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

ANNUAL REVIEW AND QUARTERLY REPORT

OCTOBER 2015

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

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ACRONYMS

AAA	Administrative Authority of Water
ABC-LA	Addressing Biodiversity Social Conflict in Latin America
ANA	Peruvian National Water Authority
ASGM	Artisanal Small-scale Gold Mining
BGI	Better Gold Initiative
BSA	Biologically Significant Area
CEW	Conflict Early Warning
CODEMIA	Coordination for the Development of Amazonian Women
DAI	Development Alternatives, Inc
DREM	Regional Department of Mining (Peru)
FCDS	Fundación para la Conservación y el Desarrollo Sostenible
FUNDESA	Foundation for the Sustainable Development of the Amazon
GDP	Gross Domestic Product
GIZ	German International Cooperation Agency
GRMMU	Regional Group for Monitoring Megaprojects in Ucayali
ICAT	Institutional Capacity Assessment Tool
IPs	Indigenous Peoples
LGUs	Local Government Units
LTPR	Land Tenure Property Rights
MADS	Ministry of Environment and Sustainable Development (Colombia)
MINAGRI	Ministry of Agriculture and Irrigation, (Peru)
MINAM	Ministry of Environment (Peru)
MMAP	Mancomunidad Municipal de la Amazonía de Puno
NRG	Natural Resource Governance
ORAU	Organización Regional AIDESEP Ucayali
ORDIM	Organización de Desarrollo Indígena de Masisea
PAT	USAID Technical Assistance Program
PCM-ONDS	National Office on Dialogue (Peru)
SERNANP	Servicio Nacional de Áreas Naturales Protegidas por el Estado (Perú)
SINCHI	Amazon Institute for Scientific Research (Colombia)
SNIP	National Public Investment System (Peru)
TNC	The Nature Conservancy
TOC	Theory of Change
UNAP	National University of the Altiplano
UNU	National University of Ucayali
USAID	United States Agency for International Development
WCS	Wildlife Conservation Society

INTRODUCTION AND BACKGROUND

The increase in oil and gas exploration and development and mining (both legal and illegal) in Latin America has led to environmental degradation in key biodiversity-rich areas. Chronic low-grade socio-environmental conflict punctuated by periodic violence in communities in or adjacent to extraction zones constitutes one of the main drivers for biodiversity loss, as conflict typically hinders opportunities to develop consensus and advance more effective natural resource management and governance that are vital to protecting fragile ecosystems and habitats in order to improve the enabling conditions for biodiversity conservation.

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 associated with extractive activities in order to promote transformative change that reduces negative impacts on habitats and biodiversity as well as on vulnerable communities.

ABC-LA is working with local stakeholders to reduce the harmful practices associated with extractive activities in selected biologically significant areas (BSAs) 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, which includes 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. 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. However, this positive trend has been accompanied by significant increases in environmental degradation and growing pressures to 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 threats to biodiversity in protected areas and surrounding buffer zones, and threats to the well-being of vulnerable communities. These threats include habitat loss and degradation, loss of primary forests, changes and/or alterations in water courses, increased sedimentation and alteration of physico-chemical parameters in bodies of water, and water contaminated by chemical substances and toxic effluents.

To address the identified problem scope, ABC-LA is working with stakeholders to create or strengthen the capacity and tools that enable local actors to better identify and more effectively address causes of environmental degradation and socio-environmental conflict associated with extractive activities, with the aim of reducing negative impacts on biodiversity and vulnerable groups, including indigenous and minority communities.

By linking applied research, training, and application of culturally and gender-sensitive participatory conflict management approaches, ABC-LA seeks to provide the means by which 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.

EXECUTIVE SUMMARY

This report provides a summary of the Addressing Biodiversity Social Conflict in Latin America (ABC-LA) project developments covering the last quarter and the past year ending September 2015.

PROJECT OVERVIEW

The goal of ABC-LA is to improve enabling conditions for biodiversity conservation through enhanced natural resource governance and reduced socio-environmental conflict associated with extractive activities. Achievement of this goal will contribute to a long-term impact of reducing degradation and contamination of biophysical conditions in selected Biologically Significant Areas of Peru and Colombia.

Toward this end, ABC-LA is working at the local levels to strengthen community and government capacities to improve natural resource management and address socio-environmental conflict. The project's capacity building approach provides training and technical assistance to institutions and community leaders, helps foster multi-stakeholder groups and develops tools and skills needed to better address threats to biodiversity and community well-being. ABC-LA works with local partners to apply this enhanced local capacity to: conduct applied research to generate reliable data and monitor environmental conditions, assess socio-environmental dynamics of vulnerable groups and to implement other targeted assessments such as on impacts associated with extractive activities including small-scale gold mining.

ABC-LA PROJECT RESULTS:

During the project's 2013-2015 base period, ABC-LA has improved capacity for natural resource management (NRM) and increased local leaders' ability to identify and report socio-environmental conflicts. These two enhanced skill sets of local and regional institutions contributed to increasing enabling conditions for biodiversity conservation. Project partners and institutional counterparts are assuming ownership of project initiatives, applying skills acquired through project assistance to develop local plans and tools, and connect to regional and national mechanisms, to better address socio-environmental conflict and improve natural resource management for biodiversity conservation.

Achievements to date are summarized below which correspond to four primary categories:

Increased enabling conditions for biodiversity conservation through better Natural Resource Governance (NRG): Six local governments in project focal areas have produced governance plans that include improved NRG and biodiversity input with recognizable inputs from focal communities.

- In Puno, Peru three district-level governments created municipal action plans to support regional and national biodiversity goals. These districts are located in the Bahuaja Sonene National Park's area of influence, a zone of high biological significance that is also seeing an increase in extractive activities and illicit activities posing threats to biodiversity and ecosystem services.
- Guidelines for incorporating biodiversity conservation into indigenous community-level governance plans (planes de vida) were developed through ABC-LA assistance in Ucayali, Peru, implemented in the creation of a plan for one indigenous community and approved by the organization AIDESEP, which represents many indigenous federations, at the national level as a model to be applied to *planes de vida* across Peru.
- Creation of one regional agenda for human and sustainable development in Santander, Colombia that includes agreements between civil society and public institutions focused on the management of

the Surata River watershed. Two municipalities have committed to incorporating the regional agenda into their 2016 development plans.

Increased Capacity for Natural Resource Management (NRM): Strengthened the capacity of applied research and local environmental institutions to improve natural resource management.

- The University of Ucayali conducted a government-approved baseline study and built a platform and protocol for ongoing monitoring of biophysical conditions in the Abujao River watershed to evaluate impacts of extractive activities on biodiversity and indigenous communities in the focal area.
- The University of Los Andes has built a multi-actor platform for citizen science monitoring of water quality in the Surata River watershed, including the University of Santa Tomas, the Industrial University of Santander, municipal environmental committees, some private sector partners and the regional government of Santander.
- SINCHI is conducting an environmental baseline in Caquetá, the institute's first baseline study in Colombia that focuses on impacts associated with extractive activities. Results will be disseminated to municipal officials for incorporation into their 2016 local development plans.
- District and provincial-level governments in Puno have participated in NRM capacity strengthening to produce actions plans for biodiversity conservation.
- Through NRM capacity strengthening, district and provincial level governments in Ucayali are drafting a conservation and sustainable use plan for the Sierra del Divisor Reserve's area of influence. ABC-LA has assessed installed capacity for natural resource management and has worked with local authorities and partners to develop and implement plans to address key gaps of environmental institutions and also meet the eligibility requirements for accessing national funding to sustain associated implementation of the plan for protecting this highly biologically significant area.

Increased Capacity for Socio-Environmental Conflict Management: Ten new groups or initiatives dedicated to resolving conflict, or related drivers, have been created through ABC-LA assistance in Peru and Colombia.

- Key stakeholders in nine municipalities increased awareness about socio-environmental conflicts and improved capacity to identify, analyze, map, and report conflicts that pose a threat to biodiversity.
- Nascent local mechanisms for responding to conflict are being strengthened.

Increased Participation of Vulnerable Groups: Sixteen project supported mechanisms for improving natural resource governance and conflict early warning include participation of vulnerable groups.

- Indigenous and youth in environmental baseline study areas have participated in field work as co-researchers, enriching scientists' understanding and analysis of environmental samples, and creating ownership of results to inform decision-making by the public and private sectors and communities.
- *Campesino* and indigenous communities, youth, and women have participated in socio-environmental conflict management capacity building, forming local conflict early warning networks and documenting threats to natural resources including with audio-visual tools, conflict mapping and reporting.
- *Campesino* and indigenous communities have participated in the formulating local action plans for biodiversity conservation and sustainable use.

LOOKING FORWARD

With the closing of the project scheduled to take place within the next quarter, and apart from related planning and tasks that this entails, the team is focused programmatically on a set of key priorities referred to as the "abc's" of ABC-LA efforts, which are to:

- Maximize the positive impacts of project activities;
- Add value and advance to the extent possible positive outcomes and results; and,
- Consolidate advances and conditions that foster sustainability of priority efforts.

In so doing, ABC-LA is building on the progress achieved over the past year in which the priority has been on implementing the ABC-LA approach and activities to address a complex set of social and environmental challenges in each of the project's focal areas of Peru and Colombia.

ABC-LA & USAID BIODIVERSITY POLICY

Support Enabling Conditions for Biodiversity Conservation: The project is strengthening accountable and capable institutions that can effectively manage biodiversity resources, and building constituencies for conservation through multi-stakeholder platforms that incorporate vulnerable groups in decision making.

Reduce Priority Drivers and Threats to Biodiversity: ABC-LA strives to prevent future habitat loss due to impending threats through mechanisms such as conservation and sustainable use plans and consensus building agreements for community-based conservation of BSAs.

Integrate Conservation and Development for Improved Biodiversity and Development Outcomes: ABC-LA follows USAID guidance by using site-specific and thematic analyses to develop and apply a TOC to activity design.

Build Partnerships to Mobilize Resources in Support of Biodiversity Conservation: ABC-LA has built partnerships with a wide range of local stakeholders that jointly and separately contribute to improved biodiversity conservation, including: research institutions to provide better data and analysis of biodiversity conditions and threats; university partners to implement innovative approaches including citizen-science initiatives to improve environmental monitoring; NGOs and indigenous-peoples' organizations to lead on capacity building and applied research efforts; and local government institutions to strengthen the institutional and technical capacity to protect biodiversity and habitats and promote more effective local partnerships between authorities and communities to advance conservation.

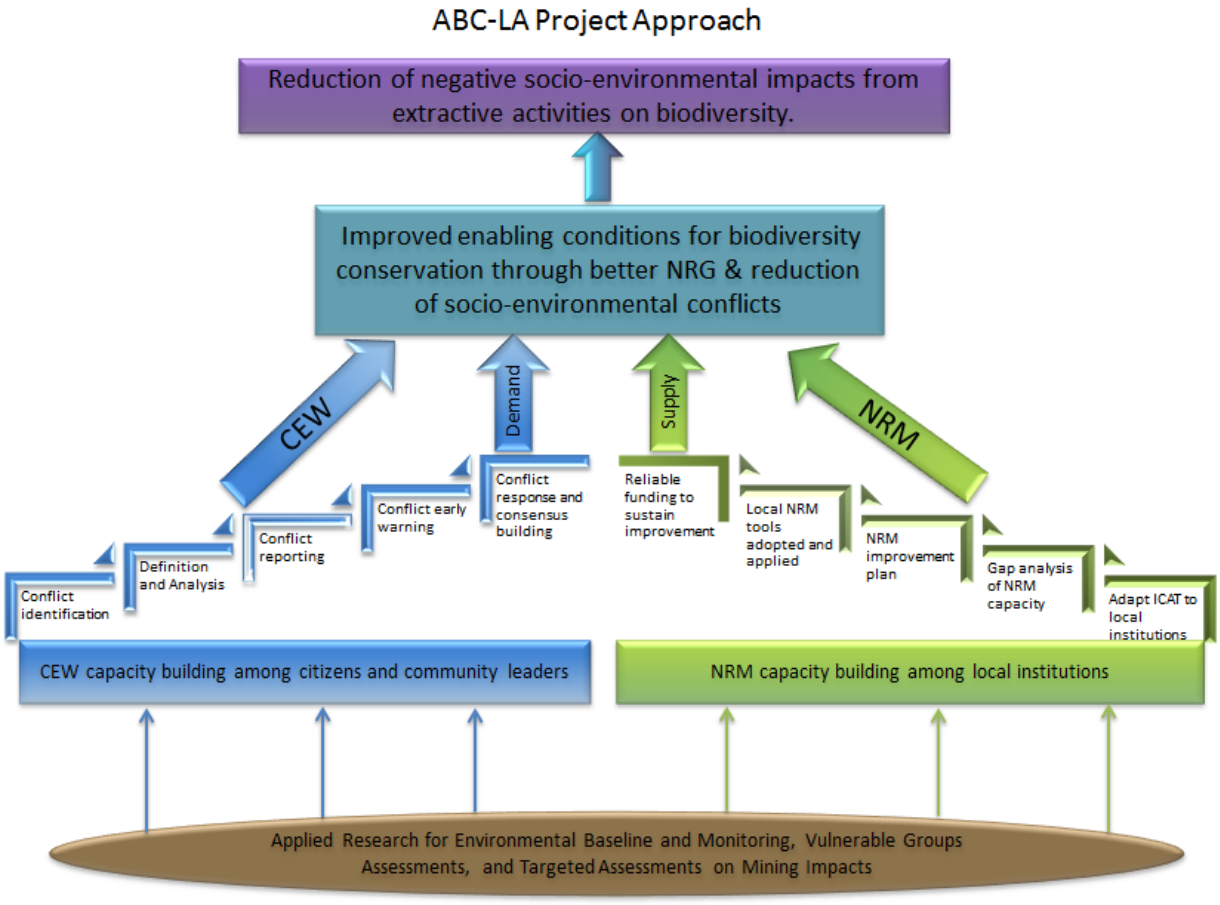
Apply Science, Technology, and Learning to Enhance Biodiversity Conservation Practice: ABC-LA is working with applied research institutions like SINCHI in Caquetá, UNU in Ucayali, and the UniAndes in Santander to strengthen local capacity to generate data, and measure and document impacts from extractives activities on BSAs, including through a citizen science initiative for watershed monitoring that uses innovative and affordable data sensors and cell phone technology for monitoring and reporting.

PROJECT OVERVIEW

The goal of ABC-LA is to improve enabling conditions for biodiversity conservation through improved natural resource governance and reduced socio-environmental conflict associated with extractive activities. Achievement of this goal will contribute to a long-term impact of reducing degradation and contamination of biophysical conditions in selected Biologically Significant Areas (BSAs) of Colombia and Peru. During the base period, the project is working in four focal areas where BSAs, and the well-being of vulnerable groups, are at risk from identified drivers and threats to biodiversity posed by extractive activities. Specifically, project efforts are focused on the Upper Amazon Basin of Puno, the Lower Amazon Basin of the Ucayali region and the department of Caquetá, as well as in the Santurban Paramo in Santander.

PROJECT APPROACH

ABC-LA employs a multidisciplinary approach to identify and address the drivers and threats to biodiversity through the following programmatic interventions: 1) strengthening community and local/regional government capacities to improve natural resource management (NRM) and 2) strengthening capacities to address socio-environmental conflict, with the goal of improving enabling conditions for biodiversity conservation through improved natural resource governance (NRG) and reduced socio-environmental conflicts. The project's capacity building approach provides training and direct technical assistance to institutions and community leaders to provide them with the tools and skills they need to address direct and indirect threats to biodiversity. The ABC-LA project approach is presented in the following graphic.



To inform these two lines of intervention, and address identified gaps in scientific and technical data, the project has developed a strong applied research component, which includes generation of environmental data and subsequent monitoring of biological components and biophysical conditions, vulnerable groups assessments to understand the socio-environmental conditions affecting marginalized populations in the project focal areas, and targeted assessments on the socio-environmental impacts of gold mining.

ABC-LA strengthens local systems by working through existing local organizations and government institutions at national and local levels, making sure to avoid redundancies in programming and provide strategic support and facilitation for initiatives favoring locally led solutions. In each focal region, the project works closely with key local partners to identify how ABC-LA interventions can provide a value-add to existing processes, and promote sustained development past the point of project funding.

