Colombia REDD-plus RBP for results period 2015-2016

Environmental and Social Management Framework

Colombia

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EXECUTIVE SUMMARY

The following document presents the Environmental and Social Management Framework (ESMF) for the REDD+ Results Based Payment (RBP) Project proposed by the government of Colombia to the Green Climate Fund (GCF). The project will be implemented by the Food and Agriculture Organization of the United Nations (FAO) in close collaboration and coordination with the Ministry of Environment and Sustainable Development.

The Project aims to support the implementation of the National REDD+ Strategy, contained in the integrated national strategy for deforestation control and forest management (EICDGB acronym is Spanish. The Project is aligned with National Policy for Climate Change, as well as the National Development Plan of 2018-2002. Activities proposed under this project will contribute to the commitments pledged by the government such as the United Nations Framework Convention on Climate Change (UNFCCC), Convention on Biological Diversity (CBD), and plays a fundamental role in achieving goals established by the country's Nationally Determined Contributions (NDC).

The project considers articulation with pillars, objectives and goals of the Amazon Vision Program, an initiative of the national Government for deforestation emissions reduction in the Colombian Amazon, via the implementation of a sustainable development model in the region. This Project will contribute to the reduction of deforestation and forest degradation drivers by strengthening forest monitoring systems, increasing national and local capacities for deforestation control, promoting sustainable forest management schemes, and enhancing forest governance in indigenous territories. Thus, activities will be oriented to address information management constraints, support local communities in implementing sustainable forest management models, increase efficiency of markets and private sector commitments as incentives for deforestation reduction and promote sustainable management, while increasing local capacities for sustainable forest management as well as other related to forest monitoring and control activities.

Activities of this project have been screened against the FAO's Environmental and Social Standards adopted in 2015, ensuring that the project´s consistency with the objectives of GCF Performance Standards (following IFC standards at the moment). Based on the screening exercise, this project has been classified as **moderate risk** (Category "B") and project activities are expected to trigger five of nine of FAO's Environmental and Social Safeguard Policies (described in Chapter 6): a) ESS2 Biodiversity, Ecosystems And Natural Habitats, b) ESS4 – Animal (livestock and aquatic) Genetic Resources for Food and Agriculture c) ESS7 – Decent Work; d) ESS8 – Gender Equality; and e) ESS9 – Indigenous Peoples and Cultural Heritage.

According to the risk category and the FAO guidelines, this ESFM is the basis for the elaboration of an Environmental and Social Analysis during the first months of the implementation phase and subsequently the agreement of a Environmental and Social Commitments Plan (ESCP). As such, further changes may apply during the implementation phase in order to conform and/or correct and align proposed policies and strategies with newly identified environmental and social risks.

Attending to the recommendations derived from the Environmental and Social Assessment of Colombia's RBP (ESA, Annex 2 of the FP) and learning from the experience of the Heart of the Colombian Amazon Project, the ESMF considers the implementation environmental procedures for all Project activities, in compliance with the requirements of the national and subnational legal frameworks. Following recommendations, the ESMF proposes measures to contribute to equal opportunities and promote mainstreaming of a gender perspective in all forest-related interventions, as well as the identification of opportunities and the support to those activities that contribute to women empowerment.

1 INTRODUCTION

To achieve the objectives and action lines of the National REDD+ Strategy included in the National Strategy for Reduction and Control of Deforestation and Forest Management (EICDGB in Spanish), the objectives of the National Development Plan (NDP) and the Colombia's National Determined Contribution (NDC), Colombia is implementing the Amazon Vision Program (AVP), a program formulated by the national government to reduce emissions from deforestation in the Colombian Amazon. The AVP represents the prime mechanism to support regional implementation activities for the Amazon biome and constitutes an umbrella for the operation of other international cooperation projects. If successful, the Amazon Vision strategy could reduce significant amounts of CO_2 released in the atmosphere, accompanied by substantial co-benefits in the form of improved smallholder farmer livelihoods, biodiversity conservation and forest governance.

Under the AVP, there are several on-going projects from bilateral/multi cooperation. These projects have made important investments in strengthening the management effectiveness of the national parks and the buffer zone, increase forest governance, enhance capacities of local communities, indigenous peoples and authorities, support the national forest monitoring system, promote sectoral programs to involve the private sector and promote sustainable land-use and natural resource management practices that contribute to reduce pressure on forests and reduce deforestation. Experiences of these projects have supported the achievement of results proposed in the EICDGB and provided the country with national capacities, instruments and tools.

Therefore, In line with the NDP and the action lines of the EICDGB and the contribution of forest management to climate change mitigation, this project will be implemented in the Amazon Biome of Colombia to promote **a forest economy that contributes to deforestation reduction** by implementing a community-based forestry program, strengthening environmental governance of indigenous peoples, and supporting enabling-environment conditions, focusing mainly on consolidation of existing government instruments as the National Council of Deforestation Control (CONALDEF) and the Forest and Carbon Monitoring System (SMByC) and supporting the implementation of complementary strategies such as a green municipalities program and the rural environmental cadaster.

This Environmental and Social Management Framework (ESMF) has been prepared to support the project proposal for a REDD+ Result-based payment, elaborated by the Colombian government and presented to the Green Climate Fund (GCF). This assessment facilitates the identification of Project activities (in the context of project implementation) that may cause adverse effects, involve any involuntary action, or restriction on the use of land and natural resources, which may result in negative physical or economic impacts. In addition to the identification of the potential social and environmental risks, this document outlines measures to prevent, reduce and mitigate risks and impacts, which will be included as part of the activities of the project.

This ESMF has been conducted in accordance with FAO´s Environmental and Social Safeguards Policy and GCF´s Environmental and Social Safe-guards and constitutes the main instrument to support identification, management and evaluation of the environmental and social risks and impacts associated to the Project activities. This document also defines the procedures for defining and conducting the due diligence for Sub-Activities and Sub-projects that will support implementation of the three proposed outputs.

This project has been screened against the FAO's Environmental and Social Standards adopted in 2015, ensuring that the project´s consistency with the objectives of GCF Performance Standards (following IFC standards at the moment). Based on the screening exercise, this project has been classified as moderate risk (Category "B") and project activities are expected to trigger five of nine of FAO's Environmental and Social Safeguard Policies (described in Chapter 6): a) ESS2 Biodiversity, Ecosystems And Natural Habitats, b) ESS4 – Animal (livestock and aquatic) Genetic Resources for Food and Agriculture c) ESS7 – Decent Work; d) ESS8 – Gender Equality; and e) ESS9 – Indigenous Peoples and Cultural Heritage.

According to this, this document describes the activities that the Project will undertake to reduce risks associated to these safeguards and has identified the potential risks and mitigation measures of each of the proposed activities. Considering that the Project was classified as Moderate Risk, according to FAO guidelines, the PMU will be responsible of the elaboration of an Environmental and Social Analysis during the first months of the implementation phase and subsequently the agreement of a Environmental and Social Commitments Plan (ESCP) through a process that involved the Project Board, the Technical Committee, Indigenous Peoples authorities and all relevant stakeholders identified.

2 PROJECT DESCRIPTION

2.1 Project Objective, Outputs and Activities

Project objective: Support the National, Regional and Local Governments of the Colombian Amazon Biome to implement the EICDGB with emphasis on the lines consigned in the PND 2018-2022: Legality, forest economy and land tenure, and permanent monitoring.

Output 1. National and local capacities for monitoring and control strengthened
Under **Output 1**, the project will use GCF funds to support the implementation of the Actions Line 4 and 5 of the EICDGB. The Line 4, Permanent monitoring and control has the objective of generating reliable, consistent, timely and quality information on the status, pressure and dynamics of the forests, as support for decision-making processes at national, regional and local levels. The monitoring systems are conceived as an instrument to support Environmental Authorities for an efficient administration of forest resources, and follow up on the application of social and environmental safeguards. The Action Line 5: Generation and strengthening of legal, institutional and financial capacities, is targeted to promote institutional, regulatory and financial adjustments that provide the State with the necessary instruments for forest management and the effective reduction and control of deforestation in Colombia.

Activity 1.1 Strengthening of the existing national forest monitoring of early warning reports in deforestation hotspots.
GCF funds will be used to support the national forest monitoring system led by IDEAM to generate reports and more frequent early warnings in deforestation hotspots of the amazon region, according to the implementation plan defined for Measures 4.1 and 4.2 of the EICDGB. Investments will also support training and capacity building activities for the support of local governments, regional environmental authorities, indigenous peoples organizations and resguardos, village associations, and land owners, in order to analyze and use information derived from the forest monitoring system and actively participate in the development of strategies and initiatives to reduce deforestation.

Activity 1.2. Support the implementation of a strategy for Green Municipalities
As defined in the Measure 5.2 of the EICDGB and building on previous efforts of national government and the AVP, GCF funds will support the design and implementation of a green municipalities program targeted to those municipalities that possess big areas of forest and need support to strengthen their capacities (technical and financial) to reduce deforestation. Investments will be prioritized in the 15 municipalities with the biggest areas in natural forest and highest deforestation rates in the Amazon Biome.

Activity 1.3 Support the implementation of rural environmental cadasters as a measure to monitor deforestation at land level
As identified in the EICGDGB, land tenure conflict is a relevant deforestation driver. Measures 3.2 and 5.1 of the EICDGB define the need of promoting cadaster multipurpose as a tool to reduce pressures on the forest and provide solutions to land tenure conflicts, and implement regulations to include climate change and zero deforestation in the cadaster process. Colombia is already implementing the cadaster nationally and the AVP is supporting the National Lands Agency to define its strategy of regularization of rural property in the Amazon, which will benefit 500 thousand hectares. In line with these measures the project will support monitoring of forest conservation activities and zero-deforestation commitments of landholders by promoting rural environmental cadasters for small landholders.

1.4 Implementation of the Deforestation Control Protocol (monitoring, forest traceability, operational and administrative) - including the reinforcement of deforestation control actions and other associated crimes

In line with Measures 4.3 and 5.1 of the EICDGB related to the strengthening of local capacities for implementing integrated actions to address deforestation drivers, GCF funds will be used to support National Government in the operation of the National Council to Combat Deforestation (CONALDEF), led by the MADS and conformed by other government´s institutions such as the Ministries of Agriculture, Transport, Justice, Mines and Energy, among others, the Attorney General's Office, Attorney General's Office Nation, the General Command of the Colombian Military Forces and the National Police. Activities will be oriented to facilitate meetings of this Council and the generation of relevant information for making decisions and develop strategies targeted to control deforestation.

Output 2. Forest areas sustainably managed and contributing to close the agriculture frontier

GCF funds will support the implementation of the Action Line 2 of the EICDGB (Development of a forest economy and closure of the agriculture frontier), specifically the Measure 2.1 aimed to promote a forest economy based on forests' goods and services in order to boost integrated rural development and the closure of the agricultural frontier (Res 261/2018).

Activities under **Output 2** will support the implementation of a community-based forestry program targeted to design and establish at least eight community-based forestry units in 80.000 ha. A Community-Based Forestry Unit will be considered as a unit managed by a local associations of peasants or indigenous peoples that develop sustainable forest management activities involving the commercial use of several species of timber and non-timber forest products and agriculture products derived from the transformation[1] of existing conventional agriculture areas into more sustainable and low-carbon production systems. These imply a landscape management approach that integrates forest management and agriculture systems and provides other services such as ecotourism.

Labor force from the community is expected to develop forest management activities avoiding the migration of new actors into the forest areas. In this sense, GCF funds will support existing producers associations, Communal Action Groups[2], indigenous peoples organizations or other community-based organizations as main beneficiaries of the operations of forestry units. Activities of the project will prioritize the support to those areas where community organizations are in place, however, based on national experiences it is expected that the project invest in supporting processes to create new organizations or strengthen the weaker ones, in order to assure sustainable forest management in areas that contribute to closing the agriculture frontier. Activities of design and implementation of forestry units will be developed in close coordination with regional environmental authorities, which are responsible of granting forest management permits and provide specialized guidance to those persons interested in managing natural resources in their areas of jurisdiction.

GCF funds will also be used to identify potential incentives for sustainable forest management building on previous efforts of the AVP, which is implementing an incentive for forest conservation in order to support families interested in being part of sustainable management nuclei. The project will evaluate this instrument and identify other complementary incentives according to the characteristics of each Community-Based Forestry Unit.

Activity 2.1. Support local community-base organizations in the design and establishment of sustainable forest management units in eight areas

GCF funds will be use to support local associations in the design of community-based forestry units including identification of timber and non timber forest products with market potential as well

[1] Transformation of conventional agriculture systems include promotion of sustainable food security models,implementation of good practices in agri-food systems, conversion of traditional agricultural and livestock production systems to sustainable systems, establishment of agricultural production models with forestry component (e.g. agroforestry, silvopastoral, etc.), recovery of soils and degraded áreas, among others.

[2] Community Action Groups (Juntas de Acción Comunal) is a figure promoted by the State that operated as a non-profit civic corporation composed of the neighbors of a given place, who work together and combine efforts and resources to seek the solution of the most relevant community needs.

as other income generation activities (e.g. sustainable agriculture, fishing and ecotourism). The design will include the elaboration of business plans and market strategies for each unit, involving participatory methodologies and trainings to create local capacities for the operations of a community-based forestry unit. Products and services provided by a forest unity may include timber and non-timber forest products (e.g. acai, canagucha, palms leaves for handicrafts and construction), sustainable agriculture products (milk, cocoa, rubber) and ecotourism. Forest management activities will be complemented with forest conservation agreement that will cover natural surrounding areas.

Forestry units may include agriculture areas, taking into account that currently livelihoods of peasants living close to the agriculture frontier are based on cattle ranching and other extractive activities with no value added, nor sustainable practices. In this context forest units will be designed including an integrated landscape management approach that combines agriculture and forest areas, promote sustainable practices to generate local benefits and provide market-based incentives.

Activity 2.2 Implementation of training programs for sustainable forest management
GCF funds will be used to design and Implement tailored training programs to strengthen capacities of local community-based organization for sustainable forest management. Training programs will include those aspects that are key for long-term economic, social and environmental sustainability. Training programs will include aspects such as good practices for harvesting and processing of forest products, monitoring activities and traceability, financial management, entrepreneurial capacities, market access and other relevant areas that could be identified during the design process. Given there importance of generating local capacities and transfer learned experiences to other forest areas, GCF resources will also be used for promoting learning exchanges among organizations supported by the project, youth groups, other associations interested in implementing forest management projects, as well as other more experienced associations or projects. Implementation of training program will involve community associations, youth groups, local and regional environmental authorities, national and regional universities and the national services of learning (SENA).

Activity 2.3 Market access and strengthening of product value chains of timber and non-timber forest products and other sustainable products derived from forestry units
GCF funds will be employed in conducting market assessments to identify market opportunities for the products and services provided by the forestry units. Based on the assessments the project will support stakeholders along the supply chain in improving capacities to meet market requirements. Resources will also be used for market development, facilitation and strengthening of market linkages and other activities to incentivize private sector investments beyond the project lifetime. Special consideration will be given to economic opportunities and small-derived businesses led by women (management of native species nurseries, harvesting, monitoring, etc.). Implementation of market strategies will include participation of the green markets offices of the Ministry of Environment and the National Environmental Authorities, as well as the Ministry of Agriculture and Commerce. Supply chains that could be supported with GCF funds include products such as timber and not timber forest products, sustainable agriculture products, amazon fruits; and services such as ecotourism, provision of seedlings of native species, restoration of degraded lands, among others.

Activity 2.4 Strengthening regional environmental authorities in the implementation of monitoring and control mechanisms and instruments to assure sustainable forest management in selected forestry units
Building on previous national efforts to increase traceability and forest governance, the program will invest in the formulation of a capacity building program, to strengthen regional environmental authorities in the implementation of monitoring and control mechanisms and instruments to assure sustainable forest management. The program will be aligned with the activities for the establishment of the eight community-based forestry units in such a way that procedures, capacities and information systems that promote sustainable forest management are improved and adjusted to the need of the forest units.

A**ctivity 2.5 Design of incentives and financial instruments to promote sustainable forest management**

Investments of the program also include the creation of a financial mechanism to provide a seed capital to the Community-Based Forestry Units to be supported by the project. This mechanism will be designed in a way that continues operating after the project, attracting other international cooperation or private sector funds and provides funding for future communities interested in establishing a Community-Based Forestry Units. The financial mechanism will be designed based on the experience of national institutions such as the Fondo Acción (FA), who is managing the Carbon Unit AFOLU (CUA) that is currently supporting 19 local communities in the Pacific region of Colombia and is implementing other financial mechanisms targeted to support communities implementing REDD+ projects. Based on similar experience, the Project will invest GCF proceeds to support the design of similar mechanisms that assure mid-term financial sustainability of the forestry units established under Activity 2.1. .

Activity 2.6 Implementation of long-term community-based monitoring systems in forestry units

GCF funds will support establishment of long-term monitoring systems following and adaptive management approach to preventing negative effects of forest management on the natural resources of the managed forests and the surrounding natural areas. Monitoring systems will be designed according to the characteristics of each forestry unit and will include specific science-based methodologies for assessing and monitoring managed species and monitor the impacts of forest management activities on natural habitats and relevant species. The design and implementation process will follow forest stewardship and traceability criteria in such a way that communities benefited by the project will have the capacities for accessing forest certification in the near future.

Output 3. Territorial governance and capacities of indigenous peoples strengthened for forest management and conservation.

The NDP recognizes the importance of indigenous territories governance as a strategy to reduce deforestation, thus objectives include consolidate in a concerted way an indigenous strategy to tackle deforestation and promote restoration in indigenous territories. In line with this mandate, measures 1.2, 1.3, 1.4 and 1.5 of the Action Line 1 of the EICDGB and the progress made under the AVP umbrella, this output aims to consolidate indigenous peoples' governance capacities by supporting subprojects formulated by IPs organizations and communities.

Activities of this output will be aligned to the procedures of Pillar 4 of the AVP: Environmental governance wit indigenous peoples (PIVA). Those procedures were approved by IP authorities (MIAACC[3]) after the AVP followed a consultation process driven by the MADS, OPIAC and the AVP. As a result of the consultation process PIVA defined specific procedures for supporting IPs subprojects, which are applicable to the projects implemented under the umbrella of the AVP.

