Colombia is the only country in the region that has appointed a specific committee for the application of consultation processes. In 2011, the government established the Directorate for Prior

Consultation and the Directorate for Indigenous Issues within the Ministry of the Interior, both of which have improved implementation and public accountability.

The main challenge faced by the Colombian government is that the process of consultation must start with an application by the interested extractive company, rather than being a responsibility that rests with the national, sub-national or local government. Partly as a result of this, the Directorate for Prior Consultation is perceived as a biased intermediary between companies and indigenous communities, and therefore ultimately responsible for granting the project's social licence to operate.

Although ABC-LA did not work directly in the field of prior consultation, it was considered from the project planning as a key cross-cutting theme. ABC-LA´s lessons learned with vulnerable groups are useful when planning broader initiatives with indigenous communities.

In Peru: According to the Law of Prior Consultation, the public office responsible for promoting the administrative or regulatory process (e.g. Ministry of the Environment, Ministry of Education, or Ministry of Mines) is the office tasked with implementing the consultation (i.e., the Ministry of Energy and Mining is responsible for applying the process for extractive projects). The Ministry of Culture is in charge of providing technical assistance and training to the public offices and the indigenous communities, as well as to resolve any queries along the process.

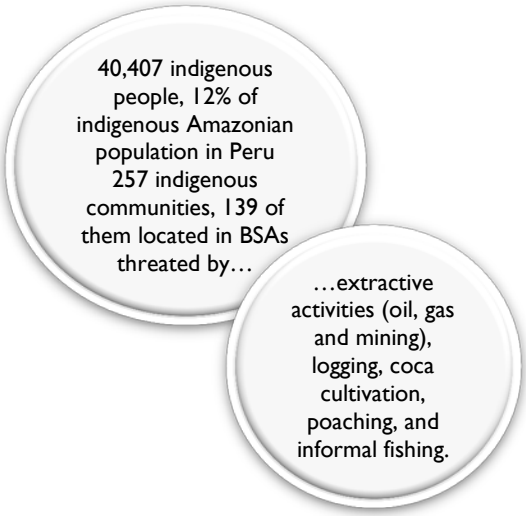
This structure poses many challenges for the implementation of prior consultation such as the lack of information or expertise within certain public offices in different departments (e.g. Ministry of Justice or Culture versus Ministry of Public Works), which can make them resistant to the process. There is a clear need to strengthen the role of the Ministry of Culture to address the conflicts of interests within government agencies and ensure the enforcement of the Law of Prior Consultation.

3.5. VULNERABLE GROUPS AND ABC-LA'S WORK

Context and Challenges

Puno: In the area of influence of Bahuaja Sonene National Park, ABC-LA identified rural communities (*comunidades campesinas*) as vulnerable to extractive activities and biodiversity degradation. In particular, analysis showed the following pressures on these groups:

1) Coffee growers in Sandia Province: as a result of a major plague, coffee production in the province fell by 85% (DEVIDA, 2014). This situation was exploited by coca growers, who expanded their crops by 3,360 hectares over land previously used for coffee cultivation
2) Carabaya Province: the situation is similar to Sandia Province, with the added presence of illegal gold mining. As coca crops are subject to eradication policies, mining activities grow while coffee growers no longer have the option to return to their original crops.



The intersection between coca cultivation and illegal gold mining has been the source of many of the socio-environmental conflicts in the area, both at an early and active stage. ABC-LA found that local communities feel that as long as conflict and instability continue, they will be able to find a source of livelihood in illegal activities. Puno also suffers from a lack of effective reporting mechanisms for socio-environmental conflicts. ABC-LA found that while at a community level stakeholders find a trusted institution to

which they can report these conflicts, this trust breaks down at a district and regional level.

Ucayali: A third of Ucayali's indigenous population can be found in the area of influence of Sierra del Divisor National Park. The vulnerable groups assessment commissioned by ABC-LA identified three focus clusters and showed the following areas of vulnerability:

1) Aguaytia River: deforestation as a result of the inter-oceanic highway and high-intensity agriculture
2) Tamaya River: devaluation of forests and contamination of water sources as a result of extensive and informal logging
3) Lower Ucayali River: informal or illegal activities such as ASGM, coca cultivation and illegal logging.

These pressures are exacerbated by socio-environmental conflicts linked to i) land grabs, ii) extensive deforestation, iii) large-scale logging, iv) illegal fishing, and v) coca cultivation – all within indigenous territories. Only one conflict out of five is active, while the other four are at a latent or early stage. Despite general perceptions to the contrary, ABC-LA found that the largest obstacle for conflict management was the lack of appropriate local and regional conflict reporting mechanisms.

Caquetá: The department of Caquetá plays a strategic and critical role in the water supply to the region, as well as contributing significantly to its biodiversity and cultural diversity. It hosts 16 indigenous groups, spread among 45 indigenous settlements, who present high levels of poverty, illiteracy and unemployment.

The biodiversity and cultural impacts of oil and mineral extractive activities, as well as large-scale infrastructure projects, have given rise to early-stage conflicts. These are mostly based around opposing views of access to, and management of, valuable natural resources; particularly land, which remains the most common source of livelihood for rural communities. These conflicts take place in the midst of a drawn-out armed conflict, in which Caquetá has played a central role by hosting large amounts of guerrilla and paramilitary groups

ABC-LA's vulnerable groups assessment looked at three indigenous settlements (in the Caquetá River and the municipalities of San Jose de Fragua and Albania), and found that all three were highly vulnerable to extractive activities, particularly in the following ways:

1) In the Caquetá River (Nonuya de Villa Azul settlement) the group is extremely vulnerable due to its low adaptation capacity and low human and social capital.
2) In San Jose de Fragua (Yurayaco settlement) the group is equally extremely vulnerable, but enjoys higher adaptation capacity.

The lack of reliable socio-environmental data on the real and potential impacts of extractive activities, as well as the lack of local government capacity to address these, only serve to increase the risks of socio-environmental conflict in these communities.

Santander: This area does not host indigenous groups, but its main vulnerable groups are farming communities who find themselves in areas where there is small and large-scale gold mining. Socio-environmental conflict has resulted from the presence of large-scale mining by means of localized inflation – that is, the rise in living costs due to an increase in the wages of workers working in the mining sector. Additionally, some communities have complained about the negative impacts mining activities (both legal and illegal) have on water sources and quality.

A second issue of socio-environmental conflict was the delimitation of the Santurban Paramo. Local stakeholders believed they had not been consulted or engaged in this process, and so had seen their rights restricted – particularly those of local rural communities and the regional environmental

authority. Local community members felt their livelihood had been limited without a clear alternative or compensation.

Implications for ABC-LA

The vulnerability context and prevalence of socio-environmental conflict amongst vulnerable groups is closely linked to the gaps ABC-LA found through its IPAs and TOC:

1. Lack of technical-scientific data on biodiversity conservation linked to decision-making and conflict early warning
2. Limited knowledge and capacity of local leaders and government to identify, analyze and report conflicts at an early stage, and limited capacity for natural resource governance
3. Little communication and coordination among local, regional and national government authorities in terms of socio-environmental conflict and natural resource governance.

Good Practices Implemented by ABC-LA

- Capacity building among key stakeholders: local and community leaders, public institutions, academia and civil society.
- Development of a regional agenda and technical working groups to address socio-environmental conflict and natural resource governance: always focused on biodiversity conservation.
- Extend biodiversity conservation to an "area of influence" approach as a natural resource management tool, as opposed to national parks.
- Set community goals through planes de vida and municipal targets through sustainable use and conservation plans.

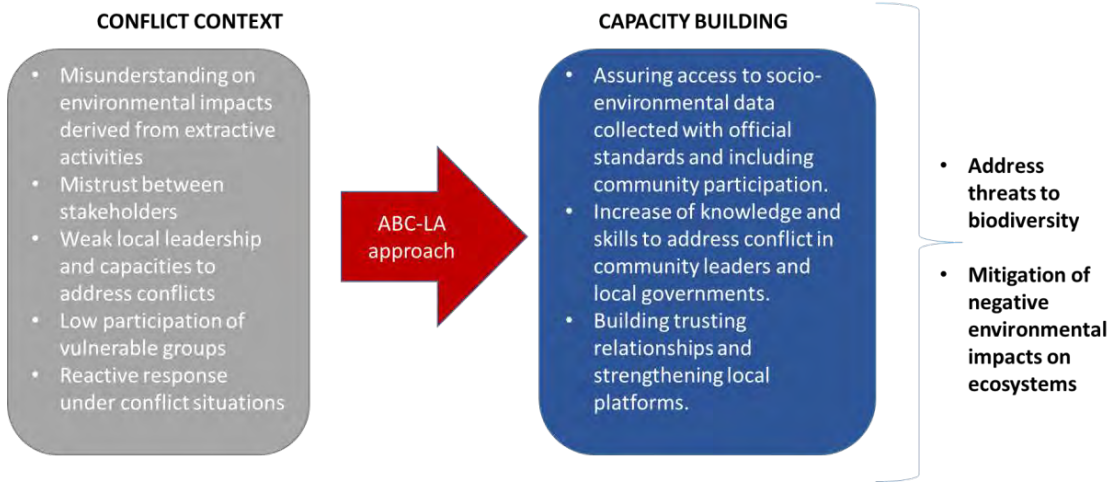
3.6. SOCIO-ENVIRONMENTAL CONFLICT AND ABC-LA'S WORK

Context and Challenges

Both in Colombia and Peru, there have been many initiatives to improve conflict management, and particularly the socio-environmental conflicts associated with extractive activities. ABC-LA found a gap around community-based tools and mechanisms to prevent and respond to these conflicts. In response, ABC-LA developed a conceptual framework and methodology to improve the practices around conflict prevention, based on a conflict early warning system, but including a strong community-led strategy.

> ABC-LA's approach defined conflict as a situation where two or more actors perceive the needs or interests of others as obstacles to satisfying their own. As a result, each party initiates actions intended to deny, disrupt, destroy, neutralize or control the other party or their capacity to advance interests viewed as contrary to their own. Socio-environmental dynamics have been understood around the control, use and/or access to the environment and its resources. In addition to the core environmental drivers, political, social, economic and cultural ones are often involved.

The rationale behind this approach was the need to inform and alert key stakeholders to the tensions, and potential and early conflicts, which when reported earlier, could be more easily addressed. By applying a preventive approach, the negative environmental impacts on ecosystems within BSAs can be reduced, and by increasing the social capital of key local stakeholders, they can address threats to biodiversity and the vulnerable communities who depend on them.



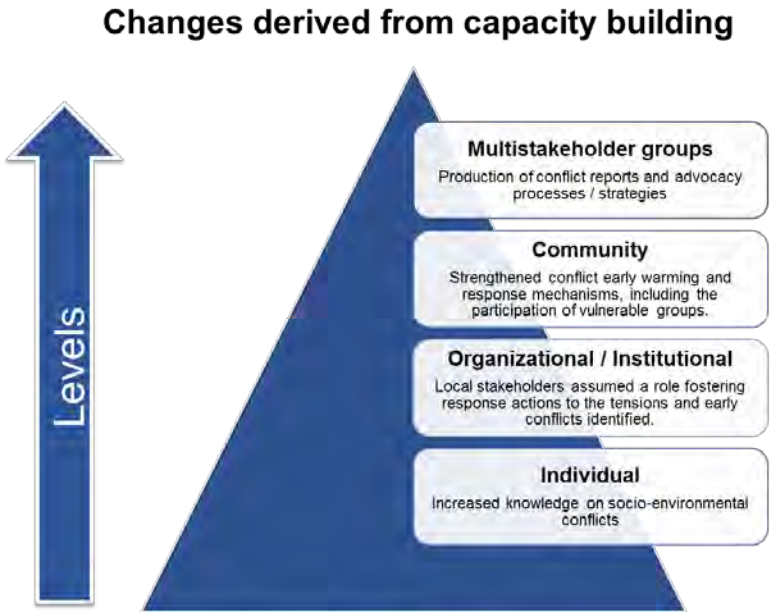
ABC-LA Approach and Outcomes

ABC-LA developed a strategy to prevent socio-environmental conflicts that would address the impacts on biodiversity and vulnerable groups derived from extractive activities in BSAs. This intervention aimed to strengthen the capacity of community leaders and local governments to identify, define, analyse and report socio-environmental conflicts. This activity targeted regional and local government authorities, and community leaders who were previously interested in this issue and understood basic concepts.

The project fostered the development, validation and application of tools which helped define the nature conflicts and their classification. This required a collaborative effort with local stakeholders, including public institutions, community leaders, local organizations and universities. In this sense, ABC-LA's efforts to improve conflict early warning and response capacity focused on the engagement of key local stakeholders fostering positive interactions among unlike-minded groups, to engender trust-based relationships, which in turn serve as a pre-condition for successful negotiations, inclusive decision-making, shared commitments and collaborative action.

As a result of this intervention, sixteen new groups or initiatives dedicated to address socio environmental conflict were created through ABC-LA assistance in Peru and Colombia. The main outcomes were the following:

- Increased awareness in nine municipalities of socio-environmental conflicts, and improved capacity to identify, analyze, map, and report conflicts that pose a threat to biodiversity.
- Nascent local mechanisms for responding to conflict are being strengthened and provided with technical data on vulnerability, conflict analysis and perceptions assessment associated with extractive activities in Caquetá and Ucayali.



- Key stakeholders in selected Municipalities in Santander, originally confronted by the process of delimitation of the Santurban Paramo, with strengthened capacities for consensus building and committed to build a regional action plan for the sustainable use of resources.

Good practices and Tools

- Train-the-trainer: this increased the engagement of local leaders to build capacity within their communities. This strategy ensured the methodology was culturally sensitive and locally-led.
- Community-based tools and methodologies: the use of tools like community mapping or role playing were very helpful when working with local stakeholders around such a complex reality.

Considerations for Broader Applicability

ABC-LA's lessons learned can inform the current and upcoming approaches in this field, since it has developed a community-based strategy for conflict prevention, while including local, regional and national decision-makers. Particularly, the environmental baseline and the vulnerable groups and conflict assessments ensure the relationship between empiric-scientific data and the participation of, and capacity building within communities, including vulnerable groups.

Lessons Learned

- Socio-environmental conflicts are new to many, so it is extremely important to ensure there's a common understanding of their definition and drivers with all partners. ABC-LA addressed this need by developing workshops aimed at aligning concepts, approaches and methodologies. In addition, ABC-LA developed a reference conceptual module for facilitators, which included the definitions, and perspectives to promote the capacity building.
- In conflict prevention initiatives and particularly those related to early warning, it is not only important to ensure the collection, analysis and reporting of conflict data for decision makers, but also applying existing reporting mechanisms in situations of potential conflict. Amongst other things, this means involving the relevant institutions during implementation.
- The disconnect between different levels of government represents an obstacle to addressing socio-environmental conflicts. ABC-LA promoted knowledge-sharing and collaborative work between government and local stakeholders which hadn't worked together before, adding value to the interventions.

3.7. LAND USE PLANNING, LTPR, AND ABC-LA'S WORK

PERU

Context and Challenges

Land tenancy and property rights for vulnerable groups in Peru mainly relates to indigenous and rural communities' access to land. In Peru these groups represent 12 million people, living in one third of the country's landmass. Almost 50% of the territory inhabited by rural communities (*comunidades campesinas*) is also used for mining activities, while 75% of indigenous territory in the Amazon is occupied by oil concessions (IBC 2015). In the meantime, almost 4,000 of such communities are still awaiting official recognition.

In this context of cultural and environmental pressures, the Peruvian government has recently eased social, environmental and land use restrictions in order to attract foreign direct investment and public-private partnerships. These changes aim to: 1) transfer land rights linked to so-called "unproductive land", which often house vulnerable groups and natural resources, to investors; and 2) soften environmental regulations, such as land use planning mechanisms (IBC 2015). The results of these measures lead to incidents of extractive-related socio-environmental conflict (e.g. extractive companies occupying protected areas and do not comply with free, prior and informed consent requirements) (CEPES 2015).

