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

15 MONTH WORK PLAN

(JUNE 2014 – AUGUST 2015)

DRAFT V.3 WITH UPDATED THEORY OF CHANGE

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Program Title:	**Addressing Biodiversity-Social Conflict in Latin America**
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CONTENTS

ABBREVIATIONS

ABC-LA	Addressing Biodiversity-Social Conflict in Latin America
AIDER	Asociación para la Investigación y Desarrollo Integral
ANDI	Asociación Nacional de Empresarios de Colombia
ANH	National Hydrocarbon Agency
ANM	National Mining Agency
ASGM	Artisanal and small scale gold mining
BGI	Better Gold Initiative
BSA	Biologically Significant Areas
CECOMSAP	Central de Cooperativas Mineras de San Antonio de Poto de Ananea
CENCOMIN	Central de Cooperativas Mineras Nevados de Ananea
CEW	Conflict Early Warning
COC	Chain of Custody
COP	Chief of Party
COR	Contracting Officer Representative
CSO	Community Based Organizations
DAI	Development Alternatives, Inc.
DOI	Department of the Interior
EITI	Extractive Industries Transparency Initiative
FCSD	Foundation for Conservation and Sustainable Development
GDP	Gross Domestic Product
GOC	Government of Colombia
GOP	Government of Peru
GORE	Regional Government
GRMMU	Grupo Regional de Monitoreo de Megaproyectos de Ucayali
GUC	Grants under Contract
HEP	Higher Education Partnership
HESN	Higher Education Support Network
IBC	Institute for the Common Good
ICCA	Initiative for Conservation in the Andean Amazon

IIAP	Instituto de Investigaciones de la Amazonía Peruana
IPA	Initial Program Assessment
KAPP	Knowledge, Attitudes, Perceptions and Practices
LTPR	Land Tenure and Property Rights
MEM	Ministry for Energy and Mining (Peru)
MINAM	Ministry of Environment (Colombia)
NGO	Non-Governmental Organization
NRM/G	Natural Resources Management / Governance
OAS	Organization of American States
OECD	Organization for Economic Co-operation and Development
ORAU	Organización Regional AIDESEP Ucayali
OPIAC	Organización de los Pueblos Indígenas de la Amazonía Colombiana
PCM-ONDS	President's Council of Ministers Office for National Dialogue and Sustainability
PIAV	Indigenous Populations in Voluntary Isolation
PUCS	Puno, Ucayali, Caquetá, Santander
SEIA	Social and Environmental Impact Assessment
SERNANP	Servicio Nacional de Áreas Naturales Protegidas por el Estado
SGBA	Swiss Better Gold Association
SOW	Scope of Work
TOC	Theory of Change
UN	United Nations
UNAP	Universidad Nacional de la Amazonía Peruana
UNCA	Union of Aymara Communities
UNIA	Universidad Nacional Intercultural de la Amazonia
UNU	Universidad Nacional de Ucayali
USAID	United States Agency for International Development
VGAT	Vulnerable Groups Assessment Tool
WCS	Wildlife Conservation Society

I. INTRODUCTION

This is an updated version of the second work plan for the USAID-funded Addressing Biodiversity, Social Conflict in Latin America (ABC-LA) project, implemented by DAI. It covers a 15-month period from June 2014 through August 2015. The project runs for an initial two year base period ending September 2, 2015, with three option years that would extend it through September 2, 2018.

The 15-month work plan is intended to guide interventions and activities through the remaining period of the project's base period. The first workplan focused on both technical and administrative startup, as well as key tasks and activities associated with ABC-LA's outreach and engagement, as well as mapping and analysis, especially associated with the initial programmatic assessments (IPAs). The IPAs were conducted to inform priority thematic interventions and sites, and contribute to the development of the project's theory of change (TOCs). Outputs generated during the project's initial stage were critical to informing and planning tailored, country-specific interventions and implementation moving forward.

BACKGROUND

The increase in oil and gas exploration and development as well as both legal and illegal mining in Latin America has led to chronic low-grade socio-environmental conflict punctuated by periodic violence in communities in, or adjacent to, extraction zones. By creating enabling conditions for locally driven conflict resolution and improved natural resource governance, ABC-LA seeks to lay the foundation for key actors involved to better address the causes of environmental degradation and socio-environmental conflict associated with extractive activities in order to promote transformative change that reduces negative impacts on biodiversity and vulnerable communities.

ABC-LA is working with local stakeholders to reduce the harmful practices associated with extractive activities in selected biologically significant areas of Colombia and Peru where there is associated ongoing or potential conflict and environmental stress. In so doing, the project is focused on improving the capacities of communities and local governments in conflict resolution and natural resource governance including managing land tenure and property rights issues.

A key challenge for Peru, Colombia and other countries in the region is finding the right balance between advancing the goals associated with economic growth and the obligation to protect remarkably rich and diverse environmental and cultural patrimonies. While impressive economic gains, in large part due to increased extractive activities, have permitted nations in the region to reduce poverty levels over the past decade, this positive trend has been accompanied by significant increases in environmental degradation and growing pressures to biologically significant areas (BSAs) and nearby vulnerable groups including indigenous and minority communities. The expansion of legal and illegal extractive activities in increasingly fragile ecosystems is generating or contributing to pressures and stresses on biodiversity in protected areas and surrounding buffer zones, and threats to the well-being of vulnerable communities.

To address the identified problem scope, including the drivers, pressures and stresses represented in the situational model below, ABC-LA is working with local and regional stakeholders to create or strengthen enabling conditions to better identify and more effectively address causes of extractive activity related

environmental degradation and socio-environmental conflict with the aim of reducing negative impacts on biodiversity and vulnerable groups in the focal areas, including indigenous and minority communities.

By linking applied research, training, and application of culturally and gender-sensitive participatory conflict assessment and resolution approaches, ABC-LA seeks to provide the means by which all stakeholders can better prevent and address adverse social and environmental impacts resulting from extractive activities. With improved understanding and capacity, as well as better tools and approaches to identify and prevent conflict, monitor biological and social impacts, and enhance land tenure and land use planning, ABC-LA-assisted stakeholders will move toward achieving the project's goals and objectives.

The recipients of project supported interventions will include local and regional governments, civil society and community-based organizations (CSOs) and associations, as well as private sector and non-governmental organizations (NGOs), especially at the sub-national levels. Where appropriate, the project will also work with a similarly broad range of stakeholders at the national and regional levels to advance policy objectives and improved approaches that are tested and informed by interventions and results at the sub-national levels. The project will not merely focus on building capacity and skill sets or sharing best practices and tools, but will also promote their effective use, through collaborative processes that bring together multiple stakeholders, including "un-likeminded" groups, to advance common goals.

PROJECT GOALS

The ABC-LA project goal is to improve indigenous/minority community and local/regional governmental capacities to better address conflicts in the extractives sector that may negatively impact biologically significant areas, thus leading to greater inclusion of marginalized groups. The project will cover areas of high biodiversity in Colombia and Peru where there is on-going or potential conflict between the extractive sector and vulnerable indigenous or local communities. The focal components are biologically significant areas and vulnerable local and indigenous communities.

INITIAL PROGRAM ASSESSMENTS AND SITE SELECTION

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 were to help inform project critical tasks including the identification of threats to BSAs posed by extractive activities as well as related threats associated with ongoing and emerging socio-environmental conflicts. The results of the IPAs informed the further development of the project's theory of change (TOC) and work planning, including planned activities and the selection of sites at the sub-national level where ABC-LA is prioritizing programmatic efforts in Peru and Colombia.[1]

The project's primary point of entry is at the sub-national and community level and the IPA process provided the basis for selecting four priority sites where ABC-LA will focus programmatic attention over the next 15 months. Following the completion of the IPAs and subsequent consultations with USAID

[1] In Peru, IPAs were conducted in Piura, Loreto, Ucayali, Madre de Dios and Puno. In Colombia, IPAs were conducted in Santander and Putumayo, and subsequent desk studies and field assessments conducted in Antioquia, Choco and Caquetá. The extractive activities of most programmatic interest to ABC-LA include oil and natural gas exploration and exploitation, large scale legal mining as well as informal and illegal artisanal and small scale gold mining (ASGM) including both hard rock and especially alluvial mining.

representatives from Washington and the Missions in Colombia and Peru, approval was granted to prioritize ABC-LA efforts in Ucayali and Puno regions of Peru and in the departments of Santander and Caquetá in Colombia. Selection and approval of priority geographic areas provides the project a more focused perspective from which to develop an updated and improved theory of change, concentrating on the dynamics associated with extractive activities on biodiversity and vulnerable communities.

USAID BIODIVERSITY CODE

The ABC-LA project is funded through the biodiversity earmark, yet it will operate at the intersection of biodiversity, conflict, and natural resource governance including land tenure issues. As such, the challenge for the project is to design activities that address sources of conflict and problems of natural resource governance, but that also ultimately support the reduction of threats to biodiversity. The project team has and will continue to use the recently published USAID Biodiversity Code to guide project interventions to ensure the program is faithful to its intended biodiversity focus. Specifically, ABC-LA will program activities to conform to the Code's four key criteria, namely:

- The program must have an explicit biodiversity objective; it is not enough to have biodiversity conservation result as a positive externality from another program
- Activities must be identified based on an analysis of drivers and threats to biodiversity and a corresponding theory of change
- Site-based programs must have the intent to positively impact biodiversity in biologically significant areas ; and
- The program must monitor indicators associated with a stated theory of change for biodiversity conservation results.

This workplan is organized along the following lines.

Section I	Introduction and background
Section II	Project overview and conceptual model including the updated theory of change
Section III	Higher level project plan; and,
Section IV	Country specific plans for Peru and Colombia, primary interventions and activities

Additional information is included in the following annexes:

Annex A.	Detailed Activity Plan, organized by country and region/department
Annex B.	Performance Management Plan (PMP)
Annex C.	ABC-LA Fact Sheets: English- and Spanish- language versions
Annex D.	Summary background on the Initial Program Assessments and Site Selection

II. CONCEPTUAL MODEL

Using the USAID Biodiversity Code and recently issued Biodiversity Policy as key points of reference, ABC-LA has developed an overall Theory of Change (TOC) that will provide the basis for developing and defining the project's metrics of performance as illustrated through the presentation of the following:

1. **ABC-LA Situational Model** – identifies the problem scope, biodiversity focal components, corresponding conditions, pressures and stresses, and primary programmatic interventions.

2. **Theory of Change** – presents the results chain and programmatic interventions and activities, along with corresponding intermediate level results, objectives and results leading to the project's overarching goal.

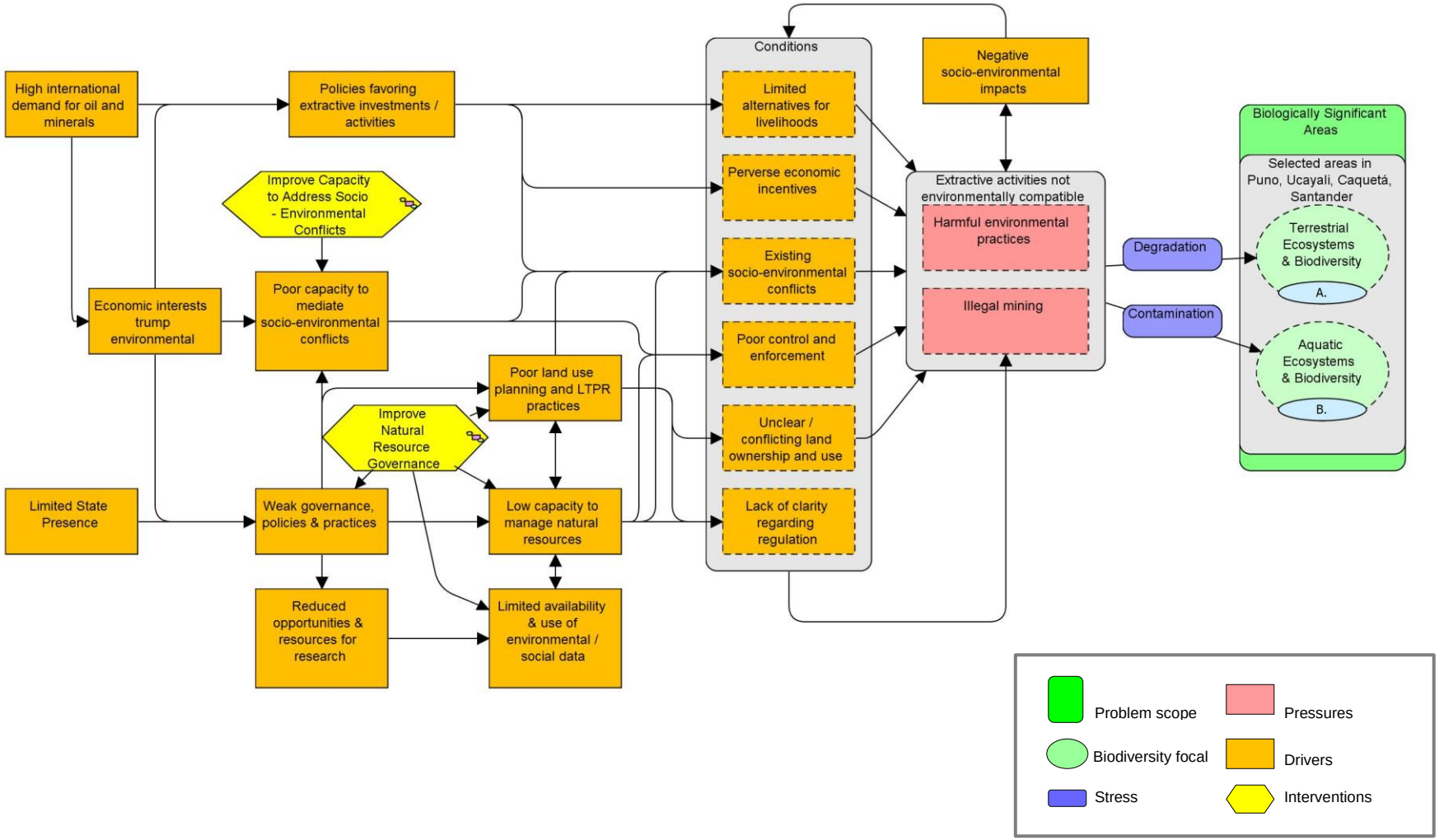
Taken as a whole, these constitute the ABC-LA's overall theory of change or development hypothesis which describes how the project intends to address the identified conditions, pressures and stresses to advance and achieve objectives throughout the period of programmatic intervention. The TOC also describes results and outcomes engendered by interventions both during and beyond the implementation period. Project objectives and associated indicators, corresponding to the overall TOC are presented in greater detail in Section III. Additional details can be found in the Performance Management Plan (PMP) included as Annex B.

SITUATIONAL MODEL

The project's situational model as represented in the graphic below takes as a starting point, that the expansion of extractive activities over the past decade has fueled impressive economic growth as well as correspondingly dramatic increases in pressure on environmentally fragile ecosystems, biodiversity, and socio-environmental conflict. Global market forces, pro-growth strategies and corresponding policies and practices in Colombia and Peru have prioritized investments in the extraction of hydrocarbons and other mineral resources in increasingly more remote, historically marginalized and biologically significant areas. Along with the growth of legally sanctioned extractive activities, the region has also witnessed a dramatic growth in illegal and unregulated extractive activities, especially alluvial gold mining. Policies favoring extractive activities also contribute to weak or poor environmental or natural resource governance.

Weak or poor natural resource governance coupled with the negative impacts associated with legal and illegal extractive activities are contributing or causing challenges to social and environmental well-being, including increased stress to ecosystems, habitats and biodiversity. Shortcomings in governance combined with the negative social and environmental impacts associated with extractive activities provide the enabling conditions or drivers leading to pressures that result in growing environmental degradation and increased social conflict. If unaddressed, continuing, and increasingly severe, negative social and environmental impacts in the project's focal are likely as is the potential for severe and potentially irreversible impacts on biophysical conditions and vulnerable groups in the selected priority areas of Puno and Ucayali in Peru and Caquetá and Santander in Colombia.

Figure 1: ABC-LA Situational Model



THEORY OF CHANGE

The starting point for the Natural Resource Governance and Socio-Environmental Conflict Management Results Chain begins with the terrestrial and aquatic ecosystems of the biologically significant areas within Puno, Ucayali, Caquetá and Santander that are pressure from the direct and indirect effects of extractive activities.

The ABC-LA goals are to ensure the healthy conditions of the terrestrial and aquatic ecosystems in selected Project Focal Areas by reducing the stresses and related pressures posed by illegal gold mining and other harmful practices associated with extractive activities. Even though this reduction of pressures will not be achieved during the 5 years of the project, ABC-LA will be able to establish pre-conditions for, and demonstrate initial trends towards achieving these goals through the two proposed over-arching interventions.

These programmatic interventions focus on strengthening local capacity to better address socio-environmental conflict and natural resource governance in the focal areas. These interventions generate a series of intermediate results spaced throughout the project that will lead to the reduction of the pressures and the achievement of the project goals. Successful interventions in the Project Focal Areas will result in reduced marginal growth rate of illegal gold mining and other harmful practices associated with extractive activities, thereby reducing degradation of biophysical conditions in BSAs. In order to be able to measure the progress along this results chain toward this goal and verify the completion of the intermediate results, ABC-LA has proposed 11 objectives and corresponding indicators.

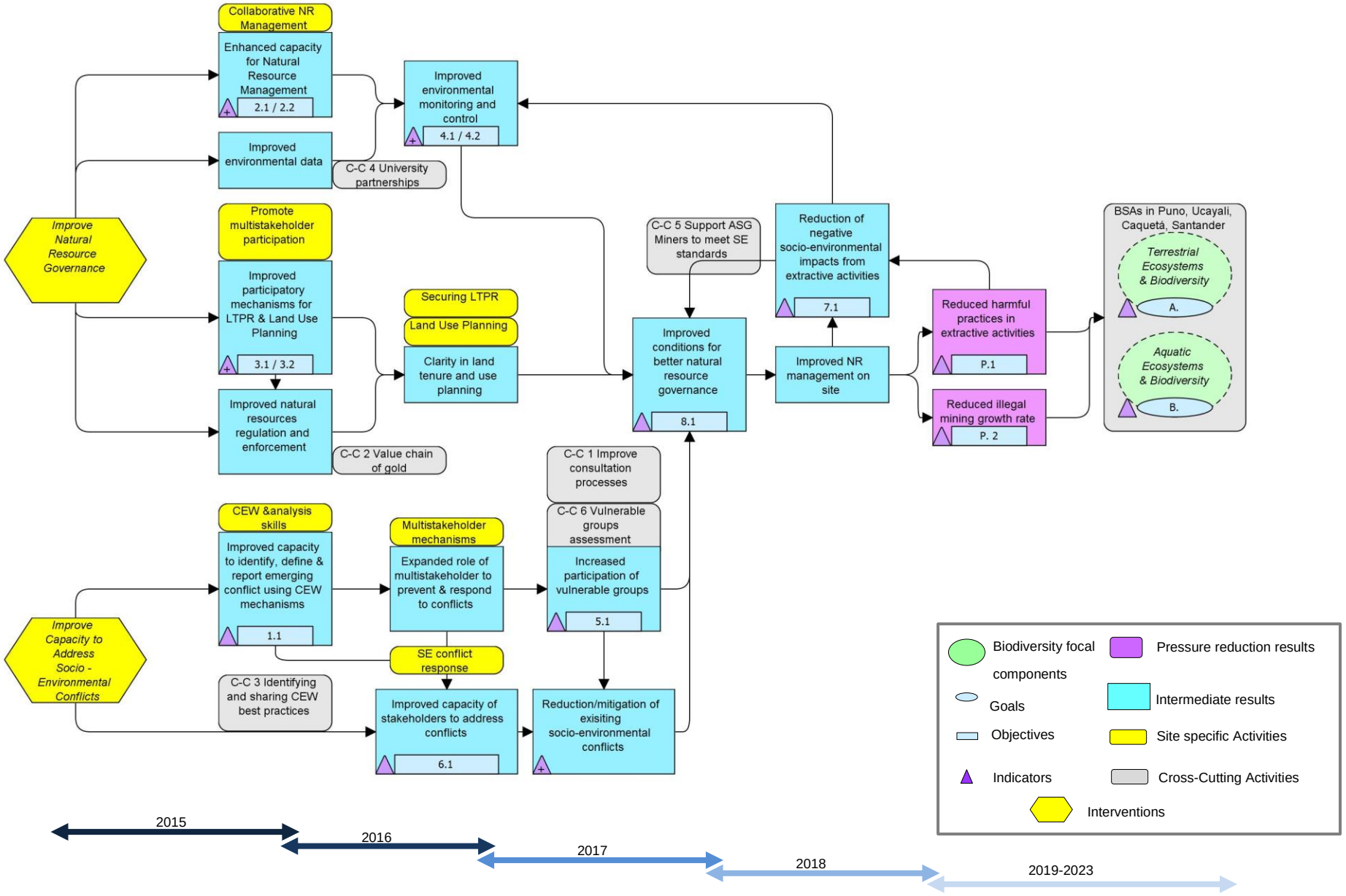
Underlying the ABC-LA approach, is the premise that if capacities are strengthened to more effectively prevent, mitigate and respond to socio-environmental conflict then, more favorable conditions for balancing competing and conflicting interests in and around BSAs will strengthen the basis for improved environmental and social protections, with resulting positive outcomes, including more favorable conditions for improving natural resource governance.