Activity 3.1 Strengthening REDD+ implementation and forest governance in Indigenous Territories

In line with the objective and activities being implemented under the PIVA. The project will implement calls for supporting subprojects targeting indigenous peoples' organizations and communities in five priority areas:

(1) Territory and environment
(2) Own government
(3) Economy and production
(4) Strengthening of indigenous women
(5) Crosscutting issues.

The public calls will follow previously agreed procedures between the national government and the IPs organizations and authorities. Thus activities will be implemented in close coordination with IPs organizations and authorities (MIAACC) and terms of reference and procedures will e agreed with the indigenous authorities designated to this end. The subprojects selected will begin

[3] Indigenous round Table on Environment and Climate Change -Mesa Indígena Amazónica Ambiental y de Cambio Climático (MIAACC)

an implementation route previously agreed with the beneficiaries. Each route will include legal procedures, strategies for the generation and strengthening of capacities in indigenous organizations in administrative and accounting matters, improvement of the proposal and a following-up and technical assistance plan for the execution of the project.

Activity 3.2 Empowerment and participation of indigenous women
In line with Activity 3.1 GCF resources will be invested in supporting projects that directly impact on indigenous women's wellbeing and livelihood options. Following procedures of Activity 3.1, the project will particularly target projects presented by women's groups that have specific impact in strengthening woman participation in sustainable management and conservation of forests, restoration activities, generation of small businesses that support forest conservation and other activities that bear education potential involving youth groups and children.

2.2 **Project beneficiaries**

Project investments will benefit government authorities, local communities, indigenous peoples communities and organizations and local stakeholders by implementing measures focused on mainstreaming a forest economy that generated local forest-based livelihoods, strengthen local and national, increase territorial governance and promote active and effective participation of all interested parties in the conservation and sustainable management of amazon forests. Investments of the project will therefore benefit rural and urban populations of 15 municipalities of three Departments that will implement mechanisms to reduce deforestation, indigenous populations of the 6 departments of the Amazon Region (Amazonas, Caquetá, Putumayo, Guaviare, Guainía and Vaupes), rural populations of municipalities located in forest areas where Community-Based Forestry Units will be established, local governments that will improve their capacities for monitoring and implementing local strategies to reduce deforestation, regional Environmental Authorities that will increase their capacities for forest control and support Community-Based Forestry Units and National Government institutions and networks that will increase capacities for monitoring, control deforestation and lead strategies and programs to reduce deforestation (Table 1).

Table 1. Types of beneficiaries of the REDD-plus RBP Project

Type of Beneficiary	Description
Local governments	Technicians of the Agriculture, Planning and Environment Secretaries of Departments and Municipalities governments Governors and Mayors part of the green-municipalities program.
Indigenous Peoples	Indigenous communities and organizations in the 8 departments of the Amazon Region Indigenous territories (187 resguardos indígenas of 63 different ethnic groups that owned more than 26 millions has[4]) Associations of traditional authorities and community councils.
Small and medium landholders	Owners of forests and agricultural lands located in Community-Based Forestry Units. Peasant organizations, farmers and producers involved in the management of forest Units Women's associations Community Action Boards (JAC in Spanish) of the areas that will be included in the establishment of sustainable forest management Representatives of producers associations and other actors involved in the implementation of green municipalities program.
Environmental institutions	Ministry of Environment and Sustainable Development Regional Environmental Authorities: Corpoamazonia, CDA, CORMACARENA, CRC, Corponariño.

	National Parks Unit National Research Institutes: IDEAM, SINCHI Institute.

Although, the detail of the beneficiaries and the selecting criteria will be identified during the initial phase, it is important to highlight that rural populations in the Amazon located in areas that are part of the Amazon Reserve (Law 2, 1951) are not recognized as land-owners, but are able to access forest resources though community associations as stated in the Decree 1791/96. Taking into account this condition, the project will support community organizations that would be responsible for the management of forest areas according to national regulations. In the Amazon Region, Corpoamazonia has developed specific procedures for community association and the MADS is structuring specific procedures applicable at the national level.

According to the current regulations, forest management activities are not allowed in areas of national natural parks. However areas that are overlapped with resguardos indígenas have a special regimen of management, represented in agreements between indigenous peoples and the National Parks Unit. Thus, in case that indigenous projects supported with GCF funds are locate in areas with this overlapping the project will apply the national regulation and will respect existing agreements under the mentioned special regime.

2.3 Project implementation arrangements

The Implementing Partner for this project is the Ministry of Environment and Sustainable Development, headed by the Vice-Minister of Environmental Planning of the Territory. As defined by the Ministry of Environment, Implementation Agencies will be selected to act on behalf of the implementing partner on the basis of written agreements or contracts to execute specific activities under each Output of the project.

FAO, with an overall role as an Accredited Entity, ensures appropriate project management and guarantees that milestones are managed and completed. This role includes: (i) project preparation oversight; (ii) project implementation, technical support and supervision, including financial management; and (iii) project completion and evaluation supervision.

Other institutions and instances will be involved in supporting implementation of Project activities taking into account previous arrangements and responsibilities of national and regional organizations defined in the context of the AVP. According to these the Project implementation arrangements and institutional roles for this project are summarized as follows (Figure 1):

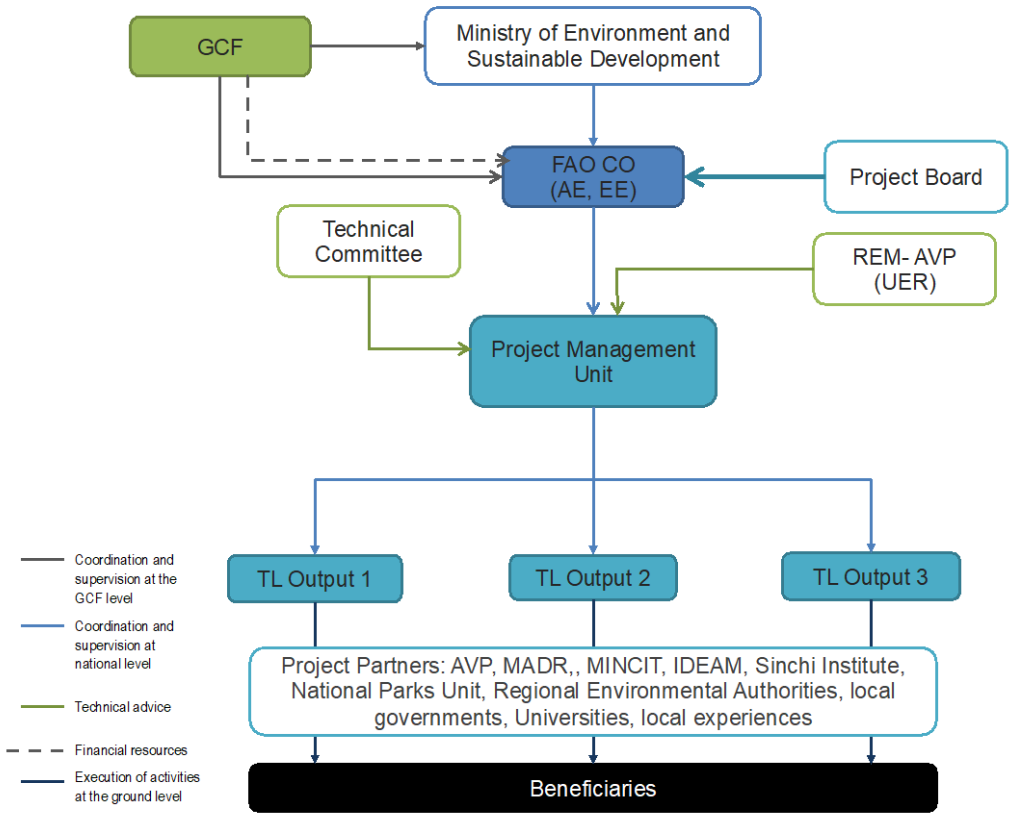

Figure 1. Scheme of the proposed implementation arrangements under the REDD+ RBP Project

Ministry of Environment and Sustainable Development - MADS
The Ministry of Environment and Sustainable Development (MADS) is responsible for the general management, and technical guidance of the Program and will be responsible for articulating projects implemented under the AVP and other multisectoral and territorial activities as well as support coordination and participation of territorial authorities. MADS will not be responsible of executing financial resources as an executing agency.

FAO (AE – EE)
As stated above, FAO will have roles as AE and EE. As an accredited entity of the GCF, FAO's overall role is to provide oversight and quality assurance through its Headquarters and the Chilean Regional Office. FAO will carry out both operational and administrative support activities, as well as advisory and technical support functions during the implementation of the Project. As Executing Entity, FAO Colombia Country Office will carry out operational and administrative support activities which include the provision of the following services:

- Establish the Project Management Unit (PMU).
- Payments, disbursements and other financial transactions.
- Recruitment of staff, project personnel, and consultants.
- Procurement of services and equipment, including disposal.
- Organization of training activities, conferences, and workshops, including fellowships.
- Travel authorization, visa requests, ticketing, and travel arrangements.
- Shipment, customs clearance, vehicle registration, and accreditation, among others.

FAO will require certification of the completed Environmental and Social Risk Management training Module, with the aim of ensuring project staff capacity to identify and evaluate environmental and social risks, as well as promote the improved environmental and social performance of the project.

Upon request of MADS implementation will be through FAO's Direct Implementation modality with FAO providing direct project services, such as procurement and hiring of consultants following best value for money, transparency and effective competition. These will follow current FAO policies and procedures including those for cost recovery. Upon request of the Government, FAO will also provide technical backstopping during the implementation of the project. The costs corresponding to this technical support towards project execution will be recovered following FAO's policy.

Following the structure of the AVP, FAO as Executing Entity could involve community associations, local institutions, NGOs and national government entities in the implementation of activities or sub-projects as well as the development of specific products required by the Project.

Project Board

The Project Board is the government body that will provide overall guidance and direction to the project and approve the Annual Work Plan (AWP). Management decisions will be agreed by consensus or majority, when guidance is required by the Project Manager, including recommendations for FAO approval of project plans and revisions, as well addressing any project level grievances. To ensure FAO's ultimate accountability, Project Board decisions should be made in accordance with standards that shall ensure management for development results, best value money, fairness, integrity, transparency and effective international competition. The specific responsibilities of the Project Board include:

- Provide overall guidance and direction to the project, ensuring it remains within any specified constraints;
- Address project issues as raised by the project manager;
- Provide guidance on new project risks, and agree on possible countermeasures and management actions to address specific risks;
- Agree on project manager's tolerances as required;
- Analyze and discuss the development of the Project activities and recommend changes as required based on project monitoring and evaluation processes and products and in line with FAO policies;
- Discuss and approve the Annual Work Plans ensuring that required resources are committed;
- Appraise the annual project implementation reports, including quality assessment rating reports; and make recommendations for the work plan;
- Provide ad hoc direction and advice for exceptional situations when the project manager's tolerances are exceeded;
- Discuss and approve the Progress Reports and Final Report of the Project;
- Analyze Project achievements and assure their use for performance improvement, accountability and learning
- Settle controversies arbitrating on any conflicts within the project or negotiating a solution to any problems with external bodies.

Following the structure of other projects implemented in the region, the Board shall be composed by MADS, IDEAM, Sinchi Institute, the National Parks Unit, the Regional Environmental Authorities and a representative of Indigenous Peoples Organizations. FAO will participate of the Board as its technical secretariat, supported by the Project Manager. FAO will support the organization of Board meetings at least once a year or at the request of either Party. The MADS as President of the board may consider the inclusion of other relevant actors, such as the Ministry of Agriculture, the Ministry of Trade and Tourism and other Ministries ands agencies that are already part of the Intersectoral Committee to Control Deforestation.

Regarding E&S safeguards the Project Board will be informed about potential adverse risks or impacts of the Project Activities through Progress Reports and/or other instruments that they consider relevant. When needed the Board will provide advise for implementing mitigation measures and monitor implementation of recommendations.

Technical committee

The project will be supported by a Technical Committee (TC) comprised by representatives at a technical level of the same institutions that are part of the Project Board, Sectoral Ministries and National Agencies (DNP, Agriculture, and Trade), the Project Manager of the AVP and managers of other relevant programs being implemented in the region. The Project Team, the leaders of the AVP Pillars and relevant technical agencies could be also invited. The TC will provide more regular and periodic guidance to the implementation of the Project Outputs assuring articulation with existing initiatives and complementarity of actions. The TC will also advise FAO and the Project Board about the planned activities to facilitated making decisions.

The technical committee will be involved in the due diligence process at activity, sub-activity and sub-project level, including the different steps foreseen for screening of the risks and impacts, identification of mitigation measures to be implemented and monitoring.

Project Management Unit (PMU)
Under the overall guidance of the Project Board, the Project Management Unit (PMU) will be responsible for planning, implementation, monitoring and evaluation of the Project activities. The PMU will have responsibility for, among others: (i) operational planning, managing and executing the project including the direct supervision of project activities subcontracted to specialists, project partners (ii) coordinating the management of financial resources and procurement; (iii) reporting on the application of resources and results achieved; (iv) preparing management reports for the Project Board, GCF, NDA and FAO including annual reports and any proposals for the adaptive management of the Project, if required and based on inputs from the Project M&E plan; (v) promoting inter-institutional linkages; and (vi) disseminating project results.

The Project Manager will lead the PMU and be responsible for reporting to the Project Board. Three Technical Leaders (TL), one for each output, one Gender Specialist, one Monitoring and Evaluation Specialist and one Administrative clerk will also compose the PMU. Salaries, travels and other expenses for the operation of the PMU will be funded with GCF resources. The TL of Output 3 will be the Project Safeguards Specialist and will be responsible to oversee the implementation of the ESMF and the Indigenous Peoples Planning Framework (IPPF).

The Project Manager (PM) will be responsible for the overall management and implementation of the project's activities and requesting disbursement of the Project´s resources for their execution. The PM is recruited by and reports to the Budget Holder (FAO Representative in Colombia) on operational and managerial matters. The PM leads the management of the project activities as per approved AWPs, including financial, budget and human resources. It also prepares detailed project annual work plans in collaboration with the project management unit and according to logical framework.

Under the Project Manager's lead and guidance, the PMU team will lead the preparation of the Annual Work Plans (AWP) for the effective and efficient implementation of the project activities to achieve stated objectives; will prepare and/or oversee the development of Terms of Reference for consultants, subcontractors and partnerships, ensure consistency between the various project elements and activities provided or funded by other donors; and develop reports on project progress on the project for the PB and technical meetings, and other appropriate spaces. The PM is a full-time position continuing for the duration of the Project, reporting directly to FAO.

The Project Manager has the authority to run the project on a day-to-day basis for management and decision-making on behalf of the Project Board. The Project Manager's prime responsibility is to ensure that the project produces the results specified in the project document, to the required standard of quality and within the specified constraints of time and costs.

The TL will lead implementation of activities under each of the proposed outputs, channeling technical inputs and guidance into the planning and execution of project activities and taking into account the advice of the Technical Committee. To this purpose the PMU will keep close coordination with MADS, IDEAM, Sinchi Institute and other partners as needed, to assure inter institutional articulation into project implementation and ensure consistency between the various project elements and activities provided or funded by other donors.

TLs will be supported by a team of professionals that will work locally supporting implementation of activities in the territories. In the case of the forestry units of Output 2, a group of professionals will be hired to support local communities in the design and establishment of the community-based forestry units and will follow up and accompany the intervention during the life of the project. In the case of Output 3, following PIVA's procedures, it is expected to hire a group of consultants that will support formulation and implementation of the projects according to the needs of each project, these consultants may include indigenous peoples representatives and organizations to facilitate training, formulation and implementation processes at the local level.

The TL of Output 3 will be the leader of the implementation of the ESMF and consequently will be responsible for monitoring risks and impacts at activity level and lead the due diligence at sub-activity and sub-project levels. The Gender specialist will be responsible for the implementation of the Gender Action Plan for the project at the Activity level and will support project partners, local communities and indigenous peoples at the sub-activity and sub-project level. Issues related to indigenous peoples will be directly managed by the TL of the Output 3, who will be responsible of the implementation of the IPPF and oversee implementation of safeguards at sub-activity and sub-project level.

Project partners
Implementation of project's outputs need the participation and support of partners that are related to each of the areas of work of the projects and may support implementation of specific activities according to the previous experience in the region or the opportunity to strengthen on going processes. These partners include: Ministry of Agriculture and Rural Development (MADR), Ministry of Industry, Trade and Tourism (MINCIT), IDEAM, Sinchi Institute, National Parks Unit, Regional Environmental Authorities, Fondo Acción, Fondo Patrimonio Natural, local governments, indigenous peoples organizations, Universities, NGOs, private sector companies, international cooperation projects and local communities experiences. These partners may be involved in the project through specific agreements or contracts if needed.

2.4 Project costs and financing

The proposed Project has a total cost of USD 28,21 million supported by the REDD-plus results-based payments of the GCF. The Table 2 shows the total project costs and its distribution by output.

Table 2. Project budget distribution

Output	**Indicative cost (USD)**	**GCF proceeds** Amount
Output 1. National and local capacities for monitoring and control strengthened	2,820,812	2,820,812
Output 2 Forest areas sustainably managed and contributing to close the agriculture frontier	14,104,061	14,104,061
Output 3. Strengthening REDD+ implementation and forest governance in Indigenous Territories	8,462,437	8,462,437
Project Management Costs (see section G for further details)	2,820,812	2,820,812
Indicative total cost and currency (USD)	28,208,123	28,208,123

3 ENVIRONMENTAL AND SOCIAL BASELINE

3.1 Geographical location and topography

In line with the proposed Forest Reference Emission Level for deforestation of the Colombian Amazon (2015), the area of intervention of this project corresponds to that of the Colombian Amazon Biome, which covers an area of 45.9 million hectares, representing approximately 6.8% of the Amazon Biome (Figure 2) and 42% of the Colombian national continental territory.