Land use planning has also been subject to many recent changes. Peru has been undergoing an ambitious decentralization process which has lacked a territorial component; in other words, it hasn't factored in physical, social, cultural, institutional or environmental dynamics. Land use planning as a state-building and institution-strengthening tool is therefore a missed opportunity.

The escalating number and scale of socio-environmental conflicts linked to extractive activities, as well as the high-levels of disempowerment, inequality and environmental destruction could be mitigated by national and regional land use planning policies; particularly in the current context of the on-going decentralization process. Other arguments include the following:

- Allows for balanced and equal development between regions
- Supports and fosters regional governance that is suitable to regional contexts and goals
- Contributes to a better distribution of opportunities and benefits from human and economic development, by strengthening regional public policy making
- Helps protect vulnerable groups by strengthening regional governments' capacity to manage and respond to socio-environmental crises

At a regional level, in this case Puno and Ucayali, both LTPR and land use planning face a number of obstacles. On the one hand, the land rights formalization process in the Amazon region is lengthy and costly. Some requirements are too complex and ambiguous, and others are outright impractical, like for example the requirement to classify the primary use of the soil, which can only be assessed by one institution in the whole of Peru, in Lima. Even regional governments have stated they do not have the funds to cover this costly process.

Other issues with LTPR at a regional level include: 1) a disconnect between the shared power structures within indigenous and rural communities (collective rights), and a property rights systems that focuses on the individual (individual rights); 2) regional governments

Saweto case:
On June 4th 2015, this indigenous community was awarded the right to tenancy of the forest they live in, after a 12-year legal battle. Meanwhile, the illegal logging group they were trying to push out claimed the lives of 4 members of their community.

might fear the clash between regional-level development goals and community-level priorities; and 3) low or weak institutional capacity of vulnerable groups when complying with formal requirements.

On the other hand, land use planning at a regional and sub-regional level has seen limited progress. Regions are still implementing Economic-Ecological Zoning plans (ZEE, in Spanish) as a land use planning policy. These are at varying levels of completion, with Ucayali working on supplementary assessments to the ZEE and Puno having just finished its ZEE. Neither has begun work on sub-regional land use plans (i.e. district-level), which are implemented through micro-ZEEs.

ABC-LA's Approach

In this context, ABC-LA identified alternative land use planning mechanisms that would be binding to the governments of Puno and Ucayali, with a focus on biodiversity conservation. In this sense, ABC-LA established the "area of influence" of BSAs, as opposed to merely the BSAs themselves, as the relevant areas for biodiversity management and conservation. The areas of influence are where most extractive activities take place, and where vulnerable groups call home. Officially recognized BSAs in Peru (national parks) fall within national government jurisdiction (SERNANP), with regional governments holding no responsibility or accountability for biodiversity conservation in those areas. However, by extending the area of protection to areas of influence, ABC-LA granted regional governments ownership and responsibility for biodiversity conservation around these BSAs.

In the course of its work, ABC-LA identified useful tools and mechanisms:

1) **Sustainable use and conservation plans**: a key biodiversity conservation tool for areas of influence of BSAs. These plans address ABC-LA's notion that where there is higher biodiversity loss and lower living standards for vulnerable groups, there is also more socio-environmental conflict. The following three tools form the basis for sustainable use and conservation plans.
2) **Planes de vida (Community-level governance plans)**: prior to ABC-LA, these plans were mere diagnostic tools that weren't binding to the government, nor contained clearly defined goals. Recognizing their potential, ABC-LA supported the regional branch of AIDESEP in Ucayali (indigenous federation) in formulating guidelines that would be integrated into local and regional management tools. These guidelines identify biodiversity conservation as its overarching principle and goal, as well as establishing other community-level goals and outcomes. AIDESEP's national assembly then approved these guidelines at the national level, which have now been submitted to central government authorities for its inclusion in intercultural guidance.
3) **Environmental baselines**: the generation of environmental and biodiversity data, as well as the valuation of natural resources and environmental services, are based on government-formulated guidelines, and so its results are binding to the government. The validation of the methodology and results allows for continued monitoring of the data and the conservation goals.
4) **Conflict mapping**: the mapping of socio-environmental conflict allows stakeholders to identify the areas where extractive activities and vulnerable groups impact biodiversity conservation. These maps were developed following a participatory approach, through which local stakeholders identified and analyzed socio-environmental conflicts from the community to the district level.

Lessons Learned

- The use, validation and refinement of all four tools for land use planning for biodiversity conservation in the context of extractive activities and vulnerable groups
- Respond to institutional and capacity gaps, and working for the political will to address these (regional and local governments, local academia, and civil society)

- Set and articulate conservation goals at all levels: community, district, provincial and regional
- Include socio-environmental conflict and analysis in land use planning tools
- Lengthen the implementation phase of ABC-LA's approach to include follow-up, monitoring and evaluation, and replicate

Considerations for Broader Applicability

In order to replicate the lessons and successes of the ABC-LA approach to land use planning, there needs to be a phase where all four tools are validated and refined. If and when these activities are replicated, they should take place in areas where environmental connectivity is a priority, and there is a presence of large-scale extractive activities and vulnerable groups.

COLOMBIA

Context and Challenges

Land property and tenure represents one of the most pressing issues facing the country. Colombia's National Agricultural Census claims only 0.4% of landowners own almost half (46.5%) of large-scale farming land. On the other hand, 40% of land tenure remains informal. The OECD (2015) has identified a number of causal factors, including: the lack of an appropriate tax system for rural lands and land accumulation by landowners, drug cartels and armed groups. This situation has affected rural and vulnerable groups disproportionately, forcing them to move to urban centers in precarious situations.

Of 110.4 million hectares of registered rural land in Colombia:

- 57% consist of forests
- 38% are used for agriculture
- 80% of which is used for livestock
- 20% of which is used for cultivation

Land tenure in Colombia is following a clear pattern towards intensive and industrial farming, and moving away from agriculture and food production. As mentioned above, the inevitable rural exodus that follows puts many rural and vulnerable groups at risk, as well as jeopardizing and destroying invaluable ecosystems. This context has been worsened by the armed conflict the country has been living with for decades. Armed groups not only seek to control valuable land assets as part of their socio-political agenda, but also areas with valuable mining assets or with potential for infrastructure development.

Land use planning, on the other hand, has been the object of much attention and legislative efforts, at the local, regional and departmental levels. These efforts have even focused on rural and indigenous Afrocolombian peoples. Government policy has recognized the social, economic and political value of decentralized land use planning, particularly in terms of social justice and environmental protection.

The National Planning Office has gone beyond recognizing the value of efficient land use planning, and has linked inefficient land use planning to a rise in socio-environmental conflict in the country due to the exploitation of non-renewable natural resources, illicit agricultural practices, large infrastructure projects, and the expansion of urban and informal human settlements, as increased pressures on ecosystems and society. A law published in 2011 requires that all municipalities and departments in Colombia formulate and integrate land use plans into their administrative and management systems. However, to date none have finalized this process. This offers a unique opportunity to galvanize political will and commitments to provide technical assistance in the development and implementation of these plans.

Biodiversity conservation considerations: Colombia's national Integral Policy on Biodiversity and Environmental Services Management has highlighted the unsustainable use of land as one of the main

causes of biodiversity loss. The loss of biodiversity is worsened by not acknowledging the value environmental services have for human development.

The National Development Plan for 2014-2018 has also highlighted the link between biodiversity loss and socio-environmental conflict, while also recognizing the role land use planning can play in alleviating this situation.

The results and impact of the Havana Accords on land use planning and biodiversity conservation remain to be seen, but are likely to be substantive. Some areas where impact is expected to be most direct include: land occupation and tenure, agricultural and farming land use, unequal access to land and natural resources, and large-scale mining and hydrocarbon exploration and exploitation in BSAs.

ABC-LA has identified the negative impacts that extractive activities have on biodiversity, vulnerable groups and socio-environmental conflict, if the right tools and controls are not in place. Likewise, the balance between trusted evidence and capacity building has proven to be key, for instance:

- generating reliable socio-environmental data through environmental and social baselines
- economic valuation of environmental services is critical if establishing an environmental services payment system
- capacity building around sustainable natural resource management with key local stakeholders
- building consensus with local populations around local issues and priorities

ABC-LA's approach found that effective land use planning mechanisms, in a context such as the Colombian one, are a powerful tool for biodiversity conservation and socio-environmental conflict mitigation. As a result, vulnerable groups would see their social and environmental capital increase in value and their well-being improve.

Implications for ABC-LA

In Caquetá, approximately 85% of the land is made up of BSAs. However, the extent to which these are protected is very limited, given the current level of large-scale farming in the department. In the near future, the following initiatives will have the capacity to optimize land use in a sustainable way:

- **Departmental Land Use Plan:** UniAmazonia has produced the necessary inputs for the development of this plan, which is currently pending approval by the regional government. The new government will have to ensure the plan's implementation, monitoring and evaluation.
- **Remedies for victims of the armed conflict and land restitution:** the department has over 350,000 registered victims of armed conflict, out of which almost 285,000 are internally displaced people. Only 1,600 land restitution applications have been submitted, and very few of these have been processed due to security concerns. In a post-conflict scenario, these applications are likely to be processed and will feed into a wider process of agrarian and land reform. The government will have to supply funds, capacity building and technical assistance, and well as other public services in order to support local and vulnerable groups in their transition to becoming productive landowners.

In Santander, the zoning of the paramos in Santurban-Berlin has highlighted the connectivity of ecosystems and social systems. Therefore, any future changes to their zoning must go hand in hand with socio-economic and stakeholder analyses. The zoning of the paramos prohibits any extractive or agricultural activity in 76% of the territory (at 3,000-3,500 m.a.s.l.), allowing for cultivation of some crops and small-scale mining in the remaining 24% of the territory until their environmental licenses expire. Additionally, another 30,000 hectares surrounding the paramo are being considered for further protection from extractive and agricultural activities.

As a result, Santander's future land use plan will have to respect and integrate this extended protection granted to the paramos under the new zoning limits. In doing so, biodiversity conservation will play a central role in any land use planning discussions and related policy-making, but this will require further efforts to raise awareness, skills, capacity and commitment from all stakeholders, including local governments, large-scale extractive companies and vulnerable groups.

ANNEX IV: ABC-LA ACTIVITY SUMMARY SHEETS

PROJECT ACTIVITIES IN UCAYALI

Applied Research

Activity	Environmental Baseline and Monitoring in Ucayali

Overview: ABC-LA strengthened the capacity of the National University of Ucayali (UNU) to produce a record of environmental data in the area of influence around the Sierra del Divisor National Park. UNU's Foundation for the Sustainable Development of the Amazon (FUNDESA) conducted a baseline study and built a platform and protocol for ongoing monitoring of biophysical conditions in the Abujao River watershed to evaluate impacts of extractive activities on biodiversity and indigenous communities in the study zone. The environmental baseline used a participatory methodology focused on developing technical capacities among scientific professionals at UNU and strengthening local actors' NRG capacity. This capacity building was implemented at each stage of the activity, through pre-field work orientation, field-based sampling methods, evaluation of biotic and abiotic components, and analysis and interpretation of results. The information generated by the environmental baseline and monitoring reports is overseen by a multi-stakeholder technical working group and will contribute to the design of a conservation and land use plan for the Sierra Divisor area of influence, a green public investment project that has received technical backing from the Ministry of Environment and regional natural resource management committees.

Implementation:

Two of the 35 reptiles identified during the study. Left: Emerald tree boa (*Corallus batesii*, Boidae family). Right: Tschudi's false coral snake (*Oxyrhopus melanogenys*, Colubridae family).

- The environmental fieldwork documented 39 mammal species in the indigenous community of Santa Rosa del Tamaya Tipischa and 35 species in San Mateo and 240 bird species distributed across 22 orders and 47 families. Herpetologists identified 423 individuals, grouped into 36 amphibian and 35 reptile species. The hydrobiology investigation documented 107 species of phytoplankton, 58 species of zooplankton, 36 benthos species, and 58 periphyton species. 96 fish species were registered, distributed across 8 orders and 26 families. The entomology component registered 12 beetle and 43 butterfly species. Finally, 18 families of flora and vegetation were identified.
- The study documented numerous mammal species important for conservation per the International Union for Conservation of Nature (IUCN) red list: the jaguar (*Panthera onca*), which is considered Near Threatened due to habitat loss, poaching of prey, and population fragmentation; the South American tapir (*Tapirus terrestres*), considered to be Vulnerable because their populations have been severely depleted by over-hunting and in some places have suffered local extinctions; the Bald-headed Uacari, one of the least-studied primates due to their behavior and range and considered Vulnerable; a Woolly Monkey (*Lagothrix poeppigii*), considered Vulnerable due to species decline caused by hunting and habitat loss; and the Spectral Bat (*Vampyrum spectrum*), considered Near

Threatened as it is dependent on primary forest habitat, making it susceptible to habitat fragmentation and population decline.

- Fourteen bird species registered during the study are considered to be Near Threatened according to Peruvian legislation, the Convention on International Trade in Endangered Species (CITES), or IUCN.
- A comparison of the environmental baseline results with species reported in the Field Museum's Rapid Inventory for the Sierra del Divisor Reserve demonstrates that there is a high level of biological richness in the study zone. However, due to increased pressures associated with extractive activities, it is clear that a more robust strategy and targeted action is needed to improve conservation and sustainable use.
- The hydro biological analysis revealed ammonia nitrogen levels that surpass the Ministry of Agriculture's water quality standards, caused by the use of fertilizers and inputs for agricultural and illicit crops upstream and endangering aquatic biological communities and populations dependent on this resource.
- The team conducted an analysis of fish tissues of the species most commonly consumed by the local population. Mercury concentrations ranged from .026mg/kg to .102mg/kg, well surpassing the World Health Organization's permitted limit of .005mg/kg.
- A socio-economic analysis of the study area was also conducted in order to assess the economic value of ecosystem goods and services to promote its conservation and sustainable use. This baseline thus collected primary sources of information to valuate fish, timber, medicinal plants, fauna, carbon capture, water provision, and potential for ecotourism.
- Prior to field work, training was conducted on techniques, tools, sampling, interpretation and analysis of biological components in an environmental baseline for the field team, composed of students of Environmental Engineering from UNU, biologists with various specialties, leaders of indigenous communities, and indigenous collaborators from ORAU, among other groups.
- Field work for the dry season evaluation took place June 26 to July 15, followed by a period of analysis of biological components and development of the environmental baseline report.
- A multi-actor technical committee was created to accompany the design, implementation, and final analysis of the results obtained in the environmental baseline study. The contributions of its members improved UNU's scientific technical capacities and management, and validated the methodological guides for inventorying flora, fauna, and valuating natural heritage. The committee also just validated the findings of the baseline assessment.
- ABC-LA is currently working with regional authorities and the representatives on the committee to help institutionalize its role as a source for high level technical oversight and review of environmental issues going forward. The Board's role would be to provide oversight of ongoing monitoring efforts, provide expert evaluation on environmental issues and serve as a focal point for assessing regional environmental policies. With project assistance, the Board has drafted an ordinance together with UNU to send to the Regional Government of Ucayali
- UNU has committed to conducting subsequent monitoring of the biological components and biophysical conditions along the Abujao River. The university has secured funding to conduct the environmental sampling for the wet season of this year, officially completing a baseline evaluation, and to continue monitoring for the following three years. In addition, the Forestry Engineering department of UNU will use inputs from this work to complete the economic valuation of natural resources found in the study area.

Measuring Impact:

- 1 environmental monitoring report produced, which is being used to inform the design of a conservation and land use plan for the Sierra Divisor area of influence, with additional monitoring to be conducted for 3 years.
- 189 participants trained in NRM/biodiversity conservation, for a total of 6,728 person-hours
- 2 NRG mechanisms created that incorporate participation of vulnerable groups: Technical Committee for reviewing baseline results and participation in the environmental baseline study.