However, addressing pressures associated with socio-environmental conflict in the focal areas is necessary to achieve the desired outcomes, these interventions alone are insufficient. They must also be accompanied by corresponding efforts to improve natural resource governance including land tenure and land use, especially where legal and illegal extractive activities pose existing and growing pressures.

If natural resource governance is improved, including better regulation and enforcement; more secure and better defined land tenure, property rights (LTPR); and improved zoning in and around BSAs, then environmental stewardship will be enhanced resulting in a decreased rate of deforestation and habitat loss.

The proposed goals, primary interventions and objectives associated with the biodiversity focal components and the pressure reduction and intermediate results, along with proposed indicators are presented in Section III immediately following the results chain graphic below.

Figure 2: Natural Resource Governance & Socio-Environmental Conflict Management Results Chain



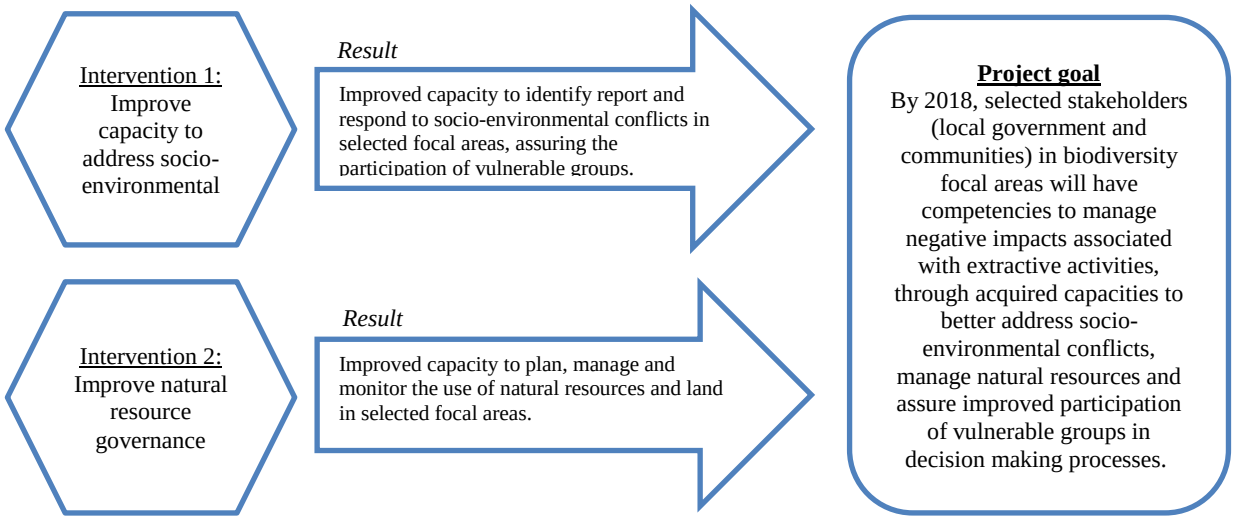
III. HIGH LEVEL PROJECT PLAN

The ABC-LA project provides an inter-disciplinary approach that takes into account and assesses, with appropriate rigor, the complex dynamics that constitute defined pressures to fragile ecosystems and biodiversity and threats to vulnerable communities. Programmatic interventions are tailored to strengthen local capacity to better address key challenges and negative impacts associated with extractive activities. In the process, the project will engender specific improvements in the priority areas and provide proofs of concepts, lessons, effective models, methodologies and innovations that are worthy of replication and application elsewhere. Rather than focusing on addressing long-term extractive-related conflicts, ABC-LA will bring together trained professionals, conflict management tools and innovative approaches with the aim of strengthening local capacities to better address challenges that are negatively impacting local communities and their natural environments.

ABC-LA GOALS AND PRIMARY INTERVENTIONS

The ABC-LA project goal is to improve indigenous/minority community and local/regional governmental capacities to better address conflicts in the extractives sector that may negatively impact biologically significant areas, thus leading to greater inclusion of marginalized groups. The project will cover areas of high biodiversity in Colombia and Peru where there is on-going or potential conflict between the extractive sector and vulnerable indigenous or local communities. The focal components are biologically significant areas and vulnerable local and indigenous communities.

Figure 3: ABC-LA Higher Level Interventions, Results and Project Goal



Prospects for achieving project goals flow directly from the objectives, activities and results associated with the project's two primary interventions, i.e. those focusing on improved conflict prevention and response capacity and enhanced natural resource governance. ABC-LA anticipates that by 2018 selected stakeholders (local government and communities) in biodiversity focal areas will have required competencies to manage the negative impacts associated with extractive activities, through acquired capacities to better address socio-environmental conflicts, manage natural resources and assure improved participation of vulnerable groups in decision making processes. During the project's base period ending

in September 2015, we propose indicators along the following lines to help measure performance and discern progress toward achieving the project's goal.[2]

- # of districts or municipalities with improved capacity to identify and report socio-environment conflicts through conflict early warning training;
- % of addressed gaps in capacities to improve NRM in selected BSAs;
- # environmental monitoring reports developed / disseminated by universities / research institutes; and
- % of vulnerable groups including indigenous communities that have improved their participation in CEW mechanisms / systems in focal areas.

The impacts and results associated with the primary interventions and associated activities and tasks through 2018 will contribute directly to the pressure reduction results referenced in the theory of change and to achieving the project goal. For reducing the growth rate of illegal mining, we would expect that by 2021 that the annual growth rate of land negatively impacted by illegal mining activities in selected priority areas (within and around BSAs) will be reduced to 70% of its former value at the beginning of the project. For reducing harmful practices from other extractive activities, we would expect that by 2021, 50% of extractive activity actors in selected areas (within and around BSAs) will have adopted at least two good practices in their operations.

Over the longer term beyond the period of project implementation, we propose as aspirational goals those associated with biodiversity focal components, where if our theory of change is valid and interventions through 2018 successful, we would expect to have created the enabling environment in which the marginal growth rate of harmful practices resulting in contamination and degradation associated with extractive activities in the focal areas to have been reduced with corresponding measurable impacts on biophysical conditions in selected terrestrial and aquatic ecosystems. The aspirational or ultimate goals beyond the period of implementation envisages that by 2023, at least 25% of the original extension of the ecosystems within the focal areas remain under healthy conditions, as compared to base year indicators and that the level of water quality[3] in selected aquatic ecosystems and habitats will have improved at least in 25% as compared to base year indicators.

IMPROVING CONFLICT PREVENTION AND RESPONSE CAPACITY

Current and emerging sources, drivers and manifestations of negative socio-environmental impacts[4] and associated conflict diminish social capital and the level of trust that effective communities, societies and nations require to achieve and sustain peace and prosperity. Conflict causes instability, and instability in turn promotes greater levels of conflict as individuals and groups vie to protect increasingly narrow interests at the expense of social norms, the common good and broader well-being.

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[2] See additional indicators in the Performance Measurement Plan (PMP) attached as Annex B.

[3] Water quality as defined by pH, µg/Hg, and turbidity.

[4] Negative socio-environmental impacts associated with extractive activities may include: Conflicting or incompatible land use; Contamination and/or degradation (air, land and water); Impacts on community well-being (security, health, culture and livelihoods): Impacts from increased accessibility; Increased instances of child labor, sexual exploitation and human trafficking; and, Unfair labor practices, and occupational safety and health threats posed to extractive workers.

ABC-LA activities associated with this intervention will strengthen the capacity of local actors and agencies to better identify, report and respond to socio-environmental conflicts in the focal areas, assuring the participation of vulnerable groups. Key activities will focus on:

- Developing conflict early warning (CEW) capacities to help local actors to better identify, analyse and report sources of tensions and conflict address divergent and opposing interests;

- Building or strengthening multi-stakeholder networks and mechanisms to promote broader, inclusive, engagement of communities and authorities to improve awareness and understanding of the sources and nature of existing and emerging socio-environmental conflict; and,

- Improving the capabilities of local institutions and actors to better implement locally driven solutions to prevent, mitigate and manage socio-environmental conflict.

Improved awareness and education about the nature of conflict and appropriate means for identifying, reporting and tracking it are necessary for local government, communities and civil society to contribute to early warning and response efforts. Reducing conflict vulnerability requires a strategic approach, and improved CEW capacities should be seen as an effective component of broader efforts to address identified threats to communities and ecosystems in the focal areas. Improved CEW capacity of stakeholders will provide more reliable information, earlier and more accurately, so that local authorities and actors are better able to understand dynamics associated with socio-environmental conflict and better equipped to prevent, mitigate and manage both threats and the enabling conditions that give rise to them.

ABC-LA will work with local implementing partners to provide targeted technical assistance, training and capacity building modules to stakeholders to improve knowledge, skills and guidance for: conducting threat or risk analysis; monitoring sources and manifestations of tensions or conflict; and effectively communicating findings to authorities and others well placed to help respond effectively to identified threats and challenges. Project supported CEW capacity building efforts will be linked with corresponding activities to develop a more systematized approach, appropriate tools, and strengthened local institutions able to lead local conflict early warning, prevention and response efforts. Strengthened capacities for identifying, reporting and responding to sources of tensions and socio-environmental conflict in a timely and effective manner will help diminish the negative impacts associated with extractive activities on vulnerable groups, communities and fragile ecosystems in the focal areas.

STRENGTHENING NATURAL RESOURCE GOVERNANCE

Conflict and instability produce infertile ground for rules-based governance, and more often provide an enabling environment for arbitrary and capricious rule where “might makes right”. Legal and especially illegal extractive activities contribute to the further marginalization of already vulnerable groups and places additional stress on fragile ecosystems. It is both possible and preferred to have policies and practices favouring balanced, sustainable development and reasonable trade-offs to achieve economic growth and development goals while also protecting natural and cultural patrimonies.

Improved natural resource governance is required to address gaps and shortcomings in the focal areas, including: poor planning and resource use; unregulated exploitation and contamination; and, the lack of appropriate monitoring, mitigation and remediation efforts that result in the corresponding loss and degradation of habitats.

ABC-LA activities associated with this intervention are intended to improve local stakeholders' capacity to plan, manage and monitor the use of natural resources and land in selected focal areas, where extractive activities pose challenges to vulnerable communities and biologically significant areas. Key activities include support for:

- Collaborative processes and mechanisms to improve land use and natural resources management;
- Addressing demands for securing priority land tenure and property rights (LTPR); and,
- Strengthening local and regional capacities for improving land use planning.

The lack of effective regional planning, land use and natural resource management undermines collaborative and consensual decision-making by communities and societies, resulting in sub-optimal land use and excessive exploitation of natural resources. Weak natural resource governance contributes to the degradation of biologically significant areas, weakens community values and diminishes respect for rules-based behaviour and compliance with regulations. Lack of secure title, especially of community property of indigenous communities in and around BSAs in the focal areas, leads to the deterioration of both cultural and biological diversity.

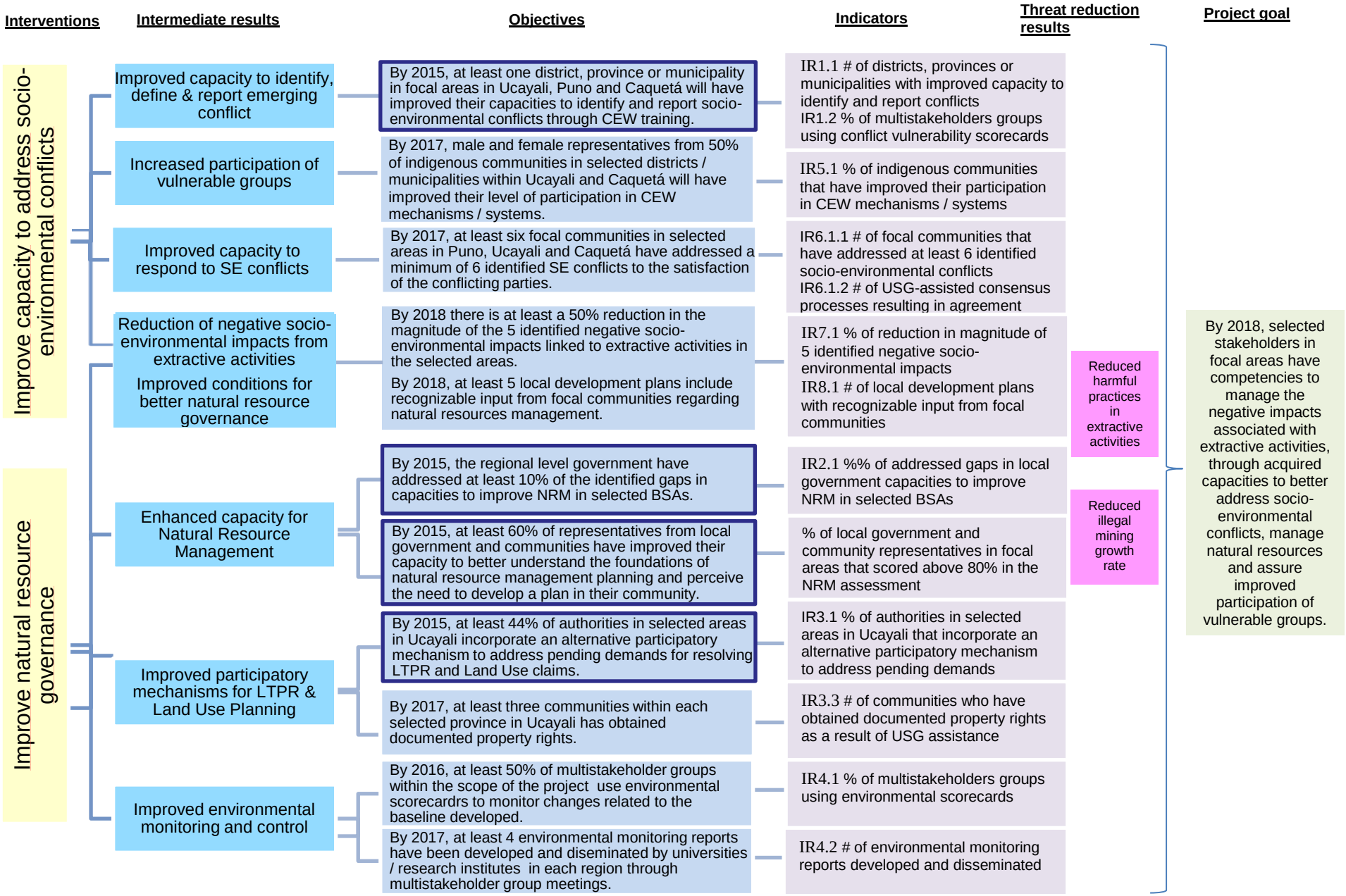
Project activities will help improve natural resource governance to better address pressures posed by extractive activities, thereby contributing to enhanced environmental stewardship and biodiversity conservation in the focal areas. ABC-LA will help build more effective linkages between and among stakeholders at the local, provincial and national levels to improve the alignment of policies and practices that help reduce and prevent negative impacts associated with extractive activities. The project will help develop and implement model environmental baseline assessment approaches; define standards and foster collaborative actions for monitoring terrestrial and aquatic ecosystems threatened by extractive activities; and promote more involvement and constructive interaction between communities, local universities and local, regional and national environmental agencies to improve planning, processes and outcomes.

In Ucayali and Caqueta, ABC-LA will work with stakeholders to help address vexing challenges associated emblematic cases of tenure and land use issues. In Puno, we will strengthen capacity and improve engagement of officials and communities to identify and address threats to protected areas, surrounding areas of influence and aquatic ecosystems under stress from illegal gold mining and other harmful practices associated with extractive activities. In Santander, ABC-LA will support the government's development of a master plan for the paramo of Santurban emphasizing consensus building and consultations leading to a long term sustainable management plan for this fragile ecosystem.

HIGHER LEVEL RESULTS AND OBJECTIVES

The project's primary interventions to achieve biodiversity centered goals are focused on improving local capacity to address socio-environmental conflict and improve natural resource governance. The primary means through which the project will achieve the referenced goals and results will be through project supported activities and facilitated efforts to increase capacity of local and regional partners equipped with model approaches, enhanced tools and more effective mechanisms to achieve the desired impact and results. ABC-LA's primary interventions, intermediate results, associated objectives and indicators are presented in the figure below.

Figure 4: ABC-LA Primary Interventions



CONFLICT SENSITIVE PROGRAMMING

The ABC-LA project team and local partners are committed to a conflict sensitive programming approach that will continue to inform our efforts throughout the programming cycle. The project has identified and incorporated into our planning, implementation and monitoring of activities key considerations for assuring that our programming efforts are infused with an understanding of, and appreciation for, conflict sensitive programming, including principles associated with "do no harm". These considerations include specific measures and approaches to convert these guiding principles into applied action and consistent practices throughout ABC-LA's project cycle.

These practices include incorporation of reflective measures as well as planning that recognizes that provision of aid is by definition a political act, even if not explicitly partisan, and as such generates political consequences and requires corresponding responsibilities. Due care and conflict sensitive programming also requires analytical measures (such as applied research approaches and tools) to define the sources and nature of conflict; capacity to transform dynamics and foster peacebuilding in operational terms; and to anticipate potential or actual impacts of interventions on conflict dynamics so as to design and implement more effective interventions.[5]

ABC-LA's approach has involved active engagement from a broad range of stakeholders and solicitation of input, diverse perspectives and expertise of the core project staff, consultants, and independent subject matter experts. Individuals with informed vantage points have made explicit their theories and thinking about challenges identified in focal areas; the nature and drivers of conflict and legacy of violence in these areas; and, informed perspectives on how primary interventions might unintentionally exacerbate tensions rather than help to address them.[6]

The IPAs, the situational analysis and theory of change (the foundation for proposed interventions and activities) are products of an intensively reflective processes that involved active outreach and engagement of external actors and range of key constituencies at multiple levels. These processes resulted in an improved understanding of complex dynamics and helped clarify our appreciation and articulation of key assumptions that will continue to inform our approach and implementation moving forward. These reflective processes have also heightened sensitivities about impacts, including unintended ones, that may result from activities and interactions with focal communities and organizations in the operating contexts of each of the focal areas. The nature and design of cross-cutting and site specific programming also include specific activities or components designed to promote reflection and improve understanding of political and conflict vulnerability dynamics so as to minimize the potential of doing harm.

INTERCULTURAL AND GENDER APPROACH

The ABC-LA Project seeks to integrate gender and intercultural approaches that, for example, focus on gender power relations within native communities, as well as the relations governing vulnerable groups' interaction with state, regional and local institutions, extractive companies, and informal and illegal

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[5] See for example, Wallace, M. (2014). *From principle to practice: A user's guide to do no harm.* Cambridge, MA and OECD/DAC Best Practices Guidelines.

[6] Anderson, M. B. (Ed.) (2000). Options for aid in conflict: Lessons from field experience. Cambridge, MA: CDA Collaborative Learning Projects.

extractive actors. The approach aims to ensure that capacity gaps in vulnerable groups are identified and addressed within the context of capacity building efforts related to both primary interventions. This requires an understanding of levels of marginalization and exclusion as well as of women's subordinate relationship within their communities. The project values indigenous people's ancestral knowledge and experience on nature and biodiversity and our efforts will reflect this appreciation including the contribution of women.