This area includes the departments of Amazonas, Caquetá, Guaviare, Guainía, Putumayo and Vaupés, as well as part of Meta, Nariño, Vichada and Cauca, including 58 municipalities and 20 villages[5]. In this region, 31% of protected areas outlined by the National System of Protected Areas of Colombia are grouped, with 18 reserves divided as follows: 14 Natural National Parks, 2 Natural National Reserves, a Sanctuary of Flora and Medicinal Plants, and a Sanctuary of Flora and Wildlife[6].

The area is delimited by hydrographic, biogeographic, and political-administrative boundaries[7]. The northwestern sector limits with the upper part of the Colombian Andes and the Orinoco Region corresponding to the area of greatest anthropic intervention. The northeastern area borders the natural savannas of the Orinoquia, and the south, and east are extended up to the international limits of Colombia with Ecuador, Peru Brazil and Venezuela[1]. Dominant land cover is tropical forest (87%), which includes Tropical wet Forest and Premontane Wet Forest.

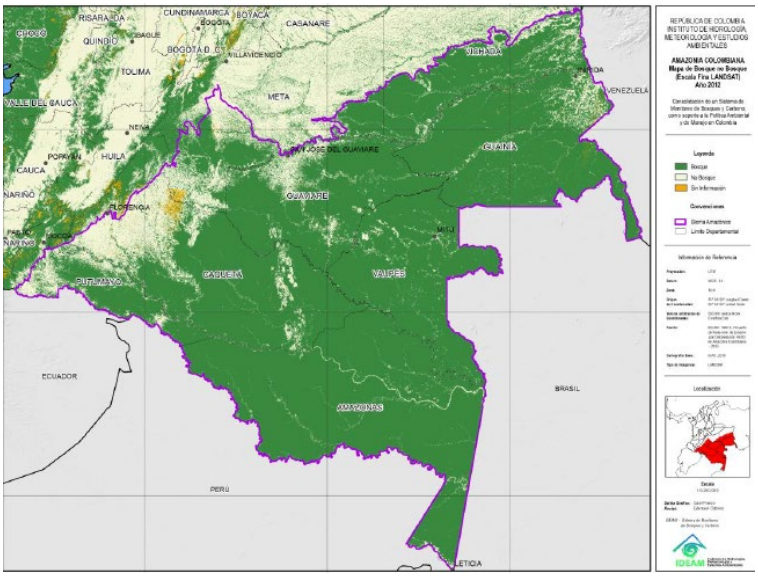

Figure 2. Geographical location of the Amazon Biome. Source: MADS-IDEAM (2014)[8]

[5] Comisión Económica para América Latina y el Caribe – CEPAL. 2015. Visones Regionales en la Amazonia Colombiana. En: Serie de estudios y perspectivas No. 29. Naciones Unidas. Santiago de Chile.

[6] Sistema de Información Ambiental Territorial de la Amazonia Colombiana – SIAT-AC. 2015. Región: Amazonia Colombiana. En línea: http://siatac.co/web/guest/region.

[7] Murcia-García Uriel; Marín, César; Alonso Juan; Salazar, Carlos; Gutiérrez, Franz; Domínguez, Camilo; Trujillo, Fernando; Arguelles Jorge Humberto; Rendón, María; Ocampo, Ramiro; Castro, William. 2003. Diseño de la línea base de información ambiental sobre los recursos naturales y el medio ambiente en la Amazonia colombiana. Bogotá. Instituto Amazónico de Investigaciones Científicas SINCHI. 215 p

[8] Ministerio de Ambiente y Desarrollo Sostenible, Instituto de Hidrología, Meteorología y Estudios Ambientales - IDEAM . 2014. Propuesta de nivel de referencia de las emisiones forestales por deforestación en el 15 Bioma Amazónico de Colombia para pago por resultados de REDD+ bajo la CMNUCC. Bogotá D.C.

3.2 Environmental features of the proposed project area

3.2.1 Climate and meteorology

Despite its relative topographic homogeneity, the region presents great climatic and ecosystem variability due to the slope of the Eastern Cordillera, where a wide range of temperatures and environmental conditions are found. Its connection with the Andes is one of its greatest sources of biophysical and climatic wealth [9]. Located in the equatorial zone, with territory in two hemispheres as well as the almost vertical incidence of solar radiation throughout the year, an area of greater warming and high potential for solar energy reception[1] is generated. This energy, intercepted by local convection systems, is associated with the precipitation regime, and the intertropical atmospheric circulation systems (NE and SE trade winds) as well as regional (Intertropical Convergence Zone - ZCIT- in the Colombian plain)[10] [11] system, resulting in the climatic characteristics of the Colombian Amazon, which corresponds to warm weather (Mean: 25.3 °C), relative high humidity (Mean: 85%), and varied rainfall throughout the region.

Rainfall regime is unimodal with a general multiannual precipitation average (MAPA) for the entire region of 3,307 mm, with the lowest values in December-January and the highest in May-June (IDEAM meteorological stations). However, rainfall in the area is variable. Based on the precipitation data of each departmental capital, the southern hemisphere differs from the northern hemisphere. Leticia, the capital, representing the southern zone, with a MAPA of 3,194 mm, minimums in July-August and maximums in January-March, is unique when compared to data registered for the region.

Other cities register similar conditions to each other, and resemble the average record for the entire region with minimums in December-January and maximums in May-July. Mocoa, in the northwestern region, with the highest MAPA (4,376 mm), presents minimums in October-November and maximums in May-June; San José del Guaviare in the northeastern region presents the lowest MAPA (2,499 mm), with minimums in December-January and maximums in June-July. These two municipalities represent the highest and lowest multiannual precipitation average in the region[12].

According to the national model[13]: Change in rainfall for Colombia (%) for 2011-2040 vs. 1976-2000, a precipitation decrease between 10 and 30% is projected for the next 20 years in for the region, with the southern and south-western areas presenting the greatest projected decrease.

The average temperature of the Colombian Amazon is 25.3 ° C, with a minimum average of 21.5 ° C and a maximum of 30.2 ° C. The lowest temperatures occur in the months of June-August, the maximum in December and January, coinciding with the season of least rainfall for most of the region[2]. The model: Temperature Difference of the multimodal for the period 2011-2040 vs. 1971 to 2000 developed for this variable[14], projects an increase between 2 to 3 ° C for the entire region for the next 20 years.

3.2.2 Geological features and soil conditions

The Colombian Amazon is geologically composed of complex metamorphic rocks of igneous origin of that belong to the critaline plinth of the Precambrian, as well as sedimentary rocks of the Paleozoic to recent deposits[15] (Table 3).

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[9] Comisión Económica para América Latina y el Caribe – CEPAL. 2015. Visones Regionales en la Amazonia Colombiana. En: Serie de estudios y perspectivas No. 29. Naciones Unidas. Santiago de Chile.

[10] Rangel, E. y B. Luengas. 1997. Clima - Aguas. pp. 47-68. En: Instituto Geográfico Agustín Codazzi (ed.). Zonificación ambiental para el plan modelo colombo-brasilero (eje Apaporis-Tabatinga: PAT). Editorial Linotipia Bolívar, Bogotá.

[11] SINCHI – INADE. 1998. Macrozonificación ambiental de la Cuenca del río Putumayo, Area Colombiana. Plan Colombo - Peruano para el Desarrollo integral de la cuenca del río Putumayo. OEA. Bogotá.

[12] Instituto de Hidrología, Meteorología y Estudios Ambientales – IDEAM - . 2005. Atlas Climatológico de Colombia. Bogotá. D.C.

[13] Instituto de Hidrología, Meteorología y Estudios Ambientales – IDEAM - . 2015. Mapa: Cambio de la Precipitación (%) para Colombia (Ensamble Multiescenario) 2011-2040 Vs1976-2005. En: Sistema de Información Ambiental de Colombia: http://www.siac.gov.co/geovisorconsultas.

[14] Instituto de Hidrología, Meteorología y Estudios Ambientales – IDEAM - . 2015. Mapa: Cambio de la Temperatura para Colombia (Ensamble Multiescenario) 2011-2040 Vs1976-2005. En: Sistema de Información Ambiental de Colombia: http://www.siac.gov.co/geovisorconsultas.

[15] IGAC. 1999. Paisajes Fisiográficos de Orinoquia - Amazonia (ORAM) Colombia. Análisis Geográficos No. 27-28.

Table 3. Geological characteristics of the Colombian Amazon region [16]

Geological era	Lithostigraphic unit	Location	Composition	Area (km^2)
Precambrian	Migmatic complex of Mitú	South of the Guaviare River. Departments of Guainía, Vaupés, Caquetá and Amazonas.	Sandraceous and pelitic metasediments, metagranite, metaconglomerate, basalt, gabbro, basic metagnoses and quartzofeldespats, blastomilonite and migmatitic granites.	43.708
	Granitoids	Mitú, on the Inírida river, Puerto Inírida, La Libertad in the Vaupés; west of the Serranía de Caranacoa.	Microclimate phenocrystals, composition between alkaline granite and monzonite.	60
	Rock formation	Westernmost region of the department of Vaupés and northeastern region of the department of Amazonas.	Quartz shale, slate and phyllite; lower levels of oligomytic metaconglomerate of sub-rounded quartzite clasts with a siliceous matrix, with intercalations of thick layers of michaceous quartzite and thin levels of sandy shale.	4557
	Garzón massif	Foothills in the departments of Caquetá and Putumayo.	Metamorphic rocks in a banded sequence (granulite and amphibolite facies), minerals such as quartz-feldspathic with mafic, ultramafic, pelitic and calcareous intercalations. Rocks intruded by pegmatites with magnetite, quartz, feldspar and micas.	11548
	Serranía de la Macarena	Andean foothills, department of Meta.	Sedimentary protolite rocks, product of metamorphism in amphibolite and granulite fasies of both igneous and sedimentary rocks. Subsequently all rocks were affected by granitic plutonism; To the south formed mainly by Mosovitic schists and alkaline feldspar with Muscovite; towards the central part they are more massive, of alkaline feldspar with little mica, and usually chloritized.	28502
	Piraparaná formation	Central part of the department of Vaupés, on the Caquetá river, department of Amazonas. Southwestern area of the Chiribiquete mountain range, Caquetá, mouth of the Piraparaná river in the Apaporis river.	Sedimentary rocks, transition of volcanic and granitic origin; composed of riodacitic lavas, pyroclastic rocks and partially Brechoid conglomerates. Composed of clasts of volcanic rock, quartzite, quartzite, granites, feldspar and others.	1423
Paleozoic	Group Güejar (Pziev)	Northeast, in proximity to Serranía de La Macarena	Limestones, basic intrusives, basic volcanoclastic, sandstones and turbiditic pellets quartz and lithic sandstones, green and graphite shale.	1213
	Granitoid (Pzig)	Central part	Intrusive igneous rocks, conglomerates and sandstones.	1338
	Araracuara formation (Pzim)	Araracuara, eastern fringe covers part of the Guaviare and Vaupés, and a small part of Vichada.	Metamorphic rocks, composed of shales, fine-grained quartzarenites and sandstones. Presence of trilobites fossils, brachiopods and graptolites; marine environment with cross stratification and possible paleochannels.	15504
	Sfelita Nefelínica of San José del Guaviare (Pzsm)	South and southwest of San José del Guaviare	Igneous rocks, consisting of biotitic sienites of coarse and fine grains, biotytic nephelinic sienites, nephelinic sienite pegmatites and kinetic fine grain, magnetite and phyllite aplites.	686
	Granitoid (Pzsy)		Intrusive igneous rocks, granites, granodiorites, quartzodiorites.	94

[16] Instituto Amazónico de Investigaciones Científicas Sinchi. 2007. Balance anual sobre el estado de los ecosistemas y el ambiente de la Amazonia colombiana 2006. Bogotá, D.C.

Mesozoic	Garzón granite (Jp)		Igneous rocks.	1294
	Granitoid (Jy)		Intrusive igneous rocks.	1751
	Areniscas (Kit)		Sedimentary rocks	732
	Dunites (Kisy)		Intrusive igneous rocks.	747
	Macarena formation (Ksm)		Sedimentary rocks of marine origin.	2135
	Pebas or Lower Tertiary Formation (Pgt)		Sedimentary rocks.	42628
	Transitional sedimentary rocks (PgNgt)		Clay, sandstones, and conglomerates.	27139
	Mariñame sandy group or Superior Tertiary (Ngc)		Sedimentary rocks.	197978
	Igneous rocks (NgQp)		Lavas with occasional interpolations of pyroclasts.	22
	Old terraces (Qtz)		Clay and sand interleaved, and rounded gravels of quartz and chert.	17641
	Alluvial deposits (Qal)		According to the rivers that deposit them; of Andean origin mainly consisting of sands and quartz clays, chert and lithic materials.	65728
	Fan Deposits (Qc)		Sedimentary deposits in fan landscapes.	8169

Soils are chemically poor and susceptible to deterioration due to rain and sun. For this reason, once the forest has been cleared, soil fertility is rapidly depleted. The organic layer is thin, mainly composed of leaf litter and decomposing plant residues, and acts as the most important nutrient reserve for plants, as well as soil buffer or protective layer against erosive agents[1]. Low fertility of the soil is evident throughout the region, registering average fertility towards the border with the Andean mountain range, and low to very low in the Amazonian plain, as described in the physiographic landscapes of the region[12] (Table 4).

Table 4. Physiographic landscapes identified for the Colombian Amazon [17]

Physiographic landscape	Location	Areto (Km^2)	Relief	Slope (%)	Soil texture	Dreinage	Fertility	Taxonomy
Alluvial plains of the Andean rivers (A)	Rivers that originate in the Andes (Caquetá, Guaviare, Putumayo, Amazonas)	24.151	Flat, slightly flat and concave plane	0 to 3	Clay or open clay	Poor	Medium	Entisols and Inceptisols
Alluvial plains of the Amazonenses rivers (B)	Rivers that originate in the Amazonian plain (Vaupés, Apaporis, Inírida, Guainía, Atabapo, Negro, Yarí, Miritíí, Igaraparaná, Cahuinarí)	8265	Flat Slightly Flat	< 3	Frank sandy to clay	Moderate to Poor	Low	Entisols and Ultisols

[17] Instituto Amazónico de Investigaciones Científicas Sinchi. 2007. Balance anual sobre el estado de los ecosistemas y el ambiente de la Amazonia colombiana 2006. Bogotá, D.C.

Physiographic landscape	Location	Areto (Km^2)	Relief	Slope (%)	Soil texture	Dreinage	Fertility	Taxonomy
Allinocenses river floodplains (O):	Margins of the Vichada River	1684	Flat	<7	Clay to open clay	Slow to very Slow	Low to very low	Entisols
Minor valleys with colluvium influence (C):	Headwaters of the main drains	18608	Flat Flat to concave	0 to 7	Clay to open clay	Moderate	Low	Entisols
Old terraces of Andinene and Amazonian rivers (T):	Outskirts of current rivers such as Caquetá, Putumayo, Amazonas, Apaporis	21.957	Flat to corrugated	0 to 25	Frank clay, frank sandy	Moderate to good		Ultisols and Inceptisols
Mezzanines of mixed origin (X)	River plains of the minor tributaries that are born in the Amazon basin	16.794			Frank clay to clay	Moderate	Low	
Amazonian plains of sedimentary origin (S1)		282.414	Flat Corrugated Strongly corrugated	1 to 25	Clay, sandy clay, clay sand	Poor to moderate	Low to very low	Entisols, Inceptisols, Ultisols and some Oxisols
Amazonian plains of metamorphic igneous origin (S2)	Northeast of the Amazon in the departments of Guainíto and Vaupés	19404	Corrugated Strongly corrugated	7 to 25	Frank sandy to clay	Good to moderate	Very low	Entisols and Espodosoles
Amazonian plains of metamorphic sedimentary igneous origin (S3)	Northeast of the Amazon in the departments of Guainíto and Vaupés;	23342	Strongly corrugated Broken	12 to 50	Frank clay, clay, sandy	Good to moderate	Low	Entisols and Espodosoles
Foothills with and without volcanic influence (D)	Western Amazonia, transition between the Andes and the Amazon plain	5.486	Slightly corrugated Broken	1 to 25	Frank sandy, clay	Good to moderate	Moderade to Low	Entisols, Inceptisols and Ultisols
Structural mountain relief (M)	West of the region, Andean area	21.859	Broken	>25	Frank clay	Good	Moderate	
Rock structures of sedimentary origin (R1)	Central and western Amazonia	25.133	Flat Slightly corrugated	7 to 25	Frank sandy, sandy	Good to excessive	Very low	Entisols
Rock structures of metamorphic origin (R2)	East of the region and north of the department of Amazonas, Guainíto and Vaupés	2.018	Corrugated to broken	7 to 25	Frank sandy	Good	Low to very low	Entisols

3.2.3 Land use

In the period between 2010-2012, 404,159.81 km^2 of natural non-transformed forests were identified for the region, fragmented forests with pastures and crops, and fragmented forests with secondary vegetation [18][19]. Most of the forests in the region are distributed up to 500 masl, and correspond to 96.7% of total forests. The remaining 3.33% (13,452.22 km^2) correspond to the Andean forest in the mountain landscape within the Amazonian regional territory. This is the outlook for the southern Amazon, however, the situation in the northern zone bordering with the eastern mountain range, presents a large of hectares of forests transformed into pastures for agricultural and livestock production. For 2012, it was estimated that the southern area of the Colombian Amazon had a total of 22,268 km^2 of grassland (4.6% of the area of this subregion), corresponding to 61.12% of total of grasslands for the Colombian Amazon.

In the period between 2010-2012, 404,159.81 km2 of natural forests were identified in the region, which did not undergo major transformations, as well as fragmented forests with pastures and crops and fragmented forests with secondary vegetation. Most of the forests in the region are distributed up to 500 masl, corresponding to 96.7% of the total. The remaining 3.33% (13,452.22 km2) correspond to the Andean forest in the mountain landscape within the Amazonian regional territory. This is the panorama for the southern Amazon, however the situation in the northern zone in limits with the eastern mountain range is of large hectares of forest transformed into pastures for agricultural and livestock production. For 2012, it was estimated that the southern area of the Colombian Amazon had a total of 22,268 km2 of grassland, that is, 4.6% of the area of this subregion, which corresponds, however, to 61.12% of the total of grasslands for the Colombian Amazon in general.