Two of the 240 bird species cataloged during the environmental baseline study along the Abujao River in Ucayali.
From left: A male band-tailed manakin (*Pipra fasciicauda); male and female Amazonian royal flycatchers (Onychorhynchus coronatus*)

Capacity and Consensus Building

Activity	Natural Resource Governance and Implementation of Conflict Early Warning - Ucayali

Overview: ABC-LA worked with the Organización Regional AIDESEP Ucayali (ORAU), which represents indigenous federations in Ucayali, to strengthen community leaders' capacity for socio-environmental conflict identification and response in 3 districts and to strengthen institutional capacity for the development of *planes de vida* that articulate local development and biodiversity conservation.

Implementation:

- *Conflict identification and response capacity building:* Capacity building methodology for the identification, analysis, and reporting of socio-environmental conflicts was developed and implemented with ORAU. Leaders of 12 native communities demonstrated adoption of these conflict management skills, especially being able to identify and analyze conflicts associated with extractive activities. ORAU digitally mapped and analyzed the 10 socio-environmental conflicts identified through workshops, and presented them to a multi-stakeholder working group, during which the conflict reporting guidelines and tools from MINAM, ANA, and OEFA were presented, creating a link between the indigenous leaders and relevant offices. 6 socio-environmental conflict reports were developed and 1 was reported to MINAM.
- *Natural resource governance capacity building:* A *plan de vida* is based on the premise that the cultural heritage of a people allows them to define their present and their future, ordered by indigenous people's own laws, and overseen by its authorities. *Planes de vida* are formed through a participatory and collective process, and promote the long-term vision of human beings as harmonious parts of nature. These planning instruments are now also being used for promoting autonomous governance, political agendas, and negotiation instruments. *Planes de vida* are examples of improved approaches and models for enhancing the compatibility of communities and conservation efforts recommended by IUCN's committee for biodiversity governance, whereby community members and other key stakeholders can be considered an asset to conservation efforts rather than a liability. With ABC-LA assistance, ORAU developed standardized guidelines for incorporating biodiversity and conservation planning into community-level *planes de vida*. In late August, the national AIDESEP organization,

which represents 50 indigenous groups in Peru, passed a resolution approving these guidelines, for incorporation into *planes de vida* across Peru. The Ministry of Culture has incorporated these guidelines into its national level guide for developing *planes de vida*. *A plan de vida* using these new guidelines was developed by the indigenous community of Santa Rosita de Tamaya Tipischa.

- Additionally, the National Office of Dialogue (PCM-ONDS) requested that ABC-LA and ORAU provide an additional socio-environmental conflict training in the community of Masisea, located along the border with Brazil, demonstrating national recognition of the success of this approach and its adoption by national institutions.

Measuring Impact:

- 114 participants trained in CEW, for a total of 1,668 person-hours training.
- 161 participants trained in NRG, for a total of 1,534 person-hours training.
- 3 LGUs with capacity to contribute to CEW mechanisms, through the creation of 12 CEW points of contact in 3 communities.
- Progress towards increasing the level of participation of indigenous groups within a multi-stakeholder mechanism for CEW and NRG.
- 1 NRG mechanism (*plan de vida*) that includes participation of vulnerable groups, developed at a community level with new guidelines approved at the national level.

Activity	Project Collaboration with the Peruvian National Water Authority (ANA) – Ucayali and Puno

Overview: ABC-LA worked with ANA and the regional Administrative Authority of Water (AAA) to implement capacity building workshops focused on promoting awareness among community leaders and local authorities of the dynamics and manifestations of socio-environmental conflict and approaches for improving prevention and early warning efforts, with a special emphasis in water resources. Participants in these workshops received further training on conflict analysis and response through ORAU in Ucayali and Pronaturaleza in Puno, with the objective of contributing to conflict early warning mechanisms in the region.

Cecilia Brito, Coordinator for the Development of Amazonian Women (CODEMIA), states that she has a stronger understanding of the role of AAA and the importance of water conflicts after participating in the workshops: "*Now we better understand the potential for our participation in conflict prevention. Our daily activities cause us to be very aware of the social and environmental impacts of mining and oil.*"

Implementation:

- Ten workshops were jointly implemented with ANA. In addition to strengthening local capacity in socio-environmental conflict identification, the workshops were crucial to publicizing the roles and responsibilities of AAA, which has only existed for two years in Ucayali.
- Community leaders recognized the positive opportunity for working with AAA, and indigenous women also committed to focus on the prevention of water conflicts.
- The collaboration with ANA early in ABC-LA's implementation period helped strengthen alliances between UNU and ORAU to continue the initiative for increasing capacity in socio-environmental conflict prevention and natural resources management.

Measuring Impact:

- 431 participants trained in conflict early warning (CEW) efforts, for a total of 6,896 person-hours training.
- Creation of 4 CEW networks for the early identification of water-based conflicts in Nueva Requena, San Alejandro, and Calleria in Ucayali and in Sandia in Puno, to be monitored by ANA and contribute to conflict early warning in the Sierra del Divisor and Bahuaja Sonene National Parks' areas of influence.

Activity	Strengthening Natural Resource Management in Local Government Institutions - Ucayali

Overview: ABC-LA provided direct support including technical assistance to strengthen natural resource management (NRM) capacity in local institutions to contribute to enabling conditions for enhancing biodiversity conservation in the districts of Calleria, Nueva Requena, and Masisea. ABC-LA worked with local environmental authorities to develop natural resource management strengthening plans and produce a conservation and sustainable use plan for the Sierra del Divisor National Park's area of influence.
In the next quarter, the

Implementation:

- The ICAT was adapted to local circumstances in Ucayali to measure environmental institutions' capacity to develop and implement natural resource management plans for biodiversity conservation and sustainable use, and then implemented in the districts of Masisea and Nueva Requena, and the province of Coronel Portillo. 21 interviews were held with representatives from 4 national, 2

regional, and 3 local institutions. The ICAT evaluated the degree to which local governments used established environmental management tools.

- Overall, the governments of Nueva Requena, Masisea, and Coronel Portillo measured very low in institutional capacity. Only Coronel Portillo has a municipal environmental commission, which was established in 2014 and is currently inactive, and a municipal environmental management plan, which is still pending approval by the municipal council. Since 2013, Coronel Portillo has had a Territorial Conditioning Plan. However, institutional representatives interviewed were not aware of the plan, which is the only management tool for the rural areas of the province, as all others solely prioritize urban areas.
- With this baseline information, ABC-LA focused on capacity strengthening planning with local governments to address capacity gaps, and to provide the legal basis for municipalities to solicit budgetary support for implementing conservation and sustainable use plans.
- The project created a draft ordinance at the district level and another at the provincial level, which will permit the modification of the organizational regulations and operations manuals to ensure that they include local government competencies for biodiversity conservation and addressing socio-environmental conflicts. These steps are necessary to ensuring the sustainability of initiatives on biodiversity conservation and socio-environmental conflicts. Once established, local governments will have the authority to invest government funds and advocate for public investment (SNIP Verde) to advance and sustain project supported impacts and goals in these jurisdictions.
- To support ABC-LA efforts in creating conservation and sustainable use plans for the Sierra del Divisor Reserve area of influence, the project engaged a Natural Resources Management Specialist to work with environmental authorities to develop the plan and the management model for its implementation. This consultancy produced both a conservation and sustainable use plan and an action plan with an action plan for its implementation from 2016 – 2020. The action plan contains four strategic objectives, each with defined expected results, indicators, and monitoring plans.

Sierra del Divisor National Park Area of Influence Conservation and Sustainable Land Use Plan Objectives	
1	Ensure the integrity of ecosystems, prioritizing management that conserves biological diversity and environmental services that contribute to local and regional development.
2	Recuperate deforested habitats, ecosystems, and flora and degraded flora and fauna population (and those in the process of degradation) for their future use.
3	Promote sustainable use of natural resources that provides productive alternatives for the local populations, access to markets, and strengthened value chains.
4	Promote the strengthening of regional, local, and community governance for adequate management of biological diversity.

Measuring Impact:

- 658,480 hectares of hectares of biological significance under improved natural resource management through the conservation and sustainable use plan for the Sierra del Divisor National Park area of influence.
- 1 local government plan that includes improved NRG and biodiversity conservation with recognizable input from focal communities.
- 3 LGUs with relevant institutions demonstrating commitment for improving NRM for biodiversity conservation. ABC-LA has received letters of commitment from the province of Coronel Portillo, the district of Nueva Requena, and the district of Masisea to participate in the diagnostic and create capacity strengthening plans.

- 1 LGU, the provincial government of Coronel Portillo, has demonstrated increased capacity for natural resource management.

Representatives of Coronel Portillo's environmental and green areas office meeting with ABC-LA's institutional capacity consultant.

Vulnerable Groups Assessments

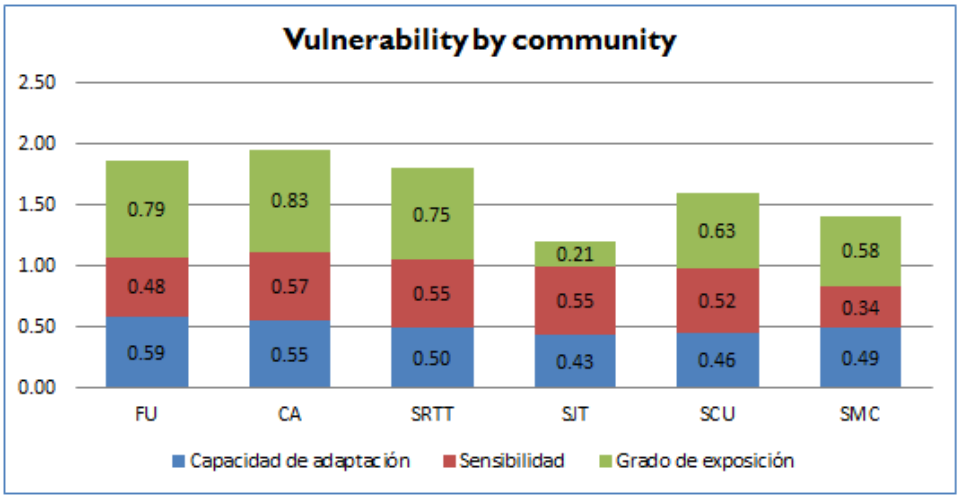
Activity	Vulnerable Groups Assessment - Ucayali

Overview: The vulnerable groups assessment provided data and analysis to inform site specific interventions and approaches for addressing threats and systemic marginalization of vulnerable groups as well as the basis for discerning changes in degrees of vulnerability over time. In Peru, ABC-LA worked closely with Pronaturaleza to design, develop and implement the methodological approach. This collaborative planning resulted in the selection of six indigenous communities for the assessment that are affected by extractive activities and are in or around BSAs: Santa Clara de Uchuña, San José de Tunuya, Santa Rosa de Tamaya Tipishca, Flor de Ucayali, Callería and San Miguel de Chambira.

Implementation:

- Results from the primary research were analyzed and synthesized, resulting in a vulnerability baseline and a diagnostic of conflict and perceptions in the six focus communities.
- The full assessment report was finalized, and a synthesis document prepared for distribution to local, regional, and national counterparts.
- The assessment concludes that the populations' vulnerability to extractive activities is expected to increase, given the lack of state presence in the study area and the dominance of illegal activities such as logging, coca cultivation, and gold mining which are contributing to increased pressures on ecosystems and socio-environmental conflict.
- The findings from the final conflict analysis concludes that the indigenous communities are witnessing socio-environmental conflicts associated with land invasions and large-scale deforestation, large-scale illegal logging, illegal fishing, and coca cultivation within their communal land and adverse impacts from alluvial gold mining.

- Methodology was designed, which used baseline indicators and measurement tools to determine a comprehensive picture of the level of vulnerability in each community. Key informant interviews were designed to identify perceptions of conflict in each district, and conflicts were analyzed along standard parameters. A total of 165 surveys and 31 key informant interviews were conducted in Ucayali.
- Community groups and indigenous federations of CODEMIA, ORAU, and ORDIM contributed to gathering primary data and facilitating introduction to key actors. This involvement enhanced the implementation of the study and strengthened the capacity of local actors to recognize the problems of socio-environmental conflicts and the effects they have on indigenous populations.
- Results from the assessment were shared with ORAU to inform their capacity building workshops for socio-environmental conflict identification and response and development of *planes de vida* biodiversity guidelines.
- Main findings of the baseline vulnerability of the six indigenous communities show external factors contributing to vulnerability include extractive activities by small producers (illegal logging, mining, coca cultivation), land-based problems (areas of communal land, access roads, and agricultural lands surrounding the community), and deforestation due to large plantations and parcels of agricultural crops. Of the communities studied, San Jose de Tunuyan has the highest vulnerability; the least able to adapt internally with no easy access to state or other institutional resources.



Assessment of vulnerability of six indigenous communities in Ucayali, along adaptive capacity, sensitivity, and degree of exposure indicators.

Measuring Impact:

- One analytical study providing evidence-based data and analysis on conditions of vulnerable groups in and around BSAs in Ucayali, which is being used to inform stakeholders and programmatic interventions when creating inclusive platforms for CEW and a conservation and land use plan for the Sierra del Divisor area of influence.

PROJECT ACTIVITIES IN PUNO

Applied Research

Activity	Environmental Baseline and Monitoring Protocol in the Upper Amazon, Puno

Overview: Through a multi-stakeholder collaboration with the Regional Water Authority (AAA), the Ministry of Energy and Mines (MINAM), the National University of the Altiplano (UNAP), among others, the project worked to develop an implementation plan to establish a baseline for water quality and biological components in bodies of water affected by the mines studied in the targeted assessment for regulating gold mining in the Bahuaja Sonene National Park area of influence. This would directly measure the impact of ASGM on water quality and indirectly measure the impact of illicit activities in

these areas, to contribute towards the development and monitoring of a conservation and sustainable use plan for the Bahuaja Sonene National Park area of influence.

Note: Despite continued discussions with UNAP over the past year, the ABC-LA project was regrettably unable to move forward with this effort. Changes in the university leadership including of the rector as well as the lead for the University's applied research efforts contributed to what amounted to a range of obstacles which led to this decision. We continue to believe that an officially recognized baseline assessment for this region is important and especially of aquatic and terrestrial ecosystems from the highlands (San Antonio de Putina) to Puno's Amazonian region (including Sandia and Carabaya) including the area of direct influence on the national park abutting Tambopata (in Madre de Dios region) and Madidi (in Bolivia).

Capacity and Consensus Building

Activity	Capacity building for NRG and socio-environmental conflict management in Puno

Overview: ProNaturaleza is strengthening local capacity in NRM and land use planning and socio-environmental conflict management through active engagement with a broad cross-section of local and regional stakeholders in the Bahuaja Sonene National Park area of influence. This activity contributed toward the creation of a conservation and sustainable land use plan and a method for implementing a CEW mechanism for the Bahuaja Sonene National Park area of influence.

Implementation:

- The methodology for socio-environmental conflict identification workshops included tools from the ABC -LA conflict training of trainers manual and approaches such as engagement of focus groups, participatory mapping and conflict matrices, to develop skills for conflict identification and analysis. Pronaturaleza implemented 7 workshops in the provinces of Sandia and Carabaya to identify and analyze current socio-environmental conflicts. Participants identified potential conflicts, which include:
  - Delimitation of productive land in San Juan del Oro which causes problems of environmental contamination and landslides for soil erosion,
  - Presence of miners in Alto Inambari, increasing migration in Limbani and Phara districts,
  - Lack of technical assistance for controlling blights affecting local crops in San Pedro de Putina Punco.
- Socio-environmental conflicts identified during previous workshops were mapped and analyzed according to their type and phase of escalation. The conflict matrices produced in the provinces of Sandia and Carabaya were finalized with the maps, and shared with regional and national authorities to increase awareness of current conflicts.
- Pronaturaleza applied a current Institutional Capacity Assessment Tool (ICAT) in the districts located in the Bahuaja Sonene National Park area of influence. The diagnostic concluded that all four districts have very weak and uncoordinated environmental management, and none would receive a passing grade in MINAM's Local Sustainable Environmental Management certification. The main concentration on environmental issues revolves around the supply of potable water, and sewage and solid waste disposal services. Despite the fact that these districts are rural and dependent on ecosystem services, little or no attention is paid to sustainable land use and natural resources management. There is no attention given to illegal logging, informal mining, and cultivation of illicit crops, although these activities generate lasting and extensive environmental degradation. Consequently, there is a progressive weakening of ecosystem services in the area.