ABC-LA's interventions address identified drivers and threats to biodiversity in the focal areas. The project's Initial Program Assessments (IPAs) identified threats to biodiversity and the project's Situational Model and Theory of Change (TOC)[1] were developed to address these threats. The resulting project goal to improve enabling conditions for biodiversity conservation addresses two drivers of biodiversity loss: weak NRG and conditions that lead to socio-environmental conflicts. Improved NRG includes better regulation and enforcement, more secure land tenure and property rights (LTPR), and improved zoning in and around BSAs. This will enhance environmental stewardship, resulting in diminishing the rate of habitat loss, including deforestation and contamination of water resources. The table below provides a synthesis of identified drivers, threats, and corresponding impacts in terms of biodiversity loss from all four of ABC-LA's focal areas.[2]

Summary of Indirect and Direct Threats to Biodiversity in ABC-LA Focal Areas

Indirect Threats	Direct Threats	Loss of Biodiversity
• High demand for natural resources • Increase in extractive activities • New transportation routes increasing access to BSAs • Technologies for extraction are environmentally unsustainable • Expanded medium & ASG mining, (legal / illegal) • Change: ancestral & customary practices (hunting / fishing) • Changing land use for logging, agriculture, livestock & coca • Poor land use planning • Weak natural resources management / enforcement • Asymmetric power relations • Social / armed conflict • Dearth of environmental data	• Habitat loss & degradation • Loss of primary forests • Loss of the riparian areas of wetlands ("aguajales") • Erosion of river banks • Changes and/or alterations in water courses • Increased sedimentation & alteration of physico-chemical parameters in bodies of water • Water contaminated by chemical substances and toxic effluents • Over harvesting of forest timber & non-timber forest products • Overexploitation of terrestrial animals & aquatic resources	• Loss, fragmentation, and/or elimination of the populations of terrestrial & aquatic flora & fauna • Loss of nesting /reproduction areas (terrestrial /aquatic flora) • Reduced flow of nutrients between the ecosystem and genetic species flow • Loss of ecosystem services • Change in the structure of the aquatic communities (population, diversity) • Effects on reproductive cycle of migratory fish population • Altered concentration of nutrients in aquatic ecosystems • Contamination, bioaccumulation and bio-magnification of heavy metals concentrations in aquatic species

[1] Please see Annex A for the ABC-LA Situational Model and Theory of Change.
[2] Please see Annex G for the ABC-LA Biodiversity Training Module

PROJECT ACTIVITIES

Programmatic activities were developed to achieve the intermediate results identified in the TOC with activities during the base period organized in the following four categories:

Applied Research *to Improve Local Capacity to Produce Environmental Data and Monitor Ecosystems*: ABC-LA IPAs identified reduced opportunities and resources for research and the limited availability and use of environmental data as a driver of biodiversity loss in focal areas. The environmental baseline studies and monitoring of biological components and biophysical conditions not only help fill this data gap, but also build local institutional capacity to lead and sustain this scientific research, access funding to sustain efforts and generate environmental data for NRG decision making, monitoring of conservation, and land use planning in and around BSAs. Project supported environmental research is led by a local or national applied research institution in each project focal area. The process, method and approach for generating data and validating findings involve project supported multi-stakeholder bodies that include direct engagement and peer review by government scientists and representatives from vulnerable groups.

Capacity and Consensus Building *for Natural Resource Management and Conflict Identification and Response:* Capacity-building workshops for community leaders and local institutions are addressing gaps constricting local actors' ability to prevent or mitigate socio-environmental conflicts and poor management of natural resources identified in ABC-LA's Situational Model. This training and technical assistance is building skill sets and providing tools to better manage natural resources and enhance biodiversity conservation by addressing existing and emerging drivers and threats to biodiversity conditions, including through early warning mechanisms in and around BSAs.

***Vulnerable Groups Assessments*:** These analyses of social, economic, and environmental factors affecting indigenous communities and other vulnerable groups impacted by extractive activities are providing local partners and stakeholders with data and analysis to inform site specific interventions and approaches for addressing threats to biodiversity and impediments to meaningful participation by historically marginalized groups.

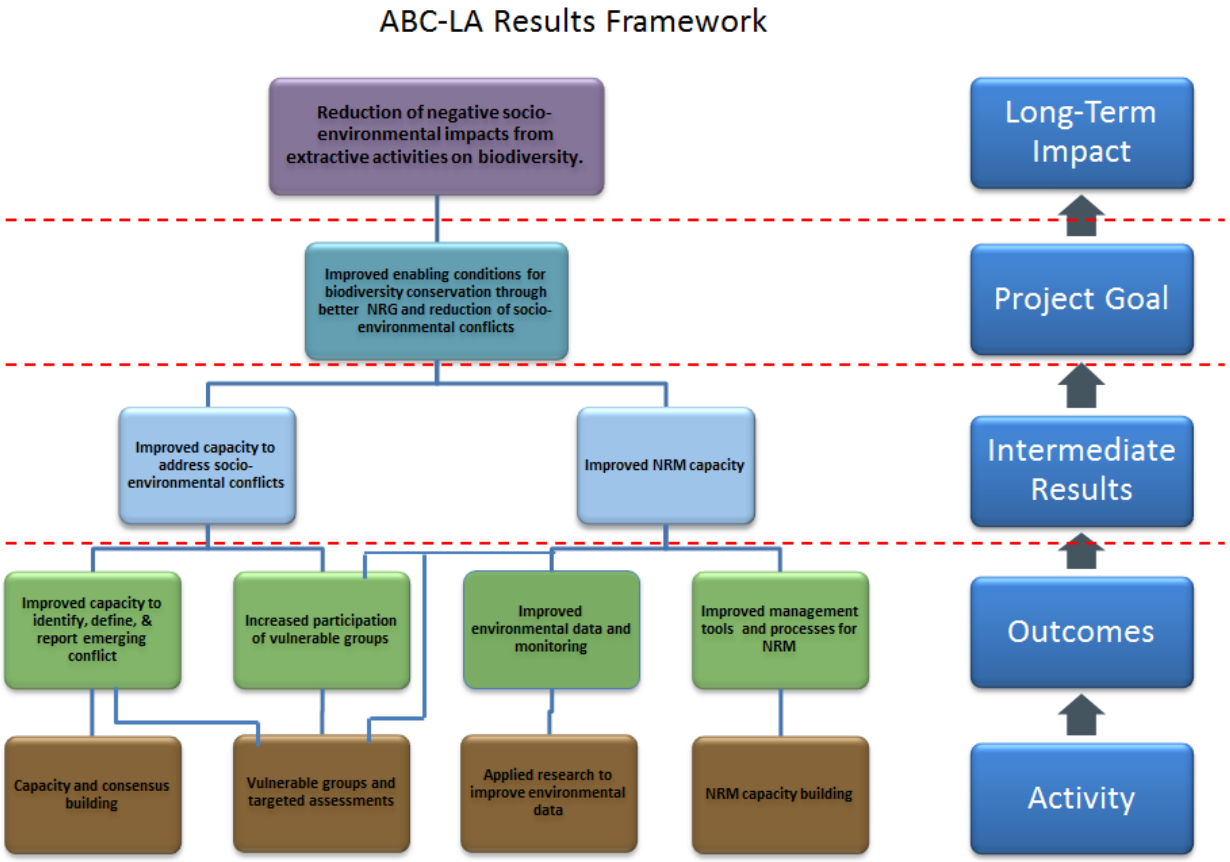
Targeted Assessments *on the Socio-Environmental Impacts of Informal Mining:* ABC-LA is working collaboratively with the Better Gold Initiative (BGI) public private partnership to conduct analyses for promoting more responsible gold mining. These analyses are identifying obstacles and opportunities to improve regulation and control of informal mining to reduce harmful environmental and social impacts.

Conflict & Biodiversity Conservation

Conflict can be defined as a situation when two or more actors perceive the needs or interests of others as obstacles to satisfying their own. As a result, each party initiates actions intended to deny, disrupt, destroy, neutralize or control the other party or their capacity to advance interests viewed as contrary to their own. Socio-environmental dynamics revolve around the control, use and/or access to the environment and its resources. Political, social, economic and cultural factors, in addition to environmental ones, are often involved. ABC-LA's efforts to improve early warning and response capabilities to socio-environmental conflict is a means to engage key local stakeholders, a method to foster positive inter-action among unlike-minded groups, to engender trust-based relations, which in turn serves as a pre-condition for successful negotiations, inclusive decision-making, shared commitments and collaborative action. Timely reporting of socio-environmental conflicts will bring threats to habitats and biodiversity to the attention of authorities and key constituencies at a stage when they can more readily address them, thus reducing negative environmental impacts on ecosystems and BSAs. Increased social capital is as necessary for addressing threats to biodiversity and habitats as it is to ensuring the well-being of the often vulnerable communities who depend on them.

ABC-LA expects to achieve four critical outcomes through the referenced activities by the end of the base period as represented in the project's results framework, including:

- improved capacity to identify, define, and report conflict;
- increased participation of vulnerable groups in NRG and CEW mechanisms;
- improved environmental data and monitoring; and,
- improved management tools and processes for NRM.



Improved National Resource Governance and Biodiversity Outcomes: Strengthening natural resource governance is a critical step for fostering dialogue, improving understanding and fostering trust-based relationships between actors, including those involved in extractive activity and communities affected by it. From this platform, it will be possible to improve the planning, monitoring and concerted management of territorial development, and if applicable make more efficient use of funds derived from royalties and other revenues in support of habitat protection and biodiversity conservation.

ABC-LA FOCAL AREAS

The project's focal areas in Peru are in the areas of influence around the Sierra del Divisor Reserve, part of the Lower Amazon Basin in the region of Ucayali, and the Bahuaja Sonene National Park in the Upper Amazon Basin in the region of Puno. In Colombia, the project works in the Lower Amazon Basin department of Caquetá and in municipalities in the department of Santander that border the ecologically important Santurban Paramo. The tables that follow summarize the biologically significant areas, existing threats and pressures of biodiversity loss, vulnerable populations, as well as the corresponding project activities and objectives in each of the project's focal areas.

BSA's, Threats, Pressures, Vulnerable Groups and Activities / Objectives in ABC-LA Focal Areas

PERU					
	Biologically Significant Areas	Threats	Pressures (Extractive Activities)	Vulnerable Populations	Project Activities & Objectives
PUNO - Sandia & Carabaya	**Ecosystems:** typifying both Andean and Amazonian: wetlands, marshes, ponds, lakes and rivers. **Hydric net:** Inambari Upper Basin and Upper Tambopata Basin **National Protected Areas:** Parque Nacional Bahuaja Sonene (PNBS). **No. of hectares** forest conditions affected by project: Direct 375,876 ha / indirect 1,476,063 ha (Total BSA)[3]	Fragmentation & Degradation of Biomes Deforestation & Contamination of terrestrial & aquatic ecosystems / habitats Endemic species loss	High # of mining concessions & mining, including ASGM (legal, illegal & alluvial) Exploration and exploitation of gas/oil Logging, agricultural (including coca) Wildlife trafficking	"Native" & "Rural" communities (comunidades campesinos) including: Quechua, Aymara & Spanish speakers.	• Applied Research for Environmental & Vulnerable Groups Assessments • Capacity & Consensus Building for NRM / CEW to improve NRG & Multi-stakeholder mechanisms. • Improve Control / Regulation of ASGM to reduce environmental impact. ➢ Conservation and Sustainable Land Use Plan PNBS Area of influence (implemented by regional government & *Mancomunidades*). ➢ Multi-stakeholder platform for conflict early warning (CEW) to monitor plan implementation and biodiversity conservation in AID/PNBS.
UCAYALI - Col. Portillo & Padre Abad	**Ecosystems:** Wetlands, Tropical Rain Forest. **Hydric net:** Ucayali Lower Basin, Aguaytia Lower basin & Abujao Sub basin. **National Protected Areas:** Zona Reservada Sierra del Divisor (ZRSdD) and Territorial Reserve Isconahua **No. of hectares** forest conditions affected by project: Direct 438,829 ha / Indirect 1,959,871 ha (Total BSA)	Fragmentation & Degradation of Biomes Deforestation & Contamination of terrestrial & aquatic eco-systems/habitats Endemic species loss Unique ecosystems loss ("aguajales")	Increasing alluvial ASG mining, legal & illegal High levels of exploration & exploitation of oil & gas reserves Mega-projects, logging, agriculture (& coca) production, livestock	Indigenous People (IPs) including Territorial Reserve Isconahua & IPs living in Voluntary Isolation. Asháninka, Shipibo-Conibo, Isconahua, Cacataibo & Spanish speakers.	• Applied Research for Environmental & Vulnerable Groups Assessments • Capacity & Consensus Building for NRM / CEW to improve NRG & Multi-stakeholder mechanisms. • LGU Strengthening to improve NRM / biodiversity conservation. ➢ Conservation and Sustainable Land Use Plan - Area of Influence ZRSdD implemented by regional & district governments. ➢ Multi-stakeholder platform for socio-environmental conflict early warning (CEW) to monitor Plan implementation and biodiversity conservation in area of influence.

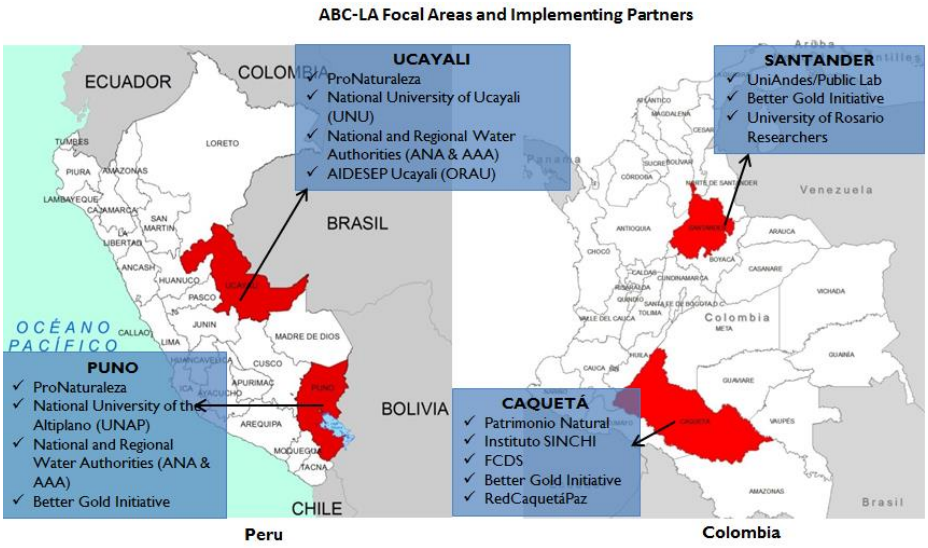
[3] Gobierno Regional de Puno. 2013. PLAN REGIONAL DE ACCIÓN AMBIENTAL PUNO 2014 AL 2021

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

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

LOCAL PARTNERS: STRENGTHENING INSTALLED CAPACITY

ABC-LA has collaboratively developed and designed activities in ways that that are intended to produce near term impact and strengthen local platforms required for leading longer term processes and practices that will continue generating positive impacts beyond project support. In assessing performance of activities, the project evaluates the utility of programmatic investments and performance of key local actors, civil society organizations, government agencies, communities and private sector partners which jointly and separately demonstrate prospects for sustaining positive results. The graphic to the right details current ABC-LA implementing partners in each focal area.



Performance Monitoring Table Based on ABC-LA's Four Key Base Period Indicators

The table below details achieved outcomes this reporting period and expected outcomes by the next reporting period, along ABC-LA's four key indicators to measure base period performance.

Indicator	PMP Base Period Target	As of September 30, 2015	By December 31, 2015	Comments
Number of LGUs in which key stakeholders demonstrate capacity to contribute to local socio-environmental CEW mechanisms.	3	9	9	• Stakeholders in 4 districts in Puno, 3 districts in Ucayali, and 2 municipalities in Caqueta have demonstrated this capacity. • The focus for the final quarter of the project will be to consolidate and ensure sustainability for reporting mechanisms.
Number of LGUs with relevant institutions demonstrating commitment for improving NRM for biodiversity conservation.	5	16	16	• Institutions in 7 LGUs in Puno, 3 in Ucayali, and 6 in Santander have demonstrated commitment for improving NRM through participation in NRM strengthening processes. • The focus for the final quarter will be to finalize capacity strengthening plans and secure ownership of conservation and sustainable land use mechanisms.
Number of environmental monitoring reports of biophysical conditions produced by applied research institutions	3	1	3	• UNU has produced one environmental monitoring report for the Abujao River in Ucayali. • By the next quarter, a water quality report for the Surata River watershed will be produced through citizen science monitoring, and SINCHI will produce one environmental monitoring report for the Fragua Grande River in Caqueta.
Number of NRG or CEW mechanisms that include participation of vulnerable groups.	4	16	16	• There are currently 16 NRG or CEW mechanisms that include participation of vulnerable groups. • The focus for the final quarter of the project will be to consolidate and ensure sustainability of these mechanisms.

PROGRESS IN CURRENT QUARTER

Applied Research: ABC-LA is enhancing institutional capacity to generate environmental data through scientific rigor, employ innovative approaches, and leverage resources to sustain monitoring efforts overseen by multi-stakeholder technical review committees. Scientists and students from the National University of Ucayali (UNU) and partner institutions conducted four weeks of fieldwork along the Abujao River collecting environmental samples subsequently sent to certified national labs for analysis. The scientific data and findings provide a record, or baseline, of biophysical conditions in the Sierra del Divisor Reserve's area of influence, which is both rich in biodiversity and under increased pressure from extractive activities. The results and findings are in the process of being assessed and validated by a multi-actor technical review committee and will be disseminated widely thereafter. Findings will provide a basis to assess changes in biodiversity conditions moving forward and will inform key local actors and ongoing project efforts such as the conservation and sustainable use plan for the Sierra del Divisor area of influence. In Santander, UniAndes built upon game-theory workshops to generate consensus for a regional action plan to protect the Santurban Paramo. In order to increase local capacity for natural resource management and to monitor water quality in the Surata River, UniAndes led a multi-actor trip testing low cost sensors along the watershed complemented with learning and discussion sessions on the theory and practice of citizen monitoring of water quality. Instituto SINCHI completed the methodological and operational preparations for the environmental baseline study in Caquetá, and began fieldwork at the end of the reporting period.

Capacity and Consensus Building: The project completed an additional 13,459 person-hours of training, for a yearly total of 23,605 person-hours training in natural resource management, environmental monitoring, and socio-environmental conflict identification. Participants are applying lessons from capacity building directly in their communities, developing municipal strategies for preventing socio-environmental conflicts, drafting regional action plans for sustainable development and biodiversity conservation, documenting conflicts and submitting monitoring reports, and mapping and analyzing existing conflicts in their regions. Guidelines for incorporating biodiversity conservation into indigenous community-level governance plans (*planes de vida*) were developed through ABC-LA assistance, implemented in the creation of a plan for one indigenous community and approved by AIDESEP at the national level as a model to be applied nationally.

Vulnerable Groups Assessments: Results from the assessment in Caquetá were shared with local stakeholders and partners, and informed site selection for the environmental baseline study and the methodological design for training youth in identifying and documenting socio-environmental conflicts in their communities. The assessments in both Ucayali and Puno were completed, concluding that the populations' vulnerability to extractive activities is expected to increase, especially given the lack of state presence and the growth of illegal activities such as logging, coca cultivation and gold mining in the focal area. Findings are being shared with stakeholders and partners to inform ongoing efforts including capacity building for socio-environmental conflict prevention and natural resource management.