3.2.4 Water resources

The Amazon region belongs to two of the largest basins in the world: the Orinoco and Amazonas rivers, and is drained by numerous rivers that mainly originate in the Andes mountain range, and are known as “white water rivers". The main rivers (Table 5) From north to south are: Guaviare, Vaupés, Caquetá, Putumayo (shared with Ecuador and Peru) and the Amazonas (shared with Peru). The rivers that have their origin in the Amazonian plain are known as “black water rivers”[20],[21]

Table 5. Main Rivers of the Colombian Amazon.

River	Length (Km)	Basin Area (Km^2)	Average flow (m^3/s)	Source
Guaviare	1350	112522	8200	Cordillera de los Andes
Vaupés	1000	43018	840.7	Planicie Amazónica
Caquetá	1200	155643	11040	Cordillera de los Andes
Putumayo	1650	60702	6664-8458	Cordillera de los Andes
Amazonas	116	3242	12400-60800	Cordillera de los Andes-Perú

[18] Landínez Torres AY. Uso y manejo del suelo en la amazonia colombiana. Rev. CES Med. Vet. Zoot. Vol 12 (2):151-163

[19] Murcia U. Medina R. Rodríguez J. Castellanos H. Hernández A. Herrera E. 2014. Monitoreo de los bosques y otras coberturas de la Amazonia colombiana, a escala 1:100.000. Datos del periodo 2012. Instituto Amazónico de Investigaciones Científicas Sinchi. 1era ed. Colombia: Editorial Scripto S.A.S.

[20] Sistema de Información Ambiental Territorial de la Amazonia Colombiana – SIAT-AC. 2015. Región: Amazonia Colombiana. En línea: http://siatac.co/web/guest/clima.

[21] Instituto Amazónico de Investigaciones Científicas Sinchi. 2007. Balance anual sobre el estado de los ecosistemas y el ambiente de la Amazonia colombiana 2006. Bogotá, D.C.

The hydrographic slope of the Amazon River has an approximate area of 341,994.37 km^2 of Colombian territory[22]. This area is made up of nine hydrographic sub-areas of the Caquetá, Putumayo, Apaporis, Vaupés, Yarí, Guainía, Caguán, Amazonas and Napo rivers (Table 6). Each hydrographic zone is divided into sub-zones, with a total of 57 for the Amazon River basin[23]

Table 6. Area occupied by each of the rivers belonging to the hydrographic basin of the Amazon River in Colombia.

River	**Surface in the hydrographic slope of the Amazon River (%)**
Caquetá	29.23
Putumayo	16.94
Apaporis	15.65
Vaupés	11.02
Yarí	10.86
Guanía	9.15
Caguán	6.07
Amazonas	0.96
Napo	0.13
Total watershed	100

Of the 57 sub-hydrographic areas, those with the greatest water erosion potential are located on the slopes of the Andean mountain range branches. In these sub-zones, conditions that favor erosion come together, such as agricultural activities and urban areas on high slopes, high rainfall and soils with high erodability. Specifically, for tributaries of the Putumayo and Caquetá rivers, a severe to moderate potential water erosion level is present. With respect to soil and water contamination, Guaviare is among the departments that most uses organophosphorus insecticides (> 50%) affecting soils, health, and water, reported in vector control campaigns between 2013 and 2016. [24].

Runoff for the region is one of the highest in the country, surpassed only by the Pacific region. Less runoff is evidenced in the areas of greatest anthropogenic impact such as the northeast and northwest, and during dry years. The southwestern region towards Cauca presents the highest values as a result of its connection to the Pacific region of Colombia. For a wet year scenario there is a 50% increase in runoff from all regions, and more than 50% in the boundaries with the Andes, a condition that favors erosion in these areas due to high slopes (Table 7).

Table 7. Annual runoff in the Amazon region of Colombia

	Runoff (mm/year)/ Scenarios	
Amazon Region	**Dry year**	**Wet year**
South	1500-2000	3500-4000
South west	2000-3000	> 6000
Northwest	800-1500	3000-5000
North east	1000-2000	2000-4000

[22] Instituto de Hidrología, Meteorología y Estudios Ambientales de Colombia – IDEAM. 2013. Zonificación y codificación de unidades hidrográficas e hidrogeológicas de Colombia. Bogotá, D. C., Colombia.
[23] Instituto de Hidrología, Meteorología y Estudios Ambientales de Colombia – IDEAM. 2013. Zonificación y codificación de unidades hidrográficas e hidrogeológicas de Colombia. Bogotá, D. C., Colombia.
[24] Instituto de Hidrología, Meteorología y Estudios Ambientales de Colombia – IDEAM. 2013. Zonificación y codificación de unidades hidrográficas e hidrogeológicas de Colombia. Bogotá, D. C., Colombia.

The Amazon region presents one of the country's highest yearly water supplies, according to the National Water Study [25], The surface water supply of the Amazon region is 893,389 mm^3 and 576,442 mm^3 for the average, and dry year respectively, while other regions such as the Pacific or the Caribbean have figures not exceeding 297,088 mm^3 for an average year (during the dry year not reach 187.804 mm^3)[2026].

As for the water supply, national studies indicate that the Amazon covers 34% of the country's demands, divided mainly between domestic use and livestock (about 60%) aquaculture (20%.), Agriculture (10%) and hydrocarbons (5%).

3.2.5 Deforestation

The expansion of the agricultural frontier, extensive livestock, forest fires and logging are the main drivers of tropical forest deforestation in the world. In addition to the traditional engines of deforestation, in Colombia there are additional factors such as colonization and population displacement, mining and planting of illicit crops that increase pressure on the forest[27].

For 2018, nine nuclei were identified as the cause of more than 70% of the deforestation registered that same year in Colombia: grassland, illicit crops, bad methods of extensive livestock, illegal extraction of minerals, unplanned transport infrastructure, expansion of the agricultural frontier in illegal areas and illegal logging[28]

Ecological integrity and sustainability of the Colombian Amazon biome is mainly threatened by deforestation and forest degradation (Box 1). This region has presented the highest deforestation rate in the last decades, representing a significant part of net emissions of carbon dioxide (CO_2) derived from Land Use, Land Use Change and Forestry (LULUCF), according to the Greenhouse Gas Inventories submitted to the UNFCCC.

According to IDEAM[29], the annual deforestation rate in the Amazon represents 70% of the national rate. The highest deforestation rates occur in the Northwest of Caquetá, Northwest of Guaviare, South of Meta, Northwest of Putumayo, Caguán River and Southwest of Meta. All those areas border with Colombian Andean ecosystems and the natural savannas of the Orinoquia, affecting natural connectivity between Amazonian and these biomes.

Deforestation

According to IDEAM[30], Colombia lost 197.159 hectares of natural forest in 2018. 70% of national deforestation occurred in the Amazon Region, 49% in seven municipalities. Compared to 2017, a reduction in deforestation was observed of 22,814 hectares (10%). In the Amazon region, deforestation was reduced in 5,971 hectares. While Caquetá presented the greatest decrease in deforestation (13,000 ha), and South of Meta the highest deforestation taking into account that Meta increased its deforestation by 8.000 ha. At the municipality level, San Vicente del Caguán, Cartagena del Chairá and San José del Guaviare reported a reduction of 15.915 ha that represents 70% of reductions obtained for 2018.

[25] Instituto de Hidrología, Meteorología y Estudios Ambientales de Colombia – IDEAM. 2010. Estudio Nacional del Agua. En línea: http://institucional.ideam.gov.co.

[26] Torres, C., Reyes, M., Cuartas, J. y Agudelo, E. 2016. "Dilemas en el uso del agua: ¿cómo se distribuye el recurso hídrico en la cuenca amazónica colombiana?" Gestión y Ambiente 19(1): 96-119.

[27] Comisión Económica para América Latina y el Caribe – CEPAL. 2015. Visones Regionales en la Amazonia Colombiana. En: Serie de estudios y perspectivas No. 29. Naciones Unidas. Santiago de Chile.

[28] Instituto de Hidrología, Meteorología y Estudios Ambientales de Colombia – IDEAM. 2018. Resultados Monitoreo de la Deforestación 2018. Bogotá, D.C.

[29] Instituto de Hidrología, Meteorología y Estudios Ambientales de Colombia – IDEAM. 2018. Resultados Monitoreo de la Deforestación 2018. Bogotá, D.C.

[30]Instituto de Hidrología, Meteorología y Estudios Ambientales de Colombia – IDEAM. 2018. Resultados Monitoreo de la Deforestación 2018. Bogotá, D.C.
http://www.ideam.gov.co/documents/24277/91213793/Actualizacion_cifras2018FINALDEFORESTACION.pdf/80b719d7-1bf6-4858-8fd3-b5ce192a2fdc

Results of the national forest monitoring system (IDEAM) indicate that forest loss dynamics have been influenced by an increasing demand for land and natural resources. At the territorial level, reflected in unplanned colonization processes, expansion of illegal activities (e.g. coca cultivation, illegal extraction of minerals), land grabbing and illicit land markets, as well as new informal roads and extension of production activities into new deforested areas.

Deforestation in the Amazon region is directly linked to colonization processes, closely related to poverty, social inequality, lack of productive alternatives and the dynamics of the armed conflict in the region. Currently colonization fronts in the Amazon region correspond to areas covered by abandoned pastures, cattle ranching farms, secondary vegetation and mosaics of pastures and crops. In this scenario, extensive cattle ranching systems are the predominant economic activity, followed by illegal use of natural resources. Agriculture systems such as cocoa, rubber, acai, sacha inchi, and coffee have gained importance, but currently do not represent feasible economic alternatives to promote sustainable land uses.

According to recent results of the Environmental Strategic Evaluation for the northwestern Amazon[31], poor governance conditions of the region highly influence deforestation drivers in the Amazon, represented by five prioritized governance errors: i) Lack of appropriate land use planning; ii) legal and capacity gaps to address land tenure issues; iii) weak enforcement of legislation; iv) limited opportunities of sustainable forest products; v) policy frameworks unsupportive of sustainable development in various sectors; and iv) limited local participation in decision making processes. These threats are also observed, at different intensity degrees, in other areas of the Colombian Amazon and could be exacerbated by the lack of coherence in laws and policies, and the weak articulation among programs and initiatives implemented at a local level besides instability conditions related to occupation of the territory by armed groups.

3.3 Social features

3.3.1 Demographics

The Colombian Amazon has 960,239 inhabitants (Table 8), which correspond to 2.3% of the total national population (42,090,502 inhabitants) according to the general national census of 2005[32]. Based on the reported data, population statistics for the region have been consolidated, for the departments: Amazonas, Caquetá, Guainía, Guaviare, Putumayo, and Vaupés and three municipalities: Piamonte (Cauca), La Macarena (Meta) and Cumaribo (Vichada). The population is mostly settled in the department of Caquetá (404,896 inhabitants- 42% of the total population) and Putumayo (299,286 inhabitants over 31% of the total population)[33] (Box 2).

Indigenous population represents 9% of total population for the region (86,417 inhabitants); most of which is concentrated in the department of Putumayo with 37,896 inhabitants (44%), and the Amazonas with 18,673 inhabitants (22%)[34].

Table 8. Population data of the Amazonian region in Colombia[35]

[31] FCDS-WWF. 2019. Evaluación Ambiental Estratégica del Arco Noroccidental de la Amazonia. Diagnóstico. Consultoría desarrollada para el Ministerio de Ambiente y Desarrollo Sostenible, GEF Corazón de la Amazonia y Visión Amazonia – REM.

[32] Departamento Nacional de Estadística - DANE. 2005. Boletines. Censo General 2005.

[33] Instituto Amazónico de Investigaciones Científicas Sinchi. 2007. Balance anual sobre el estado de los ecosistemas y el ambiente de la Amazonia colombiana 2006. Bogotá, D.C.

[34] Instituto Amazónico de Investigaciones Científicas Sinchi. 2007. Balance anual sobre el estado de los ecosistemas y el ambiente de la Amazonia colombiana 2006. Bogotá, D.C.

[35] Departamento Administrativo de Estadística, DANE. 2018. Censo Nacional de Población y Vivienda. En línea: https://www.dane.gov.co/index.php/estadisticas-por-tema/demografia-y-poblacion/censo-nacional-de-poblacion-y-vivenda-2018

Variable	Value	Unit
Total area	483.164	Km^2
Total population	999.298	999.298
Total indigenous population	168.572	168.572
Total afrocolombian population	19.574	19.574
Departments with Amazonian territory: Amazonas, Caquetá, Guainía, Guaviare, Putumayo, Vaupés, Vichada, Meta, Cauca and Nariño	10	Department
Municipalities or departmental districts with Amazonian territory	78	Municipality

Indigenous cultural wealth

In the Colombian Amazon, 87 indigenous peoples groups are fully identified, offering a cultural and linguistic variety of enormous wealth; 64 Amerindian languages, and grouped into 12 linguistic families with 10 isolated languages not yet classified[36].

The majority of these peoples live in large territories of collective property (resguardos), to which the National Constitution grants them the status of inalienable and imprescriptible. Resguardos Indigenas occupy about 25 million hectares, more than 50% of the Colombian Amazon biome, which maintain a significant forest cover, especially those that are located far from the border of colonization [37].

Afrocolombian population represents 2% of the total regional population (19.574 inhabitants) mainly concentrated in the departments of Putumayo (52%) and Caquetá, (26%). Most of this population has migrated from the Pacific coast to the Amazon region, through the foothills of the department of Cauca [38].

In general, national data indicates a growing tendency towards population concentration in department or village centers. Between 1985 and 2005 the average population growth rate for Amazonian departments was higher than the national rate. Greater emphasis on political - administrative units is highlighted, where colonization processes have been historically consolidated (Caquetá, Putumayo, Guaviare and southern Cauca). In global terms, urban population with respect rural population exhibits greater registry (54.4%) in the Colombian Amazon, characterized by high dispersion given its geographical location, while those in urban areas amounts to 49.6% of the total regional population[39].

The growth recorded has led to new pressures on the natural resources of the region reflected in the expansion of the areas that involved deforestation, establishment of new areas of pasturelands, intensification of extractive activities such as fishing and mining, and the establishment of illicit crops, all of them with their adverse effects. The Amazon is today a region inhabited by population mainly colonized in rural and urban settlements, which seeks activities that represent income and aspires to living standards similar to those of the rest of the country. Currently, indigenous communities live in the jungle with connections to the outside world, and an interest in participating in economic and social dynamics. These millenary settlers have used

[36] Arango, R; Sanchez, E. 2004. Los pueblos indígenas de Colombia. En el umbral del nuevo milenio. Departamento Nacional de Planeación - DNP. Dirección de Desarrollo Territorial Sostenible. Bogotá. Pág. 419 - 445.

[37] Comisión Económica para América Latina y el Caribe – CEPAL. 2015. Visones Regionales en la Amazonia Colombiana. En: Serie de estudios y perspectivas No. 29. Naciones Unidas. Santiago de Chile.

[38] Instituto Amazónico de Investigaciones Científicas Sinchi. 2007. Balance anual sobre el estado de los ecosistemas y el ambiente de la Amazonia colombiana 2006. Bogotá, D.C.

[39] Departamento Nacional de Estadística - DANE. 2005. Boletines. Censo General 2005.

the resources of the region in a sustainable way, thanks to a deep knowledge of their biodiversity and its ecosystem, a functioning way of life that is threatened today[40].

3.3.2 Health

For the Amazon region of Colombia, 45.8% of households have unsatisfied basic needs - NBI- (housing of inconvenient type, sanitary conditions, overcrowding, schooling and subsistence capacity) [41][42] well above the national average (27, 7%), a condition that favors the population's vulnerability and poor health conditions. The departments with the highest level of NBI are Guainía (60.4%) and Vaupés (54.8%). The departments that report the lowest population in households with NBI are Putumayo (34.8%) and Guaviare (39.9% respectively), however they are above the national average [43].

The loss of food self-sufficiency predominates in the northeastern region (Putumayo and Caquetá to the west) in contrast to the traditional means of subsistence of the southeast region (Amazonas and Caquetá to the southeast). Two interconnected and contrasting subregions, where agricultural techniques developed by indigenous communities, which have allowed for a natural balance are being threatened by intensive settler agriculture and the emergence of capitalism. The result of this is the modification of productive trends, caused changes in diets affecting health conditions, placing the region at a high level of vulnerability, with respect to food sovereignty.

Health service for the region is very limited, due to the constant lack of resources and difficult access. A high rate of malnutrition, parasitosis and respiratory diseases is present in the child population of the region, and irregularities are reported in the contracts for school feeding programs, aqueduct and drinking water. The population in general, must make long journeys to reach different health posts, while the majority lack personnel, equipment and medical supplies[44].

Due to the cultural diversity of the region, the Colombian government established by Decree 1848 of 2017[45] a special rating system for indigenous health providers, which includes the set of requirements and procedures that determine the administrative, scientific, technical, cultural and financial conditions, to guarantee access to health services with a differential approach to their members , attending to the sociocultural and geographical peculiarities of indigenous peoples.

3.3.3 Land tenure aspects

Indigenous peoples territories, areas of the forest reserve of the Amazon (property of the nation) and protected areas comprised most part of the territory of the amazon region. 6.81% of the land area has no clear legal status. Table 9 shows the figures related to the legal status of the territory are reported, being understood as a normative approximation of regulations (Table 8).

Table 9. Legal status of territory ownership in the Colombian Amazon[46]

Land Tenure Category	Area (%)
Indigenous territories (Resguardos)	41.83

[40] Comisión Económica para América Latina y el Caribe – CEPAL. 2015. Visones Regionales en la Amazonia Colombiana. En: Serie de estudios y perspectivas No. 29. Naciones Unidas. Santiago de Chile

[41] http://www.estadistica.ec.gba.gov.ar/dpe/index.php/sociedad/condiciones-de-vida/necesidades-basicas-insatisfechas/177-metodologia-necesidades-basicas-insatisfechas/230-metodologia-necesidades-basicas-insatisfechas

[43] Instituto Amazónico de Investigaciones Científicas Sinchi. 2007. Balance anual sobre el estado de los ecosistemas y el ambiente de la Amazonia colombiana 2006. Bogotá, D.C.