ABC-LA will focus on inclusive processes involving indigenous communities, with emphasis on women, to improve their ability to identify, define and prevent emerging socio-environmental conflicts and to participate effectively in related processes. Through improved local capacity to address sources of conflict and improve natural governance, ABC-LA also seeks to engender a positive impact on the quality of life of vulnerable groups in areas of biological significance.

CROSS-CUTTING OR TRANSNATIONAL ACTIVITIES

In each of the four sites – Puno, Ucayali, Caquetá and Santander – there is a confluence of factors and dynamics associated with pressures on biologically significant areas posed by a range of extractive activities including oil and gas exploration and legal and illegal mining. In each location 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 in the Andean and Amazonian region.

While the locus of ABC-LA programmatic intervention is at the sub-national levels in Colombia and Peru, the project will implement a number of higher-level or cross-cutting (CC) activities in response to identified pressures, threats, needs and opportunities directly related to the project goal and objectives. This set of cross-cutting tasks includes the following:

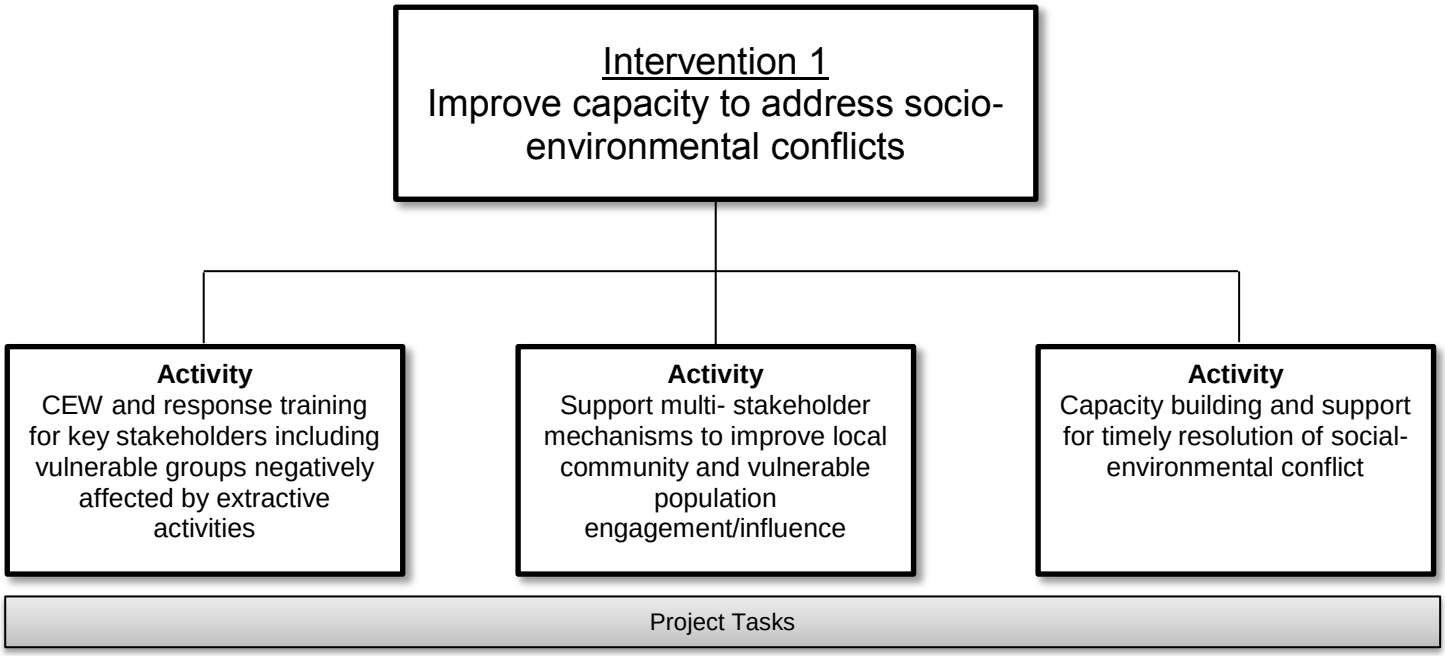
- Assess and promote multi-stakeholder dialogue on the rights to prior consultation
- Conduct analysis of value chain and chain of custody (COC) for gold
- Identify and disseminate best practices in conflict early warning (CEW) and resolution efforts
- Build and strengthen university partnerships – Environmental baselines and scorecards
- Promote public private partnerships matching private sector demand for responsibly mined gold.
- Assess impact of extractive activities on vulnerable populations and community dynamics, including through an inter-cultural and gender focused analysis.

The matrix below presents a summary of the cross-cutting activities including targeted assessments, analyses, regional workshops and seminars. These activities will be linked with, and help establish the platform for, corresponding and complementary site specific activities at the sub-national levels. Both cross-cutting and site specific interventions and activities will be implemented by locally and regionally based partners with technical backstopping and support from the ABC-LA project staff and key consultants from the region with the expertise to foster locally driven solutions.

Cross-cutting activities	Summary	Purpose	Partners / allies
AC-C#1. Assess and promote dialogue on the rights to prior consultation.	Collect, systematize and map existing donor supported initiatives; Provide analysis of areas of substantive areas of convergence / divergence between Government, Private Sector and Civil Society and Support workshops with key stakeholders to expand areas of convergence for best practices.	Contribute to means and opportunity to expand areas of consensus and help address current obstacles to realizing more effective and inclusive consultative processes in Colombia and Peru.	UN Special Relator on Rights of Indigenous Peoples; counterparts from the World Bank, OAS, Ombudsman Offices, Ford Foundation and GIZ.
AC-C#2. Conduct analysis of value chain of gold.	National level study Value Chain Analysis for gold in Colombia Sub-national level study of the COC for gold in Puno	Identify the dynamics associated with mining and sale of gold in Colombia, where 90% of gold is either mined or sold illegally. Support policy and practices to improve compliance with environmental, social and legal standards.	Better Gold Initiative (BGI), ANDI, Agencia Nacional de Minería (ANM), Ministerio de Minas y Energía (MME), Ministerio de Ambiente y Desarrollo Sostenible (MADS) y ARM.
AC-C#3. Identify best practices in conflict early warning and resolution efforts.	National level workshops in Peru and Colombia and a Regionally based conference.	Share best practices, techniques and lesson learned for conflict early warning and conflict resolution efforts by multiple stakeholders, including public and private sector partners.	Grupo de Dialogo Latinoamericano Mesa Permanente de Diálogo Colombia, GIZ, Grupo de Diálogo Minero Perú, Diálogo Sur as well as universities and both public and private sector partners.
AC-C#4. Build and strengthen university partnerships – Environmental assessments and score-cards.	Strengthen network of stakeholders and support expert analysis through environmental baseline assessments. -Provide basis and local mechanisms for measuring / assessing changes. Help identify and improve awareness about current, emerging and cumulative threats; and, Inform decision making, policies and practices to improve NRM/Governance.	Articulate the CEW and environmental management efforts.	OEFA, IIAP, SINCHI, UNIA, UNAP, HESN and HEP.
AC-C#5 Promote Public Private partnerships – responsibly mined gold.	Strengthen capacities of artisanal miners to meet environmental and social standards Facilitate certification of responsible mining operations; Collaborate with public and private sector to generate incentives for responsible mining; Foster conditions to bring private sector demand for responsibly mined gold closer to certified and strengthened producers	Promote formalization processes led by the government through the ASG mining strengthen.	HESN, Better Gold Initiative (BGI), CECOMSAP, UNAP, SERNAMP, Ministerio de Energía y Minas.
AC-C#6. Impact assessment of extractive activities on vulnerable populations.	Conduct a qualitative assessment and analysis of intercultural and gender dynamics associated with vulnerable populations in priority areas in and around BSAs and especially indigenous communities threatened by extractive activities.	Provide qualitative data and analysis to inform broader and site specific project interventions and approaches for addressing referenced threats and systematic marginalization of vulnerable groups / communities.	Organización Regional AIDESEP Ucayali (ORAU), Organización de los Pueblos Indígenas de la Amazonía Colombiana (OPIAC) and Mancomunidades

SITE SPECIFIC INTERVENTIONS, ACTIVITIES AND TASKS

Figure 5: Intervention 1 - Improve capacity to address socio-environmental conflicts

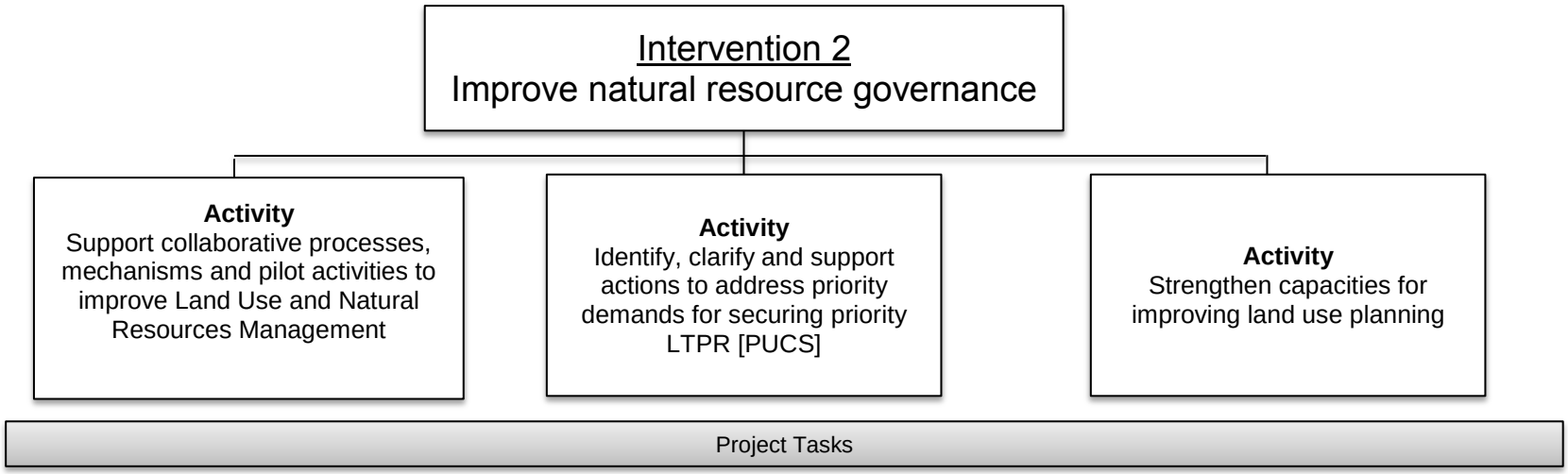


- Assessment of existing CEW tools & capacity
- Training on the components of CEW systems and conflict resolution skills
- Provide tools and methodologies to improve CEW capacity for vulnerable populations

- Identify existing multi-stakeholder mechanisms and gaps in participation among vulnerable populations
- Build capacity and advocacy skills of stakeholders · Conduct outreach/engagement for non-participating stakeholders
- Support targeted activities with multi-stakeholder groups to encourage information sharing, inclusive and participatory dialogue, and CEW & resolution

- Design and develop capacity-building modules in priority areas in which BSAs and vulnerable populations face current/ emerging threats from extractive activity
- Deliver capacity-building and training of trainer modules to local and regional government, civil society, and indigenous and other community leaders
- Support actions by local actors to prevent and reduce conflict in selected areas.

Figure 6: Improve natural resource governance



- Support inclusive participatory processes and multi-stakeholder mechanisms (Environment Management Committees / Mancomunidades) to improve protection, conservation and management of protected areas and BSAs [PUCS]
- Support pilot efforts to reduce, mitigate, better monitor environmental threats to BSAs (and vulnerable communities) through:

1) Formalization of ASG miners and testing of clean technologies for alluvial gold mining in Puno, (See outputs for CC 5)
2) Support inclusive series of participatory dialogue regarding competing and conflicting interests on land use, NRM and environmental services associated with the paramo [Santander]

- Identify & prioritize LTPR petitions involving BSAs, extractive activities and vulnerable populations [CU] · Conduct institutional capacity assessment and gap analysis to identify and help address weaknesses, gaps necessary for improving inclusive LTPR processes and mechanisms
- Promote awareness, engagement and informed participation of Indigenous communities, civil society, women and marginalized groups in LTPR processes.
- Provide selected petitioners with technical assistance, legal services, and mapping efforts to improve processes and outcomes of priority LTPR cases, including especially communal property right titles [U] and expanding existing territories [C]. [CU]

- Analyze obstacles to better integrating and systemizing participation of vulnerable communities in Land Use Planning · Raise public awareness on the needs and benefits of improved Land Use Planning to improve Natural Resource Management and Governance
- Strengthen capacity of stakeholder institutions / organizations to improve inclusive processes and mechanisms involving especially vulnerable populations in Land Use Planning.
- Support Land Use Planning sessions and workshops to develop and validate inclusive land use proposals (linked with Life Planning, Regional Development Planning, Environmental and Economic Zoning (EEZ). [UC]

LINKING CROSS-CUTTING AND SITE SPECIFIC ACTIVITIES

During the base period, ABC-LA will implement both cross-cutting and corresponding site specific activities to support improved capacity to address socio-environmental conflict[7]. In November 2014, ABC-LA will issue subcontracts to conduct the vulnerable groups assessment (cross-cutting activity #6) of focal communities in Puno, Ucayali and Caquetá. This study will measure community level and local knowledge, attitudes, perceptions and practices (KAPP) about specific extractive activities and socio-environmental and other impacts, including sources and drivers of conflict.

The resulting data and findings will inform site specific activities to strengthen local capacities linked with conflict early warning (CEW) systems and inclusive natural resource governance interventions. Findings will also serve as a baseline to assess changes over time, including those attributable to project interventions. Subsequent activities in the focal areas will help build the capacity and platform for locally based CEW systems and strengthened multi-stakeholder mechanisms, to assure that local actors are engaged as protagonists in driving more effective, locally driven, conflict prevention and response efforts. Best practices in conflict early warning and response efforts will be identified and shared at multiple levels (through cross-cutting activity #3) and linked with activities to promote inclusive consultative processes (cross-cutting activity#1).

In November 2014, ABC-LA will also issue awards and provide technical assistance in support of university partnerships engaged to conduct environmental baseline assessments in project focal areas (cross-cutting activity#4) and especially biologically significant areas under pressure from existing and emerging extractive activities. Environmental baseline assessments in Ucayali and Caquetá will include analyses of both terrestrial and aquatic ecosystems and corresponding biophysical conditions. The corresponding assessments in focal areas of Puno and Santander will be more narrowly focused to address gaps in available environmental data and the applied research, such as that currently implemented by Humboldt and Colombia's Ministry of Environment in Santander.

Data and findings from the environmental baselines will inform site specific activities ABC-LA will implement through the base period and beyond (if applicable) including assistance to improving processes and outcomes for environmental planning, monitoring, land use and natural resource management. Data and key findings from baseline assessments and improved environmental monitoring in focal areas will provide the basis for improving the availability and access to reliable data, collected and analyzed by independent, government approved, institutions. It will also serve as a source of scientific, evidenced-based data to inform and influence policies and practices for reducing pressures on BSAs.

Cross-cutting activities like the vulnerable groups assessment and environmental baselines will also inform the project activities supporting emblematic cases involving land ownership, use and zoning in the focal areas of especially Ucayali and Caquetá where indigenous communities are particularly vulnerable to negative impacts involving LTPR and existing or emerging extractive activities.

ABC-LA will support public-private partnerships to promote responsibly mined gold (cross-cutting activity #5) and identify opportunities to improve formalization processes, and support applied research in partnership with the Swiss-funded Better Gold Initiative for improving ASGM policies and practices (cross-cutting activity#2).

[7] Please see the Activities Matrix included as Annex A.

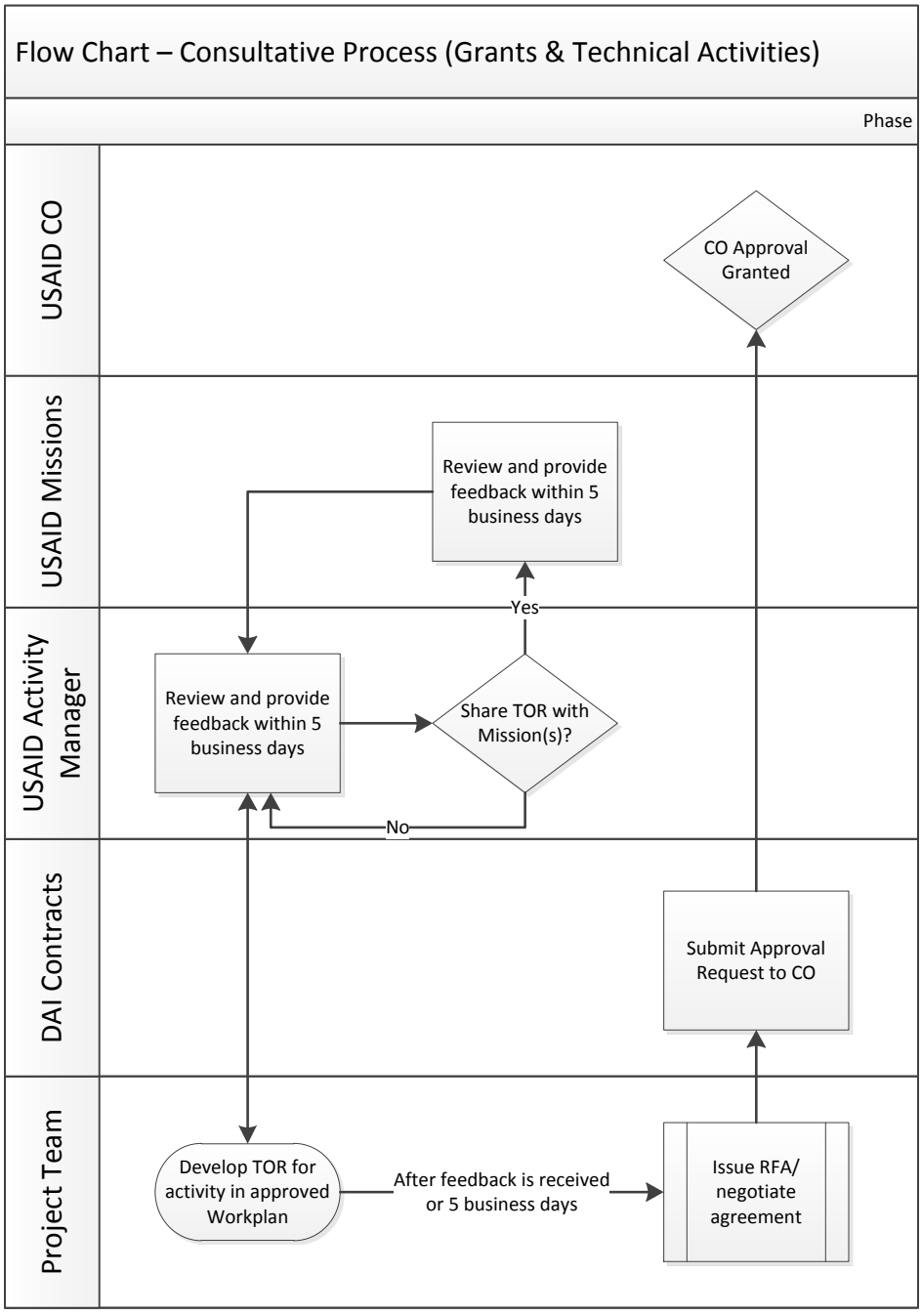
MECHANISMS FOR IMPLEMENTATION AND CONSULTATION

ABC-LA has a number of implementation mechanisms available to support the activities contained in this workplan. ABC-LA aims to implement activities through and with local government and community based organizations to the maximum extent possible in order to ensure sustainability and transferability of skills and tools developed. As a result many ABC-LA tasks and activities will be implemented through Grants under Contract (GUC) or Subcontracts. GUC in particular support the project's efforts to build capacity and support locally driven change.

Project activities and interventions will be carried out primarily by locally and regionally based partners with backstopping and support from ABC-LA project staff and key consultants from the region with the appropriate expertise to foster locally driven solutions.