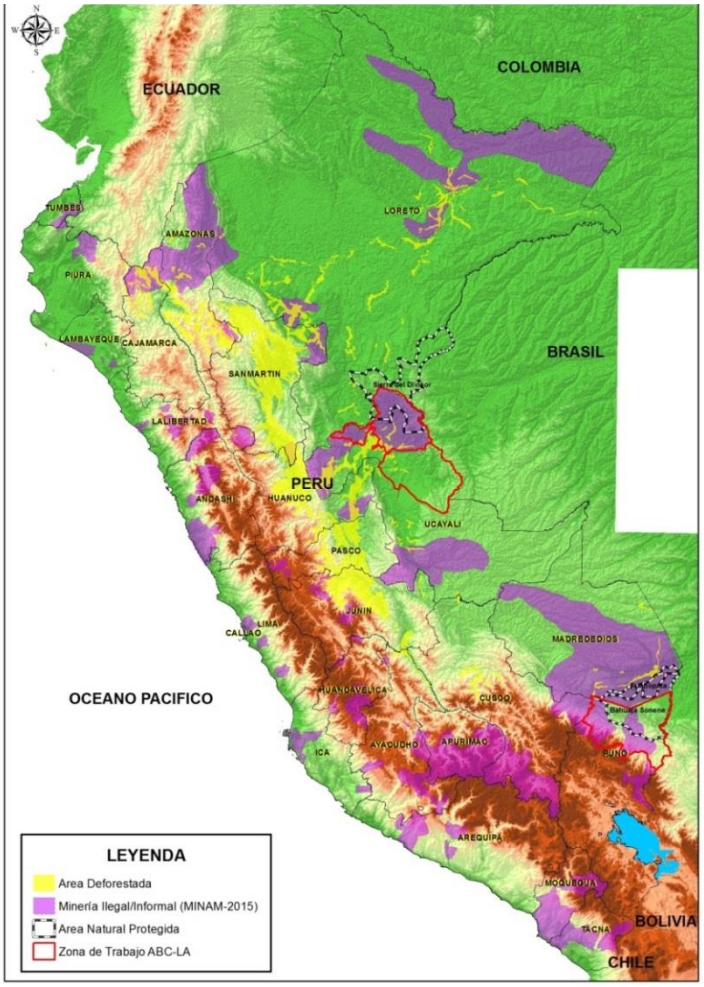
Targeted Assessments: The analysis of artisanal and small-scale gold mining (ASGM) in Colombia was shared with partners to inform activity implementation in Santander and Caquetá. A synthesized version is being completed for wider distribution to national counterparts. The analysis promoting regulation of gold mining in Puno was completed, identifying social and environmental impacts of informal mining and challenges to the formalization process. Results were validated at a workshop with institutional representatives and small-scale miners and shared more broadly at a regional level. Both targeted assessments resulted in BGI engagement to promote responsible gold mining in study regions and an increased awareness of public sector representatives of the current obstacles to regulating ASG mining.

The following section provides a more detailed update on activities by country, region, and activity. Updates include progress achieved during the previous quarter and over the past project year.

PERU

Peru is among the world's top ten most biologically diverse countries, possessing 84 out of the 117 existing biomes and is also among the most diverse culturally, with an indigenous population comprised of 60 different ethnic groups. 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[5].

ABC-LA Overview:
Protected Areas, Biodiversity Threats, and Focal Areas in Peru



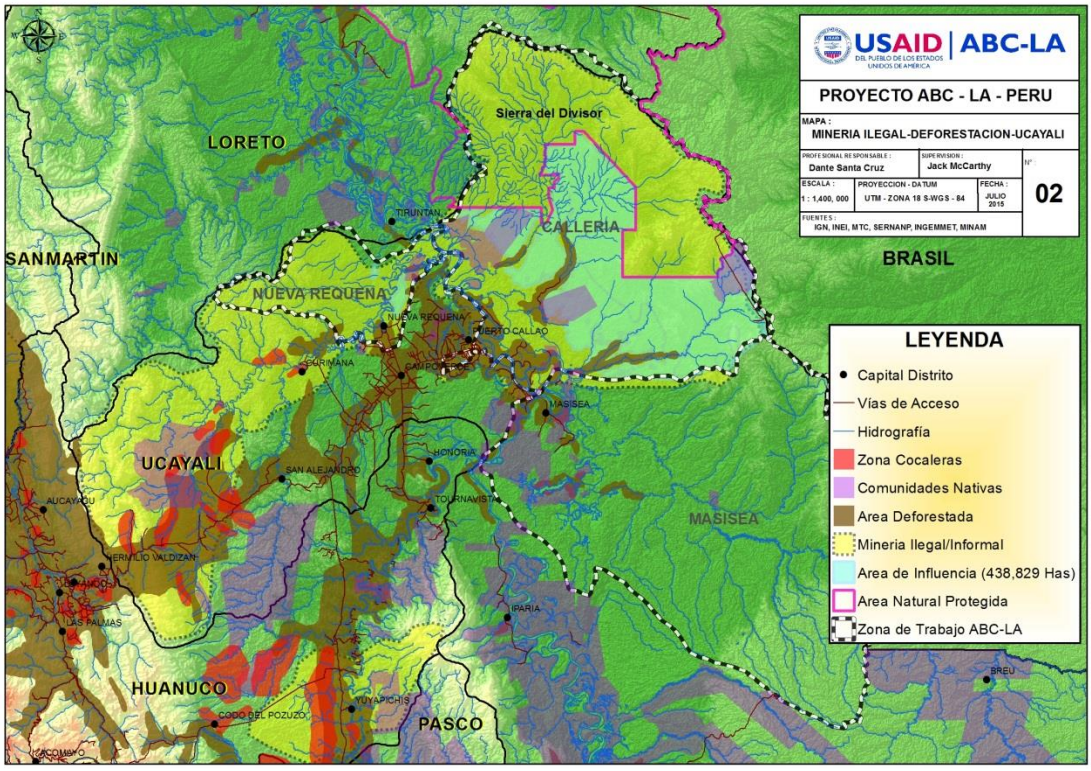
Much of the country's natural resources and mineral wealth is found in or near BSAs, including the Andean mountain range and the Amazonian rainforest. In Ucayali and Puno, increased extraction of non-renewable resources including oil, natural gas and gold has contributed to environmental degradation 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 communities in Ucayali and *campesino* communities in Puno. In April 2015, the Ombudsman's Office registered 208 current social conflicts in Peru, of which 67% were designated as socio-environmental conflicts in nature, followed by 10% associated with local governance issues and 7% attributed to land related conflict. Of the 139 socio-environmental conflicts, 67% are related to mining and 16% are related to hydrocarbons. [6] Over the past decade, illegal mining operations have grown dramatically, contributing to widespread contamination of the terrestrial and aquatic ecosystems with heavy metals and toxic materials such as mercury. The completion of the inter-oceanic highway in 2006 increased access to the once remote frontier region within Peru's Amazon. Improved access combined with high global prices for gold and the absence of effective state presence have constituted the means, motivation and opportunity that have resulted in devastating effects and where unaddressed serve as the enabling conditions for environmental degradation, contamination and increased marginalization of vulnerable groups.

[5] http://www.latin-focus.com/spanish/countries/peru/peru.htm
[6] Defensoría del Pueblo, Infografía conflictos sociales abril -2015. Reporte 134.

UCAYALI

Ucayali – Coronel Portillo and Padre Abad Provinces				
Biologically Significant Areas	Threats	Pressures (Extractive Activities)	Vulnerable Populations	Project Activities & Objectives
Ecosystems: Wetlands, Tropical Rain Forest **Hydric net:** Ucayali Lower Basin, Aguaytia Lower Basin & Abujao Sub Basin **National Protected Areas:** Zona Reservada Sierra del Divisor (ZRSdD) and Territorial Reserve Isconahua **No. of hectares** forest conditions affected by project: Direct 438,829 ha / Indirect 1,959,871 ha (Total BSA)	Fragmentation and Degradation of Biomes Deforestation & Contamination of terrestrial & aquatic eco-systems/habitats Endemic species loss Unique ecosystems loss ("aguajales")	Increasing alluvial ASG mining, legal & illegal High levels of exploration & exploitation of oil & gas reserves Mega-projects, logging, agriculture (& coca) production, livestock	Indigenous People (IPs) including Territorial Reserve Isconahua & IPs living in Voluntary Isolation. Asháninka, Shipibo-Conibo, Isconahua, Cacataibo & Spanish speakers.	• Applied Research for Environmental & Vulnerable Groups Assessments • Capacity & Consensus Building for NRM / CEW to improve NRG & Multi-stakeholder mechanisms • LGU Strengthening to improve NRM / biodiversity conservation ➢ Conservation and Sustainable Land Use Plan - Area of Influence implemented by regional & district governments. ➢ Multi-stakeholder platform for socio-environmental CEW to monitor Plan implementation and biodiversity conservation in the area of influence (GRMMU)

ABC-LA in Ucayali: Protected Areas, Biodiversity Threats, and Focal Areas

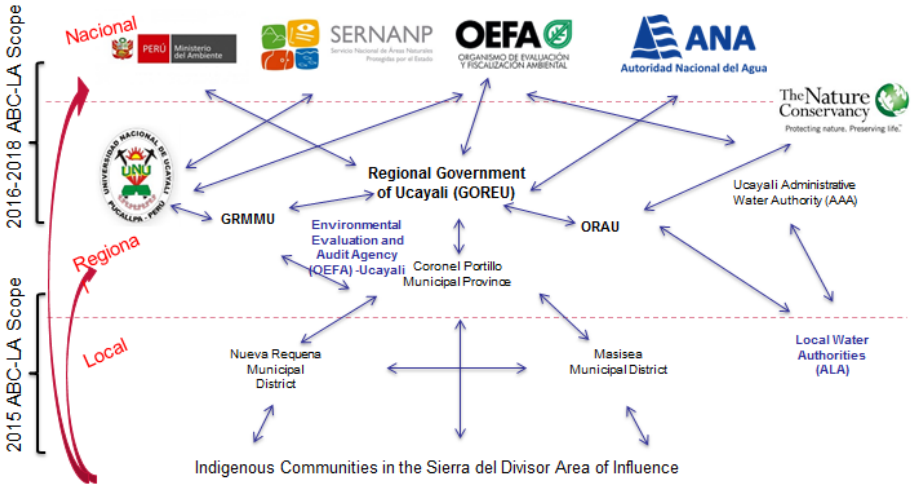


In Ucayali, the project works in the area of influence of the Sierra Divisor Reserved Zone, which was created in 2006 by a national decree, but does not yet have the status of a National Park.[7] The area is under increased direct and indirect threats posed by growing levels of illegal activities including logging, coca, and alluvial gold mining. Deforestation in Ucayali accounted for nearly 36,000 hectares, or 25% of Peru's total losses of tropical forest during 2013, a three-fold increase of deforestation in the region as compared to 2001. ABC-LA is working with a wide range of stakeholders in the Sierra Divisor area of influence to address multifaceted challenges associated with extractive activities and large scale infrastructure initiatives underway or anticipated. With regard to the latter, the project's focal area is the site for the proposed construction of the IIRSA Centro Highway from Pucallpa in Peru to Cruzerio do Sul in Brazil, and runs parallel to the Abujao River where growing challenges posed by mining, coca production and logging already exist. As seen in neighboring Madre de Dios, the building of an Interoceanic Highway through an area of high biodiversity risks creates conditions for lasting negative impacts, including increased rates of deforestation, unsustainable land use practices, widespread contamination from illegal mining, adverse social impacts and the significant degradation of BSAs.

The project is working closely with Organization Regional AIDESEP Ucayali (ORAU), the primary indigenous confederation in Ucayali, which is a principal partner on every major initiative ABC-LA is supporting in the region. The project is also working with authorities at the community, municipal, provincial and regional levels, as well as with representatives from national level ministries that are present in Ucayali. As part of these efforts ABC-LA is working to improve local capacities to identify, analyze and report socio-environmental conflict; and strengthening capacity to undertake environmental baseline assessments and for improving national resource governance, biodiversity conservation and land use planning efforts. Finally, the project has identified capacity gaps and is currently working with local government to address them and to institutionalize improvements and sustain initiatives through regional planning and budgeting tools.

Apart from close collaboration with local partners, ABC-LA also works closely with The Nature Conservancy (TNC) and the USAID Technical Assistance Program (PAT) to MINAM. TNC and ABC-LA are supporting efforts to strengthen the Regional Monitoring Group of Mega-projects in Ucayali (GRMMU) in conflict early warning and the inclusion of project partners ORAU and UNU into the technical secretariat of this group. The GRMMU is a multi-stakeholder body that brings together 41 private and public institutions in the region and is focused on monitoring plans for megaprojects in Ucayali. With PAT-MINAM, the project is working to strengthen ORAU and working to validate a series of management tools to inventory and valorize the flora and fauna of the area of influence's natural heritage and to measure the impacts of extractive activities in fragile ecosystems.

Linkages with Strategic Partners in Ucayali



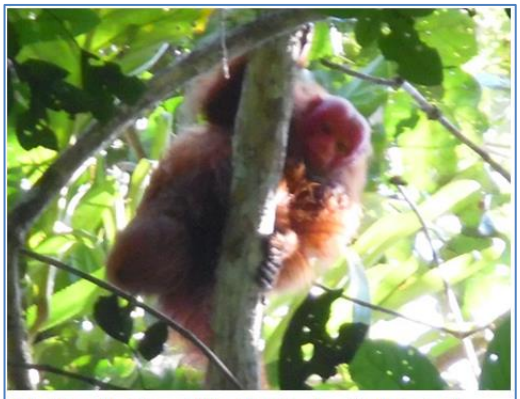
[7] https://www.rainforesttrust.org/projects/urgent-appeals/peru/

UPDATE OF PROJECT ACTIVITIES IN UCAYALI

Applied Research

Activity	Environmental Baseline and Monitoring in Ucayali

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



A Bald-headed Uacari *(Cacajao calvus)* spotted during the environmental baseline study. The species was last classified as Vulnerable on IUCN's red list in 2008, due to population decline caused primarily by hunting and habitat loss.

During this Quarter:

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

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

- A comparison of the environmental baseline results with species reported in the Field Museum's Rapid Inventory for the Sierra del Divisor Reserve demonstrates that there is a high level of biological richness in the study zone. However, due to increased pressures associated with extractive activities, it is clear that a more robust strategy and targeted action is needed to improve conservation and sustainable use.
- The hydro biological analysis revealed ammonia nitrogen levels that surpass the Ministry of Agriculture's water quality standards, caused by the use of fertilizers and inputs for agricultural and illicit crops upstream and endangering aquatic biological communities and populations dependent on this resource.
- The team conducted an analysis of fish tissues of the species most commonly consumed by the local population. Mercury concentrations ranged from .026mg/kg to .102mg/kg, well surpassing the World Health Organization's permitted limit of .005mg/kg.
- A socio-economic analysis of the study area was also conducted in order to assess the economic value of ecosystem goods and services to promote its conservation and sustainable use. This baseline thus collected primary sources of information to valuate fish, timber, medicinal plants, fauna, carbon capture, water provision, and potential for ecotourism.

Cayenne slender-legged tree frog (*Osteocephalus aff.leprieurii*), one of 36 amphibians cataloged during the study.

During this Year:

- Prior to field work, training was conducted on techniques, tools, sampling, interpretation and analysis of biological components in an environmental baseline for the field team, composed of students of Environmental Engineering from UNU, biologists with various specialties, leaders of indigenous communities, and indigenous collaborators from ORAU, among other groups.[8]
- Field work for the dry season evaluation took place June 26 to July 15, followed by a period of analysis of biological components and development of the environmental baseline report.
- A multi-actor technical committee was created to accompany the design, implementation, and final analysis of the results obtained in the environmental baseline study. The contributions of its members improved UNU's scientific technical capacities and management, and validated the methodological guides for inventorying flora, fauna, and valuating natural heritage. The committee also just validated the findings of the baseline assessment.
- ABC-LA is currently working with regional authorities and the representatives on the committee to help institutionalize its role as a source for high level technical oversight and review of environmental issues going forward. Efforts underway to establish this Regional Environmental Board include a draft ordinance to be considered by the Regional Government of Ucayali. The Board's role would be to provide oversight of ongoing monitoring efforts, provide expert evaluation on environmental issues and serve as a focal point for assessing regional environmental policies.
- UNU has committed to conducting subsequent monitoring of the biological components and biophysical conditions along the Abujao River. The university has secured funding to conduct the environmental sampling for the wet season of this year, officially completing a baseline evaluation, and to continue monitoring for the following three years. In addition, the Forestry Engineering department of UNU will use inputs from this work to complete the economic valuation of natural resources found in the study area.

Measuring Impact this Year:

- 175 participants trained in NRM/biodiversity conservation, for a total of 6,686 person-hours in this reporting period.
- 2 NRG mechanisms created that incorporate participation of vulnerable groups: Technical Committee for reviewing baseline results and participation in the environmental baseline study.
- 1 environmental monitoring report produced, which is being used to inform the design of a conservation and land use plan for the Sierra Divisor area of influence.

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

[8] Please see Annex I for two student investigators' accounts of their experience as part of the study's field team.

Capacity and Consensus Building

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

Overview: ABC-LA works with the Community Forest oversight committee of the Organización Regional AIDESEP Ucayali (ORAU), which represents indigenous federations in Ucayali, to strengthen community leaders' capacity for socio-environmental conflict identification and response in 3 districts and to strengthen institutional capacity for the development of *planes de vida* that articulate local development and biodiversity conservation. Additionally, the project is working with ORAU to create a working committee inside GRMMU dedicated to the analysis and reporting of socio-environmental conflicts related to extractive activities and environmental monitoring in the Sierra del Divisor area of influence.