[44] De la Hoz N, Rozo M, Valencia M. Contexto histórico-social. Contextualización del sur de la Amazonia colombiana. En: Diversidad biológica y cultural del sur de la Amazonia colombiana - Diagnóstico. Tomo I. Corpoamazonia , Instituto Humboldt, Instituto Sinchi, UAESPNN. 1era ed. Colombia: Editorial Fotomecánica Ltda.; 2007. p. 38-56. http://www.corpoamazonia.gov.co/files/planes/biodiversidad/ diagnostico/AMAZONIA_PRELIMINARES.pdf

[45] Ministerio de Salud y Protección Social. 2017. Decreto número 1848 del 8 de noviembre de 2017.

[46] Instituto Amazónico de Investigaciones Científicas Sinchi. 2007. Balance anual sobre el estado de los ecosistemas y el ambiente de la Amazonia colombiana 2006. Bogotá, D.C.

Forest reserve	26.17
Protected areas	10.58
Subtraction to Private Forest Reserve	7.21
Integrated Management Districts	3.8
Areas with double legal assignment	3.62
No clarity on legal status	6.81*

3.3.4 Education

Since the end of the last century, in the Colombian Amazon, the Catholic Church has traditionally supported education. In 1902, the Colombian government signed an agreement with the Church under the name of Contracted Education. Based on this agreement, educational programs within the territory obeyed the norms of the national system, and were exercised under the figure of apostolic prefecture through semi-internees in rural areas of indigenous territories. This education model did not take into account the special conditions of the area, in particular of the indigenous population. It was only until 2002, that by means of a national state council ruling, together with the request of the indigenous organizations of the region, the agreement was terminated[47][48].

In place of this traditional educational model, indigenous organizations requested that they be given priority in the recruitment processes of the educational service. Participation spaces were therefore opened for indigenous organizations to be involved with the Department of Education from 2003[49].

However, this proposal was a challenge for indigenous communities, and according to Colombian legislation, any indigenous organization or community that wanted to manage the public educational service should be previously accredited before the Ministry of Education and prove trajectory and suitability in administrative matters. While this was an option, educational centers (boarding schools, subsidiaries and community schools) were associated to educational institutions according to their geographical location.

Due to the socio-cultural and environmental conditions of the territory, the educational landscape in the Amazon presents important challenges, since it must respond to the conditions set by the communities within the territory. An example is the case of the department of Guainía, whose territory for the year 2003 was 97% indigenous shelter, with 85% of the indigenous population (almost 27 thousand people) with communities distributed in four rivers: Guainía, Inírida, Guaviare and Atabapo. For this reason, internships have been the main educational attention strategy in the region. Under this model, only until the children turn 9 or 10 years old, the communities authorize their admission to boarding schools that cover from first to ninth grade. Currently, there is little data to determine the coverage and scope of the education system implemented in the region[50].

According to the latest national census[51], 12% to 14% of the population surveyed in the region remained illiterate by 2005. 48% of the population over 80 remained illiterate, with an approximate decrease of 10% every 10 years. However, uncertainty still remains for the region, since the population surveyed corresponds primarily people concentrated in the municipal headwaters and places of greater ease of access, without a complete vision of the region.

[47] https://www.oas.org/dsd/publications/Unit/oea48s/ch007.htm#4.2%20educaci%C3%B3n

[48] Ministerio de Educación Nacional. 2003. Amazonas responsabilidad compartida. https://www.mineducacion.gov.co/1621/article-87963.html

[49] Ministerio de Educación Nacional. 2003. Amazonas responsabilidad compartida. https://www.mineducacion.gov.co/1621/article-87963.html

[50] Ministerio de Educación Nacional. 2003. Guainía La experiencia de las aulas anexas. https://www.mineducacion.gov.co/1621/article-87964.html.

[51] Departamento Administrativo Nacional de Estadística, DANE. 2005, Censo General. https://www.dane.gov.co/index.php/estadisticas-por-tema/educacion/poblacion-escolarizada/educacion-formal

3.4 Regional programs

Given the importance to take action against deforestation, the Government of Colombia has headed the implementation of significant projects in the region under de umbrella of the Amazon Vision Program, which constitute the baseline for the current Project.

3.4.1 Amazon Vision Program

The Amazon Vision Program is an initiative of the Colombian government that seeks to reduce emissions from deforestation in the Amazon Colombia, through a sustainable development model, which promotes strategies for the protection of forests and the sustainable use of natural resources, while empowering local communities and indigenous peoples, generating development and productive alternatives low in deforestation. If successful the Amazon Vision strategy could reduce significant amounts of CO_2 released to the atmosphere, accompanied by substantial co-benefits in the form of improved smallholder farmer livelihoods, biodiversity conservation and forest governance.

At the regional level, The Amazon Vision Program represents the prime mechanism to support regional implementation activities for the Amazon biome and constitutes an umbrella for the operation of other international cooperation projects and initiatives. Under the AVP, there are several on-going projects from bilateral/multi cooperation as presented in the Figure below. These projects have made important investments in strengthening the management effectiveness of the national parks and the buffer zone, increase forest governance, enhance capacities of local communities, indigenous peoples and authorities, support the national forest monitoring system, promote sectoral programs to involve the private sector and promote sustainable land-use and natural resource management practices that contribute to reduce pressure on forests and reduce deforestation. Experiences of these projects have supported the achievement of results proposed in the EICDGB and provided the country with national capacities, instruments and tools.

3.4.2 Heart of the Amazon Project

As the first pilot of the Amazon Vision Program, this Project was formulated with the objective of implementing instruments and strategies to reduce the deforestation rate of the Amazon region, specifically in areas of the departments of Guaviare and Caquetá surrounding the Chiribiquete National Natural Park (PNNSCH). The project is funded by the GEF, implemented by World Bank and coordinated by Patrimonio Natural in close coordination with national implementation agencies: Ministry of Environment, IDEAM, Sinchi Institute and the National Parks Unit.

The GEF Heart Amazon project is a pilot of the Amazon Vision Program. This projects pioneered instruments and approaches to improve governance and promote sustainable land uses to reduce deforestation and conserve biodiversity in the forests of the Colombian Amazon. Lessons from this project represents today most of the strategies implemented by the Amazon Vision Program and other initiatives operating in the region. Some of the achievements of this project are:

- Strengthening the effectiveness of the management of 2.8 million hectares of the PNNSCH, including its financial sustainability
- Indigenous authorities, in coordination with Natural National Parks, implementing zoning, management and environmental management strategies
- Cultural support in about 1.4 million hectares of indigenous reserves and areas of common interest
- Agreements with local communities and indigenous peoples on land planning and management proposals for about 1 million hectares of the Amazon Forest Reserve
- Agreements with the Ministry of Transportation, Ministry of Agriculture and Rural Development and Ministry of Mines and Energy to achieve significant reductions in deforestation
- Subscription conservation and non-deforestation agreements with about 300 families and 5 social and producer organizations
- Conformation of connectivity corridors in about 50,000 hectares of low and medium intervention areas

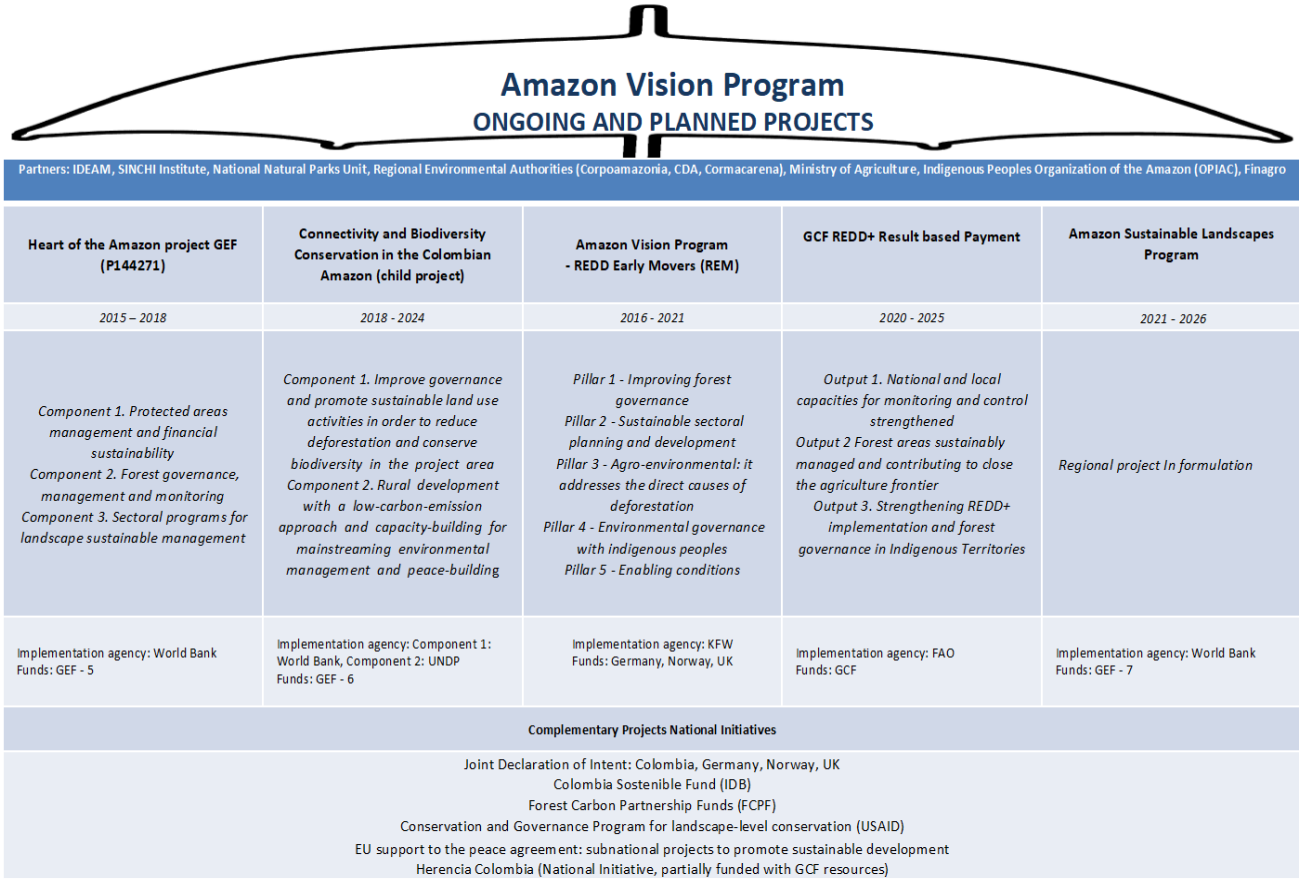

Figure 3. Projects under the umbrella of the Colombian Amazon Vision Program

REDD Early Movers Project- Amazon Vision Program:

This initiative, funded by the Kingdom of Norway, the United Kingdom of Great Britain and Northern Ireland and the Federal Republic of Germany through the KfW bank is being implemented under the REDD+ Early Movers (REM) Program, which provides performance-based payments for verified emission reductions from deforestation prevention. The Project aims to support REDD+ strategy financing, in accordance with the decisions of the United Nations Framework Convention on Climate Change (UNFCCC) and contribute to forest conservation and climate protection. The Project Goal is to reduce emissions from deforestation in the Colombian Amazon region, contributing to the generation of multiple benefits for beneficiaries (e.g. local communities, indigenous groups). The agreement between the Government of Colombia and the main Donors of REM, structured the implementation of resources from the REM- Amazon Vision Program in five Pillars.

Pillar 1. Forest governance

This Pillar is focused in increasing institutional capacities and improvement of land use planning, zoning, and administration and control instruments. Under these Pillar the Program is supporting activities to strengthen forest governance at the local level and increasing capacities of environmental authorities. Activities are targeted to support the development of forest ordering plans in about 1,5 million hectares and the elaboration of forest management plans in 75.629 ha in Caquetá, Guaviare, South of Meta and Putumayo.

1. Forest Ordering Plans: 1.582.075 ha

- ✓ POF Mecaya-Sencella. Putumayo. 455.229 has
- ✓ POF Guaviare: 706.000 has.
- ✓ POF Siare: 330.542 has.

2. Community-based forest management plans: 75.000 has

- ✓ Guaviare. 10.000 ha
- ✓ Caquetá. 40.000 ha.
- ✓ Putumayo. 10.000 ha/ 650 has. Asaí.
- ✓ Meta: 15.000 ha

3. Timber Products Facilities

Two facilities for fabrication of wood products and processing of Non-timber forest products, including technical assistance plans and support to entrepreneurial development.

Pillar 2. Development and sustainable sector planning

This program is aimed at i) improving environmental planning instrument; ii) support the Amazon Special Planning Administrative Region –RAPE- by promoting private participation consistent with the objectives of reducing deforestation; and iii) strengthen differentiated environmental licensing strategies for sectoral interventions with higher standards and higher levels of corporate responsibility.

This pillar supported the development of strategies to guide interventions in the sector as the Model of Environmental Planning for the Amazon (MOTRA) and the Strategic Environmental Evaluation (EAER). The program has also supported municipalities in the adjustment of Territorial Ordering Plans (POT) and will undertake activities to design incentives to reduce deforestation.

Pillar 3 - Agro-environmental

This Pillar seeks to stop the expansion of the agricultural frontier by promoting environmental-friendly production systems and supporting smallholders in the adoption of sustainable production practices and the development of supply chains of amazon products.

Pillar 4 - Indigenous Peoples Environmental Governance (PIVA)

This Pillar is focused on strengthening government institutions and indigenous peoples' capacities for forest conservation, improving their structures for territorial governance and supporting the conservation and recovery of sustainable production practices. Activities under this Pillar were agreed upon with indigenous peoples instances, result of a solid participatory process. Through periodical calls, PIVA supports projects formulated by Indigenous Peoples Organizations (IPO). Currently this Pillar is supporting 10 projects selected in the first call, benefiting 20 IPO, 54 territories indigenous and 9.685 families. Currently 49 new projects that applied to second call are under evaluation.

Pillar 5 - Enabling conditions

Activities under this Pillar are aimed to facilitate the implementation of the other four Pillars. This Pillar has contributed to consolidate the Forest and Carbon Monitoring System (SMByC) and carry out the National Forest Inventory headed by IDEAM, as well as execute the communications strategy for the whole program.

3.4.3 Connectivity and biodiversity conservation in the Colombian Amazon

This project seeks to improve connectivity and conserve biodiversity by strengthening capacities of local institutions and organizations to ensure comprehensive low-carbon management and peace building in the Amazon region. The lines of action are aimed at promoting rural

development models with a low carbon approach, supporting sustainable processes that contribute to improving landscape connectivity, strengthening local governance to respond to the effects of climate change and building capacities to integrate environmental management and peace-building. The project started its implementation in 2018 and is funded by the GEF and implemented by the United Nations Development Program (UNDP). Expected results of this project are:

- Sustainable productive landscapes that maintain and / or improve forest cover, ecosystem connectivity and reduce emissions in territories prioritized for peace-building
- Consolidated sustainable productive landscapes that maintain and / or improve forest cover, ecosystem connectivity and reduce emissions
- Sustainable productive systems developed and consolidated involving good production practices
- Community, peasant, indigenous and women's organizations strengthened in the management of sustainable productive landscapes in a context of peace building
- Incorporation of low-carbon rural development criteria and sustainable forest management in territorial management plans and financial instruments of prioritized sectors
- Comprehensive climate change plans formulated and implemented
- Development and / or implementation of economic, financial and market mechanisms that promote sustainable production systems
- Economic, financial and market mechanisms in place

4 LEGAL FRAMEWORK AND APPLICABLE SAFEGUARD POLICIES

This chapter presents an overview of the legal framework applicable to this Project, including the existing national framework policies and other related norms and international treaties ratified by the country related to potential risks and benefits for the proposed project. Furthermore, it presents the applicable FAO and GCF safeguards required for the project implementation.

4.1 National Policies

4.1.1 National Development Plan

The National Development Plan of 2018-2022 “Pact for Colombia, Pact for Equity” aims to define the foundations of legality, entrepreneurship and equity for the achievement of equal opportunities for all Colombians, in accordance with the long-term ambition for Sustainable Development Goals by 2030. The National Development Plan is composed of public policy objectives called “pacts”, a concept that reflects the importance of the contribution of all facets of society in the construction of a more equitable nation based on three structural pacts: legality, entrepreneurship and equity. Taking into account that the achievement of the NDP objectives requires investing in some enabling conditions to accelerate social change, the Plan contemplates a set of “pacts” that contain transversal strategies, one of them is the Pact for sustainability: produce conserving and conserving producing, which guides most part of the environmental actions to be carried out by the government.

4.1.2 National Climate Change Policy (NCCP) - 2018

The objective of the NCCP is to incorporate climate change management into public and private decisions to advance a climate-resilient and low-carbon development path that reduces the risks of climate change and takes advantage of the opportunities that climate change generates. In the long term, the NCCP aims at making the country carbon neutral.

The NCCP articulates all efforts developed by the country, such as the Colombian Strategy for Low Carbon Development (ECDBC), the National Adaptation Plan for Climate Change (PNACC), and the National REDD + Strategy, among other initiatives.

4.1.3 Integrated National Strategy for Control of Deforestation and Forest Management - 2017

At a national level, this strategy constitutes the main guidance instrument for implementing REDD+ activities at a National Level, with the objective of reducing deforestation and forest degradation, by promoting forest management in national territory, via a sustainable integral rural development approach. This approach contributes to the wellbeing of local communities and increases local development, as well as ecosystem resilience, by fostering adaptation and mitigation of climate change.

4.1.4 Intended National Determined Contributions (INDCs) - 2016

The Republic of Colombia is committed to reducing its greenhouse gas emissions by 20% compared to projected emissions by 2030. Colombia assumed its INDC as an opportunity to strengthen achievements in sectors and territories, for both mitigation and adaptation to climate change. INDCs guide the formulation of climate change policies, programs, plans and projects, in an articulated manner among different productive sectors, public and private institutions, non-governmental organizations and civil society in general.