The project's Grants Manual has been completed in accordance with DAI policies and procedures and submitted to USAID. The activity cycle, illustrated on the next page depicts the process for developing, designing and making awards.

As a multi-stakeholder project, it will be important for ABC-LA to consult often with the Washington-based Activity Manager and COR, and counterparts in the USAID Missions in Colombia and Peru. At the same time, this consultative process must be agile and efficient to allow project activities to move forward quickly. Figure 7 below describes the process envisioned by the project to ensure effective and efficient consultation mechanism with key stakeholders. The graphic representation of the ABC-LA project cycle follows.


Flow Chart – Consultative Process (Grants & Technical Activities)
Phase
USAID CO
USAID Missions
USAID Activity Manager
DAI Contracts
Project Team
CO Approval Granted
Review and provide feedback within 5 business days
Yes
Review and provide feedback within 5 business days
Share TOR with Mission(s)?
No
Submit Approval Request to CO
Develop TOR for activity in approved Workplan
After feedback is received or 5 business days
Issue RFA/ negotiate agreement

Draft ABC-LA Illustrative Activity Cycle

IV. COUNTRY SPECIFIC PLANS

While all project activities are linked by the project's goals, objectives and primary interventions, country-specific activities, tasks, strategies and approaches will be informed by prevailing contexts in Colombia and Peru and will be focused on addressing priority identified needs and opportunities present in each operating context.

The project's capacity to partner for success and the degree to which interventions and activities contribute to localized solutions (i.e. approaches that can be sustained and expanded precisely because they reflect the interests of stakeholders) will be fundamental to ABC-LA's ability to achieve its intended results. A key to the project approach is the support for developing and aligning an interconnected set of actors – governments, civil society, the private sector, university and citizens, among others – at various levels that can jointly and severally contribute more effectively to address the identified challenges that extractive activities pose to biodiversity and community well-being.

In each of the four priority areas of programmatic intervention, ABC-LA will work closely with at least one strategic implementing partner, as well as a range of other stakeholders from government, civil society including the private sector and local communities. In Puno, we look to work in close collaboration with, and complement the initiatives of the Wildlife Conservation Society (WCS) and with implementing partners like ProNaturaleza and Universidad Nacional de Altiplano (UNAP) as well as the Mancomunidades in Amazonia de Puno (MAP) in northern Puno. In Ucayali, we are working closely with key partners such as Instituto de Bien Comun (IBC) and the Universidad Nacional de Ucayali (UNU) and Grupo Regional de Monitoreo de Megaproyectos de Ucayali (GRMMU).[8]

Similarly in Colombia, we look to work with key implementing partners like the Fundacion Patrimonio Natural, FondoAccion and Red Caquetá, as well as the Corporación para el Desarrollo Sostenible del Sur de la Amazonía Colombiana (CORPOAMAZONIA) en Caquetá, SINCHI and local universities in the Piedemonte region. For activities in Santander focusing on the Paramo de Santurban, we are collaborating closely with the Ministerio de Ambiente y Desarrollo Sostenible (MADS) and specifically the Department of Forests, Biodiversity and Environmental Services as well as German Cooperation (GIZ) and partners from the Universidad de las Andes (UniAndes) and the Universidad del Rosario, as well as the Corporación Autónoma Regional para la Defensa de la Meseta de Bucaramanga (CDMB).

In addition, the project is working closely with the Colombia-based Foundation for Conservation and Sustainable Development (FCSD) to provide strategic programmatic support for ABC-LA initiatives and to advance shared objectives as well as with the Swiss-funded Better Gold Initiative (BGI) to support initiatives in Colombia and Peru to improve responsible mining practices that conform with good practice and comply with environmental and social standards.

[8] GRMMU is a multi-stakeholder mechanism established over 8 years ago in Ucayali that brings together 41 different government and non-governmental actors, agencies, associations and institutions to address priority issues and challenges in the region.

In all regions or departments, we will work closely with key stakeholders from government, civil society and communities, and focus on building local and regional capacities and facilitating collaborative practices necessary to better address sources of socio-environmental conflict and improve natural resource governance in response to challenges associated with extractive activities.

The following provides country and region specific context and challenges as well as corresponding interventions and activities.

PERU

NATIONAL

Peru is among the world's top ten most biologically diverse countries, possessing 84 out of the 104 existing bio-climates, 8 biogeographic regions and three hydrographic basins which contain 12,201 lakes, 1,0007 rivers, and 3,044 glaciers.[9] The country is also among the most diverse culturally, with an indigenous population comprised of 60 different ethnic groups and 47 indigenous languages.

At the same time, the country is in the midst of a sustained period of economic growth, a boom largely fueled by the exploitation of the county's rich natural resources – copper, silver, lead, zinc, oil, natural gas and gold – with average annual growth rates in gross domestic product (GDP) of 5% or more over the past decade and projections of sustaining these levels of growth through at least 2018[10]. While the level of economic performance has been impressive, it has come with growing costs in terms of corresponding negative social and environmental impacts associated with the extractive activity that has largely fuel this growth.

Much of the country's natural resources and mineral wealth is found in or near biologically significant areas (BSAs) including the Andean mountain range and the Amazonian rainforest. In Ucayali and Puno, increased extraction of non-renewable resources including oil, natural gas and gold (both legal and illegal mining) has contributed to environmental degradation and contamination, fostered tensions over land ownership and land use, and has exacerbated social-environmental conflicts. These negative environmental and social impacts associated with extractive activities have also disproportionately affected vulnerable populations, including indigenous or "native" communities in Ucayali and "campesino" communities in Puno. Since 2004, when the Peruvian government began systematically registering social conflicts, there has been a significant increase in conflict directly associated with the growth of extractive activity and its associate negative impacts. Last year, the Ombudsman's Office registered a total of 213 social conflicts, of which 63.8% (136) were designated as socio-environmental conflicts in nature, followed by 10.8% (23 cases) associated with local governance issues and 7% (15 cases) attributed to land related conflict.[11]

The rapid expansion of extractive activities has been especially pronounced in remote and environmentally sensitive areas. In these areas, there is limited government presence and capacity to

[9] http://www.biodiversidad.gob.mx/planeta/internacional/paises_megadiversos.html
http://www.cbd.int/iyb/doc/celebrations/iyb-peru-megadiverso-es.pdf
[10] http://www.latin-focus.com/spanish/countries/peru/peru.htm
[11] Conflictividad: Defensoría del Pueblo, Informe No. 119.

mediate disputes, enforce rules, and guarantee protection for BSAs and vulnerable populations whose identity and sustenance is closely linked to environmental conditions. The environmental degradation and marginalization of vulnerable groups are exemplified in stark relief by the deforestation of over 70,000 hectares of tropical forests in Madre de Dios – widely consider a showcase of weak natural resource governance and unchecked environmental devastation.

Over the past decade, illegal mining operations have grown dramatically contributing to widespread contamination of the terrestrial and aquatic ecosystems with the heavy metals and toxic materials such as mercury. The completion of the inter-oceanic highway in 2006 dramatically improved access to the once remote frontier region within Peru's Amazon. Improved access combined with increasing global gold prices and the absence of an effective state presence all contributed to an enabling environment that has fostered environmental degradation, contamination and increased marginalization of vulnerable groups.

The Government of Peru (GOP) is trying to reconcile its duel responsibilities – to promote economic growth and therefore extractive activities, while also protecting the nation's environment and vulnerable populations from the negative impacts of those very same activities. While extractive activities are contributing significantly to the former, they are also contributing to ongoing and increasing challenges, both environmental and social, that require more effective action. The government recognizes that better efforts are required to manage the tensions between extractive activities and the negative socio-environmental impacts associated with them as illustrated by the Government's creation of the National Office for Dialogue and Sustainable Development and the naming of a High Commissioner in charge of leading efforts to combat illegal mining.

PUNO

Context, Pressures and Threats

Puno is a region of global importance for conservation biodiversity. It possesses some of the most important protected areas in Peru, such as the National Reserve of Titicaca, the Bahuaja Sonene National Park and Reserve Zone Cerro Khapia. The National Reserve of Titicaca plays a key role in the economic activities of the surrounding population, including artisanal fishing, and the use of the Totora plant as food, medicine, and weaving material. Puno is also rich in highly valued minerals such as tin, lead, gold, silver and zinc. Its silver reserves constitute about 5% of the national reserves, and its tin reserves constitute 10% of the national reserves. Exploration is also underway in the region for possibly significant reserves of uranium. Puno's biologically significant areas, including buffer zones, and watersheds, as well as the aforementioned parks are under significant pressures associated with extractive activities of various scales, especially informal and illegal gold mining.

Puno, like the country as a whole, has experienced an economic boom, but this growth has not translated into effective or broad-based development due in part to the prevalence of informal or illegal activities such as trafficking of contraband to and from Bolivia which is then distributed from Puno to the rest of the country.

Puno is also home to numerous indigenous Aymara groups, many of which are represented in the Union of Aymara Communities (UNCA) as well as rural communities (*comunidades campesinas*) that are of mixed heritage according to their classification by the government. The Ministry of Culture has determined that in Puno only the Quechua, Aymara, and Uros Jacaru communities warrant special legal

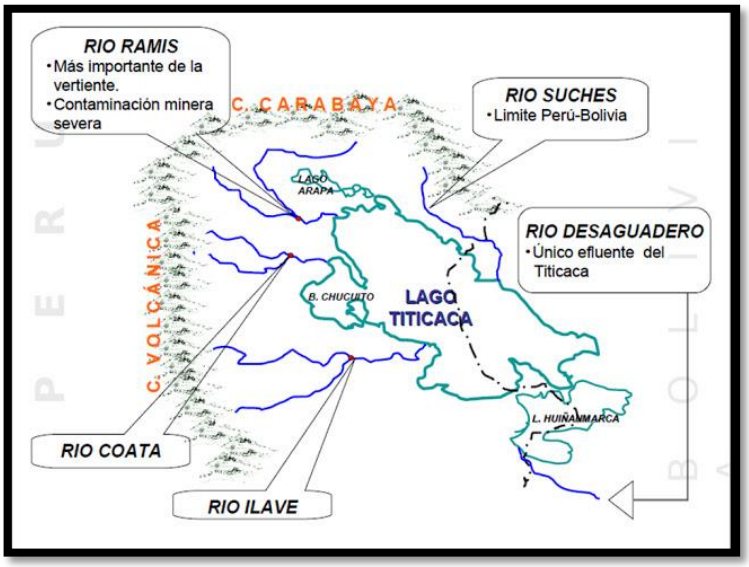
designation and protections such as the right to prior consultation authorized under the terms of existing international treaties such as the International Labor Organization's convention 169.

There is widespread legal and illegal gold mining underway in Puno, both hard rock and alluvial gold mining, including in the highland areas in places like Ananea and in Puno's Amazonian region in and around the national park in Carabaya and Sandia provinces. In Ananea, there is a clear need for assistance in the ongoing formalization process in which some community based mining associations have expressed interest in transforming the way they operate in order to conform to legal requirements including compliance with improved environmental and social, as well as fiscal standards.

The region has attracted significant investments in *legal* extractive activities including large and medium scale mining operations. However, these legal mining operations are not without controversy or tension with local communities. One such operation is MINSUR, which extracts tin from its center of operations in San Rafael is currently the subject of legal proceedings brought by the special prosecutor for environmental issues related to negative environmental impacts including degradation in the Condoraque and Quilcopunco areas.

Apart from the biological significance of Lake Titicaca, its National Reserve and other neighboring BSAs, these areas also serve as a source of sustenance and income for vulnerable populations in the area as well as economic opportunities associated with tourism. Degradation of these BSAs, including the contamination of Lake Titicaca itself poses a significant threat to the biodiversity of the region as well as the livelihoods of these vulnerable groups.

Figure 8: Lake Titicaca and Rivers in Puno



Programmatic interventions and planned activities

In the focal areas of the Puno region, ABC-LA will work in both and highlands or sierra as well as in the region's Amazonian region which includes the northern provinces bordering Madre de Dios. There, programmatic attention will be centered on the areas of influence in and around the Parque Bahuaja Sonene, specifically in the provinces of Sandia (distritos de San Juan del Oro , Inambari y San Pedro de Putina Punko districts) and in the district of San Gabán in Carabaya province. In the highland province of

San Antonio de Putina, ABC-LA will support efforts to improve the formalization process in the district of *Ananea* and work closely with mining associations such as CECOMSAP and CECOMIN to successfully complete this process as well as to improve responsible mining practices, reduce harmful impacts and help these associations improve compliance with environmental and social standards.

In order to reduce threats to selected BSAs, project activities in Puno will focus on improving the capacity local government and civil society at the local, district and regional levels. The project's capacity building efforts involving local actors and institutions will be complemented with other support including improved tools, mechanisms and approaches to address a range of challenges and pressures.

The project will continue to collaborate closely with the Wildlife Conservation Society (WCS) and with implementing partners like ProNaturaleza and Universidad Nacional de Altiplano (UNAP) as well as the Mancomunidades in Amazonia de Puno (MAP).

Project interventions and activities including training, capacity building, and technical assistance will contribute to the following processes / products.

- ✓ The regional government's (GORE) strategic plan for biodiversity conservation in Puno;
- ✓ Socio-environmental components of district plans in San Pedro de Putina Punko, San Juan del Oro e Inambari;
- ✓ The Master Plan for Parque Nacional Bahuaja Sonene (with WCS and SERNANP);
- ✓ Zoning efforts in the district of San Juan de Oro (with MAP);

Regional, provincial and district level governments, vulnerable communities and multi-stakeholder groups such as mancommunidades (MAP) will benefit from training, capacity building and technical assistance to improve local capacity to respond more effectively to socio-environmental conflict and improve natural resource governance. These improved local capacities to effectively address challenges and negative impacts associated with for example illegal and informal alluvial gold mining operations in San Gabán and other areas within and around the national park.

ID	Activities	Geographic area	BSAs	Vulnerable communities	Key stakeholders
P1	Environmental baseline (related CC4)	Province of Sandia, Districts of San Pedro de Putina Punco, Alto Inambari and San Juan del Oro. Province of Carabaya, district of San Gabán.	Watersheds of Inambari and Tambopata Rivers. Bahuaja-Sonene National Park, the buffer zone and surrounding areas of influence.	Comunidades Aymaras and Quechuas Small Agricultural Producers	Mancomunidad de la Amazonía de Puno, Ronderos, Mancomunidad de la Cuenca de Inambari, Management Comitee -Comité de Gestión- of Bahuaja-Sonene National Park, coffee producers associations, community based organizations, Local Governments, Regional Government of Puno, Environmental Monitoring and Control Office (OEFA-MINAM), and the Socio-Environmental Affairs Office (OAAS-SERNAMP). .
P2	Vulnerable Groups Assessment (related CC6)				
P3 *P3.1*	CEW and response training for key stakeholders including vulnerable groups negatively affected by extractive activities *10 workshops on CEW (160 hours of training) delivered to 390 key local stakeholders' representatives from 4 districts joined by the Mancomunidad de Puno and the province level institutions.*				
P4 *P4.1* *P4.2*	Support collaborative processes, mechanisms and pilot activities to improve Land Use and Natural Resources Management *8 workshops (128 hours of training) delivered to 240 local key stakeholders' representatives from 4 districts joined by the Mancomunidad de Puno and institutions at the province level. It will provide technical assistance and capacity building to inform within the Mancomunidad de la Amazonía de Puno about the Local Government Development Plan - Plan de Desarrollo Concertado.* *5 workshops (72 hours of training) delivered to 150 local key strakeholders´ representatives Mancomunidad de la Amazonía de Puno and Mancomunidad de la Cuencia de Inambari, among other authorities, to provide technical assistance and capacity building to develop intervention guidelines for the sustainability plan of the surrounding zones of influence in the National Park Plan-Plan Maestro.*		High zone watersheds of Inambari and Tambopata Rivers. Surrounding areas of influence of Bahuaja-Sonene National Park.		
P5 *P5.1* *P5.2*	Support the formalization of ASG miners and testing clean technologies for gold mining in Puno. *Technical assistance for ASG miners* *2 Meetings in Ananea to strength local dialogue mechanisms between extractive actors and population affected*	Province of San Antonio de Putina, district of Anenea	Watershed of Ramis River. Titicaca National Reserve and surrounding areas of influence.	Population affectedin nearby districts: Crucero, Potoni, San Anton, Asillo and Azángaro	Frente de Defensa de la Cuenca del Río Ramis, Local Goverment and Community Based Organizations

UCAYALI

Context, Pressures and Threats

The Ucayali region is rich in natural resources, hydrological resources and is home to vast biodiversity of flora and fauna. Its main ecosystems are the humid tropical forest, the wetlands and the deltas of the Ucayali and Pachitea rivers. Included within the 6.3 million hectares of Ucayali are two national parks, two communal reserves, one reserved zone and one protected natural area. Roughly 12% of the area within region is officially designated as protected natural areas. There are also three reserves for the Indigenous Populations in Voluntary Isolation (PIAVs). These reserves and protected areas and the vulnerable communities within their borders are under increased and growing pressures and stress from extractive activities, both legal and illegal, and the associate negative environmental and social impacts.

Ucayali has vast reserves of natural gas, predominantly in the natural gas field in Aguaytía. This reserve of 400 million cubic meters of natural gas and is capable of producing 560 million cubic feet of gas annually for 25 years. This production could help address energy demands in the region, contribute to exports, and help meet key conditions for developing the petrochemical industry in the region. In addition, Ucayali has a wealth of other non-renewable resources like oil, alluvial gold, ferrous conglomerates, limestone, clay and quartz sandstones, and an abundance of constructions grade gravel and sand. There are also indications of uranium deposits in Pachitea and in the basins of the Urubamba and Tambo rivers and of iron and aluminum in Pucallpa. These resources make Ucayali a focus of great interest due to the economic potential.

Ucayali is also rich in terms of cultural diversity, with a population that includes around 40,000 indigenous inhabitants, equivalent to 12% of total Amazonian indigenous population. Indigenous communities are concentrated in the provinces of Atalaya (more than half of the total population) and Coronel Portillo (a third of the population). Of the 257 native communities in the region, 139 are located in areas of biological significance threatened by non-renewable extractive activities (primarily oil and alluvial gold mining). Spread over 2 linguistic families and 6 Amazonian ethnic families, all these groups still maintain their rituals, beliefs, dances, music, language, clothes, and crafts. Their livelihoods are mainly related to agriculture, fisheries, forestry and ethno-medicine.

In terms of socio-environmental conflicts, there are pressures and threats associated with illegal logging, land use changes favoring palm oil cultivation, and growing levels illegal alluvial gold mining. Coca production and paste processing, illegal hunting, and trafficking of land and property rights also contribute to increased tensions, socio-environmental conflict and violence in the region.

While threats to BSAs and vulnerable communities are caused by extractive activities, contributing factors also include weak natural resource governance structures and limited presence and capacity of the state at both the national and regional levels. Confusing or conflicting policies and at times rent seeking practices regarding LTPR and land use planning, effect natural resource management and biodiversity conservation in and around BSAs including around the Sierra Divisor and along the river Abujao.

Extractive activities in the primary watersheds in the provinces of Padre Abad, Coronel Portillo and Atalaya increasingly threaten BSAs and vulnerable communities. In Padre Abad there are a growing number of illegal gold mining operations within the protected areas of the indigenous communities. In the district of Callería miners operate in the BSAs causing environmental damage despite certain legally required environment protections.

Programmatic interventions and planned activities

ABC-LA project interventions and activities in Ucayali will focus on working with a wide range of local stakeholders to improve conflict early warning and response capacities and natural resource governance including land use planning and associated activities to address increasingly problematic land tenure and property rights issues[12]. The project will focus on these priorities, and support other local actors to increase their capacity to effectively deal with these and related pressures and threats associated with extractive activities, especially the growing levels of illegal alluvial gold mining. The project is aware that all of these challenges pose particularly high risks to conditions in BSAs as well as vulnerable populations, especially indigenous communities including those in voluntary isolation.

In Ucayali, the project will continue working with key partners such as Instituto de Bien Comun (IBC) and the Universidad Nacional de Ucayali (UNU) and inclusive representative groups like GRMMU. To build and improve local and regional capacity associated with conflict early warning and response capacity and improved natural resource governance, ABC-LA will work with these partners as well as with AIDER, CIMA, ICAA, as well as a range of regional, provincial and district level authorities as well as representatives from national level agencies operating in the region, including Defensoría del Pueblo, the Ministry of Environment (MINAM), and the Ministry of Energy and Mines (MINEM).