During This Quarter:

- ORAU digitally mapped[9] and analyzed the 10 socio-environmental conflicts identified through workshops, and presented them to a multi-stakeholder working group consisting of the regional government of Ucayali, the Office of Environmental and Social Affairs within the Ministry of Environment (MINAM), the Agency for Assessment and Environmental Control (OEFA), the Unit for Conflict Prevention within the National Water Authority (ANA), and local water management authority (AAA), and SERNANP.
- During this multi-stakeholder meeting, the conflict reporting guidelines and tools from MINAM, ANA, and OEFA were presented, creating a link between the indigenous leaders and relevant offices. 6 socio-environmental conflict reports were developed and 1 was reported to MINAM.
- ORAU developed biodiversity and conservation guidelines for incorporation into *planes de vida*, which were approved by AIDESEP at its national assembly.[10] *A plan de vida* using these new guidelines was developed by the indigenous community of Santa Rosita de Tamaya Tipischa.

During This Year:

- Capacity building methodology for the identification, analysis, and reporting of socio-environmental conflicts was developed and implemented with ORAU. Leaders of 12 native communities demonstrated adoption of these conflict management skills, especially being able to identify and analyze conflicts associated with extractive activities.
- Achievements for NRG during the year are those reported under Quarterly Progress and in the text box to the right.

Planes de Vida, ORAU, and ABC-LA

A *plan de vida* is based on the premise that the cultural heritage of a people allows them to define their present and their future, ordered by indigenous people's own laws, and overseen by its authorities. *Planes de vida* are formed through a participatory and collective process, and promote the long-term vision of human beings as harmonious parts of nature. These planning instruments are now also being used for promoting autonomous governance, political agendas, and negotiation instruments. *Planes de vida* are examples of improved approaches and models for enhancing the compatibility of communities and conservation efforts recommended by IUCN's committee for biodiversity governance, whereby community members and other key stakeholders can be considered an asset to conservation efforts rather than a liability.

With ABC-LA assistance, ORAU developed standardized guidelines for incorporating biodiversity and conservation planning into community-level *planes de vida*. In late August, the national AIDESEP organization, which represents 50 indigenous groups in Peru, passed a resolution approving these guidelines, for incorporation into *planes de vida* across Peru.

Measuring Impact This Year:

- 114 participants trained in CEW, for a total of 1,668 person-hours training.
- 161 participants trained in NRG, for a total of 1,534 person-hours training.
- 3 LGUs with capacity to contribute to CEW mechanisms, through the creation of 12 CEW points of contact in 3 communities.[11]
- Progress towards increasing the level of participation of indigenous groups within a multi-stakeholder mechanism for CEW and NRG.
- 1 NRG mechanism (*plan de vida*) that includes participation of vulnerable groups, developed at a community level with new guidelines approved at the national level.

[9] Please see Annex H for the conflict maps and matrices produced through ABC-LA interventions in Ucayali and shared with regional and national government counterparts.
[10] Please see Annex K to read the approved AIDESEP resolution for incorporating biodiversity guidelines into *planes de vida*.
[11] Please see Annexes L and M for CEW monitoring reports from training participants in Ucayali.

Activity	Project Collaboration with the Peruvian National Water Authority (ANA) - Ucayali

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

During This Quarter:

- Activities with ANA concluded in the previous quarter. Leaders identified through ANA workshops continued in socio-environmental conflict training with ORAU.

During This Year:

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

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

Participants receiving socio-environmental conflict training through ABC-LA collaboration with ANA

Workshop Location	Number of Participants	% Female	% Male	Number of Indigenous Communities
Aguaytia	29	31%	69%	7
San Alejandro	21	14%	86%	4
Calleria	54	59%	41%	21
Shambo Porvenir	29	24%	76%	6
Santa Rosa de Tipischa	50	30%	70%	11
Total/Average	183	32%	68%	49

Measuring Impact This Year:

- 183 participants trained in conflict early warning (CEW) efforts, for a total of 2,928 person-hours training.
- Creation of 3 CEW networks for the early identification of water-based conflicts in Nueva Requena, San Alejandro, and Calleria, to be monitored by ANA and contribute to the GRMMU CEW platform in the Sierra del Divisor area of influence in Ucayali.

Activity	Strengthening Natural Resource Management in Local Government Institutions - Ucayali

Overview: ABC-LA is providing direct support including technical assistance to strengthen natural resource management (NRM) capacity in local institutions to contribute to enabling conditions for enhancing biodiversity conservation in the districts of Calleria, Nueva Requena, and Masisea. An Institutional Capacity Assessment Tool (ICAT) was adapted and applied to assess existing capacity and weaknesses in NRM and inform the collaborative development of Institutional Strengthening Plans to address gaps. In the next quarter, the project anticipates achieving the passage of an ordinance at the district level and another at the provincial level, which will permit the modification of the organizational regulations and operations manuals to ensure that they include local government competencies for biodiversity conservation and addressing socio-environmental conflicts. These steps are necessary to ensuring the sustainability of initiatives on biodiversity conservation and socio-environmental conflicts. Once established, local governments will have the authority to invest government funds and advocate for public investment (SNIP Verde) to advance and sustain project supported impacts and goals in these jurisdictions.

During This Quarter:

- The ICAT was adapted to local circumstances in Ucayali to measure environmental institutions' capacity to develop and implement natural resource management plans for biodiversity conservation and sustainable use, and then implemented in the districts of Masisea and Nueva Requena, and the province of Coronel Portillo. 21 interviews were held with representatives from 4 national, 2 regional, and 3 local institutions. The ICAT evaluated the degree to which local governments used established environmental management tools.
- Overall, the governments of Nueva Requena, Masisea, and Coronel Portillo measured very low in institutional capacity. Only Coronel Portillo has a municipal environmental commission, which was established in 2014 and is currently inactive, and a municipal environmental management plan, which is still pending approval by the municipal council. Since 2013, Coronel Portillo has had a Territorial Conditioning Plan. However, institutional representatives interviewed were not aware of the plan, which is the only management tool for the rural areas of the province, as all others solely prioritize urban areas.
- With this baseline information, ABC-LA is focused on capacity strengthening planning with local governments to address capacity gaps, and to provide the legal basis for municipalities to solicit budgetary support for implementing conservation and sustainable use plans.
- To support ABC-LA efforts in creating conservation and sustainable use plans for the Sierra del Divisor Reserve area of influence, the project engaged a Natural Resources Management Specialist to work with environmental authorities to develop the plan and the management model for its implementation.

During This Year:

- The technical and operational development of this activity reached the final stages at the end of the previous reporting period. The implementing consultant began activity implementation in July 2015 and progress this year mirrors that reported above during this quarter.

Measuring Impact This Year:

- 3 LGUs with relevant institutions demonstrating commitment for improving NRM for biodiversity conservation. ABC-LA has received letters of commitment from the province of Coronel Portillo, the district of Nueva Requena, and the district of Masisea to participate in the diagnostic and create capacity strengthening plans.
- 1 LGU, the provincial government of Coronel Portillo, has demonstrated increased capacity for natural resource management.

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

Vulnerable Groups Assessments

Activity	Vulnerable Groups Assessment - Ucayali

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

During This Quarter:

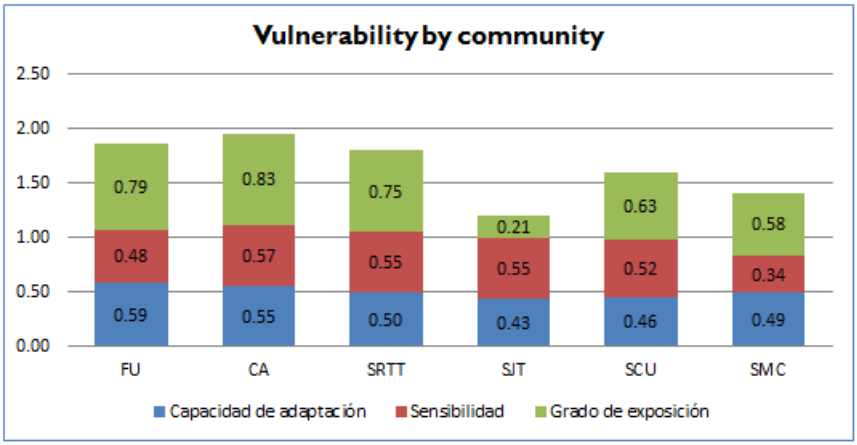
- Results from the primary research were analyzed and synthesized, resulting in a vulnerability baseline and a diagnostic of conflict and perceptions in the six focus communities.
- The full assessment report was finalized, and a synthesis document prepared for distribution to local, regional, and national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

During This Year:

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

Measuring Impact This Year:

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

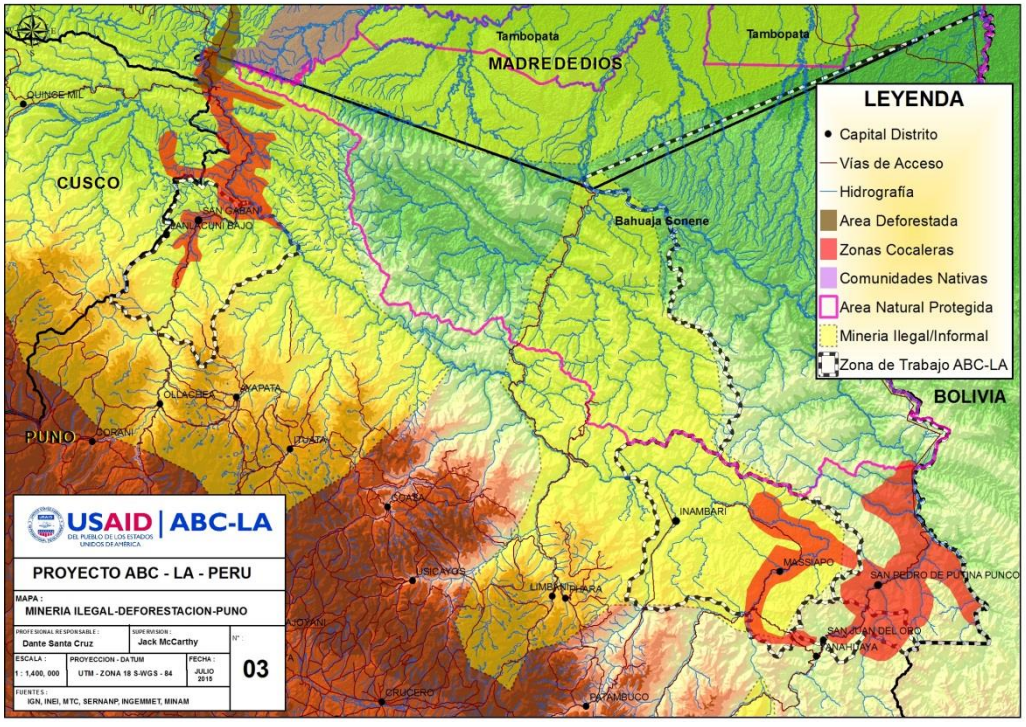


Assessment of vulnerability of six indigenous communities in Ucayali, along adaptive capacity, sensitivity, and degree of exposure indicators.

PUNO

Puno – Sandia and Carabaya Provinces				
Biologically Significant Areas	Threats	Pressures (Extractive Activities)	Vulnerable Populations	Project Activities & Objectives
Ecosystems: typifying both Andean and Amazonian: wetlands, marshes, ponds, lakes and rivers **Hydric net:** Inambari Upper Basin and Upper Tambopata Basin **National Protected Areas:** Parque Nacional Bahuaja Sonene (PNBS). **No. of hectares** forest conditions affected by project: Direct 375,876 ha / indirect 1,476,063 ha (Total BSA)	Fragmentation & Degradation of Biomes Deforestation & Contamination of terrestrial & aquatic ecosystems / habitats Endemic species loss	High # of mining concessions & Mining, including ASGM (legal & illegal & alluvial) Exploration and exploitation of gas/oil Logging, agricultural (including coca) Wildlife trafficking	"Native" & "Rural" communities (comunidades campesinos) including: Quechua, Aymara & Spanish speakers.	• Applied Research for Environmental & Vulnerable Groups Assessments • Capacity & Consensus Building for NRM / CEW to improve NRG & Multi-stakeholder mechanisms. • Improve Control / Regulation of ASGM to reduce environmental impact. ➢ Conservation and Sustainable Land Use Plan for the PNBS area of influence (implemented by regional government & *Mancomunidades*). ➢ Multi-stakeholder platform for conflict early warning (CEW) to monitor plan implementation and biodiversity conservation in the PNBS area of influence.

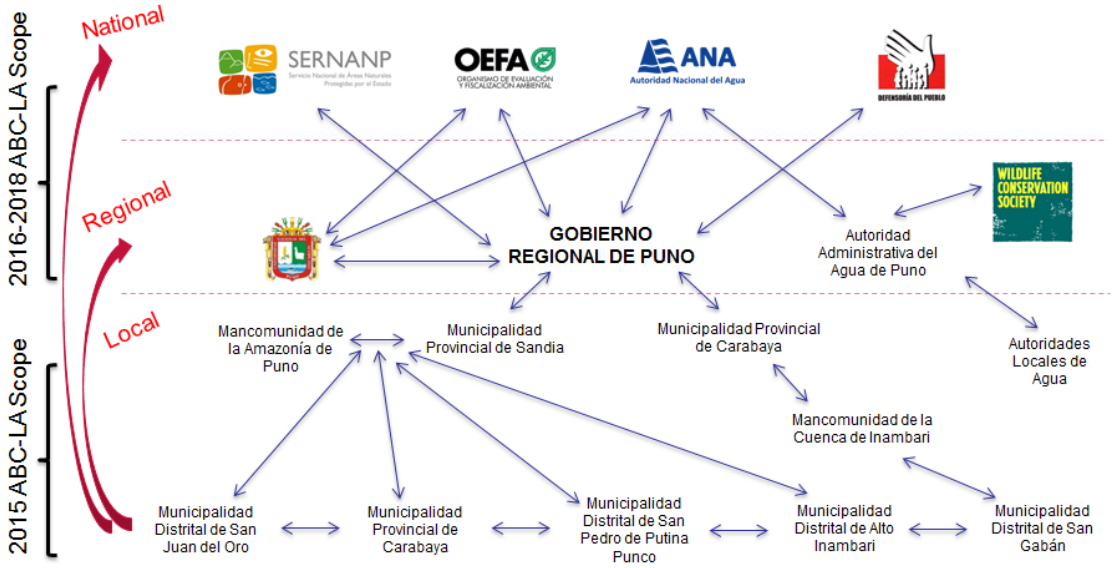
ABC-LA in Puno: Protected Areas, Biodiversity Threats, and Focal Areas



The project's main area of intervention in Puno is the Bahuaja Sonene National Park area of influence in the Amazonian part of the region. Located in the provinces of Sandia and Carabaya, the Amazonian Puno is an important area for Peru as it is the nucleus of the Vilcabamba-Amboró Conservation Corridor, one of the most important conservation corridors in the world due to its location within a region of high biological and cultural diversity. Dwarf forests of shrubs, small trees, and diverse vegetal communities are housed in the highest elevation, including economically important species such as Spanish cedar (*Cedrela odorata*), mahogany (*Swietenia macrophylla*), Brazil nut (*Bertholletia excelsa*), and various palms such as the pona (*Iriartea deltoids*), the huasai (*Euterpe sp.*) and ungurahui (*Oenocarpus bataua*). It is also the habitat for the spectacled bear (*Tremarctos ornatus*), the only representative of the Ursidae family in South America. The fragile ecosystems of the project's focal areas are under increasing threats, especially those posed by negative impacts from illegal or unregulated gold mining, coca growing and illegal logging. ABC-LA efforts to strengthen improved capacity of local governance of natural resources and biodiversity conservation are focused on the districts of San Gaban, Alto Inambari, San Juan del Oro and San Pedro de Putina Punco.

Among other stakeholders, ABC-LA works with local partners ProNaturaleza, ANA and AAA, the Universidad Nacional del Altiplano (UNAP) and collaborates closely with Wildlife Conservation Society (WCS) in a working group to advance a shared agenda to define and include biodiversity conservation management strategies and plans within the regional and local governments and to develop and apply planning tools to prioritize public financing for conservation in the Bahuaja Sonene area of influence. Another objective of this alliance is to strengthen the institutional capacity for NRG of the Mancomunidad Municipal de la Amazonía de Puno (MMAP) through implementing partner ProNaturaleza. MMAP and the park management committee of SERNANP, the National Protected Areas Service, are also essential counterparts for capacity building in socio-environmental conflict management. The project is working to align the municipal level governance structures within SERNANP to ensure the appropriate mechanisms exist, or are created, in order to promote and sustain conservation and sustainable use planning for the park's area of influence so that the pressures and threats to the biodiversity in this hot spot can be reduced. ABC-LA also works closely with regional government officials including from the Regional Department for Mining (DREM) as well as the regional level point of contact for conflict resolution, and the locally based representative of National Offices for Dialogue (PCM-ONDS).