4.1.5 Colombian Low Carbon Development Strategy (ECDBC) - 2014

The ECDBC is a short-, medium- and long-term development-planning program that seeks to halt greenhouse gas (GHG) emissions derived from national economic growth. The policy promotes the design and implementation of sectoral mitigation measures that maximize carbon-efficiency of the country's economic activity, by contributing to national, social, and economic development. The objectives of the ECDBC are to identify and evaluate actions aimed at avoiding the accelerated growth of GHG emissions supporting the development of mitigation action plans for

each productive sector of the country, promoting tools for its implementation, and implementing monitoring and reporting systems. The ECDBC is led by the Ministry of Environment and Sustainable Development (MADS), with the support of the National Planning Department (DNP), and the Sectoral Ministries of Colombia, which include industry, energy, and mining, as well as transport, housing and agriculture.

4.1.6 National Policy for Integrated Management of Biodiversity and its Ecosystems Services (PGIBSE) - 2014

The prime objective of the PGIBSE is to promote a comprehensive approach for management of biodiversity and its ecosystem services, in order to maintain and improve the resilience of socio-ecological systems, at national, regional, local and trans boundary scales, considering scenarios of change and through coordinated and concerted action of the State, the productive sector and civil society. PNGIBSE frames and guides conceptually and strategically all the other environmental management instruments (policies, norms, plans, programs and projects), existing or developing, for the conservation of the biodiversity in its different levels of organization, as well as being a basis for inter-sectoral coordination and a fundamental part of the country's development.

Additional to the policies described above, Colombia has developed a set of national policies and regulations applicable to this Project, which are aligned to the FAO's Environmental and Social Standards and the national interpretation of REDD+ safeguards. The most relevant national regulations and policies to consider in the application of Environmental and Social Management Framework are presented below:

Table 10. Relevant legislation and policies related to the implementation of the project and Cancun Safeguards addressed.

Law	Description	Cancun safeguards addressed
National Constitution 1991	Article 63: Public use assets, natural parks, communal lands of ethnic groups, protected lands, archaeological heritage of the nation and other property determined by law, are inalienable and imprescriptible Article 79. Everyone has the right to enjoy a healthy environment. The law will guarantee community participation in decisions that may affect it. It is the duty of the State to protect the diversity and integrity of the environment, conserve areas of special ecological importance and promote education to achieve these ends. Article 80. The State will plan the management and use of natural resources, to guarantee their sustainable development, conservation, restoration or replacement. Article 366. The general welfare and improvement of the population's quality of life are social purposes of the State. The solution of unmet health, education, environmental sanitation and drinking water needs will be a fundamental objective of its activity. For such purposes, in the plans and budgets of the nation and territorial entities, social public spending shall have priority over any other allocation.	1,2,3,4,5

Law	Description	Cancun safeguards addressed
Law 2 of 1959	Law on forest economy of the Nation and conservation of renewable natural resources. It establishes the Protective Forest Areas and Forests of General Interest as instruments for the development of the forest economy and protection of soils, water and wildlife. The Lay establishes the Amazon Forest Reserve Zone and its limits as well as the provisions for management	1,2
Decree - Law 2811 of 1974 National Code of Natural Resources	Establishes the National Code of Renewable Natural Resources and Environmental Protection as an instrument that regulates the use and management of renewable natural resources. It provides that the execution of the environmental policy will be the function of the national government, which may delegate it to sectional governments or other specialized public entities.	2,5
Law 37 of 1989	Establishes the basis for structuring the National Forest Development Plan, understood as those programs that must be carried out to maintain the economic and social benefits of forests and address the problems presented by the forestry sector.	1,2,5
Law 299 of 1996	Establishes provisions to protect the Colombian flora and regulates botanical gardens. It defines the creation of a National Botanical Information System, which will operate under the responsibility of the "Alexander Von Humboldt" Biological Resources Research Institute and that will be part of the environmental information system.	2,5
Law 99 of 1993	Created the Ministry of the Environment, reorganized the Public Sector responsible for the management and conservation of the environment and renewable natural resources and organized the National Environmental System - SINA	1,2,3,4,5
Law 139 of 1994	Creates the Forest Incentive Certificate (CIF), as an instrument to recognize positive externalities of reforestation as well as the environmental and social benefits generated. The CIF promotes direct investments in new forest plantations	2,5
Law 191 of 1995	Establishes a special regime for Border Zones, in order to promote and facilitate their economic, social, scientific, technological and cultural development. It includes provisions to guide the action of the state in the protection of human rights, strengthening integration processes and cooperation with neighboring countries, generating necessary conditions for economic development, construction and improvement of infrastructure, provision of necessary services for integration Border, preservation and sustainable use of natural resources and the environment, improvement of the quality of education, institutional strengthening and judicial cooperation with neighboring countries.	2,5
Law 1333 of 2009	Establishes the environmental sanction procedure. It defines environmental violations, guides the	1,2,5

Law	Description	Cancun safeguards addressed
	implementation of preventive measures and establishes sanction procedures.	
Law 1454/2011	Dictates the organic norms for the administrative political organization of the Colombian territory; establishes the guiding principles of the system; defines the institutional framework and instruments for territorial development; defines the powers in the area of territorial planning between the Nation, the territorial entities and the metropolitan areas and establish the general norms for the territorial organization.	1,2,5
Law 1551 of 2012	Modernizes the regulations related to the municipal regime, within the autonomy that the Constitution and the law recognize to the municipalities. It defines the functions of the municipalities regarding the management of natural resources and the environment, the defense and protection of natural resources in line with the constitution and the articulation of Development Plans with the planning instruments of indigenous peoples and communities.	1,2,3,4,5
Decree 1791 of 1996	Establishes the forest management regime. Regulates the activities of public administration and individuals regarding the use, management and conservation of forests and wild flora in order to achieve sustainable development.	2,5
Decree 3570 of 2011	Modifies the objectives and structure of the Ministry of Environment and Sustainable Development and integrates the Administrative Sector of Environment and Sustainable Development	1,2,5
Decree 3573 of 2011	Create the National Environmental Licensing Authority – ANLA– under the terms of article 67 of Law 489 of 1998. Institution with administrative and financial autonomy, part of the Administrative Sector of Environment and Sustainable Development.	1,2,5
Decree 900 of 1997	Regulates the forest incentive for conservation established in Law 139 of 1994 and the paragraph of article 250 of Law 223 of 1995, for those areas where there are natural forest ecosystems with little or no intervention.	2,5
Decree 2372 of 2011	Regulates the National System of Protected Areas, the management categories that comprise it and the general procedures related to it	1,2,5
Resolution 1526/2012 Ministry of Environment	Establishes requirements and procedure for the subtraction of areas in national and regional forest reserves established under de Law 2/1959.	2
Law 21/1991	Approves the Convention No. 169 on indigenous and tribal peoples in independent countries, adopted by 76th. ILO General Conference meeting (Geneva, 1989)	3,4

Law	Description	Cancun safeguards addressed
Law 397/ 97	Creates the Ministry of Culture and develops articles 70, 71 and 72 of the Political Constitution on cultural heritage, promotions and stimuli to culture.	3,4
Law 160 of 1994	Promotes progressive access to land ownership of agricultural workers and other rural public services, in order to improve the income and quality of life of the peasant population. Creates the National System of Agrarian Reform and Rural Development, and establishes subsidies for the acquisition of land.	4
Law 60/1993	Defines the competences of the territorial entities and the Nation related to articles 356 and 357 of the Political Constitution on services and competences in social matters, in charge of the territorial entities and the nation.	3,4
Resolution 261/2018	Defines the national agricultural frontier as the limit of the rural land that separates the areas where agricultural activities are carried out, conditioned areas and protected areas, those of special ecological importance, and the other areas in which agricultural activities are excluded by mandate of the law. This instrument contributes to: - Formulate and focalize public policy in the agricultural, fisheries and rural development sectors. - Promote the efficient use of rural agricultural land, the productive and social management of rural property, and the strengthening of the productivity and competitiveness of agricultural activities. - Contribute to stabilize and reduce the loss of ecosystems of environmental importance.	4,6
Resolution 1447/2018	Regulates the system for monitoring, reporting and verification of mitigation actions at the national level in relation to the accounting system for the reductions and removals of greenhouse gas emissions	7
Decree 1655/2017	Establishes the organization and operation of the National Forest Information System (SNIF), the National Forest Inventory (IFN) and the Forest and Carbon Monitoring System (SMBYC), which will be part of the Environmental Information System for Colombia (SIAC).	2,4,7

4.2 Relevant International Conventions and Treaties

The proposed project is aligned to the Multilateral Environmental Agreements (MEA) ratified by the country and also integrates the UN Sustainable Development Goals (SDG) and other related international guidelines and principles on sustainable development, human rights and indigenous peoples. The following list present the main international agreements and instruments related to the project implementation:

- United Nations Convention to Combat Desertification (UNCCD)
- United Nations Framework Convention on Climate Change (UNFCCC)
- Convention of Biological Diversity and Decision XI/19

- Ramsar Convention on Wetlands of International Importance especially as Waterfowl Habitat
- International Tropical Timber Agreement, 2006 -
- Convention on International Trade in Endangered Species of Wild Fauna and Flora - CITES
- Andean Decision 391/1996: Common Regime on Access to Genetic Resources
- International Covenant on Economic, Social and Cultural Rights (ICESCR)
- International Covenant on Civil and Political Rights (ICCPR)
- International Convention on the Elimination of All Forms of Racial Discrimination (ICERD)
- Convention on the Elimination of Discrimination Against Women
- Convention on the Rights of the Child
- Equal remuneration convention
- International Labor Organization Convention concerning Indigenous and Tribal Peoples in Independent Countries, No. 169 (ILO 169)
- Convention on the Protection and Promotion of the Diversity of Cultural Expressions -, UNESCO.
- Convention 169 on indigenous and tribal peoples in independent countries

5 APPLICABLE ENVIRONMENTAL AND SOCIAL SAFEGUARD POLICIES

5.1 FAO environmental and social standards

The GCF has provisionally adopted the International Financial Corporation (IFC) Performance Standards and directives of implementation for the purposes of safeguarding GCF projects. This project has been screened against FAO environmental and social standards, ensuring that the project is consistent with the objectives of GCF Performance Standards. The Table below presents the IFC Performance Standards and its corresponding FAO's social and environmental safeguards:

Table 11. IFC Performance Standards & corresponding FAO Environmental and Social Safeguards

IFC Performance Standards (PS)	FAO Environmental and Social Safeguards
PS 1 – Assessment and Management of Environmental and Social Risks and Impacts	ESS 1 – Natural Resources Management
	ESS8 – Gender Equality
PS2 – Labor and Working Conditions	ESS7 – Decent Work
PS3 – Resource Efficiency and Pollution Prevention	ESS5 – Pest and Pesticide Management
PS4 – Community, Health, Safety, and Security	ESS7 – Decent Work (partially)
PS5 – Land Acquisition and Involuntary Resettlement	ESS6 – Involuntary Resettlement and Displacement
PS6 – Biodiversity Conservation and Sustainable Management of Living Natural Resources	ESS2 – Biodiversity, Ecosystems, and Natural Habitats
	ESS3 – Plant Genetic Resources for Food and Agriculture
	ESS4 – Animal – Livestock and Aquatic Genetic Resources for Food and Agriculture
PS7 – Indigenous Peoples	ESS9 – Indigenous Peoples and Cultural Heritage
PS8 – Cultural Heritage	

The process followed to screen the E&S standards is based in the FAO´s guidelines for environmental and social management (http://www.fao.org/3/a-i4413e.pdf). These guidelines facilitate the systematic identification and assessment of E&S risks and the integration of the management of these risks into the project cycle (design and implementation). The guidelines address compliance with the cited standards while facilitating the project outcome and FAO's vision, strategic objectives, key principles for sustainability. ESM Guidelines are aligned with the FAO project cycle and will play a vital role in ensuring quality of field projects.

5.2 Project risk classification

According to the FAO's environmental and social screening checklist the proposed Project has been classified as MODERATE RISK (Category "B") in line with the following characteristics defined in the FAO guidelines:

- **Projects with identified potential adverse environmental and /or social**: During the formulation phase the project has identified potential impacts derived from the activities promoted by the project, taking into account risks and impact identified for the Amazon

Vision Program (section 7.1) and base o this the following potential adverse impacts have been identified.

- Access to information about forests, threats and deforestation is inequitable.
- Limited capacities of local authorities and stakeholders to participate in making-decisions processes
- Stakeholders do not take adequate or pertinent decisions about forest management because of the limited information available
- No recognition, respect or inclusion of the mechanisms of government and decision-making
- Municipalities activities to reduce deforestation are affected by the little applicability of institutional instruments and institutional gaps for decision making and implementation of activities to reduce deforestation
- Promotion of rural environmental registry systems may create expectations on land ownership and generate an incentive for new colonization processes or displacement
- Stakeholder lack capacities to participate in decision-making and negotiation processes, low ownership of the processes at the local level, inequality in information access and little participation of local stakeholders in dialogue spaces affect the operation of national protocols for reducing deforestation.
- National decision-making processes not consistent with the needs and expectations of the interested parties
- Legal procedures are not in place to promote integrated management of forests and facilitate community access to natural resources.
- Dependence on a single source of income and reduction of economic incomes obtained by current unsustainable productive activities reduce interest of people to participated in forestry units
- Land ownership limitations might constitute difficulties in assuring long-term forest management activities.
- Monitoring systems are not appropriate to assure that forest management is sustainable.
- Forest ecosystems are impacted negatively by the lack of knowledge on the appropriate management practices.
- Lack of knowledge on the managed species and their populations drive the depletion of the species at the local level.
- Dependence of few species makes the production system economically unsustainable and generates overexploitation practices.
- Limited access of forest-based products to target markets and exclusion of local communities and women groups from local supply chains .
- Incidence of external agents in decision making and control of the territory (e.g. armed groups and illegal activities)
- Local authorities lack capacities (human resources and financial resources) for law enforcement and support community-based forest management units
- Lack of clear rules on the participation and distribution of benefits may create conflicts among local stakeholders
- Institutional instruments for providing financial resources at local level are not applicable and communities lack the capacities for accessing financial incentives
- Communities are not engaged in the implementation of monitoring systems and/or lack capacities for maintaining monitoring systems working in the long term.
- Subproject in indigenous territories do not recognize or respect or include mechanisms of own-government and decision-making
- Activities under Output 3 scale-up of internal political and philosophical conflicts of the communities
- IP organizations and communities have no capacities for the formulation and implementation of projects
- Lack of access to information reduce participation of organizations, communities or parties interested in the project's calls under Output 3
- Little participation of women in new forest-based businesses and lack of capacities and access to information exclude women or reduce participation of women in the project's activities

- **Potential impacts are not unprecedented in the project area**: Proposed activities will build on existing government experiences under the umbrella of the Amazon Vision Program and activities were formulated based on national needs expressed in the EICDGB and the National Development Plan. Also based on the progress of the REDD Early Movers project (REM-AVP) it has been identified the need to promote forest management as a strategy to enhance forest governance capacities and generate productive alternatives base on the management of forests. In this context training programs and other information management activities aim to enhance knowledge, information and communication to support the implementation of good practices for the management of amazon forests, integrating experiences from the AVP and building on the previous experience of FAO in supporting forest management units in the Amazon and other areas of the country.
- **Potential impacts are limited to the project's footprint**: Social and environmental adverse impacts identified are limited to the areas of implementation. The Project will implement practices to avoid that activities generate negative impacts in surrounding areas, promoting that positive experiences are replicated. In the case of activities of national order, activities of the project are mainly focused in generating positive impacts and will target
- **Potential impacts are neither irreversible nor cumulative**: Potential adverse impacts from the project are reversible and non-cumulative, as long as proposed activities and are implemented considering mitigation measures proposed, which have been considered already in the formulation of the project. Activities under Output 1 will strengthen monitoring systems and will increase capacities of stakeholders to analyze risks and threats on amazon forests and make decisions accordingly. Forest management activities promoted under Output 2 involve planning and monitoring activities that will help the Project and in future local communities and authorities assess impact of management activities and take the needed mitigation measures. Output3 will further strengthen IPs capacities for forest governance, including those related to monitoring, assessment and definition of mitigation measures in case adverse impacts of sub-projects activities are identified. Specialized technical assistance and support from the project team, nationally and locally, will ensure that community-based organizations, received the needed advice and support to prevent and manage adverse impacts.
- **Potential adverse impacts can be addressed by the use of recognized good management or pollution abatement practices, and there is a demonstrated record of their successful use in the project area (upstream and downstream):** Training programs and participatory process of design and implementation of forestry units, sub-projects or other programs will promote the use of recognized good practices, building on the experience AVP and the FAO projects related to forest management and low-carbon rural development. Technical advice from the organizations involved in the technical committee will strengthen vertical and horizontal coordination and provide recommendations and help to address potential adverse impacts. Proposed activities are also been successfully implemented or complement other national initiatives, which have demonstrated the successful application of good practices, as well as the implementation of mitigation measures.

5.3 FAO applicable safeguards

After application of the FAO Environmental and Social (E&S) Screening Checklist: first and second Level Questions (Annex 2 and 3), safeguards triggered are: ESS2, ESS4, ESS7, ESS8 and ESS9 (Table 12).

Table 12. List of safeguard policies triggered for the Project

Safeguard Policies	Triggered

ESS 1 – Natural Resources Management	No
ESS2 – Biodiversity, Ecosystems, and Natural Habitats	Yes
ESS3 – Plant Genetic Resources for Food and Agriculture	No
ESS4 – Animal – Livestock and Aquatic Genetic Resources for Food and Agriculture	Yes
ESS5 – Pest and Pesticide Management	No
ESS6 – Involuntary Resettlement and Displacement	No
ESS7 – Decent Work	Yes
ESS8 – Gender Equality	Yes
ESS9 – Indigenous Peoples and Cultural Heritage	Yes

- **ESS2 – Biodiversity, Ecosystems, and Natural Habitats and ESS4 – Animal – Livestock and Aquatic Genetic Resources for Food and Agriculture**

Due to the nature of the project and its overall objective, the project will support, various activities that may take place in and/or nearby protected areas and buffer zones, including forest management and conservation activities. The safeguards were triggered because *the Project activities may be implemented within the buffer zone of a legally designated protected area or may be located in/or near an internationally recognized conservation area.* Although specific areas of intervention will be identified during the first months of execution, deforestation processes in the amazon are occurring in areas surrounding protected areas, such as the Chiribiquete National Pak. To mitigate potential risks the project will subscribe conservation agreements with local communities supported by the Project, specifically those that will be responsible of the establishment of forestry units. Regarding institutional arrangements, the Project involve the National Parks Unit as part of the Project Board and the Technical Committee, so that this entity can provide guidance to manage potential risks on protected areas and support the project in the implementation of mitigation actions.