ABC-LA will focus particular attention on contributing to the creation and effective operation of the regional environmental authority, or Autoridad Regional Ambiental de Ucayali (ARAU), to help expand the presence of government and improve the regional government's capacity to address socio-environment conflict and improve natural resource management.

The project will closely with communities in the focal areas and government authorities at the local, regional and national levels to advance and address some emblematic and long pending land tenure and property rights (LTPR) cases involving native communities. The lack of effective progress and resolution of these cases has exacerbated tensions and contributed to conflict.

[12] See for example Defensoria del Pueblo Nota de Prensa Nº106/OCII/DP/2014 "Lack of budgeted resources and administrative complexity obstruct recognition and titling of communal lands."
http://www.defensoria.gob.pe/Downloads/descarga/Oficio-Ministro-Agricultura.pdf
http://www.defensoria.gob.pe/Downloads/descarga/Informe-002-2014-DP-AMASPPI-PPI.pdf.

ID	Interventions/ Activities	Focal Area		Vulnerable communities	Key local stakeholders
		Geographic Area	BSAs		
U1	Environmental baseline (related CC4)	Province of Coronel Portillo, district of Calleria. *Campo Verde Nueva Requena,* Province of Padre Abad, districts *of Aguyatia*, and *Irazola.*	Buffer Zone of National Park Cordillera Azul. Reserved Zone of *Sierra del Divisor* *PIAV* Land Reserved of *Isconahua* Watersheds of Aguaytía and *Abujao* *Regional Conservation Area of Tamaya*	*PIAVs Isconahua* and *Kakataibo* Indigenous Communities: *In Nueva Requena: Santa Clara de Uchuña* *In Campo Verde: San Jose de Tunuña* *In Calleria: Santa Rosa Tapishca, Flor de Ucayali and Calleria* *In Masisea: Saweto and San Miguel de Chambira*	Local and regional government, Community Based Organizations, IIAP and SERNANP, National University Ucayali and National Amazonian Inter-ethnic University
U2	Vulnerable Groups Assessment (related CC6)				
U3 *U3.1*	CEW and response training for key stakeholders including vulnerable groups negatively affected by extractive activities *11 workshops on CEW (176 hours of training) delivered to 510 key local stakeholders' representatives from 5 districts, provincial institutions and GRMMU.*				Local Governments of Padre Abad, Curimaná and Irazola, Regional Government of Ucayali, GRMMU, Management Comitee -*Comité de Gestión*- of National Park Cordillera Azul, Autoridad Regional Ambiental de Ucayali (ARAU), Defensoría del Pueblo, MINAM and MINEM.
U4 *U4.1* *U4.2*	Support collaborative processes, mechanisms to improve Land Use and Natural Resources Management *13 workshops (208 hours of training) delivered to 390 local key stakeholders' representatives from 5 districts, including 5 indigenous communities. It will provide technical assistance and capacity building to facilitate the identification of legal situation of LTPR.* *5 workshops (72 hours of training) delivered to 150 local key strakeholders´ representatives from 3 districts, including 7 indigenous communities, SERNANP and GRMMU, to provide technical assistance and capacity building to develop intervention guidelines for the sustainability plan of the surrounding zones of influence in the Reserved Zone of Sierra del Divisor.*				

COLOMBIA

NATIONAL

Colombia is considered one of the world's "mega-diverse" countries, with close to 10% of the planet's biodiversity. The country boasts 314 types of ecosystems; the world's largest diversity of birds (1,889 species); the world's second largest diversity of plants, including approximately 40,000 species; butterflies, freshwater fish, and amphibians (763 species); and is also rich in mammals (479 species).[13]

Also rich in natural resources, notably gold, nickel, coal, emeralds, petroleum, and natural gas, Colombia has been experiencing an economic boom in the extractive sector. The Government of Colombia (GOC) considers mining and extractive activities to be integral to its plan for continuing its impressive economic growth. GDP has grown more than 4% per year for the past three years, and foreign direct investment has increased by 7% since 2012, largely in the oil and gas sector.[14] Policies to promote investment, like the 2001 National Mining Code, have encouraged international private investment, with the government's role defined as facilitating, promoting and overseeing extractive activities. Policies since, including under the current administration of President Santos have continued to prioritize extractive activities as a key engine of the nation's economic growth.

The current National Development Plan includes mining as one of the "four locomotives" intended to sustain the country's growth. In 2014, President Santos reported that foreign direct investment in Colombia's mining sector grew 21% the previous year, equal to $2.3 billion investment in extractive sector. The significant increase in oil and gas exploration and legal mining, coupled with widespread illegal mining activities, are creating new threats and pressures on biodiversity in Colombia[15] including the decrease and degradation of fragile ecosystems and BSAs.

The sustained growth in extractive activities, both legal and illegal, are also contributing to corresponding growth in socio-environmental conflicts which exacerbate conditions in a country working hard to end decades old armed conflict. According to Colombia's Contraloría General de la República, conflicts associated with mining, and especially the widespread illegal mining, persist and the negative impacts are amplified by the lack of coherent and consistent mining and environmental policies and legislation.

Mining authorities have awarded exploration permits to large-scale foreign owned mining companies to operate in places where environmental legislation technically bans such activities, such as in protected areas of the Páramo of Santurbán. Subsequent government efforts to mitigate negative impacts associated with extractive activities have also generated increased uncertainty especially for small scale miners and farmers as evidenced by the nationwide miner strikes in July 2013.

In some of these cases, regional or local governments and communities have complained about the lack of consultation to discuss the implications of extractive activities in their areas and the failure to consider local preferences when considering plans for granting concessions. Communities also complain that the mining permits and other concessions exacerbate problems related to pending or overlapping claims for

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[13] National Biodiversity Information System of Colombia: http://www.sibcolombia.net/web/sib/cifras
[14] https://www.cia.gov/library/publications/the-world-factbook/geos/co.html
[15] http://www.co.undp.org/content/colombia/es/home/library/environment_energy/v-informe-nacional-de-biodiversidad-de-colombia-ante-el-convenio/

land rights or use. The absence of clear policy and effective control over practices provide perverse incentives. Guerrillas and other illegal armed groups are benefiting from their involvement in key aspects of mining and related trade, using this as a source of illicit financing which poses a whole set of additional threats and challenges beyond social and environmental impacts.

President Santos has vowed to combat illegal mining. A new national mining policy is in the process of being developed. The country is seeking to become a member of Organization for Economic Co-operation and Development (OECD) and has applied for membership in the Extractive Industry Transparency Initiative (EITI). These efforts reflect both the accomplishments and aspirations of the country's economic performance as well as the State's interest in demonstrating its commitment to complying with international standards, including those associated with extractive activities. Environmental issues, including the negative impacts associated with extractive activities also feature on the agenda of the current peace negotiations and the Ministry of Environment has undertaken actions to increase protections for BSAs and protected areas under pressure from extractive activity.

After decades of violent armed conflict, and the risk of becoming a failed state, Colombia's future seems much brighter. Increased stability, prolonged economic growth and the prospects for long-term peace and reconciliation efforts provide a solid basis for optimism. Undoubtedly investments in the extractive sector will continue to be seen as an engine of economic growth. One of the challenges facing Colombia remains how to achieve the goal of increasing production of oil and gas and mining activities while better managing and mitigating the negative impacts associated with this activity including the interconnected dynamics resulting in environmental damage, including degradation to biodiversity and associated social conflict.

CAQUETÁ

Context, Pressures and Threats

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 associated social expectations for increased extractive activities in the territory is growing.

Caquetá has five protected areas including national parks which are among the most biologically & culturally diverse in the region.[16] Caquetá possesses the Natural Savanna of Yarí that hosts a huge amount and diversity of fauna and flora species and is part of the larger Andean-Amazonian biological corridor. It is also one of the most important sources of water production in the Amazonian basin. Caquetá also has a long history of mining activities, primarily involving gold but also including bauxite, cadmium, cobalt, copper, and zinc, among others. Currently the oil and alluvial gold exploration and extraction are the primary type of activities found in the region, which also has a fair number of livestock (cattle) and agricultural activities that figure into the Department's primary economic activity.

[16] Caqueta's protected áreas include Cueva de los Guácharos, Cordillera de los Picachos, Chibiriquete, Alto Fragua Indi-Wasi y Serranía de los Churumbelos Auka-Wasi.

Since 2006 a number of foreign owned firms have undertaken oil exploration and extraction activities in Caquetá, including in San Vicente del Caguán and in the municipality of San José del Fragua. However, FARC guerrillas have begun to disrupt these economic activities and some firms have since halted activities due to considerations of public safety and security issues.

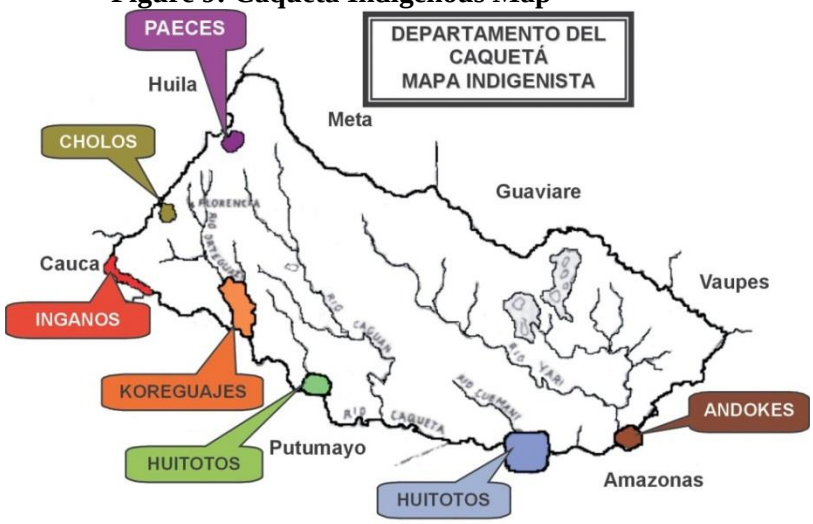
Meanwhile, the state-owned EcoPetrol has plans to expand operations in the municipalities of Cartagena del Chairá and Solano, including in areas along the Caguán, Orteguaza and Caquetá rivers. In these areas, EcoPetrol is seeking to implement its first exercise in environmental and social compensation under new Colombian legislation and will probably seek to implement its first case of "Voluntary Certification" demonstrating its commitment to mitigating harmful practices to the environment and vulnerable communities.

The National Agency for Hydrocarbons has also indicated that oil exploration will be initiated or expanded in the municipalities of El Pujil, La Montañita and Florencia. With these and other emerging extractive activities, Caquetá is expected to become a new locus of exploration and exploitation especially of oil in the country. The region represents a priority for Colombia's National Agency for Hydrocarbons (ANH) which reportedly plans a strategic focus of operations in the area for post-conflict engagement.

The region has two of the thirteen sedimentary basins in the country which is designated for exploration and exploitation of hydrocarbons. In the Caquetá-Putumayo basin where oil exploration and exploitation efforts have been concentrated, there are fragile ecosystems and indigenous peoples affected by the activities, and corresponding degradation of land and water resources in and around biologically significant areas.

In addition to planned exploration for oil and hydrocarbons, there are also growing levels of alluvial gold mining in Caquetá. As in other areas of Colombia, it is mainly illegal and concentrated along the rivers at risk from silting and contamination by acids, arsenic, and mercury. While suffering from the negative social and environment impacts from mining operations in their traditional territories, indigenous peoples, such as Huitotos and Andoques, are also employed directly in mining efforts in unfavorable and harmful conditions.

Figure 9: Caquetá Indigenous Map



While Caquetá is experiencing rapid growth associated with current and planned exploration and exploitation of its mineral wealth and oil reserves, there is also a long history of violent civil conflict and the FARC still maintain a strong presence in the region. Increased extractive activities are likely to contribute to a corresponding growth in socio-environmental conflicts in Caquetá and could exacerbate pre-existing tensions in the neighboring Department of Putumayo, where consultation processes are considered to have been flawed and ineffective.

As a result of expected growth of extractive activities and associated potential social-environmental conflict, Caquetá is a priority area for the GOC and its strategy to mitigate deforestation and environmental degradation including of priority watersheds. The project will collaborate to advance these efforts including especially with other USAID partners and activities supported by the U.S. Department of Interior (DOI) and other donors like the European Union, which are actively supporting initiatives in the Caquetá-Putumayo area.

Programmatic interventions and planned activities

Within the department of Caquetá, the project plans to focus on local dynamics associated with extractive activities in and around the BSAs and vulnerable communities in the municipalities of Solano, San José del Fragua y Albania**.**

Following a joint ABC-LA and FCDS assessment in Caquetá, the project has continued consultations and expanded its engagement of local stakeholders and partners, including local and regional officials, representatives from SINCHI, local universities as well as other key partners such as Patrimonio Natural, FondoAccion, Red Desarrollo y Paz Caquetá and stakeholders such as the Corporación para el Desarrollo Sostenible del Sur de la Amazonía Colombiana (CORPOAMAZONIA) en Caquetá among others in the Piedemonte region.

For activities focusing on land tenure, land use planning and territorial rights, we will work with these stakeholders and partners like FondoAccion linking this support to broader initiatives in collaboration with other partners including especially Patimonio Natural and FCDS. The project will provide complementary support through grants and technical assistance to Red Caqueta and Sinchi and local universities to advance project objectives and goals. ABC-LA will engage FCDS to help expand its provision of specific support to local partners and stakeholders, including geospatial and capacity building expertise; strategic engagement at the policy level; strengthening multi-stakeholder engagement efforts, including those involving the Ministry of Environment, National Hydrocarbon Agency (ANH) and National Mining Agency (ANM), as well as through its participation as a member of the Permanent National Round-table on Mining.

In addition to activities to support to improve enhance local conflict early warning and response capacity and natural resource governance, ABC-LA will also prioritize support to long pending demands for expanding indigenous territories in the department. ABC-LA will help strengthen local capacity to identify, analyze, report and respond to socio-environmental conflict and provide targeted assistance to improve natural resource governance in the department, including zoning, land use planning and especially communal or territorial property rights. The vulnerable groups assessment, assistance in developing and implementing environmental baselines and associated enhanced conflict and environmental monitoring capabilities, will be linked to complementary support of key objectives at the departamental and municipal levels, including priorities articulated in the current National Plan, the Caquetá Department's Development Plan and especially support to local stakeholders and SINCHI to advance the department's goals associated with Agenda 21.

ID	Interventions/ Activities: Caquetá	Focal Area		Vulnerable communities	Key stakeholders
		Geographic Area	BSAs		
C1	Environmental baseline (related CC4)	Municipalities of Solano, San José del Fragua y Albania.	National Park *Alto Fragua Indiwasi.* National Park *Chiribiquete* and the buffer zone. Watersheds of Putumayo & Caquetá Rivers.	Comunidades Campesinas and Indigenous Communities as *Koreguajes, Huitotos* and *Inga*.	Local and Regional Governments. Civil Society: Pastoral Social, Comité Departamental de Ganaderos, Asociación de Microempresarios del Caquetá, Red de Alianzas Agro-forestales del Caquetá, Comité de Cacaoteros del Remolinos del Caguán y Suncillas, Cámara Gremial Agropecuaria del Caquetá y Corporación Educativa al Servicio de la Calidad Amazónica de la Vida, National Hydrocarbon Agency (ANH), National Mining Agency (ANM), and the Permanent National Round-table on Mining and Corporación para el Desarrollo Sostenible del Sur de la Amazonía Colombiana (CORPOAMAZONIA).
C2	Vulnerable Groups Assessment (related CC6)				
C3	CEW and response training for key stakeholders including vulnerable groups negatively affected by extractive activities				
C3.1	*8 workshops on CEW (176 hours of training) delivered to 300 key local stakeholders' representatives from 3 municipalities, departmental and national level counterparts.*				
C3.2	*Leadership training in socio-environmental conflict management for 7 persons among local authorities and community representatives (diplomas)*				
C4	Support collaborative processes, mechanisms to improve LTPR, Land Use and NRM, though the identification of complementary initiatives by USAID/Colombia and ICAA partners				
C.4.1	*7 workshops (112 hours of training) delivered to 120 local key stakeholders' representatives from 3 municipalities, including 3 indigenous communities, and departmental institutions. It will provide technical assistance and capacity building to facilitate the identification of legal situation of LTPR, the development of Life Plans and the identification of capacities needed to improve the land use planning.*				

SANTANDER

Context, Problems & Threats

With an area of some 142,000 hectares, the Santurbán Páramo is a unique and highly vulnerable mountain ecosystem ranging from 2,800 to 4,290 meters above sea level, and spanning the Departments of Santander and North Santander. It forms part of the larger Andean páramo, which lies between the mountains of Colombia and northern Peru, and is home to 293 species of fauna, many endemic and highly endangered, including the Andean condor and 457 varieties of flora. A hydraulic complex of 26 highland lakes, the Santurbán Páramo provides water for over 2 million inhabitants in and around Bucaramanga and Cúcuta, and is important for the storage of atmospheric carbon, which mitigates climate change. The Andean region of high-altitude forests and wetlands is a "water factory" for lower-altitude zones and a refuge for hundreds of threatened species like the spectacled bear.

In addition to its significant biological importance and as a source of environmental services, the Santurbán Páramo also has significant deposits of gold and other minerals and is thus highly susceptible to pressures from both large and small scale mining, as well as from competing demands for land use and for water drawn from the páramo for communities, hydroelectric energy and irrigation. Artisanal and small-scale gold mining (ASGM) has been going on in the páramo for over 80 years, including the wide use of cyanide and mercury which threatens the páramo's water system, releasing high levels of heavy metals and toxic materials into protected areas and the watershed. While still widely used by local ASG miners, the use of mercury has been reduced by 70% in some small scale mining operations through improved practices. However, informal and illegal ASMG miners called "galafardos" operate in the páramo by scavenging or stealing mined leftovers and processing them in their homes using mercury and cyanide. These activities continue to be an important source of ongoing contamination and pollution as well as a source of occupational and public safety concerns.

Large mining companies, including Eco Oro Minerals Corporation, CVS Explorations, Galway Resources, and Barracuda have sought to establish large scale mining operations in the páramo. These and other companies have been awarded 25 mining titles, some of which permit open-pit mining that would have significant habitat and pollutions effects in the region. However, civil society has expressed interest in the conservation and protection of the Santurbán Biogeographic Region and in March, Colombia's Ministry of Environment designated at least some of the páramo as warranting increased environmental protection, putting the status of these mining titles and ASG mining in question.

While the Government's decision sought to create a viable opening for collaboration, it has yet to clarify what specific areas are included in the newly established protected area. The decision and lack of clarity regarding its parameters has generated uncertainty for many stakeholders including those engaged in small, medium and large scale extractive activities, and for farmers that have ongoing activities within the páramo. Legal ASG miners have been in conflict with large mining companies that have purchased mining titles in the region and are viewed as posing a threat to smaller scale operations and the area's mining traditions.

The resolution of the case of competing demands and interests concerning the future status and use of natural resources in the Páramo of Santurban is likely to serve as a model more broadly in Colombia and beyond. This emblematic case and its resolution will also influence policies and practices regarding the status of other páramos in Colombia. Currently, 40% of páramos in Colombia now lack protected status

despite their significance in terms of habitats and biodiversity, as a source for environmental services, and the role these ecosystems perform in mitigating effects of climate change.

Programmatic interventions and planned activities

ABC-LA programmatic support in Santander will focus on the dramatic changes associated with the emerging transformations proposed for this area through changed land use, the rezoning in and around the Páramo of Santurban, and the increased environmental protections proposed to protect this ecosystem from the negative impacts from extractive activities.

ABC-LA will support the Government's efforts to improve biodiversity conservation and habitat-degradation protection for endemic flora and fauna in the Santurbán Páramo recognizing the importance as well of the value of conserving the strategic environmental services such as water. The páramo currently has no management plan, in part because its boundaries are still being mapped. The Alexander von Humboldt Biological Resources Research Institute is providing technical support to the Ministry of Environment by conducting numerous studies in order to generate key information that is intended to inform the content of the management plan, as well as to inform the Government's actions to promote regional economic development consistent with conservation efforts.