Linkages with Strategic Partners in Puno



UPDATE OF PROJECT ACTIVITIES IN PUNO

Applied Research

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

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

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

Capacity and Consensus Building

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

Overview: ProNaturaleza is strengthening local capacity in NRM and land use planning and socio-environmental conflict management through active engagement with a broad cross-section of local and regional stakeholders in the Bahuaja Sonene National Park area of influence. This activity contributed toward the creation of a conservation and sustainable land use plan and a method for implementing a CEW mechanism for the Bahuaja Sonene National Park area of influence.[12]

During This Quarter:

- Socio-environmental conflicts identified during previous workshops were mapped and analyzed according to their type and phase of escalation. The conflict matrices produced in the provinces of Sandia and Carabaya were finalized with the maps, and shared with regional and national authorities to increase awareness of current conflicts.
- Pronaturaleza applied a current Institutional Capacity Assessment Tool (ICAT) in the districts located in the Bahuaja Sonene National Park area of influence. The diagnostic concluded that all four districts have very weak and uncoordinated environmental management, and none would receive a passing grade in MINAM's Local Sustainable Environmental Management certification. The main concentration on environmental issues revolves around the supply of potable water, and sewage and solid waste disposal services. Despite the fact that these districts are rural and dependent on ecosystem services, little or no attention is paid to sustainable land use and natural resources management. There is no attention given to illegal logging, informal mining, and cultivation of illicit crops, although these activities generate lasting and extensive environmental degradation. Consequently, there is a progressive weakening of ecosystem services in the area.
- There is a willingness among new authorities and central staff in the four districts to overcome the shortcomings in institutional planning, environmental, territorial, and conflict management. However, there are profound weaknesses in current capacity and knowledge that go beyond budget constraints. In addition, authorities are subject to the political will of voters and groups with political influence. This results in the

[12] Please see Annex H for the conflict maps and matrices produced through Pronaturaleza's workshops and ABC-LA assistance in Puno.

prioritization of short-term planning, and important issues that are incorrectly perceived as less urgent are relegated to the backburner.

- Through direct assistance, municipal governments in the four focus districts created municipal actions plans for local contribution to the Puno Concerted Development Plan and the regional targets associated with the national government's 2021 biodiversity strategy. These targets correspond to Peru's Bicentennial Plan and the International Aichi biodiversity targets.
- These 5-year municipal plans contain seven strategic objectives and propose specific goals, actions, and environmental management tools, and means of verifying achievements for priority conservation sites for Puno.

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

- The creation of these action plans is significant; for the first time the regional government of Puno and local district representatives met to propose specific workplans and identify those responsible for the fulfillment of regional and national biodiversity commitments.
- Participating municipalities signed agreements recognizing the plan as a tool for local management and committed to coordinate with the regional government of Puno and provide technical and institutional support for development a green public investment project for Amazonian Puno.[13]

During This Year:

- The methodology for socio-environmental conflict identification workshops included tools from the ABC -LA conflict training of trainers manual and approaches such as engagement of focus groups, participatory mapping and conflict matrices, to develop skills for conflict identification and analysis.
- Pronaturaleza implemented 7 workshops in the provinces of Sandia and Carabaya to identify and analyze current socio-environmental conflicts. Participants identified potential conflicts, which include:
    - Delimitation of productive land in San Juan del Oro which causes problems of environmental contamination and landslides for soil erosion,
    - Presence of miners in Alto Inambari, increasing migration in Limbani and Phara districts,
    - Lack of technical assistance for controlling blights affecting local crops in San Pedro de Putina Punco.
- Natural resource management capacity strengthening plans were designed and implemented after the institutional capacity analysis was implemented. The development of the municipal action plans was part of the capacity strengthening process.

Measuring Impact This Year:

- 132 participants trained in CEW and NRG, for a total of 1,712 person-hours training.
- 3 LGUs with capacity to contribute to CEW mechanisms for socio-environmental conflict identification and reporting.
- 4 LGUs demonstrating commitment for improving capacity in NRM for biodiversity conservation.
- Progress towards 4 LGUs with improved NRM capacity to develop a conservation and sustainable land use plan for the area of influence, and capacity to contribute to CEW mechanisms for the monitoring of the plan.

[13] Please see Annex N to read the signed agreement to validate the municipal biodiversity action plans in Puno.

Vulnerable Groups Assessments

Activity	Vulnerable Groups Assessment - Puno

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

During This Quarter:

- Results from the primary research were analyzed and synthesized, resulting in a vulnerability baseline and a diagnostic of conflict and perceptions in the four focus areas.
- The full assessment report was finalized, and a synthesis document prepared for distribution to local, regional, and national counterparts.
- The final report concludes that the populations' vulnerability to extractive activities is increasing, due to lack of land use planning; migration to the area caused by the search for economic opportunities; the presence of illegal mining and coca growing and its resulting deforestation; and an agriculture sector based on coffee cultivation, whose production has significantly declined due to the spread of the coffee rust disease.
- The final conflict analysis concludes that both informal/illegal mining and illicit coca cultivation create social processes immersed in various types of social, environmental and economic crimes. Appropriate decisions and a more purposeful and robust strategy and action are needed.

During This Year:

- Methodology was designed, which used baseline indicators and measurement tools to determine a comprehensive picture of the level of vulnerability in each community. Key informant interviews were designed to identify perceptions of conflict in each district, and conflicts were analyzed along standard parameters. A total of 303 surveys and 40 key informant interviews were conducted in Puno. Of those surveyed, 53% were female and 47% were male, and participants ranged in age from 21to 85 years old.
- Results from the assessment were immediately used to inform Pronaturaleza's capacity building workshops for socio-environmental conflict identification and prevention in Puno.
- Main findings of the baseline vulnerability of the population in Puno include:
  - The districts most vulnerable to the impacts of extractive activities are: San Pedro de Putina Punco, Alto Inambari and San Gaban. San Juan del Oro is less vulnerable due to the lack of construction of new access roads seen in the other districts.
  - Common factors that create vulnerability in all districts are agriculture (which is expanding due to the increase in population), illicit mining and coca cultivation (which are also expanding), contamination of the Alto Inambari and Alto Tambopata Rivers due to mining activity, and economic impacts caused by the eradication of coca.
  - In Alto Inambari illegal mining is advancing; illegal miners have arrived from Puerto Maldonado and Ananea, operating in the Inambari River from the San Jose Bridge to the Tres Remolinos sector. In 2011 they entered with heavy machinery such as loaders, backhoes and dump trucks and have settled along the banks of the Inambari River, affecting fruit and coffee crops. Community members indicate that mining is destroying the environment and native fish have disappeared.

Mining along the river in Alto Inambari

Measuring Impact This Year:

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

Targeted Assessments

Activity	Promoting Regulation of Gold Mining - Puno

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

During This Quarter:


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

- The analysis of 16 mines identified main challenges to formalization in the area, such as the lack of a feasibility or economic viability study, the presence of middlemen that make it difficult to technically restructure to abolish the use of mercury for amalgamation, use of outdated mining equipment, and procedural costs for seeking appropriate licenses for water use, among others.
- Analysis of these challenges improved understanding of the externalities to formalization: lack of information explaining the formalization process, overlapping land rights for the same area, lack of articulation between instruments for land management and small-scale mining, environmental and health impacts from mining, informal types of labor, and misalignment of public policy efforts to prevent, accompany, and restructure informal mining.
- The main documented environmental impacts include dumping of acid water and mercury directly into bodies of water and wetlands. Likewise, inadequate tailings management and a lack of facilities for handling dangerous substances such as fuels and oils cause them to be deposited directly into the soil, causing physiographic changes and pollution of surrounding areas. Washing gold in water sources increases the concentration of suspended solids, which affects aquatic life and subsequent discharge of sediments resulting in contamination and alteration of water channels. Extension of gold operations in Sandia and Carabaya has resulted in deforestation and soil degradation, which poses challenges to conventional reforestation efforts.
- Additionally, the analysis logged cases of conflicts between formal and informal miners, conflicts between miners and property owners, and conflicts between extractive activities and emerging power in local populations.
- The analysis' results were validated in a multi-stakeholder workshop to not only corroborate the legitimacy of the information but also to provide a space for dialogue among heads of regional institutions and small-scale miners. The environmental public prosecutor indicated the level of discretion he would provide for receiving complaints related to illegal mining and related problems. Additionally, a government agency overseeing civil use of explosives pledged to provide training to miners and strengthen the formalization process. The miners assessed as closest to formalization could be the first candidates for this training.

During This Year:

- Finalized collaborative agreement with BGI, defined methodology for research, and completed field work. The resulting product determines viability and provides a road map for improving regulation of extractive activities and addressing current practices that result in environmental degradation and contamination and contribute to social conflict associated with currently unregulated gold mining activity.
- The project presented the diagnostic's findings to over 300 participants in a regional event organized by the Regional Bureau of Energy and Mines (DREM-Puno), and co-financed by ABC-LA and BGI, to promote clean mining technology. A result of this event was a proposal for addressing conflicts and environmental governance in Puno through the creation of a conflict early warning platform.

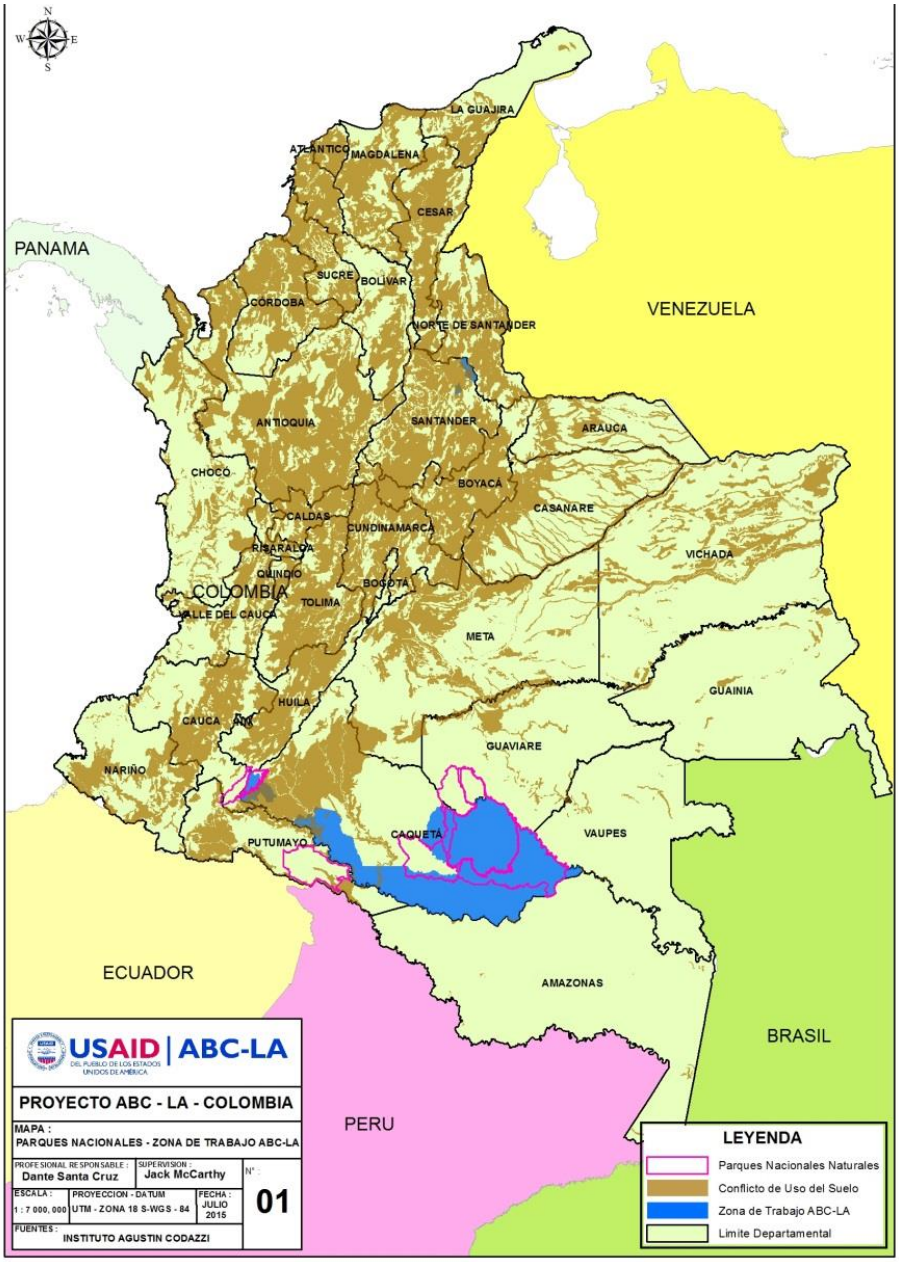
Measuring Impact This Year:

- 299 participants trained, for a total of 1,545 person-hours training.
- One analytical study that generated data and analysis to improve regulation and control of ASGM to inform policies and practices of regional and local governments regarding mining operations and set the basis for BGI and the Regional Government of Puno's engagement to promote responsible gold mining and diminish negative environmental and social impacts.
- Progress towards the creation of one CEW mechanism dedicated to resolving the drivers of conflict.

COLOMBIA

Colombia is considered one of the world's "mega-diverse" countries, with close to 10% of the planet's biodiversity. 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 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]

ABC-LA Overview: Protected Areas, Land Use Conflict, and Focal Areas in Colombia



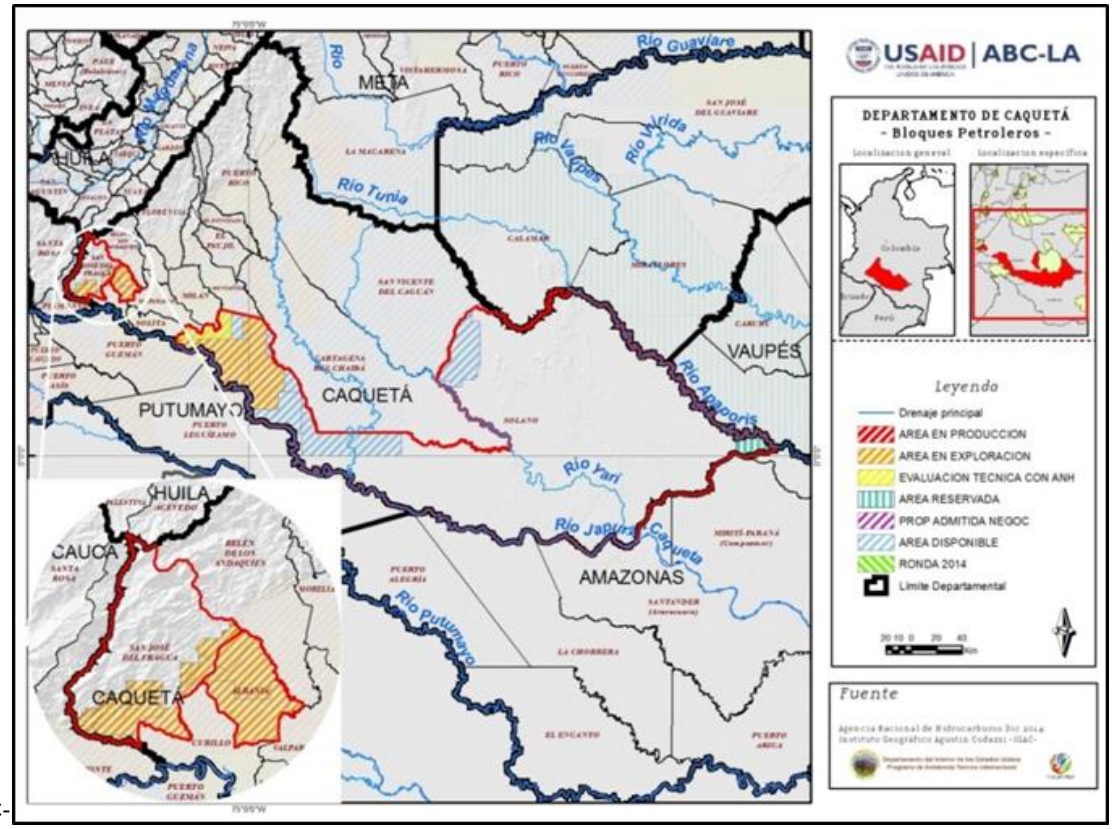
The significant increase in oil and gas exploration and legal mining, coupled with widespread illegal mining activities, are creating new threats and pressures on biodiversity in Colombia[15] including habitat loss and degradation of fragile ecosystems and BSAs. The sustained growth in extractive activities, both legal and illegal, is also contributing to an increase in socio-environmental conflicts which exacerbate conditions in a country working to end decades of armed conflict. According to Colombia's Contraloría General de la República, conflicts associated with mining, especially widespread illegal mining, persist and the negative impacts are amplified by the lack of coherent and consistent mining and environmental policies and legislation. Communities in focal areas also complain that concessions for the exploration and exploitation of hydrocarbons and mining activities exacerbate problems related to competing claims for land rights and the conservation and sustainable use of natural resources.

[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/

CAQUETÁ

Caquetá – Albania, San José del Fragua, and Solano Districts				
Biologically Significant Areas	Threats	Pressures (Extractive Activities)	Vulnerable Populations	Project Activities & Objectives
Ecosystems: Biogeographic region Amazon Piedmont **Hydric net:** Caquetá Upper Basin and Fragua Chorroso sub basin **National Protected Areas:** Serranía del Chiribiquete & Alto Fragua Indi-Wasi National Parks, Municipal area of soil conservation Inga de San Miguel Territory & Puerto Torres Community **No. of hectares:** forest conditions affected by project: direct: 4,962,218 ha./ indirect: 36,143,950 ha (total BSA)	Fragmentation and Degradation of Biomes; Deforestation/ Contamination of terrestrial and aquatic ecosystems / habitats Endemic species loss	High levels of gas / oil exploration & growing exploitation Growing levels of medium, ASG legal & illegal mining Massive logging; coca cultivation & livestock (cattle)	Indigenous People & Rural Communities Resguardo Indígena de Villa Azul (Nonuya & Muinane IPs) Resguardo Indígena Yurayaco (Inga IPs)	• Applied Research for Environmental & Vulnerable Groups Assessments • Capacity & Consensus Building for NRM / CEW to improve NRG & Multi-stakeholder mechanisms • LGU Strengthening to improve NRM / biodiversity conservation ➢ Conservation and Sustainable Land Use Agenda implemented by department & municipal governments. ➢ Multi-stakeholder platform for socio-environmental conflict early warning (CEW) to monitor Plan implementation and biodiversity conservation.