- There is a willingness among new authorities and central staff in the four districts to overcome the shortcomings in institutional planning, environmental, territorial, and conflict management. However, there are profound weaknesses in current capacity and knowledge that go beyond budget constraints. In addition, authorities are subject to the political will of voters and groups with political influence. This results in the prioritization of short-term planning, and important issues that are incorrectly perceived as less urgent are relegated to the backburner.
- Through direct assistance, municipal governments in the four focus districts created municipal actions plans for local contribution to the Puno Concerted Development Plan and the regional targets associated with the national government's 2021 biodiversity strategy. These targets correspond to Peru's Bicentennial Plan and the International Aichi biodiversity targets.
- These 5-year municipal plans contain seven strategic objectives and propose specific goals, actions, and environmental management tools, and means of verifying achievements for priority conservation sites for Puno.

Strategic Objectives Outlined in the 2016-2021 Municipal Action Plans for Puno's Regional Biodiversity Strategy	
1	Improve the state of conservation of biodiversity and ecosystems.
2	Reduce direct and indirect pressures on biodiversity.
3	Promote sustainable production practices to ensure that biological diversity is maintained.
4	Strengthen interagency and inter-sectoral coordination for effective and comprehensive management of biodiversity.
5	Strengthen environmental education, public awareness, an access to information on biodiversity.
6	Strengthen and coordinate research to improve knowledge on conservation and sustainable use of biodiversity.
7	Strengthen the mechanisms required for financing biodiversity conservation.

- The creation of these action plans is significant; for the first time the regional government of Puno and local district representatives met to propose specific workplans and identify those responsible for the fulfillment of regional and national biodiversity commitments.
- Participating municipalities signed agreements recognizing the plan as a tool for local management and committed to coordinate with the regional government of Puno and provide technical and institutional support for development a green public investment project for Amazonian Puno.

Measuring Impact:

- 179 participants trained in CEW and NRG, for a total of 2,137 person-hours training.
- 3 LGUs with capacity to contribute to CEW mechanisms for socio-environmental conflict identification and reporting.
- 4 LGUs demonstrating commitment for improving capacity in NRM for biodiversity conservation.
- Progress towards 4 LGUs with improved NRM capacity to develop a conservation and sustainable land use plan for the area of influence, and capacity to contribute to CEW mechanisms for the monitoring of the plan.

Vulnerable Groups Assessments

Activity	Vulnerable Groups Assessment - Puno

Overview: The vulnerable groups assessment provided data and analysis to inform site specific interventions and approaches for addressing threats and systemic marginalization of vulnerable groups. This activity was led by ProNaturaleza in Peru, in close collaboration with ABC-LA to design, develop and implement the methodological approach. In Puno, this study was conducted in the districts of San Juan del Oro, San Pedro de Putina Punco, Alto Inambari, and San Gaban.

Implementation:

- Methodology was designed, which used baseline indicators and measurement tools to determine a comprehensive picture of the level of vulnerability in each community. Key informant interviews were designed to identify perceptions of conflict in each district, and conflicts were analyzed along standard parameters. A total of 303 surveys and 40 key informant interviews were conducted in Puno. Of those surveyed, 53% were female and 47% were male, and participants ranged in age from 21to 85 years old.
- Results from the assessment were immediately used to inform Pronaturaleza's capacity building workshops for socio-environmental conflict identification and prevention in Puno.
- Main findings of the baseline vulnerability of the population in Puno include:
- - The districts most vulnerable to the impacts of extractive activities are: San Pedro de Putina Punco, Alto Inambari and San Gaban. San Juan del Oro is less vulnerable due to the lack of construction of new access roads seen in the other districts.

Mining along the river in Alto Inambari

- - Common factors that create vulnerability in all districts are agriculture (which is expanding due to the increase in population), illicit mining and coca cultivation (which are also expanding), contamination of the Alto Inambari and Alto Tambopata Rivers due to mining activity, and economic impacts caused by the eradication of coca.
- - In Alto Inambari illegal mining is advancing; illegal miners have arrived from Puerto Maldonado and Ananea, operating in the Inambari River from the San Jose Bridge to the Tres Remolinos sector. In 2011 they entered with heavy machinery such as loaders, backhoes and dump trucks and have settled along the banks of the Inambari River, affecting fruit and coffee crops. Community members indicate that mining is destroying the environment and native fish have disappeared.
- Results from the primary research were analyzed and synthesized, resulting in a vulnerability baseline and a diagnostic of conflict and perceptions in the four focus areas.
- The full assessment report was finalized, and a synthesis document prepared for distribution to local, regional, and national counterparts.

- The final report concludes that the populations' vulnerability to extractive activities is increasing, due to lack of land use planning; migration to the area caused by the search for economic opportunities; the presence of illegal mining and coca growing and its resulting deforestation; and an agriculture sector based on coffee cultivation, whose production has significantly declined due to the spread of the coffee rust disease.
- The final conflict analysis concludes that both informal/illegal mining and illicit coca cultivation create social processes immersed in various types of social, environmental and economic crimes. Appropriate decisions and a more purposeful and robust strategy and action are needed.

Measuring Impact:

- One analytical study providing evidence-based data and analysis on conditions of vulnerable groups in and around BSAs in Puno, which is being used to inform stakeholders and programmatic interventions including the creation of inclusive platforms for CEW and the conservation and land use plan for the Bahuaja Sonene National Park area of influence.

Targeted Assessments

Activity	Promoting Regulation of Gold Mining - Puno

Overview: ABC-LA worked collaboratively with the Better Gold Initiative (BGI) to conduct an analysis for promoting more responsible gold mining. The analysis identified obstacles and opportunities to improve regulation and control and reduce harmful ASGM practices contributing to negative environmental and social impacts.

Implementation:

- The analysis of 16 mines identified main challenges to formalization in the area, such as the lack of a feasibility or economic viability study, the presence of middlemen that make it difficult to technically restructure to abolish the use of mercury for amalgamation, use of outdated mining equipment, and procedural costs for seeking appropriate licenses for water use, among others.

A mining chute without sedimentation ponds on the bank of the Rio Abajo.

- Analysis of these challenges improved understanding of the externalities to formalization: lack of information explaining the formalization process, overlapping land rights for the same area, lack of articulation between instruments for land management and small-scale mining, environmental and health impacts from mining, informal types of labor, and misalignment of public policy efforts to prevent, accompany, and restructure informal mining.
- The main documented environmental impacts include dumping of acid water and mercury directly into bodies of water and wetlands. Likewise, inadequate tailings management and a lack of facilities for handling dangerous substances such as fuels and oils cause them to be deposited directly into the soil, causing physiographic changes and pollution of surrounding areas. Washing gold in water sources increases the concentration of suspended solids, which affects aquatic life and subsequent discharge of sediments resulting in contamination and alteration of water channels. Extension of gold

operations in Sandia and Carabaya has resulted in deforestation and soil degradation, which poses challenges to conventional reforestation efforts.

- Additionally, the analysis logged cases of conflicts between formal and informal miners, conflicts between miners and property owners, and conflicts between extractive activities and emerging power in local populations.
- The analysis' results were validated in a multi-stakeholder workshop to not only corroborate the legitimacy of the information but also to provide a space for dialogue among heads of regional institutions and small-scale miners. The environmental public prosecutor indicated the level of discretion he would provide for receiving complaints related to illegal mining and related problems. Additionally, a government agency overseeing civil use of explosives pledged to provide training to miners and strengthen the formalization process. The miners assessed as closest to formalization could be the first candidates for this training.
- The project presented the diagnostic's findings to over 300 participants in a regional event organized by the Regional Bureau of Energy and Mines (DREM-Puno), and co-financed by ABC-LA and BGI, to promote clean mining technology. A result of this event was a proposal for addressing conflicts and environmental governance in Puno through the creation of a conflict early warning platform.

Measuring Impact:

- 315 participants trained, for a total of 1,949 person-hours training.
- One analytical study that generated data and analysis to improve regulation and control of ASGM to inform policies and practices of regional and local governments regarding mining operations and set the basis for BGI and the Regional Government of Puno's engagement to promote responsible gold mining and diminish negative environmental and social impacts.
- Progress towards the creation of one CEW mechanism dedicated to resolving the drivers of conflict.

PROJECT ACTIVITIES IN CAQUETÁ

Applied Research

Activity	Environmental Baseline Studying Impacts of Extractive Activities in the Amazon Basin – Caquetá

Overview: The environmental baseline assessment in Caquetá is being conducted by the Amazon Institute for Scientific Research (SINCHI), the official research organization for the Amazon Region within MADS. SINCHI is evaluating different biotic components of Amazonian ecosystems in the selected municipalities through established methods in their Program for Ecosystems and Natural Resources Research. The assessment incorporates participants from the local community as co-researchers as an integral part of the technical team, with the goal of empowering them in the conservation of their own natural resources. The results of the environmental baseline assessment will serve as management tools for municipal and departmental authorities such as CorpoAmazonia, focal communities, and other stakeholders in the region.

Implementation:

- Prior to implementing field work, SINCHI developed and finalized its workplan and methodology in consultation with ABC-LA's biodiversity specialist and begin sensitization and training efforts with the local population. These community based efforts will include collaboration with indigenous groups located in the study area to identify participants to serve as co-investigators and guides during the field research.
- SINCHI began fieldwork in October in the municipality of San Jose del Fragua, one of the most representative sectors of aquatic ecosystems inside the San Miguel indigenous reserve (Yurayaco) along the Fragua Grande River. All of the identified sites are well conserved, with a high level of

biodiversity, which are vulnerable to increased extractive activities, especially gold mining and hydrocarbon extraction.

- An abundance of macro invertebrates in the water signal a good current level of water quality. 34 fish species were identified, and 41 samples of fish tissue were collected to detect levels of mercury contamination, and no traces were encountered.
- 592 botanical samples were collected, representing 28 families in La Cusumba monitoring point, 37 in the Fragua Grande River, and 41 in the San Miguel Reserve.
- 35 amphibians and 6 reptile species were identified among the 137 individual samples collected.
- Physico-chemical and microbiological soil sampling was also conducted.
- For the environmental baseline to be more relevant and have a local impact, the fieldwork was developed with co-researchers from the local community of Puerto Bello and the San Miguel Reserve of the Inga indigenous group. These co-researchers served as guides to the territory, and each one played an important role in increasing understanding of social and environmental dynamics of the evaluated zone.

Youth participants collect samples along the Cusumba stream as part of environmental baseline study with Instituto SINCHI in Caquetá.

- Additionally, youth in the region accompanied the field team, learning field methods for sample collection and increasing their understanding of the significance of the baseline study and the main objectives of ABC-LA.
- SINCHI has incorporated the second monitoring of the environmental baseline assessment in its 2016 operational plan, implemented with its own funding.

Measuring Impact:

- One environmental data and a monitoring report for the dry season in the Amazon Basin of Caquetá to increase understanding of impacts from extractive activities.
- 31 participants trained in NRM/biodiversity conservation, for a total of 979 person-hours

Capacity and Consensus Building

Activity	Capacity strengthening in NRG and socio-environmental conflict management in Caquetá

Overview: Patrimonio Natural worked with local authorities and community leaders participating in active social dialogues in Caquetá to increase their capacity for natural resource governance and for the identification, definition, and reporting of socio-environmental conflicts. The goal of this intervention is for civil society and local authorities to participate in the design of a CEW mechanism and in the incorporation of socio-environmental conflict resolution and land use planning into municipal environmental agendas.

Implementation:

- Patrimonio Natural held 8 participatory workshops in Albania and San Jose del Fragua to identify and describe the main socio-environmental conflicts in the municipalities. These conflicts were mapped together with areas of biological significance through participatory exercises. Through multi-actor working groups during these workshops, Patrimonio Natural also identified the natural resource management gaps in capacity in the same municipalities. With the identification and analysis of socio-environmental conflicts and current natural resource management capacity, participants proposed strategic routes forward for reporting and managing these conflicts in their communities.
- Participants in San Jose del Fragua identified the following causes of socio-environment conflicts: illegal logging, trawling of river beds, residential water use, mining and energy development, expansion of illegal settlements, models of agricultural production, and drainage of wetlands for construction. Productive activities represent a pressure on water resources and strategic ecosystems, and the proposed way forward must include a change in agricultural production processes and the development of sustainable livestock practices.
- Participants in the Albania exercise identified the following situations generating socio-environmental conflicts: lack of consistency in decision-making about natural resources, mineral exploitation, livestock production, water shortages, irregularities in fishing, trawling of river beds, illegal logging, illicit crop cultivation, inappropriate use of water resources, forest clearing, and poor risk management. Patrimonio Natural concluded that there is lack of knowledge and efficient implementation of existing environmental management plans, and it is necessary that environmental institutions coordinate across local, regional, and national levels.
- These analyses and increased engagement from institutional and civil society actors in the department created a foundation upon which ABC-LA built; further increasing environmental authorities' coordination and engagement in addressing socio-environmental conflicts through a proposed working group at the regional level.

Participants present a roadmap for addressing socio-environmental conflicts in Albania.

Measuring Impact:

- 179 people trained in CEW, for a total of 1,410 person-hours of CEW training
- 2 LGUs with capacity to contribute to a CEW mechanism in Caquetá: municipalities of San Jose del Fragua and Albania.

- Progress towards one CEW mechanism with participation from vulnerable groups.

Activity	Youth, Communication, and Improving Environmental Awareness in Caquetá

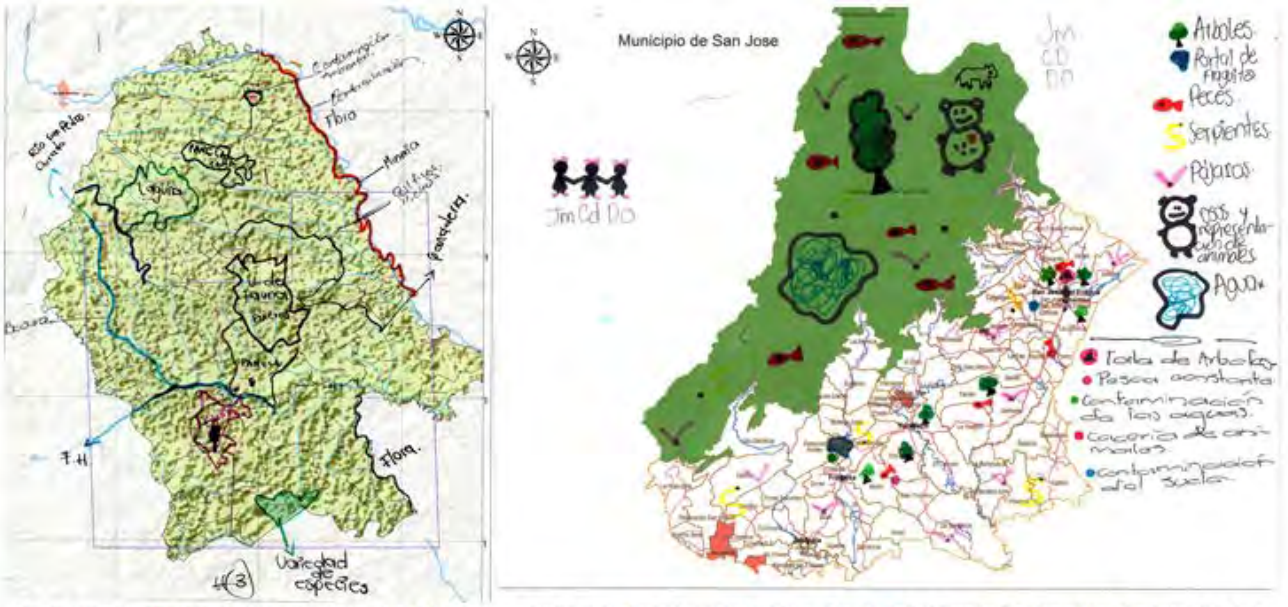
Overview: Fundación Red Desarrollo y Paz del Caquetá (REDCaquetáPaz) worked through its established youth network to generate capacities for the identification and documentation of threats to habitats and biodiversity and of socio-environmental conflicts using audiovisual equipment to contribute to CEW mechanisms. Youth ages14-28 were trained in biodiversity conservation, observing the environmental baseline assessment, and participating in socio-environmental CEW and audiovisual communications training to increase their capacity to identify and document socio-environmental conflicts and their impacts on biodiversity and report them to decision-makers in their municipalities.