Sensitive to the high profile and the sensitive political dynamics involved, ABC-LA will work closely with government counterparts, providing especially Colombia's Ministry of Environment, providing targeted assistance to the ministry, and its contributions to the Government's inter-ministerial working group charged with developing a holistic approach and management to better address fundamental social, economic and environmental issues concerning this ecosystem.

The project is working with representatives from the ministry's Department of Forests, Biodiversity and Environmental Services and German Cooperation (GIZ) as well as subject matter experts from the Universidad de las Andes (UniAndes) and the Universidad del Rosario, and local stakeholders[17] to develop and pilot a model consultation approach drawing from game theory to advance conflict mititation and consensus building in the in and around the paramo of Santurbán.[18]

[17] Corporación Autónoma Regional para la Defensa de la Meseta de Bucaramanga (CDMB) and the Corporación Autónoma Regional de Norte de Santander (CORPONOR).

[18] See video representation of the approach: http://www.uniandes.edu.co/noticias/informacion-general/santurban

ID	Interventions/ Activities: Santander	Focal Area		Vulnerable communities	Key stakeholders
		Geographic Area	BSAs		
S1 *S.1.1*	Targeted technical assistance and support Ministry of Environment and inter-ministerial working group initiatives to develop and implement integrated Government Action Plan for Santurban Paramo. *3 Workshops and meetings to establish key factors to develop alternative proposals for different economic activities within the region*	Municipalities of California, Vetas and Suratá and Bucaramanga	*Santurbán* Paramo Regional Natural Park of Santurbán Paramo.	*Comunidades Campesinas* Local and urban population	National Government Ministries, especially of Environment, Local and Regional Governments and communities in and around the Paramo, Corporación Autónoma Regional de Norte de Santander (CORPONOR), Universidad Los Andes.
S2 *S2.1*	CEW/R training for key stakeholders including vulnerable groups negatively affected by extractive activities *9 workshops on CEW (144 hours of training) delivered to 330 key local stakeholders' representatives from 3 municipalities, departmental and regional institutions.*				
S3 *S3.1*	Support collaborative processes, mechanisms to improve Land Use and NRM *7 workshops (112 hours of training) delivered to 330 local key stakeholders' representatives from 3 municipalities, and departmental institutions. It will provide technical assistance and capacity building to identify conflicts of interest associated with the use of land and resources management, as well as define priorities and an agreed action plan.*				

ANNEX A:
ABC-LA ACTIVITY MATRIX – WITH SEQUENCING

Internal Process Implementation

	ID	Activities and Tasks	Deliverable	Indicator Related	6/14	7/14	8/14	9/14	10/14	11/14	12/14	1/15	2/15	3/15	4/15	5/15	6/15	7/15	8/15
Programmatic (Pr)	Pr01	Draft Year 2 Workplan Submission	Workplan		X														
	Pr02	Finalize Theory of Change	Report					X											
	Pr03	Revised Year 2 workplan	Workplan						X										
	Pr04	Draft PMP submission	PMP		X														
	Pr05	Revised PMP Submission	PMP						X										
	Pr06	Year 1 Annual Report (inclusive of last quarter report)	Report						X										
	Pr07	Quarterly Report Due	Workplan									X			X			X	
	Pr08	Draft Year 3 Workplan Submission	Document														X		
	Pr09	Finalize Year 3 Workplan	Workplan																X
	Pr10	Year 2 Annual Report (inclusive of last quarter report)	Report																
Cross Cutting (CC)	CC1	Assess and promote dialogue on the rights to prior consultation	Report & Recommendations	IR5.1												X			
	CC2	Conduct analysis of chain of custody (COC) for gold in Colombia	Report & Recommendations	IR7.1										X					
	CC3	Identify best practices in conflict early warning and resolution efforts	Workshops and report	IR1.1 / IR5.1												X			

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Internal Process Implementation

	ID	Activities and Tasks	Deliverable	Indicator Related	6/14	7/14	8/14	9/14	10/14	11/14	12/14	1/15	2/15	3/15	4/15	5/15	6/15	7/15	8/15
	CC4	Build and strengthen university partnerships – Environmental assessments, baselines and score-cards	Report & Recommendations	IR1.1 / IR4.1 / IR4.2											X				
	CC5	Public private partnerships – Promoting responsibly mined gold	*Assessment Report*	IR7.1											X				
	CC6	Impact assessment of extractive activities on vulnerable populations	Report and action plan for each selected area	IR1.1 / IR4.1 / IR4.2 / IR5.1											X				
Ucayali (U)	U1	Environmental baseline (related CC4)	*Baseline Report & Data*	IR1.1 / IR4.1 / IR4.2										X					
	U2	Vulnerable Groups Assessment (related CC6)	*Assessment Report & Data*	IR1.1 / IR4.1 / IR4.2 / IR5.1										X					
	U3 *U3.1*	CEW and response training for key stakeholders including vulnerable groups negatively affected by extractive activities *11 workshops on CEW delivered to 510 key local stakeholders*	*Assessment Report*	*IR1.1 / IR5.1*													X		
	U4	Support collaborative processes, mechanisms to improve Land Use and Natural Resources Management	*Assessment Report*	IR1.1 / IR2.1 / IR2.2 / IR3.1 / IR3.2 /														X	

ANNEX A:
ABC-LA ACTIVITY MATRIX – WITH SEQUENCING

Internal Process Implementation

	ID	Activities and Tasks	Deliverable	Indicator Related	6/14	7/14	8/14	9/14	10/14	11/14	12/14	1/15	2/15	3/15	4/15	5/15	6/15	7/15	8/15
	U4.1 *U4.2*	*13 workshops delivered to 390 local key stakeholders to facilitate the identification of legal situation of LTPR.* *5 workshops delivered to 150 local key strakeholders to develop intervention guidelines for the Reserved Zone of Sierra del Divisor.*		IR3.3 / IR6.1.1 / IR6.1.2															
Puno (P)	P1	Environmental baseline (related CC4)	*Baseline Report & Data*	IR1.1 / IR4.2										X					
	P2	Vulnerable Groups Assessment (related CC6)	*Assessment Report & Data*	IR1.1 / IR4.1 / IR4.2 / IR5.1										X					
	P3 *P3.1*	CEW and response training for key stakeholders including vulnerable groups negatively affected by extractive activities. *10 workshops on CEW delivered to 390 key local stakeholders.*	*Assessment Report*	*IR1.1 / IR4.1 / IR5.1*													X		
	P4 *P4.1*	Support collaborative processes, mechanisms and pilot activities to improve Land Use and Natural Resources Management. *8 workshops delivered to 240 local key stakeholders to inform within the Mancomunidad de la Amazonía de Puno about the Local Government Development Plan.*	*Assessment Report*	*IR2.1 / IR2.2 / IR8.1*															X

ANNEX A:
ABC-LA ACTIVITY MATRIX – WITH SEQUENCING

Internal Process Implementation

	ID	Activities and Tasks	Deliverable	Indicator Related	6/14	7/14	8/14	9/14	10/14	11/14	12/14	1/15	2/15	3/15	4/15	5/15	6/15	7/15	8/15
	P4.2	*5 workshops delivered to 150 local key stakeholders to develop intervention guidelines for the National Park Plan-Plan Maestro.*																	
	P5	Support the formalization of ASG miners and testing clean technologies for gold mining in Puno.																	
	P5.1	*Technical assistance for ASG miners*	*Assessment Report*	*IR7.1*											X				
	P5.2	*2 Meetings in Ananea to strength local dialogue mechanisms between extractive actors and population affected*																	
Caquetá (C)	C1	Environmental baseline (related CC4)	*Baseline Report & Data*	*IR1.1 / IR4.2*										X					
	C2	Vulnerable Groups Assessment (related CC6)	*Assessment Report & Data*	*IR1.1 / IR4.1 / IR4.2 / IR5.1*										X					
	C3	CEW and response training for key stakeholders including vulnerable groups negatively affected by extractive activities	*Assessment Report*	*IR1.1 / IR4.1 / IR5.1*													X		
	C3.1	*8 workshops delivered to 300 key local stakeholders.*																	

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Internal Process Implementation

	ID	Activities and Tasks	Deliverable	Indicator Related	6/14	7/14	8/14	9/14	10/14	11/14	12/14	1/15	2/15	3/15	4/15	5/15	6/15	7/15	8/15
	C3.2	*Leadership training in socio-environmental conflict management for 7 persons among local authorities and community representatives (diplomas)*																	
	C4 *C.4.1*	Support collaborative processes, mechanisms to improve LTPR, Land Use and NRM, though the identification of complementary initiatives by USAID/Colombia and ICAA partners *7 workshops delivered to 120 local key stakeholders to facilitate the identification of legal situation of LTPR and the capacities needed to improve the land use planning.*	*TOR for complementary initiative*	*IR2.2*													**X**		
Santander (S)	S1 *S.1.1*	Support Ministry of Environment and inter-ministerial working group initiatives to develop and implement integrated Government Action Plan for Santurban Paramo. *3 Workshops and meetings to establish key factors to develop alternative proposals for different economic activities within the region*	*Baseline Report & Data*	*IR1.1 / IR2.1 / IR2.2 / IR4.2 / IR7.1*										**X**					

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Internal Process Implementation

ID	Activities and Tasks	Deliverable	Indicator Related	6/14	7/14	8/14	9/14	10/14	11/14	12/14	1/15	2/15	3/15	4/15	5/15	6/15	7/15	8/15
S2 *S2.1*	CEW/R training for key stakeholders including vulnerable groups negatively affected by extractive activities *9 workshops on CEW delivered to 330 key local stakeholders.*	*Assessment Report*	*IR1.1 / IR4.1 / IR5.1*													**X**		
S3 *S3.1*	Support collaborative processes, mechanisms to improve Land Use and NRM *7 workshops delivered to 330 local key stakeholders to develop an regional strategy to address conflict of interests.*	*Assessment Report*	*IR1.1 / IR4.1*													**X**		

USAID
FROM THE AMERICAN PEOPLE

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

PERFORMANCE MANAGEMENT PLAN (PMP)

UPDATED OCTOBER 2014

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

PERFORMANCE MANAGEMENT PLAN

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CONTENTS

ABBREVIATIONS

ABC-LA	Addressing Biodiversity-Social Conflict in Latin America
ASGM	Artisanal and Small-scale Gold Mining
BSA	Biologically Significant Areas
COP	Chief of Party
COR	Contracting Officer Representative
CSO	Civil Society Organization
EITI	Extractive Industries Transparency Initiative
FPIC	Full and Prior Informed Consent
GIS	Geographic Information System
ICAA	Initiative for Conservation in the Andean Amazon
IPA	Initial Program Assessment
IR	Intermediate Result
LAC	Latin American/Caribbean
LTPR	Land Tenure and Property Rights
M&E	Monitoring and Evaluation
NGO	Non-Governmental Organization
NRM/G	Natural Resource Management / Governance
PMP	Performance Management Plan
PUCS	Puno, Ucayali, Caquetá, Santander
RDCS	Regional Development Cooperation Strategy
SEIA	Social and Environmental Impact Assessment
TOC	Theory of Change
USAID	United States Agency for International Development

INTRODUCTION

This document presents the updated Performance Management Plan (PMP) for the USAID-funded Addressing Biodiversity-Social Conflict in Latin America (ABC-LA) project, implemented by DAI. It covers the period from initiation of the project through September 2018. This period includes the project's first two years, as well at the subsequent three option years. The project is led by Chief of Party, Jack McCarthy, who is supported by a small Lima-based project staff and local and regional consultants.

The PMP is intended to provide the framework for tracking ABC-LA's progress toward achieving expected outputs, outcomes and results. It is also intended to provide the basis for monitoring and measuring progress and performance both during the base period of the ABC-LA project as well as through 2018 in the case that the options for extending the project are exercised This plan will allow for periodic assessment of performance with respect to achieving the project goal and interventions.

In addition to this brief introduction, this PMP includes the following sections:

- Background and Context;
- Conceptual Model, including situational analysis, the project's theory of change, higher level results;
- Indicators and Targets; and
- Performance Monitoring Approach.

Performance Indicator Reference Sheets (PIRS) for primary indicators will be developed subsequent to the approval of the PMP.

BACKGROUND AND CONTEXT

The increase in oil and gas exploration and development as well as both legal and illegal mining in Latin America has led to chronic low-grade socio-environmental conflict punctuated by periodic violence in communities in, or adjacent to, extraction zones. By creating enabling conditions for locally driven conflict resolution and improved natural resource governance, ABC-LA seeks to lay the foundation for key actors involved to better address the causes of environmental degradation and socio-environmental conflict associated with extractive activities in order to promote transformative change that reduces negative impacts on biodiversity and vulnerable communities.

ABC-LA is working with local stakeholders to reduce the harmful practices associated with extractive activities in selected biologically significant areas of Colombia and Peru where there is associated ongoing or potential conflict and environmental stress. In so doing, the project is focused on improving the capacities of communities and local governments in conflict resolution and natural resource governance including managing land tenure and property rights issues.

A key challenge for Peru, Colombia and other countries in the region is finding the right balance between advancing the goals associated with economic growth and the obligation to protect remarkably rich and diverse environmental and cultural patrimonies. While impressive economic gains, in large part due to increased extractive activities, have permitted nations in the region to reduce poverty levels over the past decade, this positive trend has been accompanied by significant increases in environmental degradation and growing pressures to biologically significant areas (BSAs) and nearby vulnerable groups including indigenous and minority communities. The expansion of legal and illegal extractive activities in increasingly fragile ecosystems is generating or contributing to pressures and stresses on biodiversity in protected areas and surrounding buffer zones, and threats to the well-being of vulnerable communities.

To address the identified problem scope, including the drivers, pressures and stresses represented in the situational model below, ABC-LA is working with local and regional stakeholders to create or strengthen enabling conditions to better identify and more effectively address causes of extractive activity related environmental degradation and socio-environmental conflict with the aim of reducing negative impacts on biodiversity and vulnerable groups in the focal areas, including indigenous and minority communities.

By linking applied research, training, and application of culturally and gender-sensitive participatory conflict assessment and resolution approaches, ABC-LA seeks to provide the means by which all stakeholders can better prevent and address adverse social and environmental impacts resulting from extractive activities. With improved understanding and capacity, as well as better tools and approaches to identify and prevent conflict, monitor biological and social impacts, and enhance land tenure and land use planning, ABC-LA-assisted stakeholders will move toward achieving the project's goals and objectives.

The recipients of project supported interventions will include local and regional governments, civil society and community-based organizations (CSOs) and associations, as well as private sector and non-governmental organizations (NGOs), especially at the sub-national levels. Where appropriate, the project will also work with a similarly broad range of stakeholders at the national and regional levels to advance policy objectives and improved approaches that are tested and informed by interventions and results at the sub-national levels. The project will not merely focus on building capacity and skill sets or sharing best practices and tools, but will also promote their effective use, through collaborative processes that bring together multiple stakeholders, including "un-likeminded" groups, to advance common goals.

PROJECT GOALS

The ABC-LA project goal is to improve indigenous/minority community and local/regional governmental capacities to better address conflicts in the extractives sector that may negatively impact biologically significant areas, thus leading to greater inclusion of marginalized groups. The project will cover areas of high biodiversity in Colombia and Peru where there is on-going or potential conflict between the extractive sector and vulnerable indigenous or local communities. The focal components are biologically significant areas and vulnerable local and indigenous communities.

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 were to help inform project critical tasks including the identification of threats to BSAs posed by extractive activities as well as related threats associated with ongoing and emerging socio-environmental

conflicts. The results of the IPAs informed the further development of the project's theory of change (TOC) and work planning, including planned activities and the selection of sites at the sub-national level where ABC-LA is prioritizing programmatic efforts in Peru and Colombia.[1]

SITE SELECTION

The project's primary point of entry is at the sub-national and community level and the IPA process provided the basis for selecting four priority sites where ABC-LA will focus programmatic attention over the next 15 months. Following the completion of the IPAs and subsequent consultations with USAID representatives from Washington and the Missions in Colombia and Peru, approval was granted to prioritize ABC-LA efforts in Ucayali and Puno regions of Peru and in the departments of Santander and Caquetá in Colombia. Selection and approval of priority geographic areas provides the project a more focused perspective from which to develop an updated and improved theory of change, concentrating on the dynamics associated with extractive activities on biodiversity and vulnerable communities.

USAID BIODIVERSITY CODE

The ABC-LA project is funded through the biodiversity earmark, yet it will operate at the intersection of biodiversity, conflict, and natural resource governance including land tenure issues. As such, the challenge for the project is to design activities that address sources of conflict and problems of natural resource governance, but that also ultimately support the reduction of threats to biodiversity. The project team has and will continue to use the recently published USAID Biodiversity Code to guide project interventions to ensure the program is faithful to its intended biodiversity focus. Specifically, ABC-LA will program activities to conform to the Code's four key criteria, namely:

- The program must have an explicit biodiversity objective; it is not enough to have biodiversity conservation result as a positive externality from another program
- Activities must be identified based on an analysis of drivers and threats to biodiversity and a corresponding theory of change
- Site-based programs must have the intent to positively impact biodiversity in biologically significant areas ; and
- The program must monitor indicators associated with a stated theory of change for biodiversity conservation results.

[1] IPAs were conducted in Peru in Piura, Loreto, Ucayali, Madre de Dios and Puno, as well as in Colombia in Santander and Putumayo, along with initial desk studies and field visits to Antioquia, Choco and Caquetá. The extractive activities of most programmatic interest to ABC-LA include oil and natural gas exploration and exploitation, large scale legal mining as well as informal and illegal artisanal and small scale gold mining (ASGM) including both hard rock and especially alluvial mining.

CONCEPTUAL MODEL

Using the USAID Biodiversity Code and recently issued Biodiversity Policy as key points of reference, ABC-LA has developed an overall Theory of Change (TOC) that will provide the basis for developing and defining the project's metrics of performance as illustrated through the presentation of the following:

1. **ABC-LA Situational Model** – identifies the problem scope, biodiversity focal components, corresponding conditions, pressures and stresses, and primary programmatic interventions.

2. **Theory of Change** – presents the results chain and programmatic interventions and activities, along with corresponding intermediate level outcomes, objectives and results leading to the project's overarching goal.