ABC-LA Focal Areas and Areas of Hydrocarbon Exploration and Extraction in Caquetá



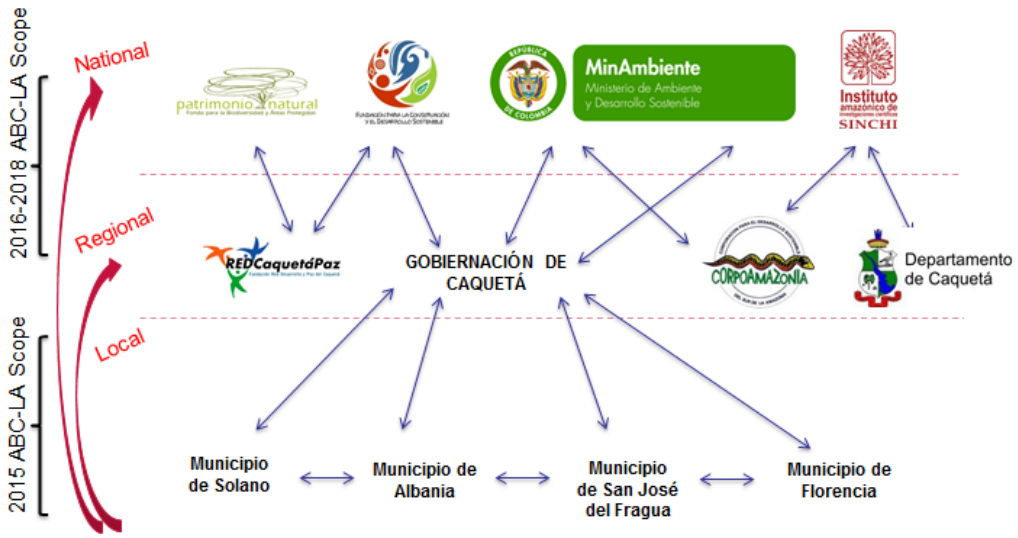
Caquetá's economy historically has revolved around agricultural and livestock activities; exploitation of hydrocarbons and mining are recent phenomena for the department. These activities directly affect indigenous territories, cause harmful social and environmental impacts, and create growing threats to important protected BSAs. In addition, 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's protected areas are among the most biologically and culturally diverse in the region and form part of the larger Andean-Amazonian biological corridor. 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. The recent Havana Accords' commitment to reaching a peace agreement by March 2016 will strongly affect the region, as a post-conflict scenario would likely include intensification of extractive activities and increased challenges for biodiversity conservation and sustainable use of natural resources.

Increased extractive activities are likely to contribute to a corresponding growth in socio-environmental conflicts. Vulnerable populations and BSAs under stress from existing and emerging extractive activities are present in ABC-LA's three focal municipalities in Caquetá. Hydrocarbon exploration and development already exists in San Jose del Fragua, while in Albania potential blocks for exploration and possible exploitation have been identified by the National Hydrocarbon Agency. The increase in illegal gold mining is a pressing issue for Solano, the second largest municipality in the country and home to important indigenous territories. In 2013, 24.7% of Colombia's total loss of forest cover occurred in Caquetá, with the municipality of Solano having the highest levels of deforestation out of any of Colombia's municipalities.

There are multiple initiatives in process in Caquetá that are implemented or supervised by local, regional, or national levels of government, and coordination among these institutions is essential. ABC-LA keeps the Ministry of Environment and Sustainable Development (MADS) informed of activity progress and validates the results of its assessments with regional and national counterparts. ABC-LA is working with Corpoamazonia, the environmental authority for the department of Caquetá, to ensure that programmatic activities are integrated with, and contributing to, the departmental and municipal level environmental agendas. This collaboration includes efforts for the establishment of an environmental governance and socio-environmental conflict monitoring system supported by an inter-institutional alliance for conservation and sustainable development led by Corpoamazonia, SINCHI, and the University of the Amazon.

Linkages with Strategic Partners in Caquetá



UPDATE OF PROJECT ACTIVITIES IN CAQUETÁ

Applied Research

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

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

During This Quarter:

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

Vegetation collection with youth participants from the Divine Child Educational Institute of Caquetá

During This Year:

- SINCHI and ABC-LA completed technical and operational grant negotiations and identified sampling sites to complete the environmental baseline study in Caquetá. The implementation of this activity began in the most recent quarter, and thus yearly updates are the same as those above.

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

- Fieldwork will be completed by mid-October, and the analysis of results will be incorporated into the environmental monitoring report produced in early November.

Measuring Impact This Year:

- Progress towards generating environmental data and a monitoring report for the dry season in the Amazon Basin of Caquetá to increase understanding of impacts from extractive activities.

Capacity and Consensus Building

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

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

During This Quarter:

- Patrimonio Natural held 5 participatory workshops in Albania and San Jose del Fragua to identify and describe the main socio-environmental conflicts in the municipalities. These conflicts were mapped together with areas of biological significance through participatory exercises. Through multi-actor working groups during these workshops, Patrimonio Natural also identified the natural resource management gaps in capacity in the same municipalities. With the identification and analysis of socio-environmental conflicts and current natural resource management capacity, participants proposed strategic routes forward for reporting and managing these conflicts in their communities.[16]
- Participants in San Jose del Fragua identified the following causes of socio-environment conflicts: illegal logging, trawling of river beds, residential water use, mining and energy development, expansion of illegal settlements, models of agricultural production, and drainage of wetlands for construction. Productive activities represent a pressure on water resources and strategic ecosystems, and the proposed way forward must include a change in agricultural production processes and the development of sustainable livestock practices.
- Participants in the Albania exercise identified the following situations generating socio-environmental conflicts: lack of consistency in decision-making about natural resources, mineral exploitation, livestock production, water shortages, irregularities in fishing, trawling of river beds, illegal logging, illicit crop cultivation, inappropriate use of water resources, forest clearing, and poor risk management. Patrimonio Natural concluded that there is lack of knowledge and efficient implementation of existing environmental management plans, and it is necessary that environmental institutions coordinate across local, regional, and national levels.

During This Year:

- The methodology for these workshops included tools from the ABC-LA conflict training of trainers manual and approaches such as engagement of focus groups, participatory mapping and conflict matrices, to develop skills for conflict identification and analysis.[17]
- A total of 8 workshops were held at municipal and regional levels to identify and analyze socio-environmental conflicts in their communities and to develop strategies for addressing them. Participants included local authorities and civil society representatives, who were encouraged to integrate socio-environmental conflict identification into multi-actor governance mechanisms and processes currently underway in the Amazonian Piedmont.
- These analyses and increased engagement from institutional and civil society actors in the department have created a foundation upon which ABC-LA is building; further increasing environmental authorities' coordination and engagement in addressing socio-environmental conflicts through a proposed working group at the regional level.

Measuring Impact This Quarter:

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

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

[16] Please see Annex J for a pamphlet synthesizing this pilot activity and the proposed routes forward.
[17] Please see Annex H for conflict matrices and maps developed through capacity building workshops in Caquetá.

Activity	Youth, Communication, and Improving Environmental Awareness in Caquetá

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

During This Quarter:

- The grant was signed this quarter, and the implementation methodology was finalized immediately thereafter. Emphasis was placed on the alignment with other ABC-LA activities in Caquetá.
- Workshops were implemented in each municipality on the concept of biodiversity and socio-environmental conflicts. Participants mapped their perceptions of where biodiversity and threats to biodiversity were located in the municipalities. Through trainer guidance, they then created matrices identifying the types of socio-environmental conflicts in the municipalities and analyzed their causes, actors, consequences, and environmental practices that could minimize negative impact.
- Each group of youth in the municipalities chose to document contamination of water resources in their communities. The first round of pre-production audiovisual workshops was conducted in Albania and San Jose del Fragua to plan the approach for documenting these socio-environmental conflicts.

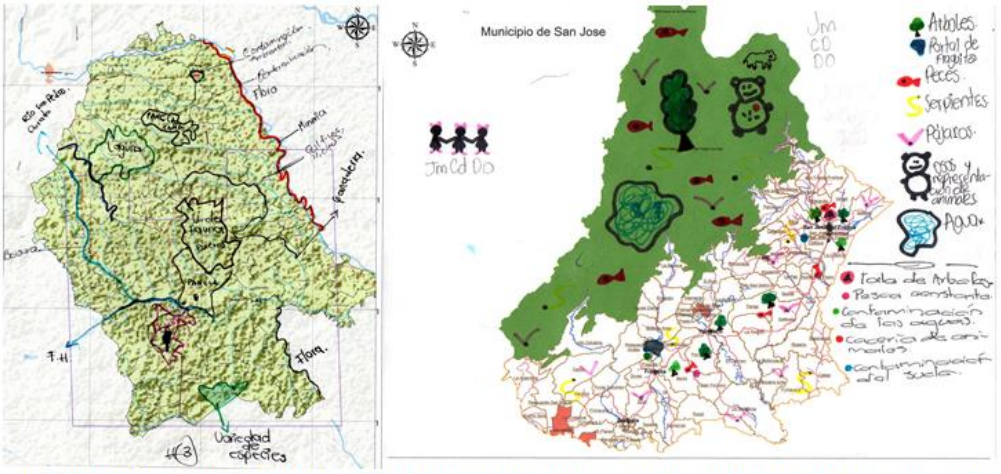
Youth map socio-environmental conflicts in their municipalities in workshops in San Jose del Fragua, Solano, and Albania.

During This Year:

- The technical and operational development of this grant reached the final stages at the end of the previous reporting period. RedCaquetáPaz began implementation in August 2015, and progress this year mirrors that reported above during this quarter.

Measuring Impact this Year:

- 65 youth participants trained in biodiversity conservation and identification and documentation of socio-environmental conflicts, for a total of 464 person-hours training.
- Progress towards building capacity of 3 LGUs to contribute to a socio-environmental CEW mechanism in Caquetá.
- Progress towards 3 CEW mechanisms with participation from vulnerable groups through audiovisual documentation of socio-environmental conflicts in 3 municipalities.



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

Vulnerable Groups Assessments

Activity	Vulnerable Groups Assessment in Caquetá

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

During This Quarter:

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

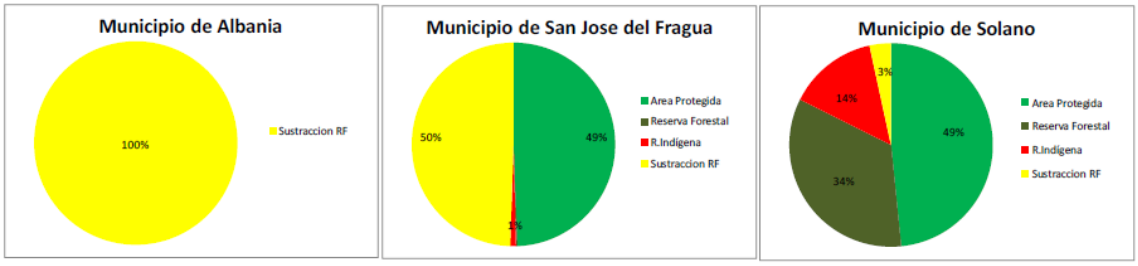
During This Year:

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

Measuring Impact This Year:

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

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



Targeted Assessments

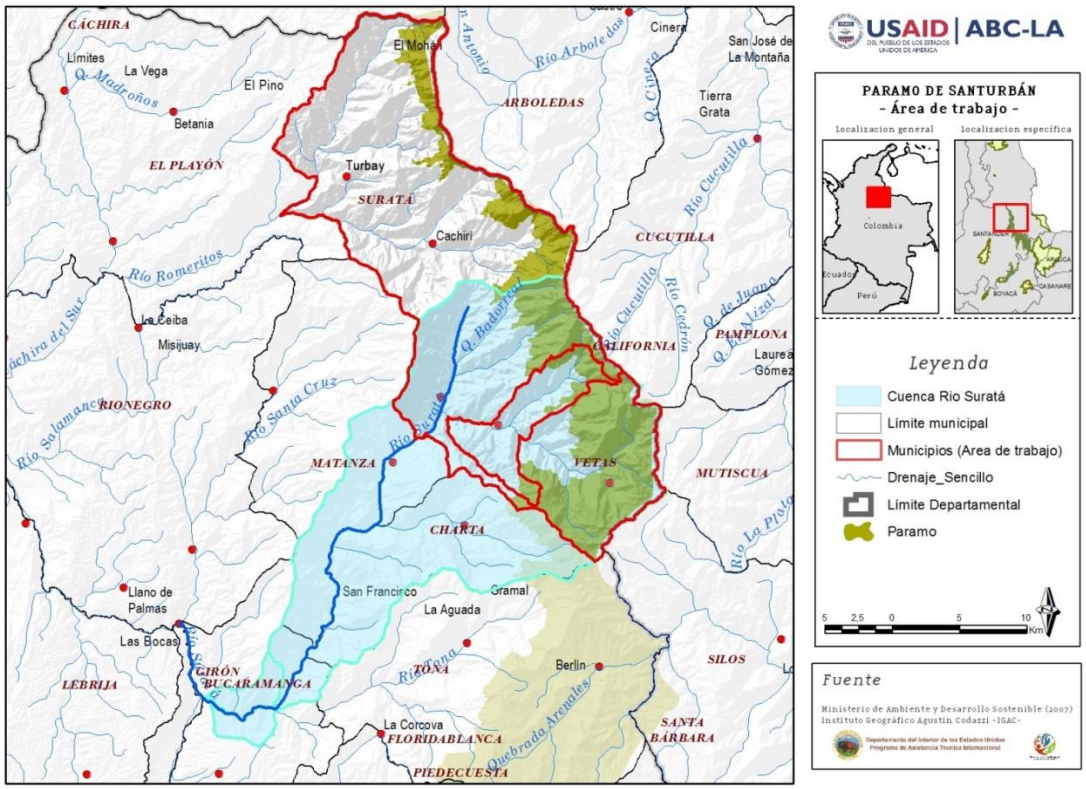
Activity	Analysis of artisanal and small-scale mining in Colombia

Discussion of this activity, conducted in multiple departments, is included in the following section on Santander.

SANTANDER

Santander – California, Vetas, Surata Municipalities and the City of Bucaramanga				
Biologically Significant Areas	Threats	Pressures (Extractive Activities)	Vulnerable Populations	Project Activities & Objectives
Ecosystems: Paramo Santurbán Complex **Hydric net:** Upper & Lower Surata Basin, Vetas, Charta, & Tona microbasins . **National Protected Areas:** Santurbán Regional Natural Park **No of hectares** forest conditions affected by project intervention: direct: 11,700 ha. / indirect 142,000 ha. (total BSA)	Fragmentation and Degradation of Biomes Endemic species loss Deforestation / Contamination of terrestrial & aquatic ecosystems/ habitats Unique ecosystems loss ("Paramo")	Large-, medium- and ASG gold mining	Rural Communities	• Capacity & Consensus Building for NRM / CEW to improve NRG & Multi-stakeholder mechanisms. • Applied Research for Citizen Science pilot for H_2O Monitoring • Value Chain Analysis of Gold ➢ Conservation and Sustainable Land Use Agenda (Paramo de Santurban) implemented by department and municipal governments (LGUs). ➢ Multi-stakeholder platforms for socio-environmental consensus building and environmental monitoring of H_20 quality and strategic management of ecosystem's health.

ABC-LA Focal Areas and the Santurban Paramo in Santander

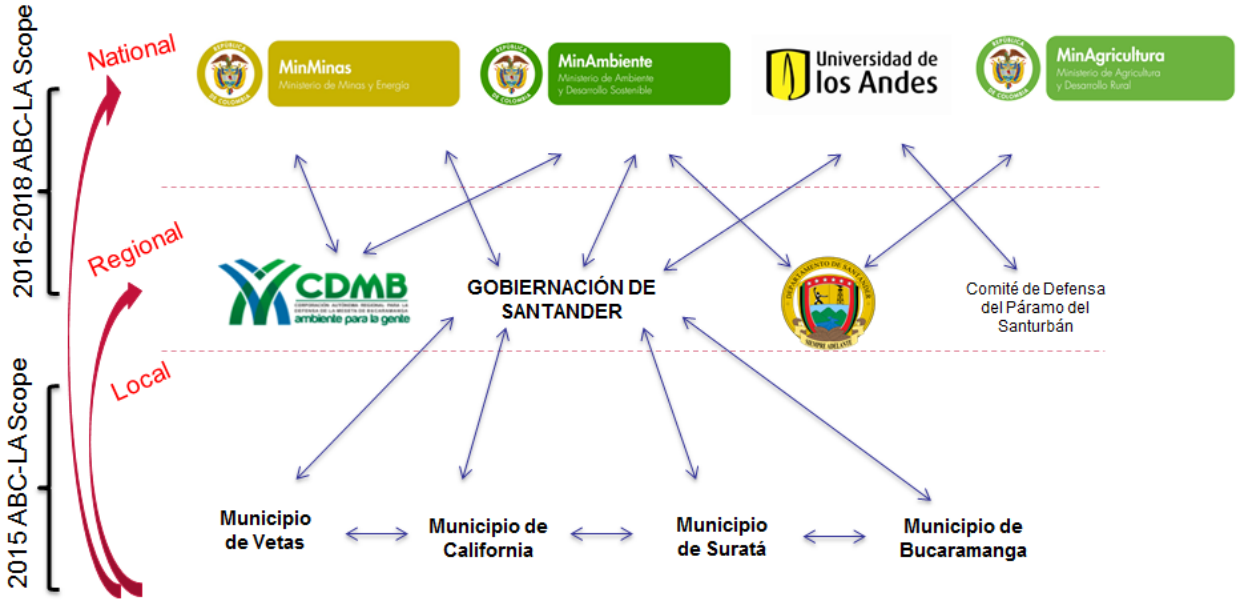


With an area of some 142,000 hectares, the Santurbán Páramo is a unique and highly vulnerable mountain ecosystem ranging from 2,800 to 4,290 meters above sea level, and spans the departments of Santander and North Santander. It forms part of the larger Andean páramo, which lies between the mountains 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 importance biologically 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 extracted for communities, hydroelectric energy and irrigation. ASGM has been occurring in the páramo for over 80 years, using cyanide and mercury which threatens the páramo's water system, and releasing high levels of heavy metals and toxic materials into protected areas and the watershed. Mining companies seeking to establish large scale mining operations in the páramo have been awarded 25 titles. However, civil society has expressed interest in the conservation and protection of the Santurbán Biogeographic Region and in March 2014, MADS designated at least some of the páramo as warranting increased environmental protection, putting the status of these mining titles and ASGM in question. The resolution of the case of competing demands and interests concerning the future status and use of natural resources in the Santurban Páramo is likely to serve as a model more broadly in Colombia and beyond. Currently, 40% of páramos in Colombia lack protected status.