Implementation:

- Workshops were implemented in each municipality on the concept of biodiversity and socio-environmental conflicts. Participants mapped their perceptions of where biodiversity and threats to biodiversity were located in the municipalities. Through trainer guidance, they then created matrices identifying the types of socio-environmental conflicts in the municipalities and analyzed their causes, actors, consequences, and environmental practices that could minimize negative impact.
- Each group of youth in the municipalities chose to document contamination of water resources in their communities. Once this type of threat to biodiversity was identified in each community, the groups were trained in creating storyboards and forming a documentary and in the use of audiovisual equipment. They identified key actors in their municipalities to interview about their experiences and the effects of contamination of water resources. They then were trained in editing footage and producing a final documentary product.
- While producing their documentaries, the youth identified strong environmental practices in each municipality. Additionally, they established audiovisual production start-ups so that they could continue providing AV services to their communities and act as defenders of biodiversity conservation and sustainable use.
- The documentaries were premiered in community spaces in each municipality, shown to representatives of public institutions, community leaders, and social organizations in addition to friends and family. Over 500 people attended the 3 premiers, generating appreciation for the youth's experience and also increased interest in environmental topics in their communities.

Measuring Impact:

- 104 youth participants trained in biodiversity conservation and identification and documentation of socio-environmental conflicts, for a total of 819 person-hours training.
- Progress towards building capacity of 3 LGUs to contribute to a socio-environmental CEW mechanism in Caquetá.
- 3 CEW mechanisms with participation from vulnerable groups through audiovisual documentation of socio-environmental conflicts in 3 municipalities.
- 3 new groups created dedicated to resolving conflict or the drivers of conflict: the audiovisual environmental start-ups in each municipality.



Youth-produced maps of natural resources and threats to biodiversity in their municipalities. On the left: Albania. On the right: San Jose del Fragua.

Vulnerable Groups Assessments

Activity	Vulnerable Groups Assessment in Caquetá

Overview: The vulnerable groups assessment in Caquetá was conducted by Fundación para la Conservación y el Desarrollo Sostenible (FCDS), and provided data and analysis that is now informing site specific interventions and approaches for addressing weak natural resource governance, socio-environmental threats and systemic marginalization of vulnerable groups. The assessment included standard vulnerability indicators to establish a social, environmental, and economic baseline at the community level in the Resguardo Indígena Nonuya de Villa Azul along the Caquetá River, Resguardo Indígena Yurayaco in the municipality of San José del Fragua, and Las Mercedes and Berlín in the municipality of Albania.

Implementation

- The methodology designed and implemented this year was based on two steps: 1) determining the vulnerability conditions of the selected communities, and 2) identifying socio-environmental conflict and the potential solutions. Social vulnerability components were defined by corresponding indicators and variables, which were triangulated with the semi-structured interviews conducted in the field. These interviews were oriented to identify conflicts, key stakeholders involved and possible solutions. Once the vulnerability level was established, the ensuing analysis examined how these impacts and conflicts positively or negatively affected the level of vulnerability of each community selected.
- ABC-LA promoted the dissemination of the preliminary results of the study with representatives from key institutions at the departmental level during a workshop to align initiatives to prevent socio-environmental conflicts implemented in Florencia, in which Patrimonio Natural, SINCHI, REDCaquetáPaz, FCDS, Corpoamazonía and the National Parks participated and whose representatives provided inputs and contributions to finalize the study.
- Based on this process, and after systematizing the final information, FCDS completed the final report, which demonstrated the level of vulnerability of each community studied: Resguardo Nonuya

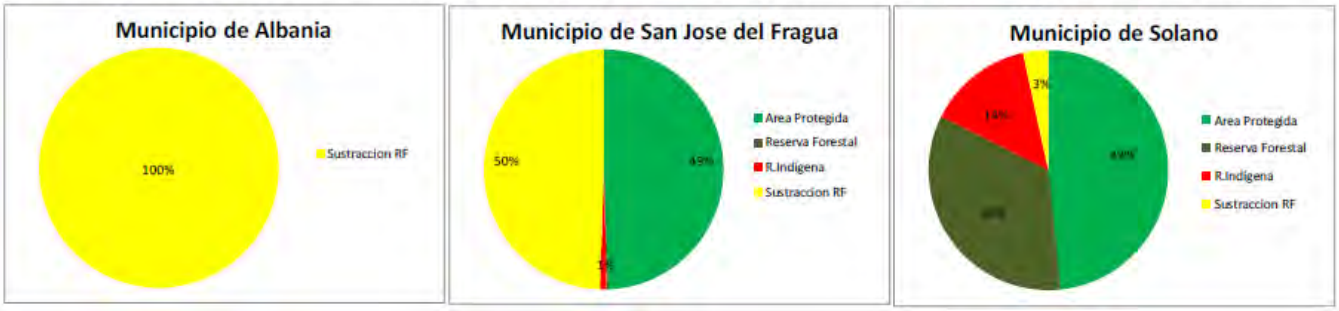
de Villa Azul presents a critical situation, followed by the Resguardo Indígena Yurayaco, as the two most highly affected communities.

- ABC-LA disseminated the study and incorporated findings and results obtained into community workshops, and key findings were shared with decision makers at the national, departmental and local levels, as well as those institutions and local leaders who contributed to the study. The study's findings were used to inform the site selection of SINCHI's environmental baseline sampling and RedCaquetaPaz's Youth, Communication, and Environment activity.
- The assessment was synthesized into a summary document for dissemination to a broader audience.

Measuring Impact:

- Evidence-based data and analysis produced on conditions of vulnerable groups in and around BSAs in Caquetá, used to inform stakeholders and contribute to departmental and municipal environmental agendas and inclusive platforms for CEW.

Protected areas (green), forest reserve (dark green), indigenous reserves (red), and forest loss (yellow), in ABC-LA focal areas in Caquetá



PROJECT ACTIVITIES IN SANTANDER

Activity	Consensus building and citizen monitoring in the Paramo of Santurban

Overview: In order to contribute to the Government of Colombia's delimitation and conservation of the Santurban Paramo, Universidad de los Andes (UniAndes) is building collective agreements for the management and monitoring of water quality in the Surata River watershed, where there are existing risks of environmental degradation due to extractive activities inside the Santurban complex. The strategy uses economic game theory methodology, community workshops, and the design and building of simple sensors and information systems for community-led monitoring of water quality. This initiative is part of a roadmap to address socio-environmental conflicts related to the delimitation of the Paramo, developed by MADS, GIZ, and the Van Humboldt Institute.

Implementation:

- The implementation strategy was designed for involving state and non-state actors to propose and agree upon actions for the efficient, sustainable, responsible, and fair use of natural resources that could adequately balance collective environmental, social, and economic goals.
- From there, the inputs for the game-theory exercises were designed and then implemented in 8 workshops; 6 at the municipal level and 2 at the regional level. Participants mapped land use and natural resource management along the watershed, and designed and implemented guides for the identification, construction, and prioritization of actions for watershed management. At the end of the regional workshops, 26 actions were prioritized for integration into a human and sustainable development regional agenda.
- Parallel to building consensus, a plan for the water quality monitoring system was elaborated, prototypes for sensors were designed and built, and sketches were made for the online platform for uploading and sharing the data collected. The designed equipment was tested in late July in the

Surata River watershed, in an interactive workshop that discussed the theory and practice of citizen monitoring in the watershed and its relationship to the process of constructing collective agreements. A subsequent monitoring occurred in late October to finalize the comparison of low-cost instruments with those in use by environmental institutions in the watershed, and to provide a baseline water quality report to be monitored by the municipalities.

- A regional agenda for human and sustainable development was developed through multi-actor consensus building workshops, for presentation to governmental candidates and implementation with municipal environmental action committees.
- UniAndes is working with a network of Santander-based universities for local adoption, sustainability, and future improvements to the water monitoring system.

Measuring Impact:

- 68,900 hectares of natural resources under improved management through a water quality monitoring system in the Surata River watershed.
- 288 participants trained in consensus building, bio-cultural concepts of biodiversity and its conservation, and water quality monitoring, for a total of 1,490 person-hours of training.
- 7 governmental institutions demonstrated increased capacity for NRM through participation in the water quality monitoring workshops.
- One environmental monitoring report of water quality in the Surata River watershed produced from a citizen science approach.
- Four new initiatives dedicated to resolving the drivers of conflict, through the incorporation of monitoring water quality into existing in Vetas and California.
- Creation of one regional agenda for human and sustainable development containing agreements between civil society and public institutions. Three municipalities, Vetas, California, and Surata have committed to incorporating the regional agenda into their 2016 development plans.

Left: Riffle water sensor developed by Public Lab that measures conductivity and temperature. Center and right: Probe to determine water quality in advanced stage of its development. The probe measures water quality through readings of conductivity, dissolved oxygen, temperature, and pH.

Targeted Assessments

Activity	Analysis of artisanal and small-scale mining in Colombia

Overview: ABC-LA, in association with Better Gold Initiative (BGI), conducted a national-level analysis of artisanal and small-scale gold mining (ASGM) in Colombia. Led by a research team from the University of Rosario, this analysis documented the nature, scope, and scale of ASGM and its resulting impacts on biodiversity and vulnerable communities.

Implementation:

- The research methodology was designed, and both primary and secondary research were initiated and concluded in the project reporting year.
- To validate the study's findings, and to create dialogue among miners and national and international institutional representatives, a validation workshop was held in April at the University of Rosario in Bogota. Participants included miners from four different departments, representatives from ABC-LA implementing partners in Colombia, academics, and representatives from MADS, the Ministry of Mining and Energy, the United Nations in Colombia, and Swiss cooperation.
- The final report provides an overview of the various types of ASGM production in Colombia, and economic, political, and legal factors affecting conditions for informal gold mining (which comprises 86% of gold mining in Colombia). ABC-LA has disseminated this study to its implementing partners and will distribute to national level counterparts.
- The study was synthesized into a summary document for wider distribution to national counterparts.

Measuring Impact:

- One analytical study to improve regulation and control of ASGM to inform stakeholders, policies, practices, and programmatic interventions was produced for distribution to partners in Santander and counterparts at MADS. Among other impacts from the study's findings, BGI is interested in exploring programmatic interventions to reduce harmful practices and promote responsible gold mining in municipalities surrounding the Santurban Paramo.

Types of Artisanal and Small-Scale Gold Mining in Colombia

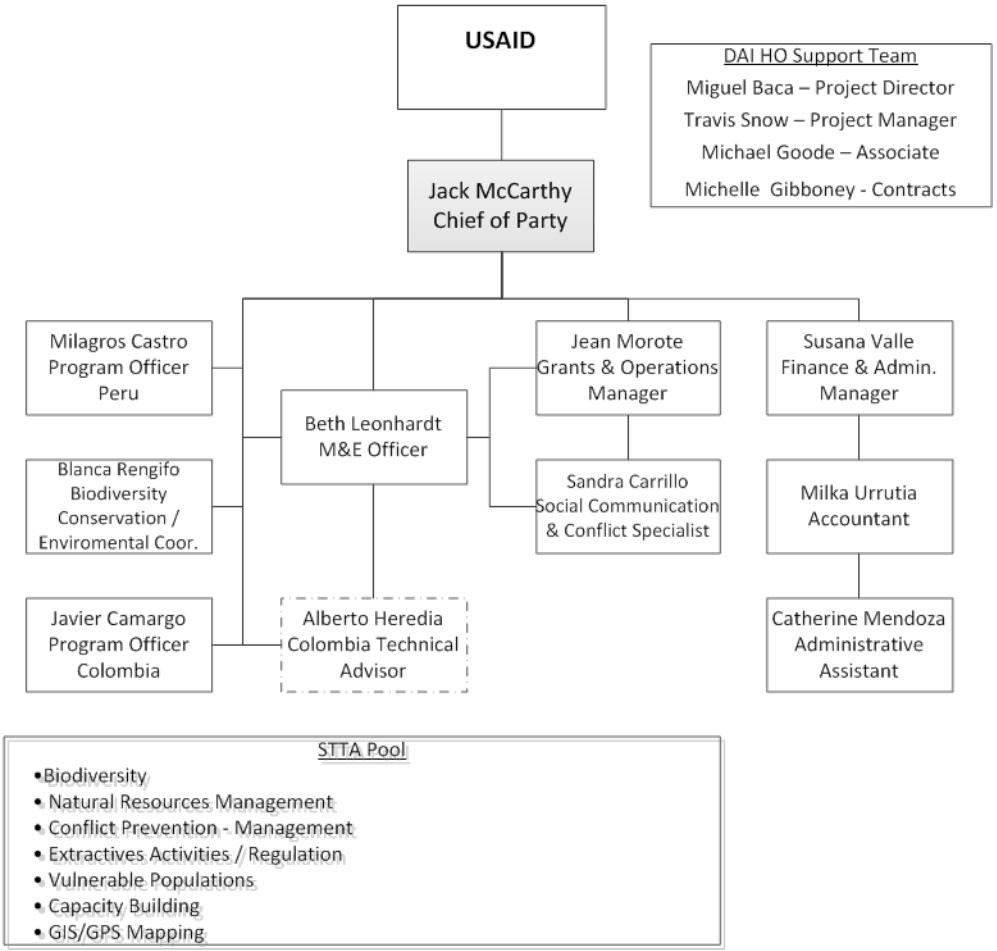
ANNEX V: PROJECT MANAGEMENT AND MONITORING

This annex provides an overview of the project team, a summary of project activities, the corresponding monitoring and evaluation system, as well as a summary of project reporting.

PROJECT TEAM

The organizational chart below and the narrative that follows provide an overview of the project team, including members of the project's core staff in the field and from DAI's home office.

ABC-LA PROJECT TEAM



Finance and Administration: The overall management of the project's finance and administration functions was headed by Susana Valle, with extraordinary support from Milka Urrutia, the project's accountant, and administrative assistant Catherine Mendoza. Members from this unit helped ensure the project's full compliance with DAI policies and procedures, ,USAID rules and regulations, and national requirements for project finances, accounting, human resources, and overall administrative issues.

Technical/Program: Milagros Castro, Javier Camargo and Blanca Rengifo served as senior members of ABC-LA's core technical and programming unit. Milagros coordinated overall programmatic activities

in Peru, Javier did the same for Colombia, and Blanca, a tropical biologist with extensive technical, scientific expertise and relevant field experience, served as the project's technical lead on biodiversity, including efforts to promote conservation and sustainable use. Until her departure in September 2015 to pursue an additional graduate degree in the U.K., Sandra Carrillo served a cross-cutting role within the project to inform the project approach to socio-environmental conflict, social communications, project management monitoring and reporting functions.

The addition of Alberto Heredia as a Colombia-based member of the project team in May 2015 helped strengthen considerably the project's meaningful presence, support and capacity to engage stakeholders, counterparts and implementing partners in focal areas and Bogota. Alberto's skill sets and experience along with his deep familiarity with dynamics in Caquetá, served to complement those of Javier's – a seasoned Colombian development professional with 18 years of experience with Colombia's Ministry of Environment, and contributed considerable additional value to the efforts of Blanca, Beth and ABC-LA efforts as a whole, in supporting effective and ongoing engagement, implementation, and monitoring in Colombia.

Finally, in addition to core team members, ABC-LA efforts benefitted from the expertise and experience of key consultants from the region who provided critical inputs, technical assistance, and support for implementation, monitoring, inclusive processes and technical products.