In case of activities overlap with indigenous peoples territories, the National Parks Unit is implementing a Special Management Regime, conceived as a planning and management instruments for areas with overlap. The Regime is materialized in specific Use and Management Agreements between the National Parks Unit and indigenous authorities that recognize strategic principles and guidelines of the Policy of Social Participation of Indigenous Peoples of Colombia in Conservation. In these cases the Project may support activities in these areas if they are part of existing agreements.

As activities of the project may be located near to nationally important habitat, the Project will also implement specific activities to prevent alteration of habitats that can disrupt ecosystem services and long-standing gene pools of organisms and thereby adversely impact food and agriculture. Consequently the project will not support establishment of production systems, execution of activities or projects related to infrastructure or other types of physical investments involving land and water use in or around protected areas or natural habitats.

- **ESS7 – Decent Work.**

The project will work in areas where subsistence producers, workers and farmers operate. In fact, most of the activities contemplate the participation of smallholders, particularly in activities related to sustainable forest management and conservation of natural forests. Additionally, the forestry sector, where the project is focused, is characterized by some gender inequalities in land rights, labor market and participation in decision-making processes.

This ESS was triggered because *Project activities will involve sectors or value chains that are dominated by subsistence producers and other vulnerable informal agricultural workers, and more generally characterized by high levels "working poverty"*: As stated previously, deforestation drivers in the Amazon are related to production activities such as cattle-ranching and other illegal activities such as mining or crops of illicit use. In a region with little opportunities these activities

often represent the local livelihoods for vulnerable population. On this regard, the Project support to forestry units in order to reduce deforestation and provide forest-based alternative livelihoods to local communities and reduce incidence of informal and illegal activities. Forestry units also involve agriculture systems, so that the Project can support transformation of these areas to more sustainable uses. The Project will also build on the experience of the AVP in supporting sustainable supply chains of cocoa, milk, meat and rubber.

To reduce potential risks during the life-cycle project the PMU will oversee that all activities of the Project will consider and apply principles, practices and techniques that are best suited to avoiding the violation of, and promoting the application of national and international labor standards and regulations. Activities of the project will also promote the creation of more and better employment opportunities; especially those associated to the sustainable management of forests and implementation of sustainable production systems.

The project will optimize the potential of agricultural and value chain development, including natural resources management, to create more and better employment opportunities for local communities and indigenous peoples and will promote, to the extent possible, subcontracting to local entrepreneurs – particularly to rural women and youth – to maximize employment creation. Also the Project will make direct efforts to engage and empower them.

Although it is not expected that the activities will have an impact on the quantity and/or quality of employment, the Project will also monitor continuously employment indicator in the areas of intervention and will minimize adverse impacts.

- **ESS8 – Gender Equality**

The Project might potentially result in discrimination against women, based on gender, especially regarding participation in making decision processes associated to forest management activities, monitoring or formulation of project in IPs territories. These risks will be addressed in the project design and implementation.

This ESS was triggered given that *Project activities may operate in situations where major gender inequality in the labor market prevails.* Given the conditions of rural areas in the Amazon, market labor conditions are highly dependent of formal agriculture systems as well as other informal and illegal activities. Under these conditions work conditions are very informal, productivity rates are very low and skill and qualifications of people are very low. In this context, activities under Output 2 the Project will generate local capacities to assure that people participating in the design of the forestry units are able to manage the production systems, generate forest-based business and implement labor regulations accordingly. By designing and establishing forestry units through a participatory approach, the Project will involve directly the beneficiaries so that they can identify the forest products, develop business plans, apply national regulation and monitor the sustainability of the Production System. Specifically, Activity 2.2 will support training programs to local population for them to manage the forestry units properly, respecting labor law, managing environmental and social risks, monitoring the impact of the production system and evaluating the productivity and profitability of each unit. The design of training program will consider the local conditions of each forestry units and the results of gender local assessments, so that the training programs designed address capacity needs of local population, involving a gender perspective.

The Project also includes activities to support training and gender mainstreaming to address gender inequalities and will promote decent work and rural employment to support local and rural populations' livelihood and sustainable farming practices.

- **ESS9 – Indigenous Peoples and Cultural Heritage..**

This ESS was triggered because *Indigenous peoples are living in the project area where activities will take place* as indigenous peoples organizations are considered one of the main beneficiaries of the Project taking into account that strengthening indigenous governance is one of the measures of the EICDGB to reduce deforestation. Based on the dispositions of the EICDGB and the National Development Plan, the Project (Output 3) will support indigenous communities and indigenous organization in the design and implementation of sub-projects targeted to strengthen local capacities for territorial and forest management. The scope of these activities obeys to the

previous agreements between national government and IP authorities for the construction and implementation of the Pillar 4 of the REM-AVP (PIVA). Although it has not been defined, the Project could also involve indigenous communities in the establishment of community forestry units. In this case it is foreseen that the process of design includes the development of local assessments and participatory activities, however in the case of Indigenous Peoples, the Project will carry out additional activities involving IP authorities and the mechanisms that the advice to avoid negative impacts of the project activities in indigenous territories.

To address this ESS, the project will build on the efforts of the PIVA, which has carried out consultation processes with indigenous groups to design, define procedures and implement activities that benefit indigenous peoples communities and organizations. Based on this, during the first year of the project, an Indigenous Peoples Plan (IPP) will be developed involving relevant authorities and following procedures already agreed in the framework of the Amazon Vision Program. The IPP will outline activities to be implemented and identify actions required to avoid, minimize and/or compensate for any adverse impacts in a culturally appropriate manner.

Taking into account that some activities of the Project will be further defined during the first year of implementation, the Project will continue screening the project to avoid that low risk activities, become moderate or high risk. On this regard and to avoid high risk impact, the Project won't invest GCF funds in the implementation of activities that:

- Implement activities not allowed in legally designated protected area or its buffer zone
- Change a natural ecosystem to an agricultural/aquacultural/forestry production unit with a reduced diversity of flora and fauna
- Use alien species
- Introduce genetically altered organisms
- Cause major habitat / production system changes that promote new or unknown chances for gene flow
- Undermine sustainable land management practices
- Develop an irrigation scheme that is more than 20 hectares or withdraws more than 1000 m3/day of water
- Affect the quality of water either by the release of pollutants or by its use, thus affecting its characteristics (such as temperature, pH, DO, TSS or any other).
- Construction or financing of a dam that is more than 5 m. in height.
- Operate in a value chain or sector where there have been reports of forced labor
- Adversely or seriously affect on indigenous peoples' rights, lands, natural resources, territories, livelihoods, knowledge, social fabric, traditions, governance systems, and culture or heritage Manage or dispose of waste pesticides, obsolete pesticides or pesticide contaminated waste materials
- Temporary or permanent removal of people from their homes or means of production/livelihood or restrict their access to their means of livelihoods
- Displace jobs (e.g. because of sectoral restructuring or occupational shifts)
- Result in a negative change to existing legitimate tenure rights
- Result in a reduction of the adaptive capacity to climate change for any stakeholders in the project area
- Result in a reduction of resilience against extreme weather events
- Do not respect labor law and include child labor

Annex 1 presents a list of non-eligible activities that have been defined and contents all those activities that contravenes the objectives of the Project and therefore for this result-based payment project.

6 STAKEHOLDER ENGAGEMENT

6.1 Stakeholder Identification

The Table 13 presents the main stakeholders identified in the area of this project. It also indicates the forecasted role that each stakeholder would have in the implementation.

Table 13. Key stakeholders and their role in the project implementation

No.	Group´s category	Description	Roles in the area/project implementation
1	Small and medium land owners/holders	Owners/possessors of forests and agricultural lands, whose properties will be included in the establishment of community based forestry units	Direct participation in the implementation of project activities related to the sustainable management of forests, including identification of market potential species, definition of management plans and monitoring systems, operation of forest management activities, participation in training programs, construction of market strategies, conservation of natural forests and participation in capacity building processes.
2	Environmental authorities	Representatives of public institutions that are directly or indirectly related to the management and administration of forest management.	Coordination, promotion and cooperation in implementing project activities, including identification and prioritization of forest management nuclei, definition of procedures for forest management nuclei operation, execution of capacity building programs, implementation of control and law enforcement activities.
3	Local governments and village level organizations	Representatives of governments and village level institutions located in the areas where project activities will be implemented.	Coordination, promotion and cooperation in implementing project activities including: participation in capacity building programs and forest monitoring activities, dissemination of information, support and follow-up of zero-deforestation agreements, definition of local commitments to reduce deforestation and promotion of sustainable management activities.
4	Indigenous peoples	Representatives from indigenous communities, organizations and communities present in the region.	Leadership of projects and activities to be implemented under Output 2.2., and participation in capacity building programs, as well as other forest management and monitoring activities defined in Outputs 1 and 2.1
5	Indigenous women	Women belonging to different indigenous groups present in the region.	Implementation of projects included in Output 2.2, and participation in capacity building programs and activities on forests management and monitoring related to Outputs 1 and 2.1
6	NGOs	Representatives of non-government organizations that play certain activities directly or indirectly related to forest	Project support with regards to socialization and consultation processes, as well as on-ground implementation of Output 1, 2.1 and 2.2.

No.	Group´s category	Description	Roles in the area/project implementation
		management and monitoring.	
7	Academia	Representatives of national and regional universities, as well as technical training centers (SENA) in areas and disciplines related to forest management and monitoring.	Participation in supporting technical support to forestry units, generation of specific knowledge about managed species' populations, implementation of forest management monitoring systems, training of local beneficiaries.
8	Private sector	Representatives of enterprises and other private sector structures	Direct implementation of measures and activities to reduce deforestation, support market linkages and market strategies to promote products derived from sustainable forest management
9	Agriculture sector organizations	Representatives of producers associations, buyer companies and other actors involved in the implementation of zero-deforestation agreements (FEDEGAN, FNC, Rubber Corporation, Fedemaderas).	Dissemination and promotion of activities to reduce deforestation and comply with commitments established in the zero-deforestation agreements.
10	Women groups (IPs and local communities)	Groups that mainly involve women and play roles in women rights and mainstreaming of gender consideration in different fields, particularly forests and agriculture	Ensure gender considerations across the different phases of the project
11	Consultants and extension workers	Independent professionals and state-dependent professionals that provide technical support and capacity building services to forest owners and forest companies/industry.	Support extension services and technical guidance to owners and communities involved in forest management/conservation activities, especially activities promoted by the project.

6.2 Stakeholders engagement

Local stakeholders and community members have a key role in the implementation and monitoring of the project. During the inception phase, the Project Management Unit, together with the Ministry of Environment and Sustainable Development, will consult and adjust project activities with all stakeholders, including community members, local government, environmental authorities, academia, etc. The project will facilitate an understanding of their roles, functions, and responsibilities within the Project's decision-making structures, including reporting and conflict resolution mechanisms.

The project Logic Framework (indicators, means of verification, assumptions) will be reviewed and adjusted engaging local beneficiaries. The stakeholders will also be engaged during the mid-term and final evaluations to assess the progress of the project and enable adaptive project management in response to the needs and priorities of the communities.

Forest monitoring activities approach requires engagement of all local stakeholders at village, municipality and regional level. The project will define mechanisms to engage communities in the management of information derived from national and regional forest monitoring systems and will strengthen capacities for these actors to make decisions.

At local level activities related to forestry units will be agreed with local governments, environmental authorities, smallholders and local communities in order to identify priority areas of intervention, based on specific criteria related to local commitments to reduce deforestation and implement sustainable forest management practices. The project will define specific road maps for the operation of forestry units, which will be constructed with the communities using a participatory approach. Local stakeholders will define mechanisms to assess progress of the implementation of road maps and adjust activities as needed.

As forest governance requires stronger capacities of local government and environmental authorities, the project will work closely with these actors in order to agree on activities, procedures and strategies to promote sustainable forest management at local level and strengthen their capacities for control and law enforcement. These actors will also be engaged in supporting the subscription of conservation agreements and the implementation of activities at the local level in such a way that they are able to provide technical support to beneficiary communities once the project is finished.

In the case of IPs, the Project will follow FAO and GCF indigenous peoples policies and will apply specific measures to foster full respect, promotion, and safeguarding of IPs rights so that they (a) benefit from activities and projects in a culturally appropriate manner; and (b) do not suffer harm or adverse effects from the design and implementation of GCF-financed activities. The project will also define an IPs Action Plan during the first semester of implementation, which will integrate all activities of the project that involve IPs or promote investments in IPs lands. Consultation and approval of the IPs Plan will follow procedures established by the Amazon Vision Program (PIVA), in close coordination with MIAACC, OPIAC and/or other IPs representative organizations (see Annex 5).

6.3 Institutional framework

6.3.1 Ministry of Environment and Sustainable Development (MADS)

The Ministry of Environment and Sustainable Development is the governing entity managing environment and renewable natural resources, responsible for guiding and regulating environmental planning, and defining policies and regulations related to restoration, conservation, protection, planning, management, use, and sustainable exploitation of renewable natural resources and environment of the country.

The Ministry supports the formulation of sector and territorial plans for adaptation to climate change as a strategy to reduce the risk of climate impacts on populations and Colombian ecosystems. with an outlook to conduct activities on Emission Reduction by Deforestation and Degradation of Forests, it is developing the National Strategy REDD+. Likewise, the Ministry leads the biodiversity policy, regulation, and its monitoring and assessment.

6.3.2 Regional Autonomous and Sustainable Development Corporations

The Autonomous Regional Corporations are public national entities that act as environmental authorities at the regional level. In Colombia, there are thirty-three (33) Corporations located throughout the country. Out of the thirty-three corporations, seven (7) are called Sustainable Development Corporations, given the high extensions of natural areas, the importance of the ecosystems they manage, and the provision of environmental goods and services for the region. The Colombian Amazon Biome, target area of this project, includes the jurisdiction of four Regional Environmental Authorities (Corpoamazonia, CDA, Cormacarena, Corponariño and CRC).

6.3.3 Departments, municipalities and indigenous territories

According to Article 298 of the Constitution, the departments have autonomy for the administration of sectional matters, as well as planning and promotion of economic and social development within its territory. Departments exercise actions on administration, coordination complementarity of municipal action, intermediation between the national government and municipalities, and the provision of services determined by the Constitution and laws.

The departmental governments administer directly and coordinate actions related to the management and promotion of the comprehensive development of its territory, in accordance with the Constitution and laws. Environmental issues in the departments shall issue special

provisions related to the environment; give technical, financial and administrative budgetary support to existing environmental authorities in their territory; coordinate and direct the environmental control and monitoring activities between municipalities, supported by the security forces in connection with the mobilization, utilization and commercialization of renewable natural resources; among others.

As it appears in Article 311 of the Constitution, "Municipalities are fundamental entities of the political administrative division of the State, and are responsible for providing public services specified by law, build the works required by local progress, order the development of its territory, promote community participation, social and cultural improvement of its people and fulfill other functions assigned by the Constitution and laws.

According to Article 317, only municipalities can tax property. A percentage of taxes is allocated to the entities responsible for the management and conservation of the environment and renewable natural resources, according to the development plans of the municipalities units area of jurisdiction (CAR, CDS, and Administrative Departments). In this context, municipalities can make decisions on incentives for farms that reduce deforestation and promote sustainable processes.

In the case of indigenous territories, councils created and regulated according to the customs of their communities shall exercise the functions related to the application of legal rules on land use and settlement of their territories, receive and distribute resources, policy and plans, and programs of economic and social development, promote public investments in their territories, and ensure its proper implementation, among others (Art. 330 Political Constitution of Colombia) .The indigenous territorial entities have the same functions and duties defined for municipality environmental matters (Act 99 of 1993.)

6.3.4 Agriculture sector associations

Agricultural industry in Colombia is organized in formal supply chains represented by farmers associations, which involve producers, traders, and exporters. These associations support implementation of policies and regulation. Depending on financial resources available, these associations provide technical assistance to producers and represent members in political and technical contexts. Funds for technical support come from parafiscal charges, created by the General Law on Agricultural and Fisheries Development (Law 101 of 1993).

6.3.5 Research Institutes

Article 16 of Law 99 of 1993 that created the Ministry of Environments as the public sector responsible for the management and conservation of the environment and renewable natural resources, and regulated the National Environmental System –SINA, made provisions to create the following scientific entities:

- Institute of Hydrology, Meteorology and Environmental Studies -IDEAM-;
- Institute of Marine and Coastal Research "José Benito Vives de Andreis" -INVEMAR-;
- Institute of Biological Resources Research "Alexander von Humboldt";
- Amazon Institute of Scientific Research "SINCHI";
- Pacific Environmental Research Institute "John von Neumann".

Research institutes functions (Alexander von Humboldt, Sinchi and John von Neuman) include the development of scientific and technological research that contributes to the improvement of the population's well-being, preservation of the quality of the environment and sustainable use of natural resources providing scientific and technical support to the Ministry of Environment, for the fulfillment of its functions (Decree 1603 27 July 1994). The most relevant Institutes to support activities of this project are IDEAM and Sinchi Institute.

6.3.6 Universities and academic institutions

The Amazon University and the National Service of Learning (SENA) are the main academic institutions that could support the project, specifically in all issues related to forest management, as well as provision of technical assistance and training services to all beneficiaries of the project.

Other Universities such as University of Tolima, University of the Bogotá District, the National University and other private universities could support specific research aspects required by the project and provide technical support to the technical team.

- **University of the Amazon**

The University of the Amazon is a higher education institution created as public establishment of the national order, attached to the Ministry of National Education, located in Florencia, capital of the Department of Caquetá. The objectives of the University includes:

  - Promote knowledge and reaffirmation of the values of the Colombian nationality and the expansion of the areas of creation and enjoyment of culture.
  - Prepare human, technical, scientific and cultural resources indispensable to the socio-economic development of the Amazon.
  - Encourage the investigation of the Amazon resources
  - Promote the integration of Amazonian populations into the national development process
  - Exchange information, promote agreements and other activities that contribute to preserve the environment and conserve the Amazon resources
  - Serve as an epicenter of consultation and coordination among state and private sector institutions on issues related to the management of flora and fauna of the Amazon, the maintenance of the ecological balance of the region and the preservation of the species.