Sensitive to the high profile and political dynamics involved, ABC-LA is working closely with government counterparts, including representatives from the Environment Ministry's department of Forests, Biodiversity and Environmental Services and German Cooperation (GIZ), subject matter experts from the Universidad de los Andes (UniAndes) and the Universidad del Rosario, and local stakeholders to develop and pilot a model consultation and environmental monitoring approach drawing from game theory to advance conflict mitigation, consensus building, and a citizen science initiative in and around the Santurbán Páramo.

Linkages with Strategic Partners in Santander



UPDATE OF PROJECT ACTIVITIES IN SANTANDER

Applied Research and **Capacity and Consensus Building**

Activity	Consensus building and citizen monitoring in the Paramo of Santurban

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

During this Quarter:

- Two workshops were held in California and Vetas municipalities to define types of collective agreements for the management of natural resources in the Surata River watershed and design a strategy for their tracking and monitoring.
- The first regional workshop was held with institutional representatives to construct a regional agenda for human and sustainable development for the municipalities located in the Surata River watershed.
- The prototypes of the water testing sensors designed in collaboration with Public Lab and MIT's Center for Civic Media were presented and implemented in late July with regional actors from municipal high schools, regional universities, public and private representatives, agriculturalists, and miners. This group collected water samples along the watershed to test the sensors and the draft online platform for compiling and sharing the data collected.

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

During this Year:

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

Measuring Impact This Year:

- 207 people trained in consensus building, for a total of 1,129 person-hours training. 47% of participants were women; 35% state actors, 31% private sector, and 22% from civil society.
- Progress towards the first environmental monitoring report of water quality in the Surata River watershed produced from a citizen science approach.
- Two new initiatives dedicated to resolving the drivers of conflict, through the incorporation of monitoring water quality into existing environmental committees in Vetas and California.
- Creation of one regional agenda for human and sustainable development containing agreements between civil society and public institutions. Two municipalities, Vetas and California, have committed to incorporating the regional agenda into their 2016 development plans.

Monitoring water quality in the "Uña de gato," between the municipalities of California and Surata and located in the watershed of Surata Alto, where the river does not contain the discharges of its other main tributaries. However, it does collect the waste, dregs, and effusions from those who inhabit its banks. In the upper part of the watershed, gold mining is practiced in the Paramo of Monsalve. However, the mining is not located as close to the rivers or tributaries as where it occurs in California and Vetas.

UniAndes' Analysis of Challenges to Watershed Management and Collective Action to Inform Activity Design

Challenges for watershed management	Collective action needed in order to confront these challenges	Challenges to collective action in the watershed	How to confront challenges to collective action
Provision of water: To what extent should each actor contribute (in terms of time, effort, money, etc.) to the preservation and care of the watershed and to guarantee that there is a maximum supply of water, and other goods and ecosystem services? *Appropriation or allocation of resources:* how much of the resource can each actor extract in order for other actors to be able to access and benefit from it, without it running out? *General challenge*: to achieve the maximum possible water provision, and to give all the actors equitable access to appropriate quantities of quality water. To achieve maximum possible collective benefit, equitably distributed among the actors of the watershed.	Coordinate individual actions regarding the stated general challenge: - For all actors to contribute to the preservation and care of the watershed in order to guarantee the appropriate supply of water resources, among other goods and ecosystem services. - To have responsible and sustainable use of natural resources, taking into account natural ecosystem characteristics. That is, natural resources should be organized taking their potential uses into consideration. - Planning and organizing the use or demand of water resources. - Adopting production technologies that guarantee an efficient, sustainable and responsible use of natural resources. - Implementing measures that prevent costs or benefits from concentrating in a small group of actors. - Satisfying socioeconomic and life-quality objectives.	- Asymmetries in the access to clean water are determined by the location of each municipality in the sub-basin. - Distance or little direct interaction among the actors in the watershed. The geographic terrain poses challenges regarding communication and contact between the actors. - There is heterogeneity among the actors in terms of income, size of the municipality, diversity of material interests (agricultural, mining and touristic sectors) and immaterial ones (defense of the environment and preservation), and diversity in technologies and scales of production. - High levels of mistrust: • Between actors located in the higher and lower parts of the watershed. • Between governmental and non-governmental actors. • Between multinational mining companies and non-state actors in the lower watershed and some inhabitants of the municipalities that influence the watershed. • Among different levels, sectors, and areas of government. - Bad reputation of actors. - There are no concrete mechanisms to develop reciprocal relationships.	Implementation of mechanisms to facilitate or promote the development of reciprocal relationships based on consolidation of trust and reputation. - Creation of spaces in which the actors can meet and interact in order to recognize their mutual dependence. - Identification of common, collective and shared objectives. - Building payment schemes for ecosystem services: monetary flows that recognize or promote the conservation of water provision and other ecosystem goods and services. - Mechanisms and strategies of tracking and monitoring that support the coordination of individual actions around common goals. It is important to generate precise information at the opportune time.

Targeted Assessments

Activity	Analysis of artisanal and small-scale mining in Colombia

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

During this Quarter:

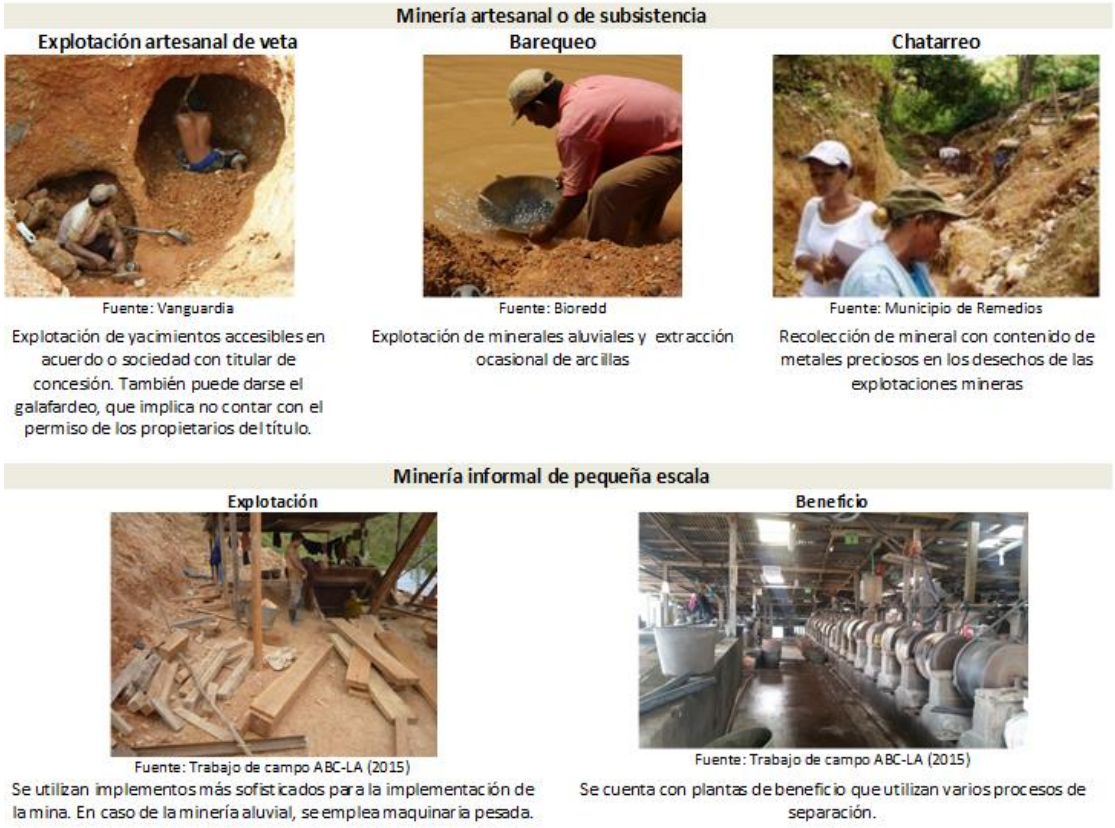
- The study, which was finalized at the end of the previous quarter, was synthesized into a summary document for wider distribution to national counterparts.

During this Year:

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

Measuring Impact this Year:

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



Types of Artisanal and Small-Scale Gold Mining in Colombia

SUMMARY OF AWARDS MADE/PENDING

The table below summarizes the status of awards for ABC-LA activity implementation at the end of the reporting period.

Award Type	Partner	Title	Status
Direct Activities	PE001 - ANA (Autoridad Nacional del AGUA of MINAGRI)	Building socio-environmental conflict awareness in Ucayali and Puno	Completed
Direct Activities	PE002 –Better Golden Initiative (BGI)	Promoting more responsible gold mining: Identifying obstacles / opportunities to improve regulation and control and reduce harmful ASGM practices contributing to negative environmental and social impacts.	Completed
Direct Activities	PE003 -Consultancy of Paola Fune	Strengthening of local environmental institutions (local government units) in Ucayali	Implementation
Direct Activities	PE004 - Consultancy of Claudia Galvez-Durand	Development of conservation and sustainable land use plan -Ucayali	Implementation*
Direct Activities	CO001- Better Golden Initiative (BGI) and Consultancy of Leonardo Güiza	Study of artisanal and small-scale gold mining in Colombia	Completed
Subcontract	CF003- PRONATURALEZA	Vulnerable Groups Assessment - Peru	Completed
Subcontract	CF001- Fundación para la Conservación del Desarrollo Sostenible (FCDS)	Vulnerable Groups Assessment - Colombia	Completed
Subcontract	CF003 - UNIANDES	Consensus building and citizen monitoring in Santander	Implementation
Grant	CD001- PRONATURALEZA	Capacity building to identify, define and report socio-environmental conflicts and collaborative processes to improve land use and natural resources management – Puno, Perú	Completed
Grant	CD002 - Patrimonio Natural	Capacity building to identify, define and report socio-environmental conflicts and collaborative processes to improve land use and natural resources management - Caquetá, Colombia	Completed
Grant	CD003 -Universidad Nacional de Ucayali (UNU)	Environmental baseline assessment and monitoring protocol - Ucayali	Completed
Grant	CD004 - ORAU	Capacity building to identify, define and report socio-environmental conflicts and collaborative processes to improve land use and natural resources management – Ucayali, Peru	Completed
Grant	CD005 -Instituto SINCHI	Environmental baseline assessment and monitoring protocol - Caquetá	Implementation
Grant	CD006 -Red Caquetá Paz	Youth, Communication, and Environment - Caquetá, Colombia	Implementation
Grant	CD007- Universidad Nacional del Altiplano en Puno (UNAP)	Environmental baseline assessment and monitoring protocol - Puno, Peru	Cancelled

*This consultancy was approved by USAID at the time of writing this report, with implementation beginning the second week of October.

FINANCE AND ADMINISTRATION

Request for No Cost Extension

Due to a variety of factors resulting in a delayed initiation of the project's implementation phase, DAI requested a four month no cost extension to the project's base period that would permit the project to extend the period in which activities can be implemented in order to allow adequate time and opportunity for realizing and documenting associated impacts. The project received notification on July 8th that the no cost extension was granted, and the following contracting mechanisms were extended accordingly:

- Pronaturaleza: Vulnerable Groups Assessment
- Pronaturaleza: Capacity building for conflict management and natural resources management
- Universidad Nacional de Ucayali: Environmental baseline study in Ucayali
- Universidad de los Andes: Consensus building and citizen monitoring in Santander
- Patrimonio Natural: Capacity building for conflict management and natural resources management

Recruiting and Engaging Consultants

Upon approval of the no-cost extension, ABC-LA extended the periods of performance for four consultants to continue their existing scopes of work: Alberto Heredia (Colombia Technical Advisor), Dante Santa Cruz (GIS Specialist), Arturo Silva (IT Support), and Cesar Ipenza (Environmental and Extractives Specialist).

In addition, to complement the strength of the program team and with a view towards maximizing achievement and sustainability of results, the project hired the following consultants:

- **Silvia Feria,** Conflict and Communications Specialist, to synthesize technical reports for broader distribution to audiences.
- **Claudia Galvez-Durand**, Natural Resource Management Specialist, to contribute to ABC-LA's ongoing efforts to develop a biodiversity conservation and sustainable use plan for the area of influence for the Sierra del Divisor Reserve
- **Lina Rincon,** Communications and Events Specialist, to support the process of synthesizing and formatting project information and communications materials for distribution to key stakeholders and to facilitate logistics and provide support to producing communications materials for closing events.
- **Victor Hugo Pachas,** Project Management and Socio-Environmental Conflict Specialist, to coordinate across local and regional actors in Puno and Ucayali to advance the development of the model for a CEW platform, and jointly with the project team and partners, implement this mechanism for the prevention and management of socio-environmental conflicts in Ucayali and Puno

Closedown Planning

In compliance with DAI policies and procedures, the project began closedown planning to prepare for the contract closing at the end of the 2015 base period. This closedown procedure entails technical and financial audits in TAMIS to ensure all contracting, travel, personnel, and financial files are in order; procurement audits to prepare an inventory disposition plan for USAID approval; and the preparation of a Scope of Work for a home office STTA to the Lima office focused on closedown assistance. The finance and administration team has prepared a Value Added Tax reimbursement request to submit to the Peruvian tax authority as part of this closedown process. The project is finalizing its inventory disposition plan for non-expendable property for USAID review and approval.

PROJECT SPECIFIC PERFORMANCE INDICATORS

This Performance Indicator Table reflects the results achieved along indicators updated during the previous reporting period.

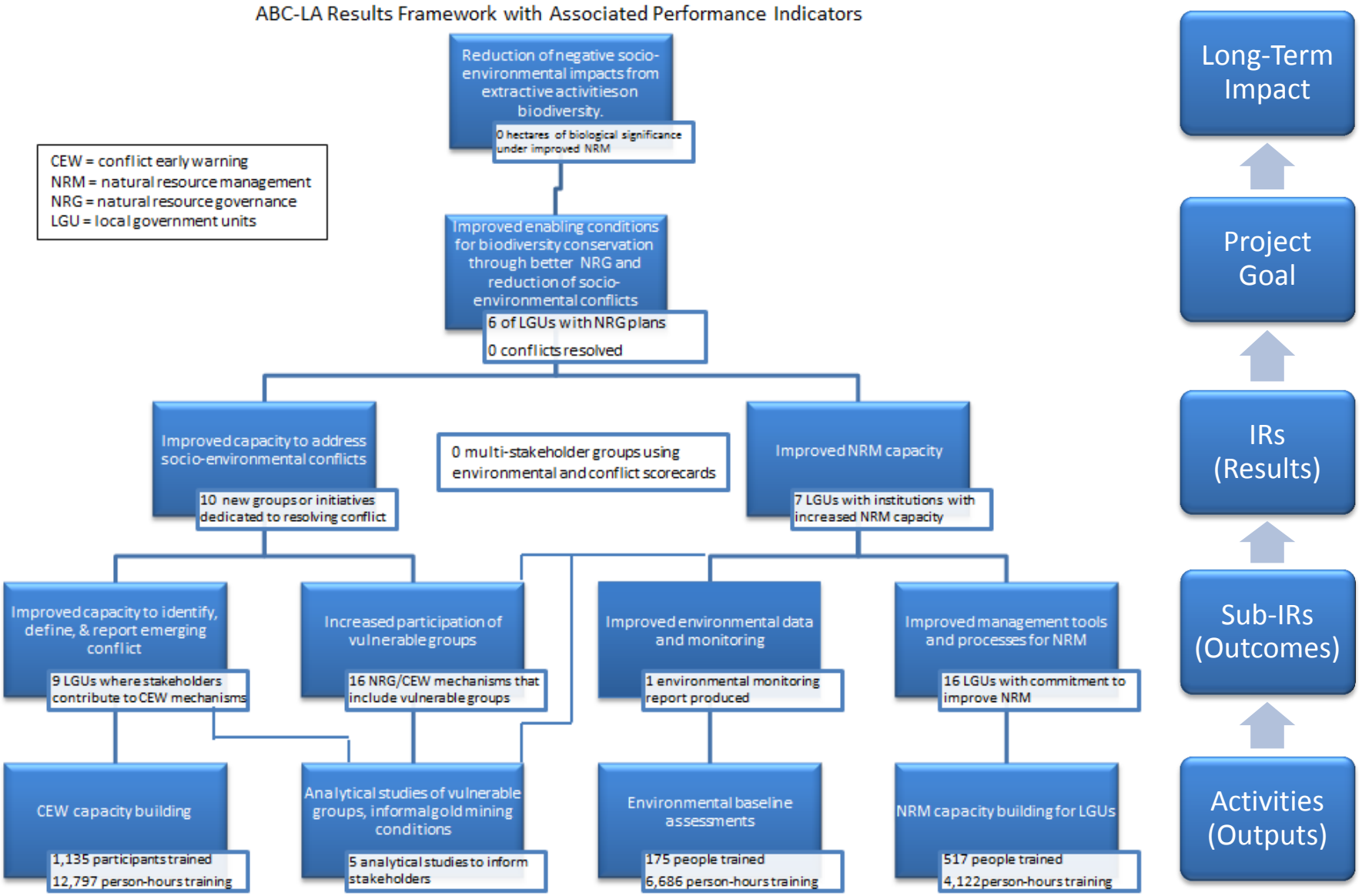
Performance Indicator	FY15 Q1	FY15 Q2	FY15 Q3	FY15 Q4	FY15 Target	FY15 Actual	Reporting Comments
Impact: # of hectares of biological significance and/or natural resources under improved natural resource management as a result of USG assistance (4.8.1-26)	0	0	0	0	100,000	0	
Goal: # of local government plans that include improved NRG and biodiversity conservation with recognizable input from focal communities.	0	0	0	6	5	6	Puno: Local action plans that support the regional biodiversity goals in the districts of Alto Inambari, San Pedro de Putina Punco, y San Juan del Oro (3). Ucayali: Plan de vida for Santa Rosita Tamaya Tipischa (1). Caqueta: In development. Santander: Vetas and California have committed to incorporating the regional agenda for human and sustainable development into their 2016 development plans. (2)
Goal: # of previously existing land and natural resource based conflicts resolved in favor of the protection of the most vulnerable populations and local communities (4.7.4-7)	0	0	0	0	1	0	Conflicts have been identified in all 4 focal regions. However, reporting mechanisms have not yet reached response capacity.
Intermediate Result: # of new groups or initiatives created through USG funding dedicated to resolving conflict or the drivers of conflict. (1.6.1-12).	0	2	2	6	3	10	Peru National Level: CEW working group with ANA, OEFA, and PCM-ONDS (1). Puno: Working group dedicated to addressing threats to biodiversity in the PNBS area of influence, Informal mining working group, CEW network for water conflicts in Sandia (3). Ucayali: Environmental Baseline Technical Committee, CEW networks for water conflicts in Nueva Requena, San Alejandro, and Calleria (4). Caqueta: In