Grants Management and Operations: Jean Morote, the Grants and Operations Manager, with critical support from Sandra Carrillo, the project's M&E and communications officer, and the entire project team, ensured that the processes and documentation associated with designing, developing and issuing awards, complied with pertinent USAID rules and regulations, DAI policies, and good practice. Jean maintained regular contact with counterparts from ABC-LA implementing partners and consultants, providing guidance and support on contract and activity budgeting issues, and in tandem with programmatic and M&E team members, helped track and assist implementation while ensuring full compliance with terms and conditions of agreements and the timely delivery of deliverables. Beth Leonhardt, who joined the project team in first weeks of 2015 as the Monitoring and Evaluation (M&E) Officer, contributed mightily to the project's overall and specific programming efforts including implementation, monitoring and reporting.

Chief of Party: Jack McCarthy served as ABC-LA's COP from the beginning of start-up through the end of the project close-down.

Project Activities: As indicated previously in the "Implementation" section of the main body of this report, ABC-LA awards included grants, sub-contracts, and directly implemented activities. In addition the list of activities included in the matrix within the referenced section, more detailed programmatic summaries of these programmatic interventions including activity-level goals and objectives, outputs, outcomes and results, are included as Annex IV.

Reporting

Per the contract requirements under the STARR IDIQ mechanism, USAID rules and regulations, and DAI practices provided the following documentation to USAID:

- Work plans
- Performance Management Plans
- Quarterly and Annual Reports
- Monthly Quarterly and Annual Financial Reports
- Project Field Stories (Success stories, Participant Reflections)

- Reports on Peruvian VAT Taxes Paid
- Project Closedown Plans
- Non-expendable Inventory Disposal Plan

Supporting Documentation

- Initial Program Assessments (IPAs)
- Regular Power Points Presentations
- Project Update Briefs (Issues 1 – 17)
- Maps (Thematic, geo-referenced and products from community mapping exercises)
- Grants and Subcontract Proposals and Awards
- Summary programmatic activities matrices and periodic updates
- Policy Briefs or syntheses of key technical or scientific products ("Bajo la Lupa")
- Key Programmatic or Activity-Level Reports and Documents, listed on the following page.

Project Close Down

With the decision to end the project upon the completion of the base period, the project team moved forward with close down planning including communicating the decision with counterparts, stakeholders and implementing partners. The entire project team was involved in planning and implementing key close down tasks associated financial, administrative, contractual, operational and programmatic tasks. Since learning of the decision, the ABC-LA project team focused considerable emphasis on the successful conclusion and assessment of programmatic activities, and consolidating the basis for sustaining positive processes and outcomes. The project also developed and submitted for USAID's approval a plan for the disposition of non-expendable property. Final closing events were planned and conducted in the focal areas as well as in both Bogota and Lima in late November. To view the closing event agendas and presentation topics see Annex VI: "Closing Events: Agendas with links to presentations". The accompanying links within the Annex provide access to presentations and videos.

ABC-LA SELECTED TECHNICAL DOCUMENTS AND VIDEOS

The following table provides links to the full documents produced through the ABC-LA project in collaboration with the referenced partners.

Partner	Document Title and PDF Link
ProNaturaleza	Gobernanza de recursos naturales e implementación de Alerta Temprana de Conflictos en Puno, Perú
Patrimonio Natural	Gestión de conflictos socio-ambientales en Caquetá, Colombia
UNU	Línea base ambiental en Ucayali Volumen I: Línea base biológica
UNU	Línea base ambiental en Ucayali Volumen II: Estudio de calidad del agua en el Rio Abujao
UNU	Línea base ambiental en Ucayali Volumen III: Valoración Económica de Bienes Ambientales
ORAU	Lineamientos de los planes de vida articulados a la gestión de desarrollo regional y la biodiversidad
ORAU	Gobernanza de recursos naturales e implementación de Alerta Temprana de Conflictos en Ucayali, Perú
ORAU	Bajo la Lupa: Base para plan de vida de la comunidad Santa Rosita de Tamaya Tipishca
SINCHI	Línea base ambiental en Caquetá, Colombia
SINCHI	Resumen de la línea base ambiental en Caquetá, Colombia
REDCaquetáPaz	Documental Solano RedCaquetaPaz
REDCaquetáPaz	Documental Albania RedCaquetaPaz
REDCaquetáPaz	Documental San Jose del Fragua RedCaquetaPaz
FCDS	Estudio de Poblaciones Vulnerables en Caquetá
FCDS	Bajo la Lupa Estudio de Grupos Vulnerables en Caquetá
UniAndes	UniAndes Acción Colectiva en Suratá Reporte de Fase I
UniAndes	Manual de Monitoreo Ciudadano de Calidad del Agua en la sub-cuenca del Rio Surata
UniAndes	UniAndes Acción Colectiva en Suratá Reporte de Fase I
UniAndes	Monitoreo ciudadano en la sub-cuenca del rio Surata
ProNaturaleza	Estudio de Poblaciones Vulnerables en Perú
ProNaturaleza	Bajo La Lupa Estudio de Grupos Vulnerables Perú
BGI Puno	Diagnóstico y Análisis de los Procesos de Formalización de minas en Puno
BGI Puno	Bajo La Lupa Minería en Puno, Perú
BGI Puno	Under the Magnifying Glass: Analysis of the Formalization Process of Small-Scale Gold Mining in Puno
BGI Colombia	Estudio de Minería Artesanal y de Pequeña Escala en Colombia
BGI Colombia	Bajo La Lupa Minería Artesanal y de Pequeña Escala Colombia
ABC-LA	ABC-LA Project Video with English subtitles
ABC-LA	ABC-LA Internal Bulletins 1-17
ABC-LA	ABC-LA Activity Summary Sheets

PROJECT MONITORING SYSTEM

Development of Project Logic, Results and Indicators

ABC-LA's development hypothesis and illustrative indicators were provided in the contract's SOW. The Initial Program Assessments (IPAs) then specified site location through prioritizing criteria in the SOW and provided more clarity to appropriate activities to achieve the project's Intermediate Results. As USAID's Biodiversity Policy was published during project implementation, ABC-LA used data generated from the IPAs to form the project's Situational Model and Theory of Change utilizing the recommended Miradi software. This TOC exercise and development of the PMP defined indicators and targets for all years of project implementation. The indicators were further refined and included into an updated

Results Framework aligned to the TOC, LAC RDS (referenced in contract but not available to implementers), Peru CDCS, Colombia CDCS, standard F indicators. Indicators and results were incorporated into project activities for performance monitoring.

As noted in USAID's Biodiversity Policy, the roadmap for implementing the policy included additional steps that would have greatly supported ABC-LA in developing a project logic and monitoring system aligned with USAID Biodiversity objectives were still pending throughout ABC-LA implementation. These next steps include: revision to the Agency's Biodiversity Handbook, creation of a guide to support compliance with the Biodiversity Code, investment in the development of improved indicators and methods for data collection to monitor conservation and development impact of USAID programs.

Performance Monitoring and Reporting

Technical deliverables were reviewed as received for reporting requirements and documents for evidence of achievement, which were then saved in the project TAMIS. The project reported quarterly on all project indicators, with emphasis on 4 key base period indicators to evaluate project performance.

The four key indicators and targets identified to measure base period performance measure the outcomes expected to be achieved during the project's base period. The targets established for these four outcomes were either met or exceeded, as detailed in the summary table below. More importantly, the project also met or exceeded its base period targets at the Intermediate Results, Goals, and Impact levels, with two exceptions: previously existing conflicts resolved (target: 1, actual 0) which reflects the institutional need for further capacity building in conflict response, and number of multi-stakeholder groups using environmental and conflict scorecards for decision making, which reflects a delay in receiving social and environmental data in sufficient time to develop community-appropriate scorecards and to properly socialize them with leaders and multi-stakeholder groups.

ABC-LA BASE PERIOD PERFORMANCE INDICATORS TARGETS AND ACTUALS

Performance Indicator	Base Period Target	Base Period Actual	Reporting Comments
Outcome: # of local government units in which key stakeholders demonstrate capacity to contribute to local socio-environmental CEW mechanisms.	3	10	Puno: Districts of San Pedro de Putina Punco, Alto Inambari, San Juan del Oro, San Gaban, and Ayapata (5). Ucayali: Districts of Calleria, Nueva Requena, and Masisea (3). Caqueta: Albania, San Jose del Fragua (2).
Outcome: # of mechanisms (CEW or NRG) that include participation of vulnerable groups as a result of ABC-LA intervention.	4	19	Puno: Local action plans that support the regional biodiversity goals for Puno in the districts of Alto Inambari, San Pedro de Putina Punco, y San Juan del Oro, Sandia CEW water network (4). Ucayali: Environmental baseline study, environmental baseline technical committee, planes de vida, three CEW water networks, ORAU conflict reporting mechanism (7). Santander: Development of regional plan for human and sustainable development, citizen monitoring of water quality (2). Caqueta: Environmental baseline study, youth documentation of socio-environmental conflicts in 3 municipalities, municipal action plans in San Jose del Fragua and Albania (6).
Outcome: # of environmental monitoring reports produced by applied research institutions.	3	3	Ucayali: Environmental baseline report for the Abujao River (1). Santander: First water quality report of Surata River watershed (1). Caqueta: Environmental baseline report for San Jose del Fragua (1).

Performance Indicator	Base Period Target	Base Period Actual	Reporting Comments
Outcome: # of local government units with relevant institutions demonstrating commitment for improving NRM for biodiversity conservation.	5	18	Puno: Districts of San Pedro de Putina Punco, Alto Inambari, San Juan del Oro, and San Gaban. Provincial governments of Sandia y Carabaya. Regional government of Puno (7). Ucayali: Province of Coronel Portillo, districts of Masisea and Nueva Requena, Regional government of Ucayali (4). Santander: Bucaramanga, Vetas, California, Surata, Matanzas, and the departamental government of Santander (6). Caqueta: Gobernación de Caquetá (1).

Evaluation

Project activities included several baseline assessments to form the foundation to measure the project's impact over a longer implementation period. These included assessments of vulnerable groups, the environmental baseline assessments, and institutional capacity assessments implemented during the project's base period. Additional monitoring of these conditions in the focal areas over the course of project implementation under a 5-year scenario was planned as part of project design. This information not only served the immediate purpose of filling an existing gap in social and environmental data and to inform programmatic interventions, but also created a baseline that would serve as a comparison for an ex-post impact evaluation following completion of year 5 under a full project contract scenario.

ABC-LA PERFORMANCE INDICATORS AND RESULTS

The following section first contains a table presenting the alignment of ABC-LA indicators with the Latin America Caribbean Regional Development Strategy (LAC RDS), the USAID Standard F indicators for performance monitoring, and the Peru and Colombia Missions' Country Development Cooperation Strategies (CDCS). Afterwards, the detailed Performance Indicator Reporting Table presents results achieved along its indicator measured by quarter. This table also provides the base period target and total actuals, along with the details of the regional breakdown of what each number represents in each region. These results are visually represented per the Results Framework to more easily understand the numbers at outputs, outcomes, intermediate results, goal, and impact levels. Finally, the full Performance Indicator Reference Sheets (PIRS) are included to provide further details for four key indicators identified during the work planning stage to be emphasized for reporting and monitoring performance during ABC-LA's base period.

Alignment of ABC-LA Indicators with USAID Programming

ABC-LA Indicator	Alignment with LAC RDS, Colombia CDCS, Peru CDCS, USAID Biodiversity Policy and Standard F Indicators
Impact: # of hectares of biological significance and/or natural resources under improved natural resource management as a result of USG assistance	■ USAID Biodiversity Standard F indicator (4.8.1-26) ■ Colombia CDCS IR 4.1: Natural Resources Management Improved ■ Peru CDCS DO3: Natural resources sustainably managed in the Amazon Basin
Goal: # of local government plans that include improved NRG and biodiversity conservation with recognizable input from focal communities.	■ LAC RDS: Sub-IR 2.2.3: Effective mechanisms for natural resource management adopted ■ Peru CDCS Sub-IR 3.1.4: Amazon-based conservation for biodiversity and climate change mitigation enhanced ■ Peru CDCS IR 3.1: Capacity for environmental governance and natural resource management improved ■ Colombia CDCS IR 4.1: Natural Resources Management Improved
Goal: # of previously existing land and natural resource based conflicts resolved in favor of the protection of the most vulnerable populations and local communities	■ USAID Standard F indicator for Inclusive Economic Law and Property Rights (4.7.4-7) and contract SOW illustrative indicator ■ LAC RDS DO 2: Greater inclusion of marginalized groups achieved ■ Peru CDCS Sub IR 2.1.3: Improved government capacity to prevent and mitigate conflict.
Intermediate Result: # of new groups or initiatives created through USG funding dedicated to resolving conflict or the drivers of conflict.	■ USAID Standard F indicator for Conflict Mitigation and Reconciliation (1.6.1-12). ■ Peru CDCS Sub IR 2.2.3: Enhanced citizen capacity to dialogue and negotiate to prevent and mitigate conflict
Intermediate Result: # of multi-stakeholder groups using environmental and conflict scorecards for decision making.	■ LAC RDS IR 2.2: Successful approaches for addressing vulnerability adopted ■ Peru CDCS IR 2.2: Increased citizen engagement in decision-making and oversight
Intermediate Result: # of local government institutions that demonstrate increased capacity for NRM for biodiversity conservation.	■ Peru CDCS IR 3.1: Capacity for environmental governance and natural resource management improved ■ Colombia CDCS IR 4.1: Natural Resources Management Improved
Outcome: # of local government units in which key stakeholders demonstrate capacity to contribute to local socio-environmental CEW mechanisms.	■ Peru CDCS Sub IR 2.1.3: Improved government capacity to prevent and mitigate conflict. ■ Peru CDCS Sub IR 2.2.1: Increased citizen capacity to articulate needs
Outcome: # of mechanisms (CEW or NRG) that include participation of vulnerable groups as a result of ABC-LA intervention.	■ LAC RDS IR 2.2: Successful approaches for addressing vulnerability adopted ■ - Peru CDCS Sub IR 2.2.1: Increased citizen capacity to articulate needs
Outcome: # of environmental monitoring reports produced by applied research institutions.	■ Peru CDCS Sub-IR 3.1.2 Effective evidence-based policy dialogue, public participation, and communication enhanced
Outcome: # of local government units with relevant institutions demonstrating commitment for improving NRM for biodiversity conservation.	■ LAC RDS Sub-IR 2.2.3: Effective mechanisms for natural resource management adopted
Output: # of participants receiving USG supported training in NRM, biodiversity conservation, and socio-environmental conflict identification, prevention, and response.	■ Combination of USAID Standard F indicator for Natural Resources and Biodiversity 4.8.1-27 and Contract SOW of work illustrative indicator ■ Colombia CDCS Sub IR 4.1.2: Conservation of biodiversity promoted
Output: # of person hours of training in NRM, biodiversity	■ Combination of USAID Standard F indicator for Natural Resources and Biodiversity 4.8.1-27 and

ABC-LA Indicator	Alignment with LAC RDS, Colombia CDCS, Peru CDCS, USAID Biodiversity Policy and Standard F Indicators
conservation, and socio-environmental conflict identification, prevention, and response	Contract SOW of work illustrative indicator ■ Colombia CDCS Sub IR 4.1.2: Conservation of biodiversity promoted
Output: # of targeted analytical studies to inform stakeholders, policies, practices, and programmatic interventions.	■ Colombia CDCS Sub IR 4.1.1: Legality, rehabilitation, and mercury reduction use in artisanal mining operations improved