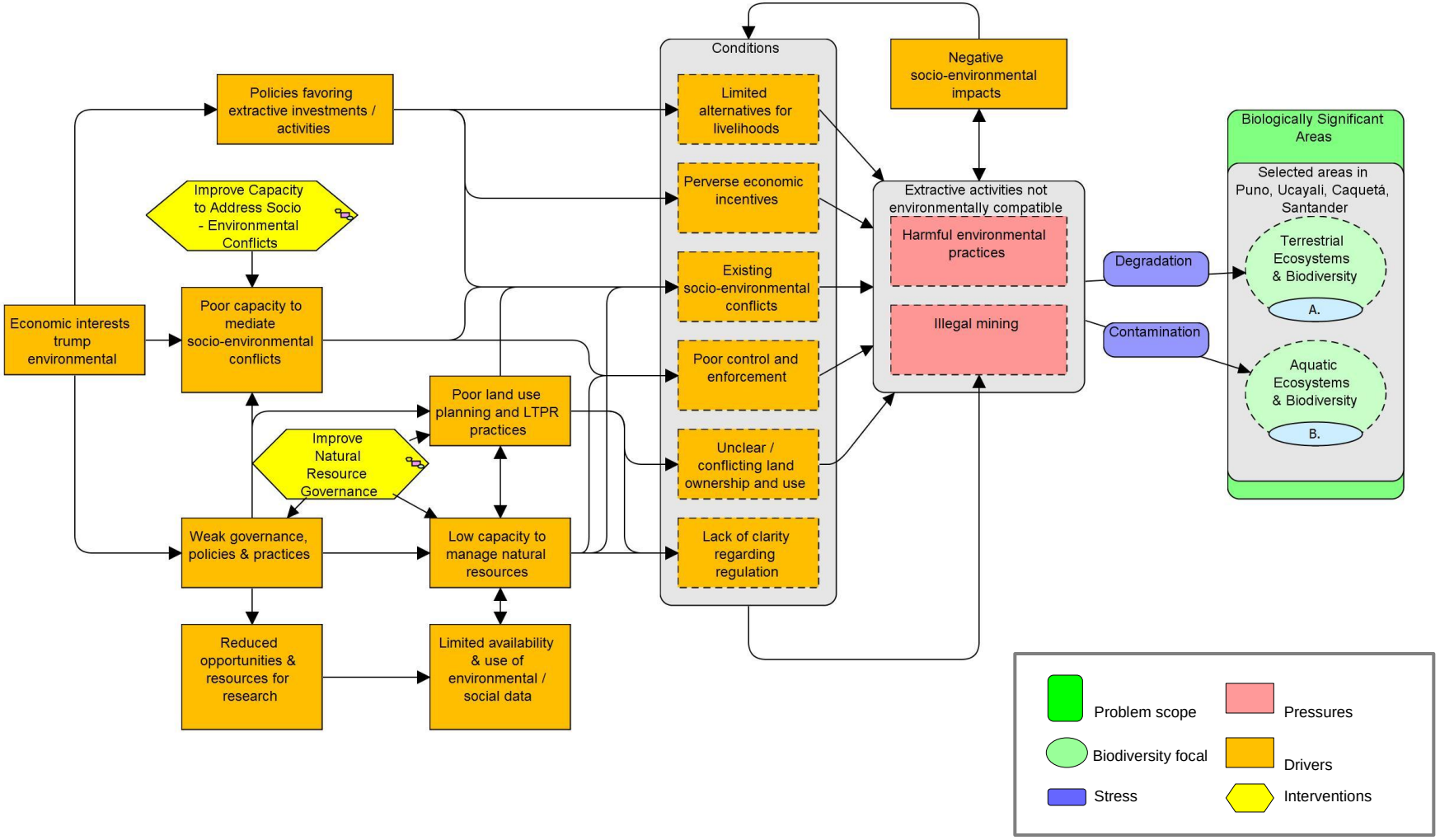
Taken as a whole, these constitute the ABC-LA's overall theory of change or development hypothesis which describes how the project intends to address the identified conditions, pressures and stresses to advance and achieve objectives throughout the period of programmatic intervention. The TOC also describes outcomes and results engendered by interventions both during and beyond the implementation period. Project objectives and associated indicators, corresponding to the overall TOC are presented in greater detail in Section II.

SITUATIONAL MODEL

The project's situational model as represented in the graphic below takes as a starting point, that the expansion of extractive activities over the past decade has fueled impressive economic growth as well as correspondingly dramatic increases in pressure on environmentally fragile ecosystems, biodiversity, and socio-environmental conflict. Pro-growth strategies and corresponding policies and practices in Colombia and Peru have prioritized investments in the extraction of hydrocarbons and other mineral resources in increasingly more remote, historically marginalized and biologically significant areas. Along with the growth of legally sanctioned extractive activities, the region has also witnessed a dramatic growth in illegal and unregulated extractive activities, especially alluvial gold mining. Policies favoring extractive activities also contribute to weak or poor environmental or natural resource governance.

Weak or poor natural resource governance coupled with the negative impacts associated with legal and illegal extractive activities are contributing or causing a number of challenges to and pressures on social and environmental well-being, including increased stress to ecosystems, habitats and biodiversity. Shortcomings in governance combined with the negative social and environmental impacts associated with extractive activities provide the enabling conditions or drivers leading to pressures that result in growing environmental degradation and increased social conflict. If unaddressed, continuing, and increasingly severe, negative social and environmental impacts in the project's focal areas of Puno and Ucayali in Peru and Caquetá and Santander in Colombia are likely as is the potential for severe and potentially irreversible impacts on biophysical conditions and vulnerable populations.

Figure 1: ABC-LA Situational Model



THEORY OF CHANGE

The starting point for the Natural Resource Governance and Socio-Environmental Conflict Management Results Chain begins with the terrestrial and aquatic ecosystems of the biologically significant areas within Puno, Ucayali, Caquetá and Santander that are pressured by extractive activities and their direct and indirect effects.

The ABC-LA goals are to ensure the healthy conditions of the terrestrial and aquatic ecosystems in selected Project Focal Areas by reducing the stresses and related pressures posed by illegal gold mining and other harmful practices associated with extractive activities. Even though this reduction of pressures will not be achieved during the 5 years of the project, ABC-LA will be able to establish pre-conditions for, and initial trends towards these goals through the two proposed over-arching interventions.

These programmatic interventions focus on strengthening local capacity to better address socio-environmental conflict and natural resource governance in the focal areas. These interventions generate a series of intermediate outcomes spaced throughout the project that will lead to the reduction of the pressures and the achievement of the goals. Successful interventions in the Project Focal Areas will result in reduced marginal growth rate of illegal gold mining and other harmful practices associated with extractive activities, thereby reducing degradation of biophysical conditions in BSAs. In order to be able to measure the progress along this results chain toward this goal and verify the completion of the intermediate outcomes, ABC-LA has proposed 11 objectives and corresponding indicators.

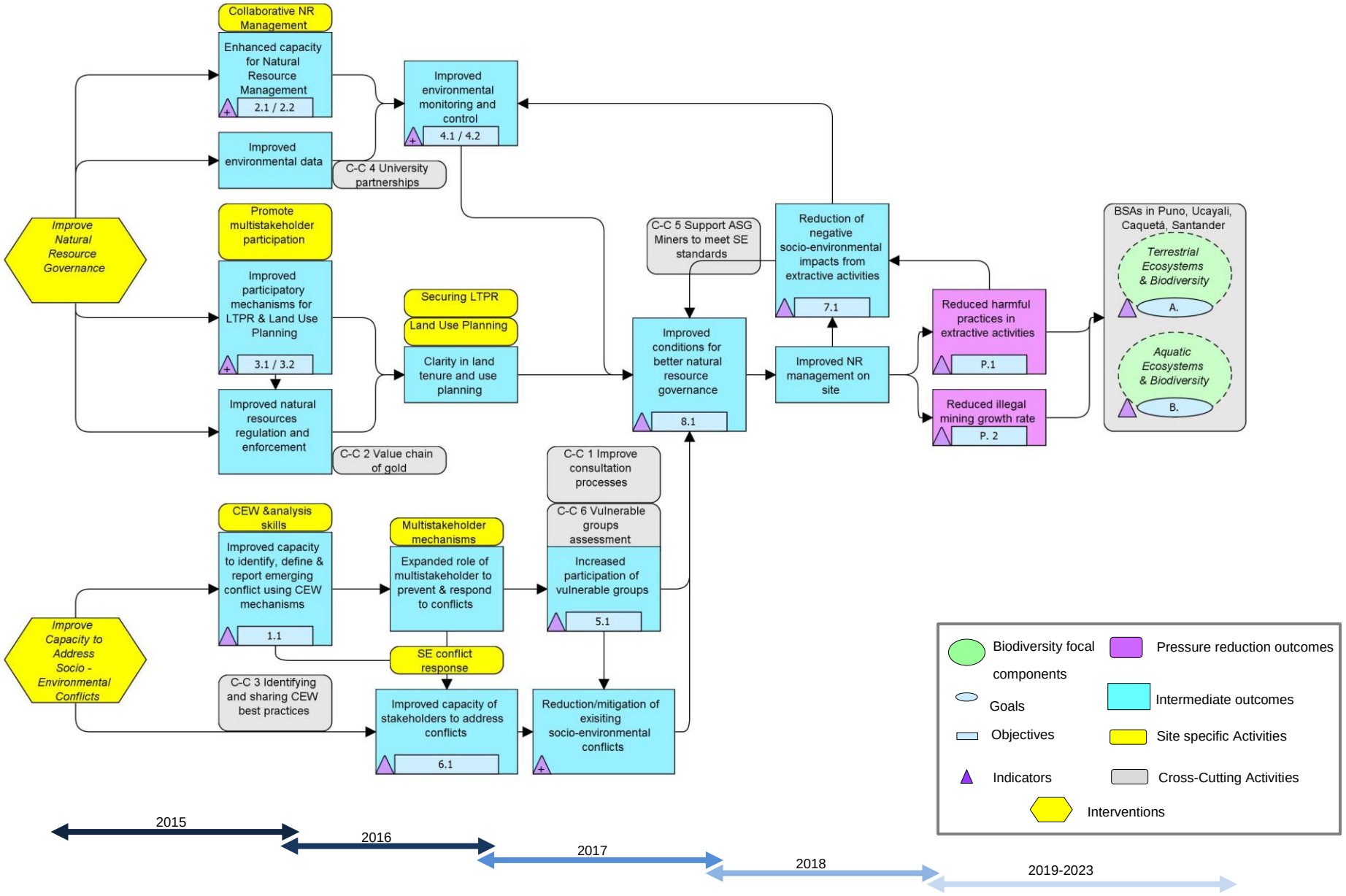
Underlying the ABC-LA approach, is the premise that if capacities are strengthened to more effectively prevent, mitigate and respond to socio-environmental conflict then, more favorable conditions for balancing competing and conflicting interests in and around BSAs will strengthen the basis for improved environmental and social protections, with resulting positive outcomes, including more favorable conditions for improving natural resource governance.

However, addressing pressures associated with socio-environmental conflict in the focal areas is necessary to achieve the desired outcomes, these interventions alone are insufficient. They must also be accompanied by corresponding efforts to improve natural resource governance including land tenure and land use, especially where legal and illegal extractive activities pose existing and growing pressures.

If natural resource governance is improved, including better regulation and enforcement; more secure and better defined land tenure, property rights (LTPR); and improved zoning in and around BSAs, then environmental stewardship will be enhanced resulting in a decreased rate of deforestation and habitat loss.

The proposed goals and objectives associated with the biodiversity focal components and the pressure reduction and intermediate outcomes, along with proposed indicators are presented in Section II immediately following the results chain graphic below.

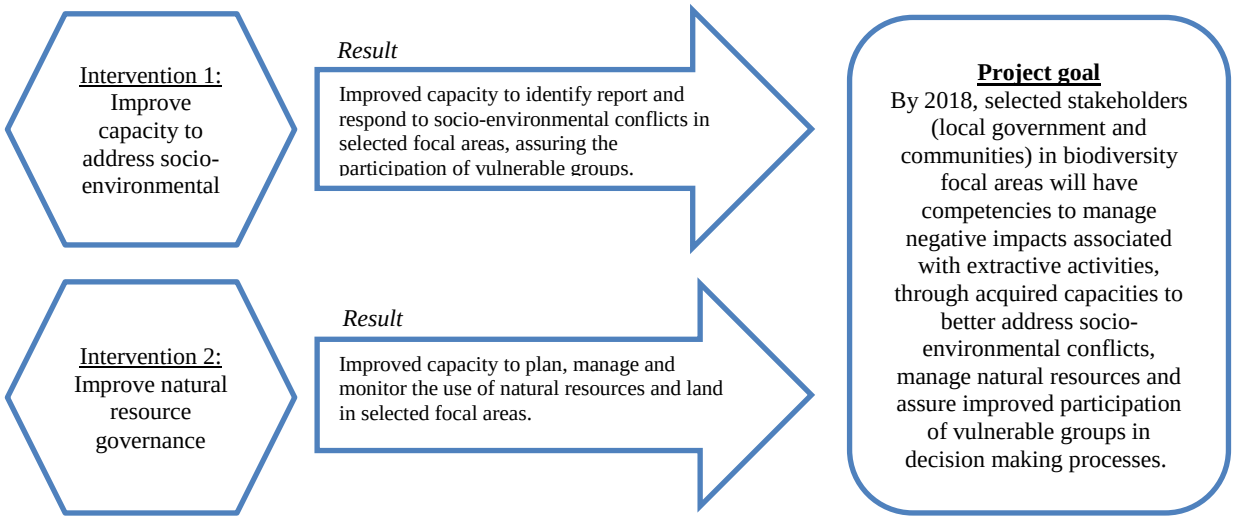
Figure 2: Natural Resource Governance & Socio-Environmental Conflict Management Results Chain



ABC-LA GOALS AND PRIMARY INTERVENTIONS

The ABC-LA project goal is to improve indigenous/minority community and local/regional governmental capacities to better address conflicts in the extractives sector that may negatively impact biologically significant areas, thus leading to greater inclusion of marginalized groups. The project will cover areas of high biodiversity in Colombia and Peru where there is on-going or potential conflict between the extractive sector and vulnerable indigenous or local communities. The focal components are biologically significant areas and vulnerable local and indigenous communities.

Figure 3: ABC-LA Higher Level Interventions, Results and Project Goal



Prospects for achieving project goals flow directly from the objectives, activities and results associated with the project's two primary interventions, i.e. those focusing on improved conflict prevention and response capacity and enhanced natural resource governance. ABC-LA anticipates that by 2018 selected stakeholders (local government and communities) in biodiversity focal areas will have required competencies to manage the negative impacts associated with extractive activities, through acquired capacities to better address socio-environmental conflicts, manage natural resources and assure improved participation of vulnerable groups in decision making processes. During the project's base period, ending in September 2015, we propose indicators along the following lines to help measure performance and discern progress toward achieving the project's goal.

- # of districts or municipalities with improved capacity to identify and report socio-environment conflicts through conflict early warning training;
- % of addressed gaps in capacities to improve NRM in selected BSAs;
- # environmental monitoring reports developed / disseminated by universities / research institutes; and
- % of vulnerable groups including indigenous communities that have improved their participation in CEW mechanisms / systems in focal areas.

The impacts and results associated with the primary interventions and associated activities and tasks through 2018 will contribute directly to the pressure reduction results referenced in the theory of change and to achieving the project goal. For reducing the growth rate of illegal mining, we would expect that by

2021 that the annual growth rate of land negatively impacted by illegal mining activities in selected priority areas (within and around BSAs) will be reduced to 70% of its former value at the beginning of the project. For reducing harmful practices from other extractive activities, we would expect that by 2021, 50% of extractive activity actors in selected areas (within and around BSAs) will have adopted at least two good practices in their operations.

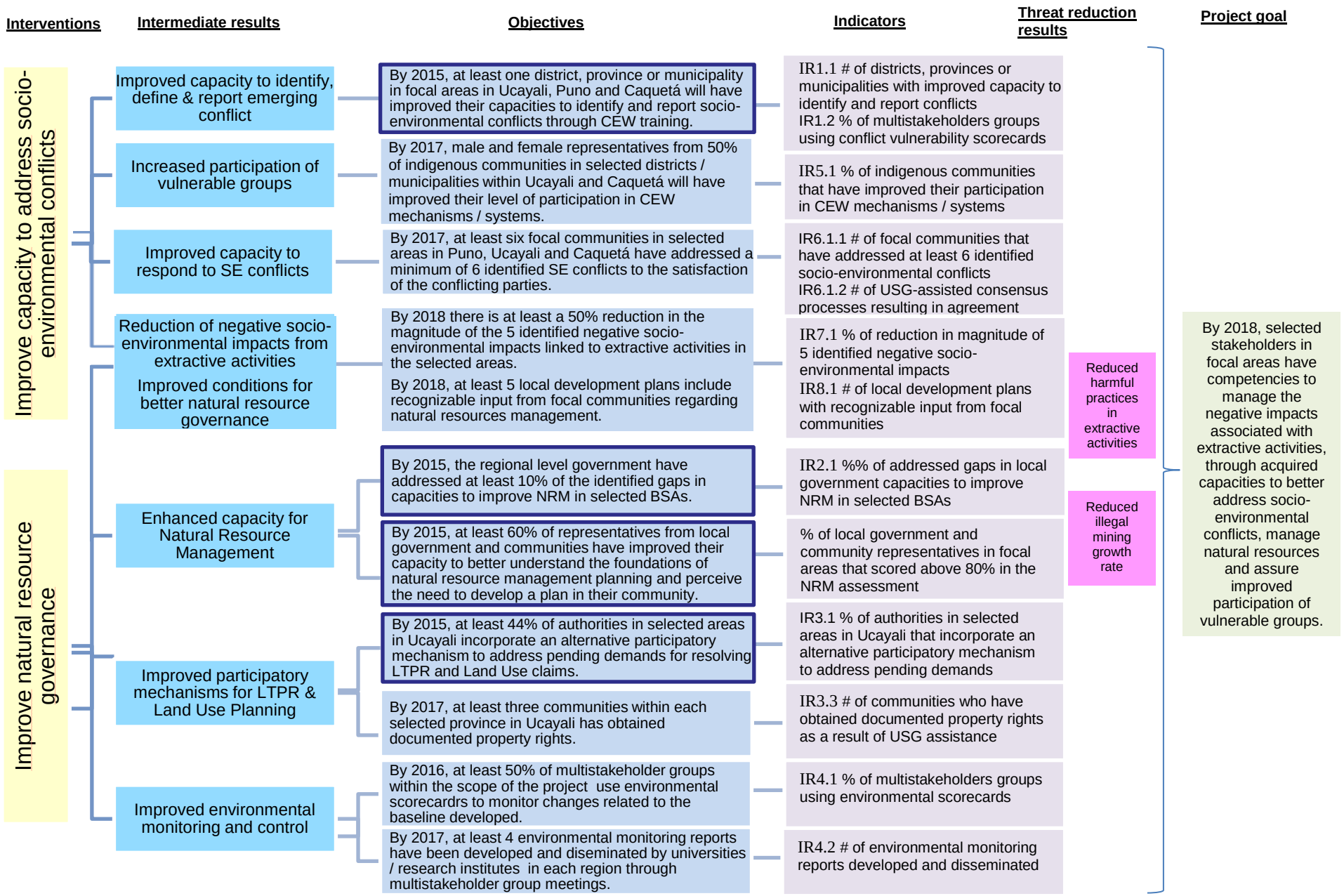
Over the longer term beyond the period of project implementation, we propose as aspirational goals those associated with biodiversity focal components, where if our theory of change is valid and interventions through 2018 successful, we would expect to have created the enabling environment in which the marginal growth rate of harmful practices resulting in contamination and degradation associated with extractive activities in the focal areas to have been reduced with corresponding measurable impacts on biophysical conditions in selected terrestrial and aquatic ecosystems. The aspirational or ultimate goals beyond the period of implementation envisages that by 2023, at least 25% of the original extension of the ecosystems within the focal areas remain under healthy conditions, as compared to base year indicators and that the level of water quality[2] in selected aquatic ecosystems and habitats will have improved at least in 25% as compared to base year indicators.

INTERMEDIATE RESULTS AND OBJECTIVES

The project's primary interventions to achieve biodiversity centered goals are focused on improving local capacity to address socio-environmental conflict and improve natural resource governance. The primary means through which the project will achieve the referenced goals and results will be through project supported activities and facilitated efforts to increase capacity of local and regional partners equipped with model approaches, enhanced tools and more effective mechanisms to achieve the desired impact and results. ABC-LA's primary interventions, intermediate results, associated objectives and indicators are presented in the figure below.

[2] Water quality as defined by pH, µg/Hg, and turbidity.

Figure 1 ABC-LA Primary Interventions



INDICATORS & TARGETS

Indicator Types: The ABC-LA PMP incorporates the characteristics of good performance indicators as described in relevant USAID guidelines[3], including:

- *Direct*: Indicators should track closely the results they are intended to measure, and be grounded in theory and practice. When direct indicators cannot be used because of costs or other factors, a reasonable proxy indicator may be used;
- *Objective*: Indicators should be clear about what is being measured and of one dimension, with no ambiguity over what data are being collected;
- *Useful for Management*: Indicators should be useful for management purposes at relevant levels of decision making;
- *Practical*: Indicators are practical if associated data are reliable and valid, and can be obtained in a timely way and at reasonable cost;
- *Attributable to ABC-LA:* Indicators should measure change that is clearly and reasonably attributable, at least in part, to the efforts of ABC-LA and therefore to USAID;
- *Timely*: Indicator data should be available when they are needed to make decisions;
- *Adequate*: Taken as a group, indicators should be the minimum necessary to ensure that progress toward given results is sufficiently captured; and,
- *Gender Considerations*: As appropriate, indicators should be gender-disaggregated and provide information on and facilitate measurement of differences in project impact on women and men.

ABC-LA will use two general types of indicators to measure progress.

Output indicators are linked to particular intermediate results and associated activities and tasks. They are quantitative, providing information on a range of outputs such as numbers of training participants, CSOs and government agencies supported, and outputs associated with project supported initiatives and actions. ABC-LA staff will regularly collect output indicator data from grant and sub-contract agreements, activity reports, interviews and visits to activity sites.