Performance Indicator	FY15 Q1	FY15 Q2	FY15 Q3	FY15 Q4	FY15 Target	FY15 Actual	Reporting Comments
							development. Santander: Environmental committees in Vetas and California have incorporated the citizen science initiative into their agendas (2).
Intermediate Result: # of multi-stakeholder groups using environmental and conflict scorecards for decision making.	0	0	0	0	3	0	Scorecards are currently in development for Peru and Colombia.
Intermediate Result: # of local government institutions that demonstrate increased capacity for NRM for biodiversity conservation.	0	0	0	7	5	7	Puno: District government of San Pedro de Putina Punco (1). Ucayali: Provincial Government of Coronel Portillo (1). Santander: Institutional capacity increase through participating in monitoring water quality in Surata River watershed: Industrial University of Santander, the CDMB, the Governor's office of Santander, the Environmental Police of Matanza, and the Municipal Technical Assistance Unit of Vetas (UMATA) (5). Caqueta: Capacity development is currently underway.
Outcome: # of local government units in which key stakeholders demonstrate capacity to contribute to local socio-environmental CEW mechanisms.	0	0	0	9	3	9	Puno: Districts of San Pedro de Putina Punco, Alto Inambari, San Juan del Oro, and San Gaban (4). Ucayali: Districts of Calleria, Nueva Requena, and Masisea (3). Caqueta: Albania, San Jose del Fragua (2).
Outcome: # of mechanisms (CEW or NRG) that include participation of vulnerable groups as a result of ABC-LA intervention.	0	0	2	14	4	16	Puno: Local action plans that supporting regional biodiversity goals in the districts of Alto Inambari, San Pedro de Putina Punco, y San Juan del Oro, Sandia CEW water network (4). Ucayali: Environmental baseline study, environmental baseline technical committee, planes de vida, three CEW water networks (6). Santander: Development of regional plan for human and sustainable development, citizen monitoring of water quality (2). Caqueta: Environmental baseline study, youth documentation of socio-environmental conflicts in 3 municipalities (4).

Performance Indicator	FY15 Q1	FY15 Q2	FY15 Q3	FY15 Q4	FY15 Target	FY15 Actual	Reporting Comments
Outcome: # of environmental monitoring reports produced by applied research institutions.	0	0	0	1	3	1	Ucayali: Environmental baseline report for the Abujao River. Santander: First water quality report of Surata River watershed will be produced in final quarter. Caqueta: Environmental baseline report will be produced next quarter.
Outcome: # of local government units with relevant institutions demonstrating commitment for improving NRM for biodiversity conservation.	0	0	1	15	5	16	Puno: Districts of San Pedro de Putina Punco, Alto Inambari, San Juan del Oro, and San Gaban. Provincial governments of Sandia y Carabayo. Regional government of Puno (7). Ucayali: Province of Coronel Portillo, districts of Masisea and Nueva Requena (3). Santander: Bucaramanga, Vetas, California, Surata, Matanzas, and the departmental government of Santander (6). Caqueta: In development.
Output: # of participants receiving USG supported training in NRM, biodiversity conservation, and socio-environmental conflict identification, prevention, and response.*	0	352	450	1,025	***	1,827	**While this indicator and associated targets were not in the PMP, ABC-LA is adding them for reporting as the project is tracking these outputs. Puno: 726. Ucayali: 633. Santander: 207. Caqueta: 261.
Output: # of person hours of training in NRM, biodiversity conservation, and socio-environmental conflict identification, prevention, and response*	0	5,632	4,514	13,459	***	23,605	**While this indicator and associated targets were not in the PMP, ABC-LA is adding them for reporting as the project is tracking these outputs. Puno: 7,650. Ucayali: 12,816. Santander: 1,129. Caqueta: 2,010.
Output: # of targeted analytical studies to inform stakeholders, policies, practices, and programmatic interventions.	0	0	2	3	5	5	Puno: Diagnostic of informal miners and Vulnerable Groups Assessment (2). Ucayali: Vulnerable Groups Assessment (1). Caqueta: Vulnerable Groups Assessment (1). Colombia: ASGM study (1)

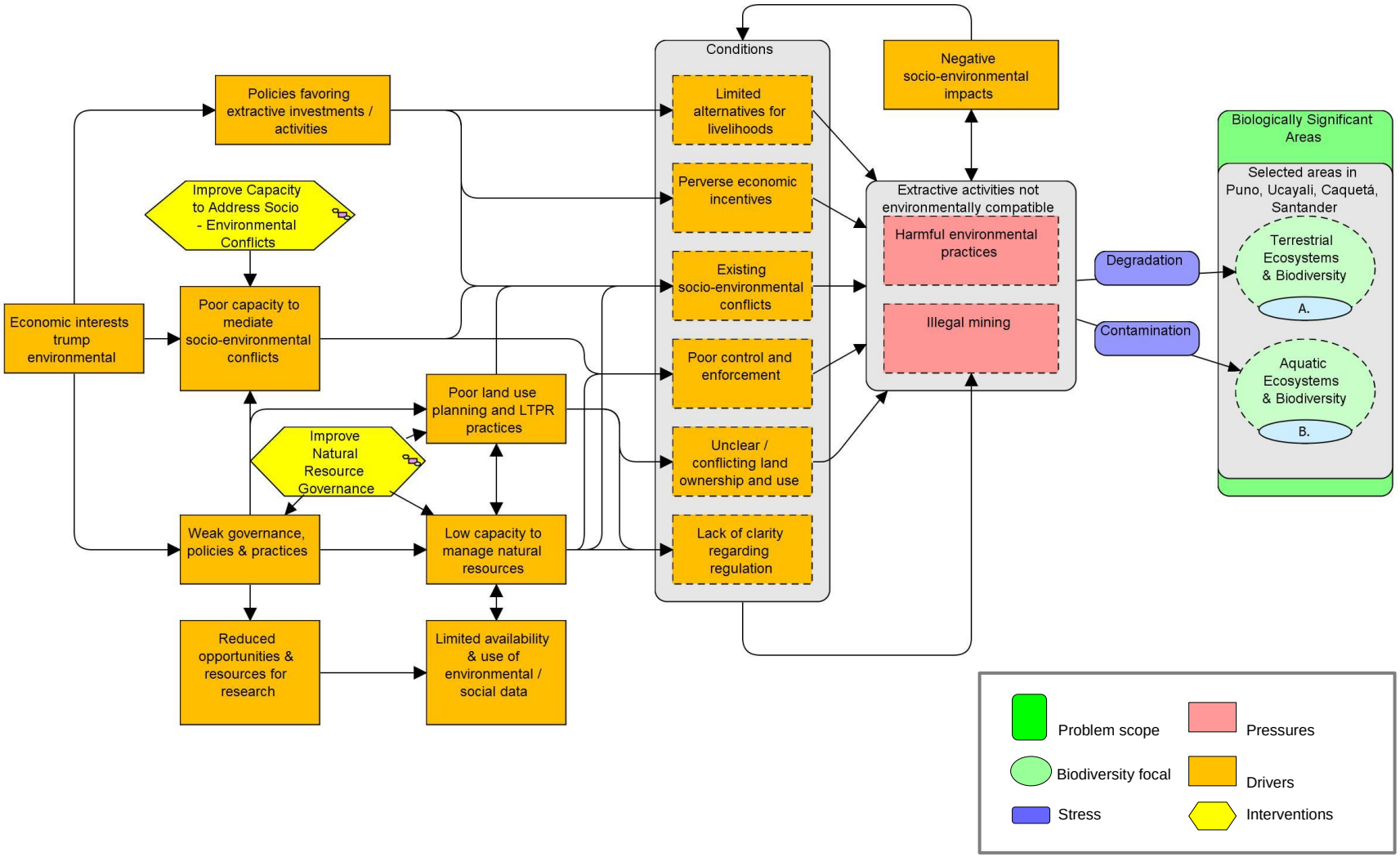
* ABC-LA puts more emphasis on person-hours training than number of participants, as in some cases one person has participated in a series or sequence of workshops or technical meetings.

ABC-LA RESULTS FRAMEWORK WITH ASSOCIATED INDICATORS

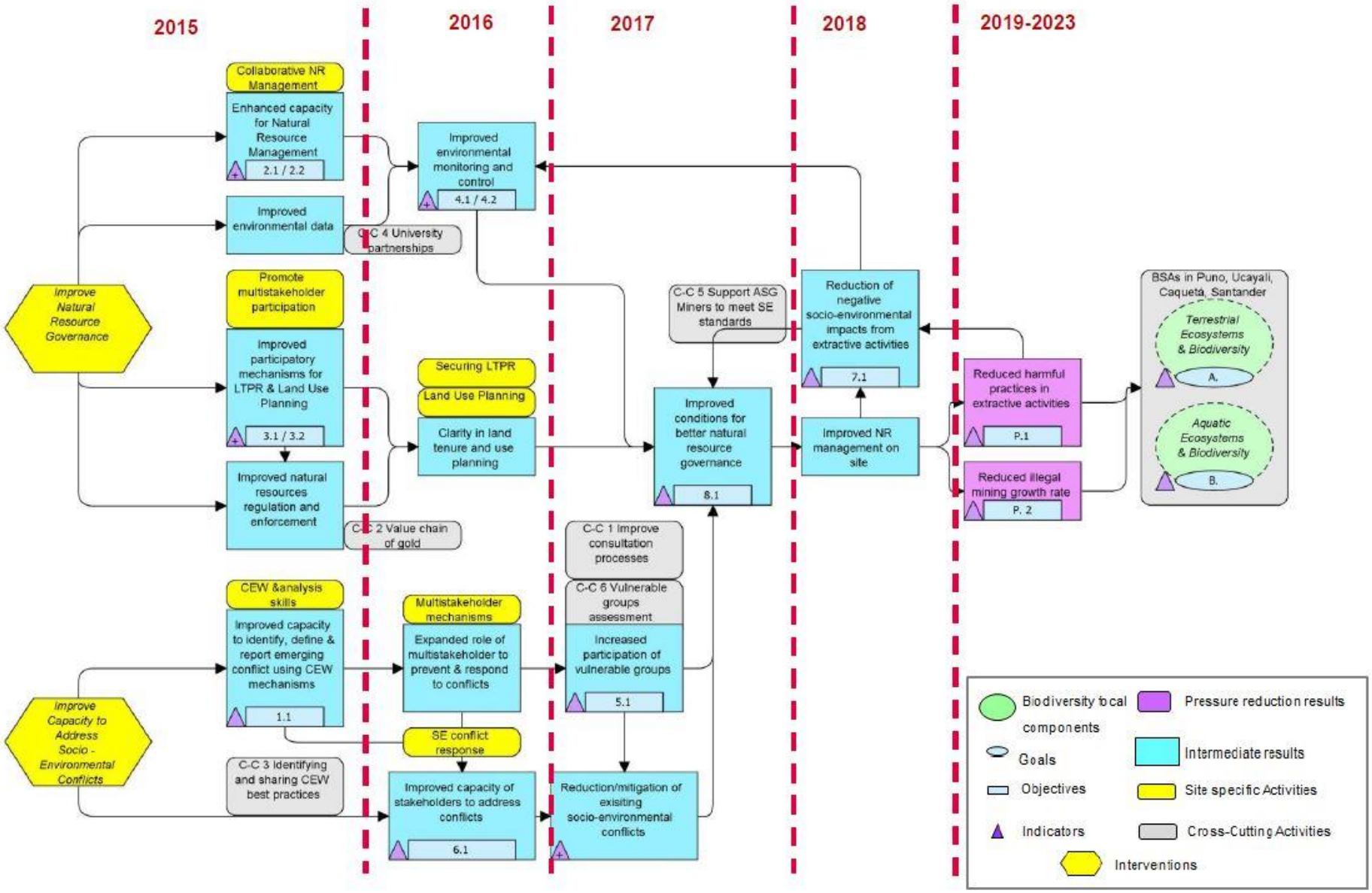


ANNEXES

A. ABC-LA SITUATIONAL MODEL AND THEORY OF CHANGE



ABC-LA THEORY OF CHANGE



B. PROJECT STAFF

PROJECT STAFF ABC-LA (Field office)

Name	Position	Email
Jack McCarthy	Chief of Party	John_Mccarthy@dai.com
Susana Valle	Finance & Administration Manager	Susana_Valle@dai.com
Beth Leonhardt	Monitoring and Evaluation Specialist	Beth_Leonhardt@dai.com
Jean Morote	Grants & Operations Manager	Jean_Morote@dai.com
Milka Urrutia	Accountant	Milka_Urrutia@dai.com
Milagros Castro	Program Officer - Perú	Milagros_Castro@dai.com
Javier Camargo	Program Officer - Colombia	Javier_Camargo@dai.com
Blanca Rengifo	Biodiversity Conservation / Environmental Quality Specialist	Blanca_Rengifo@dai.com
Sandra Carrillo*	Monitoring, Information & Communications Coordinator	Sandra_Carrillo@dai.com
Catherine Mendoza	Administrative Assistant	Catherine_Mendoza@dai.com

DAI STAFF SUPPORTING ABC-LA (Home office)

Name	Position	Email
Miguel Baca	Home office Project Team Director	Miguel_Baca@dai.com
Travis Snow**	Home office Project Manager	Travis_Snow@dai.com
Maria Alegria	Associate	Maria_Alegria@dai.com
Neil Enet	Home office TAMIS Backstop	Neil_Enet@dai.com

* Sandra Carrillo's last day on the project was September 10, 2015.
**In this reporting period, Travis Snow replaced Juliette Gaitan as home office based Project Manager.

C. SUCCESS STORY: ENVIRONMENTAL BASELINE IN CAQUETA

D. SUCCESS STORY: CITIZEN SCIENCE MONITORING IN SANTANDER

Two Success Stories for ABC-LA are provided as separate pdf documents, in English and in Spanish, for submission with this Quarterly Report.

E. PROJECT BRIEF UPDATE

An updated project brief is provided as a separate pdf document for submission with this Quarterly Report.

F. MEDIA

A newspaper article featuring a July 9, 2015 interview with the President of ORAU regarding *planes de vida* is included as a separate pdf attachment.

G. BIODIVERSITY TRAINING MODULE

The project's Biodiversity Training Module for capacity building is provided as a separate pdf attachment.

H. PARTICIPATORY CONFLICT MAPS AND MATRICES FOR PUNO, UCAYALI, AND CAQUETA

Conflict maps and matrices analyzing conflicts identified through capacity building are provided as a separate pdf attachment.

I. ENVIRONMENTAL BASELINE PARTICIPANT TESTIMONIES

Two student investigators' accounts of their experience as part of the environmental baseline field team are included as a separate pdf attachment.

J. PATRIMONIO NATURAL CAQUETA CONFLICT EARLY WARNING PAMPHLET

A summary of the Patrimonio Natural socio-environmental conflict management capacity building and the proposed municipal roadmaps for addressing conflicts is included as a separate pdf attachment.

K. BIODIVERSITY GUIDELINES FOR INCORPORATION INTO PLANES DE VIDA AND AIDESEP NATIONAL RESOLUTION

Guidelines for incorporating biodiversity conservation and regional development into indigenous communities' *planes de vida*, along with the signed resolution accepting these guidelines as planes de vida standards at the national level, are provided as a separate pdf attachment.

L. CONFLICT EARLY WARNING MONITORING REPORT FROM THE SAN MATEO INDIGENOUS COMMUNITY

A report documenting potential socio-environmental conflicts in the San Mateo community, developed by graduates of ABC-LA capacity building, is provided as a separate pdf attachment.

M. CONFLICT EARLY WARNING REPORT FROM THE SHAMBO PORVENIR INDIGENOUS COMMUNITY

A report produced through socio-environmental conflict management capacity building is included as a separate pdf attachment.

N. SIGNED AGREEMENT TO VALIDATE MUNICIPAL BIODIVERSITY ACTION PLANS IN PUNO

An agreement signed on August 21, 2015 by municipal and regional government representatives committed to implementing biodiversity conservation action plans in Puno is included as a separate pdf attachment.