Performance Indicator Table

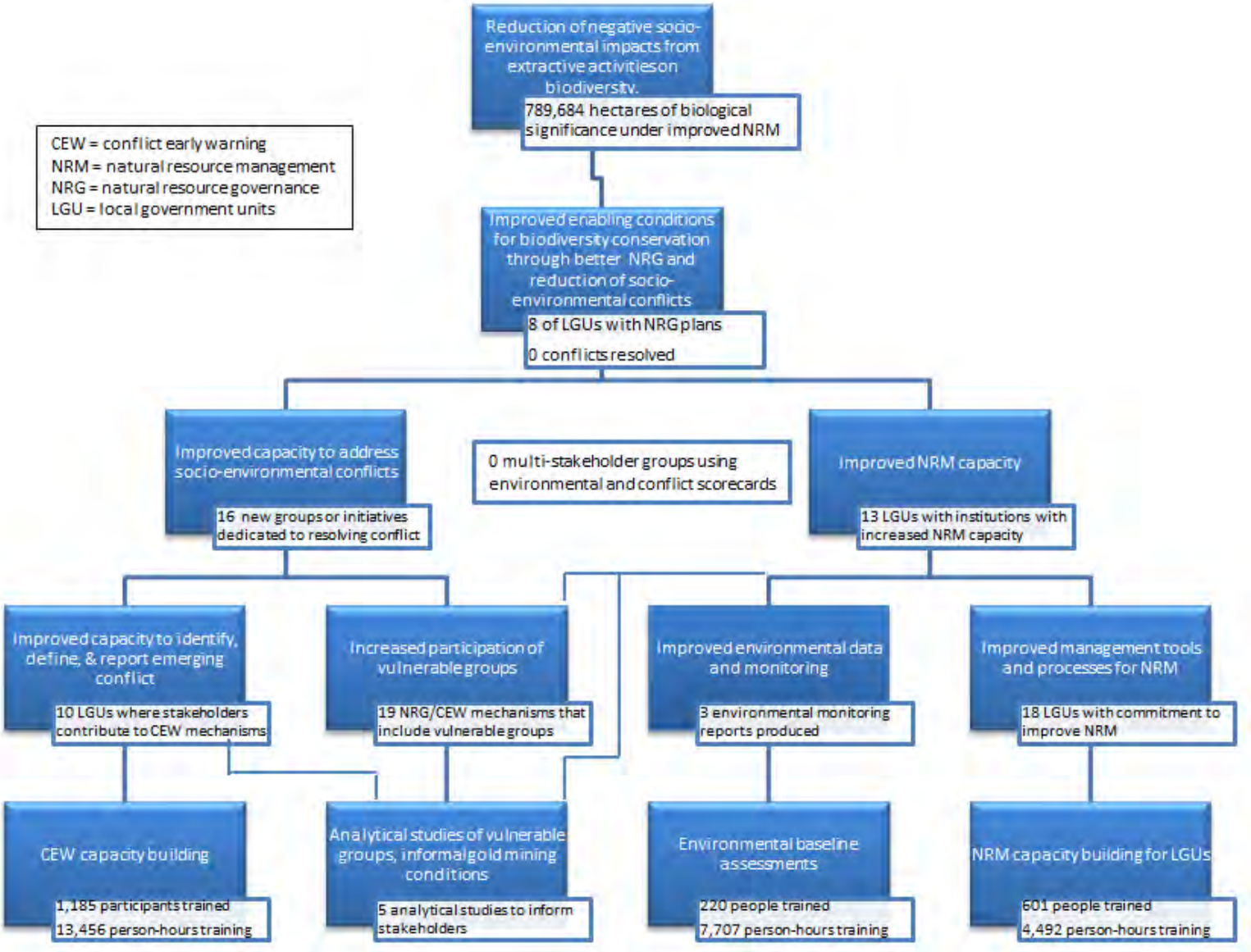
The table below details ABC-LA's performance indicators and achievements by quarter against base period targets. The comments section breaks down the full project numbers by region. The numbers are then represented visually in the ABC-LA Results Framework.

Performance Indicator	FY15 Q1	FY15 Q2	FY15 Q3	FY15 Q4	FY16 Q1	Base Period Target	Base Period Actual	Reporting Comments
Impact: # of hectares of biological significance and/or natural resources under improved natural resource management as a result of USG assistance (4.8.1-26)	0	0	0	0	789,684	100,000	789,684	Puno: 62,304 hectares covered by the municipal biodiversity plans in the Bahuaja Sonene National Park area of influence. Ucayali: 658,480 hectares covered by the conservation and sustainable use plan for the Sierra del Divisor National Park area of influence. Santander: 68.900 hectares in the basin of the river Suratá, with a system of monitoring of water quality
Goal: # of local government plans that include improved NRG and biodiversity conservation with recognizable input from focal communities.	0	0	0	6	2	5	8	Puno: Local action plans that support the regional biodiversity goals in the districts of Alto Inambari, San Pedro de Putina Punco, y San Juan del Oro (3). Ucayali: Plan de conservacion y uso sostenible (1) Plan de vida for Santa Rosita Tamaya Tipischa (1). Santander: Vetas, California, and Surata have committed to incorporating the regional agenda for human and sustainable development into their 2016 development plans. (3)
Goal: # of previously existing land and natural resource based conflicts resolved in favor of the protection of the most vulnerable populations and local communities (4.7.4-7)	0	0	0	0	0	1	0	Conflicts have been identified in all 4 focal regions. However, reporting mechanisms have not yet reached response capacity.
Intermediate Result: # of new groups or initiatives created through USG funding dedicated to resolving conflict or the	0	2	2	6	6	3	16	Peru National Level: CEW working group with ANA, OEFA, and PCM-ONDS (1). Puno: Working group dedicated to addressing threats to biodiversity in the PNBS area of influence, Informal mining working group,

Performance Indicator	FY15 Q1	FY15 Q2	FY15 Q3	FY15 Q4	FY16 Q1	Base Period Target	Base Period Actual	Reporting Comments
drivers of conflict. (1.6.1-12).								CEW network for water conflicts in Sandia (3). Ucayali: Environmental Baseline Technical Committee, CEW networks for water conflicts in Nueva Requena, San Alejandro, and Calleria. ORAU incorporation of conflict reporting among its 9 federations (5). Caqueta: Youth clubs in Solano, Albania, and San Jose del Fragua created dedicated to documenting socio-environmental conflicts (3). Santander: Committees in Vetas (comite de concertacion) and California (comite ambiental, comite agropecuario, comite minero) have incorporated the citizen science initiative into their agendas (4).
Intermediate Result: # of multi-stakeholder groups using environmental and conflict scorecards for decision making.	0	0	0	0	0	3	0	Information for scorecards has been produced and early versions of them have been drafted, yet ABC-LA was not able to fully develop them and socialize the scorecards with community leaders and decision making groups.
Intermediate Result: # of local government institutions that demonstrate increased capacity for NRM for biodiversity conservation.	0	0	0	7	6	5	13	Puno: District government of San Pedro de Putina Punco (1). Ucayali: Provincial Government of Coronel Portillo (1). Santander: Institutional capacity increase through participating in monitoring water quality in Surata River watershed: Industrial University of Santander, the CDMB, the Governor's office of Santander, the Environmental Police of Matanza, and the Municipal Technical Assistance Unit of Vetas (UMATA), Aqueduct of Bucaramanga, Metropolitan Area of Bucaramanga (7). Caqueta: Capacity development in Gobernación de Caquetá, Corpoamazonia, SINCHI, Uniamazonia (4)
Outcome: # of local government units in which key stakeholders demonstrate capacity to contribute to local socio-environmental CEW mechanisms.	0	0	0	9	1	3	10	Puno: Districts of San Pedro de Putina Punco, Alto Inambari, San Juan del Oro, San Gaban, and Ayapata (5). Ucayali: Districts of Calleria, Nueva Requena, and Masisea (3). Caqueta: Albania, San Jose del Fragua (2).
Outcome: # of mechanisms (CEW or NRG) that include participation of vulnerable groups as a result of ABC-LA	0	0	2	14	3	4	19	Puno: Local action plans that support the regional biodiversity goals for Puno in the districts of Alto Inambari, San Pedro de Putina Punco, y San Juan del Oro, Sandia CEW water network (4). Ucayali:

Performance Indicator	FY15 Q1	FY15 Q2	FY15 Q3	FY15 Q4	FY16 Q1	Base Period Target	Base Period Actual	Reporting Comments
intervention.								Environmental baseline study, environmental baseline technical committee, planes de vida, three CEW water networks, ORAU conflict reporting mechanism (7). Santander: Development of regional plan for human and sustainable development, citizen monitoring of water quality (2). Caqueta: Environmental baseline study, youth documentation of socio-environmental conflicts in 3 municipalities, municipal action plans in San Jose del Fragua and Albania (6).
Outcome: # of environmental monitoring reports produced by applied research institutions.	0	0	0	1	2	3	3	Ucayali: Environmental baseline report for the Abujao River (1). Santander: First water quality report of Surata River watershed (1). Caqueta: Environmental baseline report for San Jose del Fragua (1).
Outcome: # of local government units with relevant institutions demonstrating commitment for improving NRM for biodiversity conservation.	0	0	1	15	2	5	18	Puno: Districts of San Pedro de Putina Punco, Alto Inambari, San Juan del Oro, and San Gaban. Provincial governments of Sandia y Carabaya. Regional government of Puno (7). Ucayali: Province of Coronel Portillo, districts of Masisea and Nueva Requena, Regional government of Ucayali (4). Santander: Bucaramanga, Vetas, California, Surata, Matanzas, and the departamental government of Santander (6). Caqueta: Gobernación de Caquetá (1).
Output: # of participants receiving USG supported training in NRM, biodiversity conservation, and socio-environmental conflict identification, prevention, and response.*	0	352	450	1,036	168	***	2,006	**While this indicator and associated targets were not in the PMP, ABC-LA is adding them for reporting as the project is tracking these outputs. Puno: 725. Ucayali: 662. Santander: 288. Caqueta: 331.
Output: # of person hours of training in NRM, biodiversity conservation, and socio-environmental conflict identification, prevention, and response	0	5,632	4,514	14,687	822	***	25,655	**While this indicator and associated targets were not in the PMP, ABC-LA is adding them for reporting as the project is tracking these outputs. Puno: 7,918. Ucayali: 12,903. Santander: 1,490. Caqueta: 3,344.
Output: # of targeted analytical studies to inform stakeholders, policies, practices, and programmatic interventions.	0	0	2	3	0	5	5	Puno: Diagnostic of informal miners and Vulnerable Groups Assessment (2). Ucayali: Vulnerable Groups Assessment (1). Caqueta: Vulnerable Groups Assessment (1). Colombia: ASGM study (1)

ABC-LA Results Framework with Associated Indicators



Performance Indicator Reference Sheets for Four Key Indicators

Presented below are the Performance Indicator Reference Sheets (PIRS) for four key indicators proposed in ABC-LA's workplan to help measure performance and discern progress toward achieving the project's goal. These four indicators are at the outcome level and were especially emphasized for reporting during the project's base period.

PERFORMANCE INDICATOR REFERENCE SHEET

Intermediate Result: Improved capacity to identify, define, and report emerging socio-environmental conflicts.

- Indicator:
- Outcome: Number of local government units in which key stakeholders demonstrate capacity to contribute to local socio-environmental conflict early warning mechanisms.

Is this a Performance Plan and Report indicator?: No ___ Yes __X__, for Reporting Year(s): 2015, 2016, 2017 and 2018

DESCRIPTION

Precise Definition(s): Local government units, in which key stakeholders demonstrate capacity to identify, define & report emerging socio-environmental conflict.

Local government units are defined as political administrative boundaries at the following levels:
- Department (Colombia) and Region (Peru)
- Province (Peru)
- Municipalities (Colombia) and Districts (Peru)*

* This level represents the main focus of measure of the indicator, since the groups and committees at the district level (in Ucayali) and municipal level (in Caquetá and Santander) will acquire the skills to identify, analyze and report socio-environmental conflicts. In the case of Puno, capacity building will be focused on the provincial level, because provincial platforms have been identified that could incorporate the monitoring of conflicts as part of their current activities.

Key stakeholders are defined as community leaders, local government representatives, and civil society organizations who are involved with current and emerging conflicts.

Capacity to contribute is defined as the adoption of the three following skills:
- Conflict Identification: ability to define current and potential socio-environmental conflicts and recognize the main factors (stakeholders, the problems that form the root of the conflict and the phase of the conflict).
- Conflict Analysis: the groups and institutions are able to define the type and phase of conflict in order to monitor the current tensions and trends/projections of conflict.
- Conflict Reporting: the groups and institutions are able to use conflict mapping tools to show trends and potential actions, as well as disseminate this information to responsible entities for conflict response.

Conflict is defined as a situation in which two or more actors perceive each other as an obstacle to satisfying their own interests and needs. As a consequence, each party takes actions to seek to destroy, frustrate, neutralize, or control the other party.

Socio-environmental conflict is a situation when conflict dynamics center on control, use, or access to the environment and its resources. Political, economic, social, and cultural components are also present in these types of conflicts.

Unit of Measure: Number of local government units in Peru and Colombia

Disaggregated by: Country, level of local government unit.

Rationale or Justification for indicator: Indicator will be used to track overall progress on building inclusive processes for conflict early warning and response capacity, which will feed into improved natural resource governance.

PLAN FOR DATA COLLECTION

Data Source: Baseline will be collected at the beginning of training conducted with community leaders and local authorities by ANA, ORAU, ProNaturaleza, and Patrimonio Natural. Measurements will be collected through conflict reports produced by community leaders and local authorities trained through the technical assistance provided by implementing partners.

These will be collected by implementing partners and reviewed by the project team.

Method of data collection and construction:

Baseline: Trainers will conduct a capacity assessment at the beginning of training in Ucayali, Puno, and Caquetá to determine the baseline capacity of key actors in local government units and in communities.

The adoption of the skills of identification, analysis, and reporting, will be measured through the products produced by the application of each skill.

- Identify: The first workshop will develop a conflict matrix with the list of cases and key stakeholders, as a result of participatory mechanisms such as community-based mapping and role plays. The purpose of this training is to create a periodic practice of revision of emerging conflicts within and involving the local government units. The ability of local government units to identify conflicts will be **measured through the use of a conflict matrix** during the workshops and during the period of project implementation.
- Analyze: **Matrix** which includes the revision and identification of each conflict and its classification according to the source and phase. This purpose of this matrix is to create a periodic practice of monitoring tensions to anticipate emerging conflicts.
- Report: **Conflict report / scorecard** including the main indicators selected to show the trends and potential actions related to each case of conflict identified and analyzed. This will be a base of information to report the analyzed conflicts and advocate for a response from the responsible entities at the regional and national level.

Reporting Frequency: Annual

Cost of Collection: Cost of reviewing conflict reports will be minimal as these will be disseminated by CEW partners through the training.

Individual(s) responsible: The Program Officers for Peru and Colombia, the Monitoring, Information, and Communications Coordinator, and the Monitoring and Evaluation Officer are in charge of collecting this data.

DATA QUALITY ISSUES

Dates of Previous Data Quality Assessments: N/A

Data limitations: TBD

Measures to address data limitations: TBD

Data Analysis, Reporting, and Review

- Data analysis:

Data presentation:

Data revision:

TARGETS AND BASELINE

FISCAL YEAR	Annual		Cumulative		Notes
	Target/ Planned	Actual	Target/ Planned	Actual	
2015	3	10	3	10	Puno: Districts of San Pedro de Putina Punco, Alto Inambari, San Juan del Oro, San Gaban, and Ayapata (5). Ucayali: Districts of Calleria, Nueva Requena, and Masisea (3). Caqueta: Albania, San Jose del Fragua (2).
2016	4		7		
2017	5		12		
2018	5		19		

Additional notes

THIS SHEET LAST UPDATED ON: 15 December 2015

PERFORMANCE INDICATOR REFERENCE SHEET

Intermediate Result 2: Enhanced capacity for natural resource management for biodiversity conservation.