Outcome indicators are linked to project objectives. They are mostly qualitative and help staff assess the impact of activities and progress towards achievement of Objectives and the overall Project Goal.

[3] For example, the Performance Management Toolkit (2003), http://www.usaid.gov/policy/ads/200/200sbn.pdf; Performance Monitoring and Evaluation Tips (1996), http://www.usaid.gov/pubs/usaid_eval/pdf_docs/pnaby233.pdf; and, USAID Automated Directives System (ADS), Chapters 200-203, http://www.usaid.gov/policy/ads/200/.

Table 1: Indicators Summary by level

Level of Result Measured	INDICATOR LEVEL				TOTAL
	Code	OUTCOME	Code	OUTPUT	
Higher level results (Interventions)	II1	# of new groups or initiatives created through USG funding dedicated to resolving conflict or the drivers of conflict **(1.6.1-12)**	II2	# of hectares of biological significance and/or natural resources under improved natural resource management as a result of USG assistance **(4.8.1-26)**	2
Intermediate results	IR1.1	# of districts, provinces or municipalities with improved capacity to identify and report socio-environment conflicts through conflict early warning training	IR1.2	% of multistakeholders groups using conflict vulnerability scorecards	14
	IR2.1	% of addressed gaps in local government capacities to improve NRM in selected BSAs	IR2.2	% of local government and community representatives in focal areas that scored above 80% in the NRM assessment	
	IR3.1	% of authorities in selected areas in Ucayali that incorporate an alternative participatory mechanism to address pending LTPR demands	IR3.2	# of communities who have obtained documented property rights as a result of USG assistance **(4.7.4-5)**	
	IR3.2	Number 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)**			
	IR4.2	# environmental monitoring reports developed and disseminated by universities / research institutes	IR4.1	% of multistakeholders groups using environmental scorecards	
	IR5.1	% of indigenous communities that have improved their participation in CEW mechanisms / systems			
	IR6.1.2	# of USG-assisted consensus-building processes resulting in agreement **(2.3 1-4)**	IR6.1.1	# of focal communities engaged and supported to address at least 6 identified socio-environmental conflicts	
	IR7.1	% reduction in magnitude of the 5 identified negative socio-environmental impacts[4] linked to extractive activities in the focal areas			
			IR8.1	# of local development plans with recognizable input from focal communities	
	Total	9	Total	7	**16**

[4] Negative socio-environmental impacts associated with extractive activities may include: Conflicting or incompatible land use; Contamination and/or degradation (air, land and water); Impacts on community well-being (security, health, culture and livelihoods); Increased instances of child labor, sexual exploitation and human trafficking; and, Unfair labor practices, and occupational safety and health threats posed to extractive workers.

Table 2: Targets by Fiscal Year

Code	Indicator Name	FY14 Target	FY15 Target	FY16 Target	FY17 Target	FY18 Target
II1	# of new groups or initiatives created through USG funding dedicated to resolving conflict or the drivers of conflict **(1.6.1-12)**	0	3	4	5	5
II2	# 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	100000	250000	500000	1000000
IR1.1	# of districts, provinces or municipalities using conflict early warning mechanisms or systems	0	3	4	5	5
IR2.1	% of addressed gaps in local government capacities to improve NRM in selected BSAs	0	10%	15%	20%	25%
IR2.2	% of local government and community representatives in focal areas that score above 80% in the NRM assessment	0	60%	65%	70%	75%
IR3.1	% of authorities in selected areas in Ucayali that incorporate an alternative participatory mechanism to address pending LTPR demands	0	40%	50%	55%	70%
IR3.2	Number 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	1	2	3	5
IR3.3	# of communities who have obtained documented property rights as a result of USG assistance **(4.7.4-5)**	0	0	2	3	5
IR4.1	% of multistakeholders groups using environmental scorecards	0	30%	50%	70%	80%
IR4.2	# environmental monitoring reports developed and disseminated by universities / research institutes	0	1	3	4	5
IR5.1	% of indigenous communities that have improved their participation in CEW mechanisms / systems	0	10%	25%	50%	75%
IR6.1.1	# of focal communities engaged and supported to address at least 6 identified socio-environmental conflicts	0	1	3	5	6
IR6.1.2	# of USG-assisted consensus-building processes resulting in agreement **(2.3 1-4)**	0	1	3	6	8
IR7.1	% reduction in magnitude of the 5 identified negative socio-environmental impacts linked to extractive activities in the focal areas	0	5%	10%	25%	50%
IR8.1	# of local development plans with recognizable input from focal communities	0	5	7	10	20

PERFORMANCE MONITORING

An efficient monitoring system must be built around good indicators, cost-effective data collection, An efficient monitoring system must be built around good indicators, cost-effective data collection, rigorous analysis, and efficient reporting procedures. The criteria for selection of good indicators include that they are pertinent and unequivocal; that they are objective and assist in decision making; and that they are readily understandable. Moreover, they should be based on parameters that are quantifiable, and readily measured at a reasonable cost. In most instances, the careful selection of a few pertinent indicators that are easily measured is preferable to having numerous indicators that require complex procedures for data acquisition.

The ABC-LA project is committed to providing monitoring information to USAID and partners that meets the requirements and guidelines outlined in USAID's ADS 200 - particularly ADS 203. The performance and impact monitoring reports will strive to be both candid and transparent. Wherever appropriate, issues of data quality will be discussed and any instances of under-performance relative to our established targets will be accounted for and explained.[5]

ANALYZING DATA AND REPORTING RESULTS

ABC-LA will use DAI's Technical and Administrative Management Information System (TAMIS) to integrate work plan management, impact and performance monitoring, and project administration into a single, easy-to-use information system. The TAMIS will enable project team members – whether they are in Lima, Bogota, Washington or in other locations – to enter data and review overall progress. Project staff will be able to house tools that they develop, such as workshop and training plans, curricula, capacity building modules; draft reports, and other documents to be shared among staff, and project deliverables, such as annual progress reports and financial reports.

The Performance Monitoring Plan, housed in the project TAMIS, will compile and track performance monitoring information on established indicators. The system will also used to capture qualitative information, such as anecdotal experiences submitted by local partners, which can inform success stories to complement the more rigorous impact assessments. ABC-LA will prepare annual reports on progress toward meeting output and outcome targets. These reports will compare actual indicator numbers to annual targets and will include an analysis of why targets were surpassed, met, or not achieved.

CAUSALITY AND ATTRIBUTION

In attempting to gauge the impact of ABC-LA, attribution becomes a complex issue. Numerous organizations including the national and regional governments, NGOs, CSOs, community-based organizations, and donors are active in many of the same regions, districts and even the same communities where ABC-LA and its partners will implement activities. Wherever possible we have identified indicators that will address this issue by focusing on progress and impact that is specific to

[5] ADS 203.3.2.2 (c) states: Candor and transparency in reporting involves three interrelated actions: (1) assessing the quality of data we use to report progress and stating known limitations; (2) conveying clearly and accurately the problems that impede progress and our efforts to address them; and (3) avoiding the appearance of claiming those results achieved with or by others as our own.

ABC-LA activities. When other factors have influenced project outputs, outcomes, and results, they will be noted and analyzed. Overall, there are often many factors that affect the results of development projects. Moreover, many of these, such as global commodity prices and market forces which will influence this project's impact are obviously beyond the control of a given project. The ABC-LA project team will strive to identify and explain these factors during annual performance monitoring reviews and reporting.

Core elements of the ABC-LA approach to monitoring performance include:

- Regular field visits—with a representative sample of stakeholders, interviews are conducted and data are collected as appropriate;
- Immediately after field visits, structured meetings with key staff to discuss findings, determine lessons learned and how they might be incorporated into new activities, and discuss implications for existing strategies, policies and procedures;
- Regular collection of quantitative data for all ABC-LA -funded activities;
- Storage of quantitative data in the ABC-LA database (TAMIS) for analysis and documentation;
- Documentation of key lessons learned; and
- Reports written, as necessary.

Progress and outcome assessments help illuminate the success of an initiative in relation to its objectives, and the extent to which intended beneficiaries have benefited. They also provide a check on the use of ABC-LA resources. By encouraging reflection and observation, assessments help staff maintain focus on the larger objectives—the "big picture" and revisit assumptions to maximize prospects of doing no harm.

Collection and analysis of outcome data will provide insight into Program results, highlight opportunities, and helps the project team maintain focus on achieving desired outcomes. They also facilitate investigation and assessment of the project's theory of change, the underlying program assumptions and strategies.

ABC-LA will also use quantitative data to assess programmatic outcomes. Examples include:

- Specialist scoring of regional and local capacity to detect and effectively respond to conflict;
- Environmental scorecards to help inform the quality of natural resource governance; and
- Expert analysis and case studies on service delivery linked with priority Land Tenure and Property Rights (LTPR) claims.

When used in conjuncture with qualitative measures, quantitative outcome indicators will provide ABC-LA with numeric indices that can be tracked over time and thus provide a sense of the degree of change brought about by project interventions and activities. The results can also be used to influence and inform key stakeholders from government, civil society and business with whom ABC-LA works. They could be established to reflect partners' commitment to improve natural resource governance in their locales. In this way, the quantitative indictors will do more than inform ABC-LA management and USAID about performance and progress—they will also be a tool for citizens and government officials in their work to advance reforms in public policy and improve local and regional government performance in relation to project objectives and goals. Staff will collect data on outcome indicators periodically — typically on an annual basis and ABC-LA will also contract local experts to collect and analyze data. Data collected will be disaggregated by gender, age, and beneficiary type — government official, community groups and vulnerable populations, professional or civil society representative.

Table 4 Definitions, collection and reporting

Code	Indicator Name	Unit	Definition	Data Source(s)	Data collection / monitoring method	Reporting Frequency	Responsible of collection and reporting
II1	# of new groups or initiatives created through USG funding dedicated to resolving conflict or the drivers of conflict **(1.6.1-12)**	Number of groups or initiatives	Cumulative increase in number of groups or initiatives using Conflict Early Warning (CEW) mechanisms / systems built or strengthened.	Conflict reports disseminated by the CEW system members.	Content review on conflict reports	Annual	Collected by ABC-LA staff and implementing partners
II2	# of hectares of biological significance and/or natural resources under improved natural resource management as a result of USG assistance **(4.8.1-26)**	Number of hectares	Cumulative measure of areas (in hectares) of Biologically Significant Areas (BSAs) that have land-use and/or natural resources plans that will improve Natural Resource Management (NRM).	Environmental assessment reports	Environmental assessment	Annual	Collected by ABC-LA staff, implementing partners and independent expert analysis
IR 1.1	# of districts, provinces or municipalities with improved capacity to identify and report socio-environment conflicts through conflict early warning training;	Number of districts, provinces or Municipalities	Cumulative increase of districts / municipalities in Ucayali, Puno and Caquetá using conflict early warning mechanisms / systems.	Conflict reports disseminated by the CEW system members.	Interviews with local stakeholders taking part of the CEW system Content analysis of conflict reports	Quarterly	Collected by ABC-LA staff and implementing partners
IR 2.1	% of addressed gaps in local government capacities to improve NRM in selected BSAs.	Percentage of addressed gaps	Cumulative measure of addressed gaps in capacities to improve Natural Resource Management (NRM) in selected BSA. NRM refers to ordinances, municipal accords, watershed management plans, municipal programs, declaration of water sources protection, etc. that have been approved by the municipality. Gaps include absence of regional / local environmental lead agency, plans or strategy. Specific gaps will be identified for each BSA that will serve as the total percentage of gaps to be covered and addressed.	Assessment report	ICAT assessment	Quarterly	Collected by ABC-LA staff and implementing partners

IR2.2	% of local government and community representatives in focal areas that score above 80% in the NRM assessment	Percentage of representatives	Cumulative increase of government and community representatives that score above 80% in the NRM evaluation. NRM evaluations will measure fundamental understanding of NRM management (i.e., planning, monitoring, and data management) and needs for engaging communities in developing plans.	Survey results	Knowledge survey before and after the training	Quarterly	Collected by ABC-LA staff and implementing partners
IR3.1	% of authorities in selected areas in Ucayali that incorporate an alternative participatory mechanism to address pending demands	Percentage of authorities	Cumulative increase of authorities that incorporate multi-stakeholder platforms as alternative participatory mechanisms to address pending demands for resolving Land Tenure and Property Rights (LTPR) and Land Use claims.	Participatory mechanisms report	Interview with members of participatory mechanisms	Annual	Collected by ABC-LA staff and implementing partners
IR3.2	# of communities who have obtained documented property rights as a result of USG assistance **(4.7.4-5)**	Number of communities	Cumulative increase of documented property rights within each selected province in Ucayali.	Official documents on land tenure.	Review of official documents	Annual	Collected by ABC-LA staff and implementing partners
IR4.1	% of multistakeholders groups using environmental scorecards	Percentage of multistakeholders groups	Cumulative increase of multistakeholder groups within the scope of the project using environmental scorecards to monitor changes related to the developed baseline. Environmental scorecards will, provide basis for measuring / assessing changes and threats over time.	Environmental scorecards Report	Scorecard content review Direct observation on multistakeholder mechanism Interview with members of multistakeholder mechanism	Annual	Collected by ABC-LA staff and implementing partners
IR4.2	# environmental monitoring reports developed and disseminated by universities / research institutes	Number of environmental monitoring reports	Cumulative increase of environmental monitoring reports developed and disseminated by universities / research institutes and multi stakeholder groups in focal areas.	Reports disseminated by universities	Content review on the information disseminated by universities Interview with members of multistakeholders group	Annual	Collected by ABC-LA staff and implementing partners

IR5.1	% of indigenous communities that have improved their participation in CEW mechanisms / systems	Percentage of indigenous communities	Cumulative increase of indigenous communities in selected districts / municipalities within Ucayali and Caquetá that have improved their level of participation in CEW mechanisms / systems according to the vulnerable groups assessment tool (VGAT).	Conflict reports disseminated by the CEW system members.	Interview with indigenous communities representatives Direct observation on multistakeholder mechanisms	Annual	Collected by ABC-LA staff and implementing partners
IR6.1.2	# of USG-assisted consensus-building processes resulting in agreement **(2.3 1-4)**	Number of processes	Cumulative measure of identified socio-environmental conflicts resolved to the satisfaction of the conflicting parties as a result of project assistance in focal communities.	Case study report	Case study Interview with local stakeholders	Annual	Collected by ABC-LA staff and implementing partners
IR6.1.1	# of focal communities engaged and supported to address at least 6 identified socio-environmental conflicts	Number of focal communities	Cumulative increase of focal communities in selected areas in Puno, Ucayali and Caquetá which take part of early actions or mitigation efforts.	Conflict reports disseminated by the CEW system members.	Interviews with local stakeholders taking part of the CEW system Content analysis of conflict reports	Annual	Collected by ABC-LA staff and implementing partners
IR 7.1	% reduction in magnitude of the 5 main negative socio-environmental impacts identified linked to extractive activities in the selected areas	Percentage of reduction	Cumulative reduction in magnitude of the main negative socio-environmental impacts associated with extractive activities, including: Conflicting or incompatible land use; Contamination and/or degradation (air, land and water); Impacts on community well-being (security, health, culture and livelihoods); Increased instances of child labor, sexual exploitation and human trafficking; and, Unfair labor practices, and occupational safety and health threats posed to extractive workers.	Vulnerable groups assessment report	Interview with local stakeholders Direct observation	Annual	Collected by ABC-LA staff and implementing partners
IR 8.1	# of local development plans with recognizable input from focal communities	Number of local plans	Cumulative increase of local plans in the focal areas including recognizable input from focal communities regarding natural resources management.	Official Local Plan	Local plan content review	Annual	Collected by ABC-LA staff and implementing partners

ANNEX C:

SUMMARY: 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 were to help inform project critical tasks including the identification of threats to biologically significant areas (BSAs) posed by extractive activities as well as related threats associated with ongoing and emerging socio-environmental conflicts. The IPAs were also intended to inform the further development of the project's theories of change (TOCs) and work planning, including planned activities and the selection of sites 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 to inform selection of 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 as well as to discerning lessons from pilot efforts associated with USAID supported 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 since 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 include 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 have also contributed to the basis for proposing priority sites where ABC-LA will focus programmatic attention at the sub-national level, the project's primary point of entry.

The project has 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 biologically significant areas (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 (as 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 for example, 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

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

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 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 partners 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 significant biological significance, as it includes the biologically unique and vulnerable Santurbán Páramo, an important 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 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 (MINAM)'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 associated social expectations for increased extractive activities in the territory is 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.

USAID
FROM THE AMERICAN PEOPLE

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

ABC-LA Project aims to improve capacities to better address conflicts associated with extractives activities and negative impacts on biologically significant areas and vulnerable populations.

The development of extractive activities in Latin America has led to the increased prevalence and severity of socio-environmental conflicts in indigenous communities which depend on biologically diverse resources.

U.S Agency for International Development
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PROJECT SCOPE

The increase of mining, oil and gas development, and logging in Latin America has led to chronic low-grade conflict punctuated by periodic violence in communities in or adjacent to extraction zones. The U.S. Agency for International Development (USAID)-funded Addressing Biodiversity-Social Conflict (ABC-LA) project will create enabling conditions for locally driven conflict resolution and lay a foundation for key actors involved to better address causes of conflict associated with extractive activities and work toward transforming them—to reduce negative impacts on biodiversity and vulnerable communities.

The ABC-LA Project goal is to improve indigenous/minority community and local/regional governmental capacities to better address conflicts (potential and on-going) in the extractives sector that may negatively impact on biologically significant areas (BSAs), thus leading to greater inclusion of marginalized groups. The project runs for an initial two year base period ending September 2015, with three optional years that would extend it through September 2018. The ABC-LA Project focuses on biologically significant areas (BSAs) in Colombia and Peru where there is on-going or potential conflict associated with extractive activities and resulting threats to ecosystems and community well-being, especially that of vulnerable populations.

BENEFICIARIES AND STAKEHOLDERS

The ABC-LA Project will strengthen capacities and skills in indigenous / vulnerable communities and local governments in Ucayali and Puno Regions in Peru, and in the Departments of Caquetá and Santander in Colombia, where there are existing, current or potential conflicts associated with extractive activities that have negative impacts on BSAs and vulnerable communities.

The Project is working collaboratively with government institutions, universities and research institutes, community based organizations, private companies, artisanal mining associations, and local management committees (*comite de gestion*), among others.

ABC-LA Project works with vulnerable / indigenous communities and local and regional governments to develop early warning and timely response mechanisms to social conflict associated with extractive activities.

Improved conflict management and natural resources governance will result in positive impacts on biodiversity conservation and fragile ecosystems currently under threat.

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KEY ACTIVITIES

The Project tasks are focused on key areas such as early warning, prevention and response to socio-environmental conflicts and natural resources governance associated with the conservation of biodiversity. Among the main activities are:

- Development of conflict early warning systems, tools and methodologies for prevention and response skills for key stakeholders, with special attention to vulnerable groups negatively affected by extractive activities.
- Supporting inclusive mechanisms to improve engagement and influence of local community and vulnerable populations in natural resource governance.
- Promote multi-stakeholder dialogue on prior consultation and best practices for social and environmental impact assessments.
- Enhance capacity of local actors to better address demands for securing priority land tenure and property rights, as well as land use planning.
- Support collaborative processes, mechanisms and pilot initiatives to improve land use planning and natural resource management.
- Identify limitations and promote transparency mechanisms related to the distribution and use of revenues derived from extractive activities.

EXPECTED RESULTS

- Strengthened capacities of key local stakeholders to identify define and report potential conflicts applying early warning methods, tools and mechanisms.
- Multi-stakeholders platforms and mechanisms which contribute to improved collaboration between sectors, promoting the participation of vulnerable groups to prevent, mitigate and resolve socio-environmental conflicts.
- Strengthened capacities mechanisms to secure land tenure and property rights, and enhance land-use planning and natural resources management.
- Decreased rate of deforestation and habitat loss, due to conflict prevention / resolution, as well as the improved governance, management of fragile ecosystems and associated biodiversity, land tenure and property rights.*

* This result is expected to be achieved at the end of five years of implementation.