- Name of Indicator:
- Outcome: Number of local government units with relevant institutions demonstrating commitment for improving natural resource management for biodiversity conservation.
-

Is this a Performance Plan and Report indicator?: No ___ Yes __X__, for Reporting Year(s): 2015, 2016, 2017 and 2018

DESCRIPTION

Precise Definition(s):

Local government units are defined as political administrative boundaries at the following levels:
- Department (Colombia) and Region (Peru)
- Province (Peru)
- Municipalities (Colombia) and Districts (Peru)*

Relevant Institutions are defined as the institutions at the municipal/district, provincial, or regional/departmental level who have a direct role impacting environmental conditions for their jurisdiction. This definition encompasses the following institutions and levels of political jurisdiction:

Colombia:
- Municipalities: Alcadias (mayor's offices) of the municipalities of San Jose del Fragua, Albania, and Solano in Caquetá
- Department: Corpoamazonia is the departmental-level environmental authority in Caquetá, the Corporación de la Meseta de Bucaramanga (CMDB) is the designated environmental authority in Santander

Peru:
- Districts: Municipalidad Distrital de Masisea, Municipalidad Distrital de Nueva Requena, Municipalidad Distrital de San Juan del Oro, Municipalidad Distrital de San Gaban, Municipalidad Distrital de San Pedro de Putina Punko, Municipalidad Distrital de Alto Inambari
- Province: Municipalidad Provincial de Coronel Portillo, Municipalidad Provincial de Sandia
- Region: Regional Environmental Authority for Ucayali, Regional Government of Puno

Commitment is defined as an official written agreement to identify and address gaps and constraints for improved local NRM or proven commitment through active participation in an activity for NRM strengthening.

Unit of Measure: Local government units.

Disaggregated by: Type of competences in NRM; country; and region / department, levels of increased capacity.

Rationale or Justification for indicator: The Initial Program Assessments, project outreach and engagement, and the TOC and Situation Analysis, the project has identified limited state presence and capacity for NRM. This indicator will measure institutional commitment to improving NRM.

PLAN FOR DATA COLLECTION

Data Source: Official written agreements or acts signed by institutions for the commitment to identify and address gaps and constraints for improved local NRM, through the use of a diagnostic tool and development of an institutional strengthening plan.

Method of data collection and construction: Written agreements from the local government units to the project or project partners will be collected and stored in the project's TAMIS.

Reporting Frequency: Annual

Cost of Collection: A consultant will need to be hired in Ucayali in order to conduct the NRMCI prior to providing technical assistance. Other collection costs will be minimal, as the training is included in the implementing partner agreement budgets.

Individual(s) responsible: Members of the ABC-LA technical team will be responsible for collecting these agreements, and the Operations and Grants and M&E Manager will be responsible for recording in TAMIS.

DATA QUALITY ISSUES
Dates of Previous Data Quality Assessments: N/A **Data limitations:** **Measures to address data limitations:**
Data Analysis, Reporting, and Review
Data analysis:
Data presentation:
Data revision:

TARGETS AND BASELINE

FISCAL YEAR	Annual		Cumulative		Notes
	Target/ Planned	Actual	Target/ Planned	Actual	
2015	5	18	5	18	Puno: Districts of San Pedro de Putina Punco, Alto Inambari, San Juan del Oro, and San Gaban. Provincial governments of Sandia y Carabaya. Regional government of Puno (7). Ucayali: Province of Coronel Portillo, districts of Masisea and Nueva Requena, Regional government of Ucayali (4). Santander: Bucaramanga, Vetas, California, Surata, Matanzas, and the departamental government of Santander (6). Caqueta: Gobernación de Caquetá (1).
2016	7		12		
2017	12		24		
2018	6		30		

Additional notes

THIS SHEET LAST UPDATED ON: 15 December 2015

PERFORMANCE INDICATOR REFERENCE SHEET

Intermediate Result 4: Improved environmental data and monitoring for local natural resource management.

Name of Indicator:
Outcome: Number of environmental monitoring reports of biophysical conditions produced by applied research institutions.

Is this a Performance Plan and Report indicator?: No ___ Yes __X__, for Reporting Year(s): 2015, 2016, 2017 and 2018

DESCRIPTION

Precise Definition(s): Number of environmental baseline and monitoring reports developed and disseminated y universities and applied research institutes in focal areas through ABC-LA interventions.

Environmental monitoring reports: A report documenting current biophysical conditions and/or biological components of a defined research area through a government or institute approved data gathering and analysis methodology.

Research institutions are defined as public or private universities, government institutions with a research mandate, or research centers, with current capacity for environmental research.

Unit of Measure: Number of environmental monitoring reports

Disaggregated by: Country; local government unit.

Rationale or Justification for indicator: Indicator will be used to track the production of environmental data in project focal areas. Environmental baselines and monitoring reports will serve as a tool for informing improved local efforts to prevent, and better respond to, emerging socio-environmental conflicts and provide the stakeholders, including local and regional governments, with the scientific basis to better address multiple drivers of threats to biodiversity identified in the project's Situational Model.

PLAN FOR DATA COLLECTION

Data Source:
Environmental baseline and subsequent environmental monitoring reports: The production of environmental baseline documents presented by the universities/research institutes with whom ABC-LA is working will serve as one source of data for this indicator. The environmental baseline is a compilation of data and analysis of important biological and water quality components in project focal areas. The production of an environmental baseline report will demonstrate that research institutions have adopted a role in generating technical and scientific information on environmental quality and biodiversity conservation in project focal areas.

Environmental monitoring reports produced through established monitoring protocols and instruments will be an additional source of data for this indicator.

Method of data collection and construction: These reports will be turned in as deliverables in grants to universities or research institutes.

Reporting Frequency: Annual

Cost of Collection: Cost of collection will be minimal, as collecting this information is part of the grant process.

Individual(s) responsible: Collected by the Biodiversity Conservation and Environmental Quality Specialist, the Operations and Grants Manager, and the Monitoring and Evaluation Officer.

DATA QUALITY ISSUES

Dates of Previous Data Quality Assessments:
Data limitations:
Measures to address data limitations:

Data Analysis, Reporting, and Review					
Data analysis:					
Data presentation:					
Data revision:					
TARGETS AND BASELINE					
FISCAL YEAR	**Annual**		**Cumulative**		**Notes**
	Target/ Planned	**Actual**	**Target/ Planned**	**Actual**	
2015	3	3	3	3	Ucayali: Environmental baseline report for the Abujao River (1). Santander: First water quality report of Surata River watershed (1). Caqueta: Environmental baseline report for San Jose del Fragua (1).
2016	5		8		
2017	8		16		
2018	8		24		
Additional notes					
THIS SHEET LAST UPDATED ON: 15 December 2015					

PERFORMANCE INDICATOR REFERENCE SHEET

Intermediate Result 5: Increased participation of vulnerable groups in processes addressing socio-environmental conflicts and biodiversity conservation.

- Indicator:

Outcome: Number of natural resource governance and conflict early warning mechanisms that include participation of vulnerable groups as a result of ABC-LA intervention.

Is this a Performance Plan and Report indicator?: No ___ Yes __X__, for Reporting Year(s): 2015, 2016, 2017 and 2018

DESCRIPTION

Precise Definition(s):

Vulnerable groups are defined as: Communities, gender, or generations in project focal areas that are susceptible to, or incapable of responding to, adverse effects generated by extractive activities. The Vulnerable Groups Assessments in project focal areas will identify these groups and their level of vulnerability. These groups include:

- Indigenous and rural/campesino communities, which for the project focal areas include indigenous communities in Ucayali and Caqueta and rural communities in Puno and Santander.
- Within these groups, there are considerations of gender, youth, and those vulnerable due to socioeconomic conditions.

Natural resource governance mechanisms include:
- Ucayali: Quality of life plans for local communities, Mesa Tecnica of the UNU environmental baseline, GRMMU
- Puno: Conservation and sustainable use plan of the Bahuaja Sonene National Park area of influence
- Caquetá: Municipal environmental agendas
- Santander: Citizen monitoring plans for the Surata River sub-basin

Conflict early warning mechanisms include:
- Conflict monitoring and identification groups at a district/municipal or regional/departmental level
- Consensus building committees in the Paramo of Santurban

Unit of Measure: Mechanism

Disaggregated by: Type of mechanism (NRG or CEW), type of group participating, local government unit.

Rationale or Justification for indicator: Indicator will be used to track the degree to which project interventions are creating opportunities for vulnerable groups' participation in decision making processes that affect their livelihoods.

PLAN FOR DATA COLLECTION

Data Sources: Vulnerable groups will be identified in project focal areas through the vulnerable groups assessments and initial conflict diagnostic implemented by project partners. The vulnerable groups assessment will also identify the obstacles to participation in local NRG and CEW decision making processes and institutions.

Method of data collection and construction:
Direct observation on multi-stakeholder mechanisms.
Mechanism workplans, which identify roles and responsibilities of participants, to identify whether a vulnerable group holds a role of responsibility or active participation.
Interviews with leaders of vulnerable groups.
Review of conflict reports disseminated by the CEW system members.
Written commitments (acts or agreements) to involve vulnerable groups in mechanisms.

Reporting Frequency: Annual

Cost of Collection: Cost of collection will be minimal, as project team members can interview indigenous community representatives while on project travel for other activities implemented in focal areas.

Individual(s) responsible: Collected by ABC-LA staff and partners (ANA, ProNaturaleza, ORAU, and Patrimonio Natural).

DATA QUALITY ISSUES
Dates of Previous Data Quality Assessments: **Data limitations:** **Measures to address data limitations:**
Data Analysis, Reporting, and Review
Data analysis:
Data presentation:
Data revision:

TARGETS AND BASELINE

FISCAL YEAR	Annual		Cumulative		Notes
	Target/ Planned	Actual	Target/ Planned	Actual	
2015	4	19	4	19	Puno: Local action plans that support the regional biodiversity goals for Puno in the districts of Alto Inambari, San Pedro de Putina Punco, y San Juan del Oro, Sandia CEW water network (4). Ucayali: Environmental baseline study, environmental baseline technical committee, planes de vida, three CEW water networks, ORAU conflict reporting mechanism (7). Santander: Development of regional plan for human and sustainable development, citizen monitoring of water quality (2). Caqueta: Environmental baseline study, youth documentation of socio-environmental conflicts in 3 municipalities, municipal action plans in San Jose del Fragua and Albania (6).
2016	4		8		
2017	2		10		
2018	0		10		

Additional notes
THIS SHEET LAST UPDATED ON: 15 December 2015

ANNEX VI: ABC-LA CLOSING EVENTS AND AGENDAS WITH LINKS TO PRESENTATIONS

ABC-LA held six closing events between October and November 2015, four of them in the project´s focal areas in Colombia and Peru, which were targeted to local stakeholders directly and indirectly involved with the activities developed, as well as two national level events in Lima and Bogota. The six events had a total attendance of 471 stakeholders and engaged public institutions for their preparation. The two closing event agendas below from Bogota and Lima contain url links to the presentations given by various project stakeholders during the events.

Closing event in Bogotá, 19 November 2015

Hour	Theme	Presenter	Time
8:30 AM	Registration of participants		
8:45 AM	Welcome and presentation of the Agenda.	MADS	15 Min.
9:00 AM	Problem addressed by ABC-LA project.	United States Government Representative (USAID)	15 Min.
9:15 AM	Presentation of the ABC-LA Model and video.	John Mc Carthy Chief of Party USAID ABC -LA Click here for presentation	15 Min.
Caqueta Experience: Alliance for Conservation and Sustainable Development			
9:30 AM	Population vulnerability to extractive Activities	Deyanira Vanegas Fundacion para la Conservación y el Desarrollo Sostenible (FCDS) Click here for presentation	15 Min.
9:45 AM	Building collective actions to address socio-environmental conflicts	Maria Camila Sánchez Coordinadora de Equipo Ambiental REDCaquetáPaz Click here for presentation	15 Min.
10:00 AM	Empowering youth to create environmental awareness and sustainable natural resource management	Sandra Jaramillo Directora Ejecutiva REDCaquetáPaz	15 Min.
10:15 AM	Environmental baseline to monitor impacts derived from extractive activities in San Jose del Fragua Municipality	Marco Ehrlich Subdirector Científico y Tecnológico Insituto SINCHI Click here for presentation	15 Min.
10:30 AM	Interinstitutional alliance for the sustainable use of natural resources and biodiversity conservation in Caquetá	Rafael Lozano Coordinador de Educación Ambiental Corporamazonia Caquetá Click here for presentation	15 Min
10:45 AM	Break		
Experience in Santander			
11:00 AM	Governance and Human Development agenda	Mario Freddy Martínez	15 Min.

	for the Surata River basin.	Profesional de Programas Foro Nacional por Colombia Click here for presentation	
11:15 AM	Consensus building and citizen monitoring in Santander	Juan Felipe Ortiz Assitente Graduado de Investigación Universidad de los Andes Click here for presentation	15 Min
11:30 AM	Regional Observatory and Regional Environmental System for Water Quality	Leonardo Acevedo, Decano de la Facultad de Química Ambiental de la Universidad Santo Tomás (USTA) Click here for presentation	15 Min.
ASG Mining in Peru and Colombia			
11:45 AM	Mining regulation and environment in Peru, Colombia and the Andean-Amazon Region Progress, Challenges and Sustainability Roots	Cesar Ipenza Abogado experto en Derecho ambiental Click here for presentation	15 Min.
12:00 AM		Leonardo Güiza Suárez Director de la Linea de Investigacion de Medio Ambiente y Derechos Humanos – Univesridad del Rosario Click here for presentation	15 Min
Experience in Peru			
12:15 AM	ABC-LA Contributions in Peru	Lizardo Cauper, Presidente ORAU - Ucayali Click here for presentation	10 Min.
12.30 M	Balance and Perspectives in Socio-Environmental Conflict Prevention	Blanca Rengifo USAID ABC-LA Click here for presentation	5 Min.
12:30 M	Acknowledgment	Ana Villegas / USAID Washington	5 Min.
12:45 M	Closing remarks	MADS	15 Min

Closing event in Lima, 20 November 2015

Hour	Theme	Presenter
9:00 AM	Registration of participants	
9:30 AM	Problem addressed by ABC-LA Project	Ana Cristina Villegas Biodiversity & Forestry Advisor, Office of Regional Sustainable Development/Environment, USAID
9:45 AM	Environment Ministry Presentation	Roger Loyola, Director Dirección General de Valoración Financiamiento y Patrimonio Natural - MINAM
10:00 AM	ABC-LA Model Presentation	John Mc Carthy Chief of Party USAID ABC –LA Click here for presentation
10:15 AM	Environmental Baseline approach as monitoring tool	Roly Baldoceda Rector de la Universidad Nacional de Ucayali Click here for presentation
10:25 AM	Environmental baseline to promote green investment projects	Roger Loyola Dirección General de Valoración Financiamiento y Patrimonio Natural - MINAM

		Click here for presentation
10:35 AM	Socio-environmental conflicts and vulnerable groups	Lizardo Cauper Presidente ORAU - Ucayali Click here for presentation
10:45 AM	Natural Resource Governance articulated to environmental management: community plans (planes de vida)	Henderson Rengifo Presidente de AIDESEP Click here for presentation
10:55 AM	**Break**	**10 Mins**
11:05 AM	Natural Resource Governance	Luis Augusto Briceño Jara Gobierno Regional de Ucayali Click here for presentation
11:15 AM	Municipality action plans to implement the Biodiversity Regional Strategy and Regional Development Plan of Puno until 2021.	Dr. Edson Apaza Mamani Gerente Regional de Recursos Naturales y Gestión de Medio Ambiente GORE PUNO Click here for presentation
11:25 AM	Gold mining: policies and practice	Dante Salas Ávila DREM Puno Click here for presentation
11:35 AM	Consensus building and citizen monitoring in Santander	Juan Felipe Ortíz Universidad de los Andes, Colombia Click here for presentation
11:45 PM	Environmental Agenda on post-conflict in Colombia	Sandra Jaramillo Directora Ejecutiva Fundación RedCaquetáPaz, Colombia Click here for presentation
11:55 PM	Environmental baseline in Colombia to monitor the impacts derived from extractive activities in San Jose del Fragua Municipality	Dr. Marco Ehrlich Subdirector Científico y Tecnológico Instituto SINCHI Click here for presentation
12:05 PM	Balance and Perspectives in Socio-Environmental Conflict Prevention	Blanca Rengifo Coordinadora de Biodiversidad, USAID ABC-LA
12:10 PM	Closing remarks	Ana Cristina Villegas Biodiversity & Forestry Advisor, Office of Regional Sustainable Development/Environment, USAID