- **SENA**

The National Learning Service (SENA) is a public establishment of the national order, associated to the Ministry of Labor of Colombia. The institution offers free training programs to millions of Colombians who benefit from technical, technological and other complementary programs, focused on the economic, technological and social development of the country.

The entity works in permanent alliance between Government, businessmen and workers with the firm purpose of achieving Colombia's competitiveness through increasing productivity in companies and regions. For this reason, programs and projects of social, business, training, innovation, internationalization and transfer of knowledge and technologies are continuously generated.

6.4 Grievance Redress Mechanism

The grievance redress mechanism (GRM) is an integral project management element that intends to seek feedback from beneficiaries and resolve of complaints on project activities and performance. The mechanism is based on FAO requirements and most importantly, it is based on existing, community specific grievance redress mechanisms preferred by local beneficiaries.

6.4.1 FAO's Approach to the GRM

FAO is committed to ensuring that its programs are implemented in accordance with the Organization's environmental and social obligations. In order to better achieve these goals, and to ensure that beneficiaries of FAO programs have access to an effective and timely mechanism to address their concerns about non-compliance with these obligations. The Organization, in order to supplement measures for receiving, reviewing and acting as appropriate on these concerns at the program management level, has entrusted the Office of the Inspector-General with the mandate to independently review the complaints that cannot be resolved at that level.

FAO will facilitate the resolution of concerns of beneficiaries of FAO programs regarding alleged or potential violations of FAO's social and environmental commitments. For this purpose, concerns may be communicated in accordance with the eligibility criteria of the Guidelines for Compliance Reviews Following Complaints Related to the Organization's Environmental and Social Standards[52], which applies to all FAO programs and projects.

[52] Compliance Reviews following complaints related to the Organization's environmental and social standards: http://www.fao.org/aud/42564-03173af392b352dc16b6cec72fa7ab27f.pdf

Concerns must be addressed at the closest appropriate level, i.e. at the project management/technical level, and if necessary at the Regional Office level. If a concern or grievance cannot be resolved through consultations and measures at the project management level, a complaint requesting a Compliance Review may be filed with the Office of the Inspector-General (OIG) in accordance with the Guidelines. Program and project managers will have the responsibility to address concerns brought to the attention of the focal point.

The principles to be followed during the complaint resolution process include: impartiality, respect for human rights, including those pertaining to indigenous peoples, compliance of national norms, coherence with the norms, equality, transparency, honesty, and mutual respect.

6.4.2 Project-level grievance mechanism

As part of the Safe-guards National System and REDD+ strategy, the Colombian government is defining the condition for operating a permanent grievance system. Until this mechanism is fully operational, the National Citizen Grievance Mechanism (MAC in Spanish) is being used as an element of the National Safeguards System with the objective of informing how the safeguards defined by the UNFCCC for REDD+ in Colombia are being addressed and respected. Through this system the National Government Institutions receive and manage claims and /or suggestions. The design and implementation of the mechanism is framed in the citizen service policy as an Open Government Model, with three fundamental principles: transparency, participation and citizen collaboration. The MAC of the Ministry of Environment and Sustainable Development is currently managing questions, complaints, claims, suggestions and observations (PQRSD in Spanish) on the application, respect or omission of safeguards during the design and implementation of REDD+ projects. National programs or projects under the umbrella of the Amazon Vision Program are using their own mechanisms and specific email addresses have been defined to respond requests, complaints and claims.

Currently, the Amazon Vision Program has its own GRM mechanism, while an integrated mechanisms is defined for all programs within the framework of ENREDD +. For the management of PQRSD of the AVP a citizen assistance module is available on Amazon vision website. The complaints and claims collected through this portal, are addressed by pqrvisionamazonia@minambiente.gov.com email to Deputy Minister office. The PQR treatment process consists in, once received, the Pillar Leader prepared the response, which is then sent to the Deputy Minister offices to be written and officially sent. The PQR responses are monitored to consolidate a file for frequent PQR and responses in order to facilitate and expedite the delivery of responses. Since the PQR mechanism is a source of feedback on the management of the AVP, a qualitative analysis of the treated PQR is carried out on a quarterly basis, where it is decided on possible pertinent measures to improve communication mechanisms or adapting management procedures. A synthesis of these analyzes, both quantitative (number of requests processed) and qualitative, and the measures taken in response to the PQR are included in the respective quarterly report.

On the other hand, FAO is committed to ensuring that its programs are implemented in accordance with the Organization's environmental and social obligations. In order to better achieve these goals, and to ensure that beneficiaries of FAO programs have access to an effective and timely mechanism to address their concerns about non-compliance with these obligations, the Organization, in order to supplement measures for receiving, reviewing and acting as appropriate on these concerns at the program management level, has entrusted the Office of the Inspector-General with the mandate to independently review the complaints that cannot be resolved at that level. Consequently, this Project will define a GRM system to manage requests, complaints and claims articulated with the FAO procedures and existing mechanisms managed by the Ministry of Environment and the Amazon Vision Program.

FAO will facilitate the resolution of concerns of beneficiaries of FAO programs regarding alleged or potential violations of FAO's social and environmental commitments. For this purpose, concerns may be communicated in accordance with the eligibility criteria of the Guidelines for

Compliance Reviews Following Complaints Related to the Organization's Environmental and Social Standards[53], applied to all FAO programs and projects.

Concerns must be addressed at the appropriate level, i.e. at the project management/technical level, and if necessary at the Regional Office level. If a concern or grievance cannot be resolved through consultations and measures at the project management level, a complaint requesting a Compliance Review may be filed with the Office of the Inspector-General (OIG) in accordance with the Guidelines. Program and project managers will have the responsibility to address concerns brought to the attention of the focal point.

The principles to be followed during the complaint resolution process include: impartiality, respect for human rights, including those pertaining to indigenous peoples, compliance of national norms, coherence with the norms, equality, transparency, honesty, and mutual respect.

Project-level grievance mechanism

The project will establish a grievance mechanism at field level to file complaints during project inception phase. Contact information and information on the process to file a complaint will be disclosed in all meetings, workshops and other related events throughout the life of the project. In addition, it is expected that all awareness raising material to be distributed will include the necessary information regarding the contacts and the process for filing grievances.

The project will also be responsible for documenting and reporting as part of the safeguards performance monitoring on any grievances received and how they were addressed.

The mechanism includes the following stages:

1. In the instance in which the claimant has the means to directly file the claim, he/she has the right to do so, presenting it directly to the Project Coordination Unit (PCU). The process of filing a complaint will duly consider anonymity as well as any existing traditional or indigenous dispute resolution mechanisms and it will not interfere with the community's self-governance system.
2. The complainant files a complaint through one of the channels of the grievance mechanism. This will be sent to the Project General Coordinator (PGC) to assess whether the complaint is eligible. The confidentiality of the complaint must be preserved during the process.
3. The Project Advisory Committee (PAC) will address eligible complaints. The PGC will be responsible for recording the grievance and how it has been addressed if a resolution was agreed.
4. If the situation is too complex, or the complainer does not accept the resolution, the complaint must be sent to a higher level, until a solution or acceptance is reached.
5. For every complaint received, a written proof will be sent within ten (10) working days; afterwards, a resolution proposal will be made within thirteen (30) working days.
6. In compliance with the resolution, the person in charge of dealing with the complaint, may interact with the complainant, or may call for interviews and meetings, to better understand the reasons.
7. All complaint received, its response and resolutions, must be duly registered.

6.4.3 Internal process

The Project Management Unit (PMU) will be responsible for replying citizen´s requests and coordinate with the Minister of Environment and Sustainable Development and the Amazon Vision Program. The Ministry of Environment will issue official responses in line with the mechanisms implemented by the Amazon Vision Program.

The complaint could come in writing or orally to the Project Management Unit directly. At this level, received complaints will be registered, investigated and solved by the PMU. If the complaint

[53] Compliance Reviews following complaints related to the Organization's environmental and social standards: http://www.fao.org/aud/42564-03173af392b352dc16b6cec72fa7ab27f.pdf

has not been solved and could not be solve in level 1, then the Project General Coordinator (PGC) elevates it to the Ministry of Environment and Sustainable Development.

The assistance of the FAO Representative would be requested if a resolution was not agreed in levels 1 and 2. If the problem is highly complex and cannot be solved in the lower levels that National Representative will request if necessary the advice of the Regional Office to resolve a grievance, or will transfer the resolution of the grievance entirely to the regional office. The FAO Regional Representative will request only on very specific situations or complex problems the assistance on the FAO Inspector General who pursuits its own procedures to solve the problem. The steps considered for the process are:

1. Project Management Unit (PMU). The complaint could come in writing or orally to the PMU directly. At this level, received complaints will be registered, investigated and solved by the PMU.
2. If the complaint has not been solved and could not be solve in level 1, then the Project Manager elevates it to the Project Board (Board).
3. FAO Representative. The assistance of the FAO Representative in Colombia is requested if a resolution was not agreed in levels 1 and 2.
4. FAO Regional Office for Latin American and the Caribbean. FAO Representative in Colombia will request if necessary the advice of the Regional Office to resolve a grievance, or will transfer the resolution of the grievance entirely to the regional office, if the problem is highly complex.
5. The FAO Regional Representative will request only on very specific situations or complex problems the assistance on the FAO Inspector General who pursuits its own procedures to solve the problem.

Resolution

Upon acceptance a solution by the complainer, a document with the agreement should be signed with the agreement. Complaints and resolutions will be adequately filed and reported in the Project progress reports and disseminated to the involved communities. The TL of the Output 3 will define case by case the best mechanisms to inform communities, in close coordination with project partners and the relevant government authorities and with the support of field staff.

Table 14. Description of responsibilities for the implementation of the project-level grievance mechanism

Review Level	Responsibilities
Project Management Unit (PMU)	Project Manager must respond within 10 working days with support of the PMU team, partners and implementation agencies
Project Board	Complex response/ complainer does not accept the resolution:. Project Manager must send the information to all Project Board members and call for a meeting to find a solution. The response must be sent within 5 working days after the meeting of the Project Board.
FAO Representation in the Country	Complaints that Project Board considers must be addressed at a higher level: Project Manager send request and FAO must respond within 5 working days in consultation with FAO's Representation. FAO Representative in Colombia. Alan Bojanic H. Alanjorge.bojanic@fao.org Phone: (57 1) 346 5101
FAO Regional Office for Latin America and the Caribbean	Complainer does not accept resolution from FAO representation in the country: FAO-COL sends to FAO

	regional officer, which must respond within 5 working days in consultation with FAO's Representation. FAO Representative: Julio Berdegué RLC-ADG@fao.org; Julio.Berdegue@fao.org Tel: (56 2) 2923 2100
Office of the Inspector General (OIG)	To report possible fraud and bad behavior by fax, confidential: (+39) 06 570 55550 By e-mail: Investigations-hotline@fao.org By confidential hotline: (+ 39) 06 570 52333

7 ENVIRONMENTAL AND SOCIAL RISK MANAGEMENT

According to FAO guidelines, risk is the effect of uncertainty on objectives and impacts, where the effect is a deviation from the expected – positive and/or negative outputs. Therefore, risk management is a coordinated set of activities to direct and control an organization with regard to risk. It comprises a structured, methodical approach to identifying, scoring and reducing exposure to risks for the achievement of objectives. Risk management helps managers make sure their strategies are robust and that they identify weak points and mitigating actions for managing operations and minimizing risks. It also reinforces accountability by facilitating agreement between a team and their supervisors on the problems and challenges expected and the measures to address them. At the project level, FAO applies a risk management process that focuses specifically on individual project risks.

At the project and field level, FAO Environmental and Social Standards (ESS) 1-9 are designed to help manage and improve FAO environmental and social performance through a risk and outcome based approach. Projects must meet the nine ESS standards, which set out specific requirements relating to different social and environmental issues.

In order to ensure that the environmental and social issues are addressed properly in accordance and in compliance with the FAO and GCF Policies. All project activities shall undergo screening, assessment, review, and clearance process before execution of the project activities.

According to the characteristics of this Project environmental and social risk management will be implemented at two levels: Project activity level and sub-activities and sub-projects levels.

7.1 Potential environmental and social risk mitigation measures at activity level

Potential negative impacts and proposed mitigation measures have been identified for each of the activities proposed by the Project under each of their three project Outputs. Screening at activity level was developed taking into account previous experiences of the Amazon Vision Program and FAO in Colombia[54] and the risks considered in the GIRSA according to the national REDD+ safeguards (Table 15).

As the Project is classified as Moderate Risk, according to the FAO Guidelines, this analysis will serve as a basis to prepare the requested Environmental and Social Analysis for Moderate Risk Projects, which will be elaborated during the first months of implementation of the Project and once the areas of intervention has been identified and agreed in coordination with national government and relevant stakeholders. According to this the PMU, in coordination with FAO will include specific activities for the elaboration of the ESA and implementation of the mitigation measures in the Project Work Plan of the first year. The Technical Committee may be involved in the elaboration of the ESA, so that their members can provide technical advise during the assessment process and recommendations about mitigation measures. As requested, the construction of the ESA will involve all relevant stakeholders that could be involved in the implementation of the activities as those that could be affected for the interventions.

Based on the recommendations derived from the ESA and according to FAO procedures for Moderate Risk projects, an Environmental and Social Commitment Plan (ESCP) will be prepared during project development to set out the measures and actions required for the project to manage and effectively mitigate environmental and social risks and achieve compliance with ESS over a specified timeframe. The ESCP sets out the project commitments and lists actions that the project will take and a timeframe for these actions to achieve compliance with the standards and manage the identified risks and impacts throughout the entire life of the project. The ESCP will incorporate the mitigation recommendations of the ESA and the results of the stakeholder engagement process and will summarize concrete measures and actions required to avoid, minimize, reduce or otherwise mitigate the potential environmental and social risks and impacts of the project. Annex 4 and 5 include proposed outlines for the ESA and the ESCP.

[54] http://www.fao.org/3/ca7758es/CA7758ES.pdf

Being the ESCP the monitoring and reporting tool, this will defined the mitigation indicators to be monitored, the time frame agreed, reporting mechanisms and templates, reporting time frame and will define the procedures to adjust mitigation measures and plans, following and adaptive management approach. Therefore, according to the monitoring tools and mechanisms defined in the ESCP the TL of the Output 3 will be responsible of reporting periodical monitoring results to the Project Board to keep their members informed about the potential adverse risks of the Project and ask for advice when needed.

The TL of the Output 3 acting as Safeguard Specialist will be the responsible of leading the formulation of the ESA and the application of the monitoring tools along the project cycle. According to the results of the monitoring, the Safeguard Specialist in coordination with the Technical Leaders of each output will propose a budget for the implementation of the mitigation measures and will include them in the Annual Work Plan of the Project. Also the Specialist will be responsible of reporting the progress in the implementation of mitigation measures and the monitoring results in the Project annual reports and other reports that may be requested by the Project Board, FAO, GCF or the Ministry of Environment and Sustainable Development.

Table 15. Potential adverse impacts and proposed mitigation measures

Project activities	Risk description	Comments	Level of risk (Screening)	Mitigation measures
OUTPUT 1. National an local capacities for monitoring and control strengthened				
Activity 1.1 Strengthening of the existing national forest monitoring of early warning reports in deforestation hotspots.	• Access to information about forests, threats and deforestation is inequitable. Limited capacities of local authorities and stakeholders to participate in making-decisions processes • Stakeholders do not take adequate or pertinent decisions about forest management because of the limited information available	The forest monitoring systems operates at a national level and warnings are generated quarterly. Forest monitoring reports are generated at a national level and published in web pages of IDEAM. Lack of access from local, regional and indigenous authorities, as well as other relevant stakeholders limits the capacity of these reports to act against deforestation drivers in the space and time at which the forest is being cut. Thus, particular attention must be given to both the design and implementation of control-deforestation instruments and their rapid diffusion, to assure that stakeholders know and understand these reports, and take actions based on the information derived from them.	LOW RISK	• National carbon and forest monitoring system will be strengthen to generate warnings more frequently in amazon hotspots • Provide the basis for developing technological applications and other information mechanisms that generate information in real time for local people. • Alternative communication/information instruments will be designed to assure that all relevant stakeholders have access to forest monitoring information in languages and formats that they can manage. Specific instruments will be designed to assure indigenous peoples and women participation.
Activity 1.2. Support the implementation of a strategy for Green Municipalities	• No recognition, respect or inclusion of the mechanisms of government and decision-making • Little applicability of institutional instruments • Institutional gaps for decision making and implementation of activities to reduce deforestation	Municipalities with big forest extensions have no capacities neither financial resources to promote forest conservation strategies in their territories, for this reason they need specific support to strengthen capacities to access additional funding and design tailored strategies to increase their efficacy to address forest threats by attracting investors and promoting private sector commitments.	LOW RISK	• Support local authorities in the design and implementation of strategies to reduce deforestation by increasing access to financial resources and promoting wide participation of all relevant stakeholders. • Identify institutional gaps and define with the relevant stakeholders the mechanisms needed to strengthen articulation among national, regional and institutions around green municipalities strategies. • Support the mechanisms identified to strengthen institutional joint action at local level. • Strengthen of institutional capacities of local producers, women groups and local associations or representative institutions in order to raise

Project activities	Risk description	Comments	Level of risk (Screening)	Mitigation measures
				awareness of deforestation and promote local commitments to support green municipalities efforts. • Promote local commitments of municipalities and production sectors. • Setting up mechanisms to monitor green municipalities progress against deforestation and low carbon development goals • Develop strategies to support municipalities and put in place institutional policies to track sustainability efforts of development sectors and municipalities.
Activity 1.3 Support the implementation of rural environmental cadasters as a measure to monitor deforestation at land level	Registry systems may create expectations on land ownership and generate an incentive for new colonization processes or displacement.	Rural cadaster might be an instrument to monitor local commitments to reduce deforestation, however at a local level this instrument would be applicable to lands that are legally registered. In the current context, promotion of rural registers might generate wrong expectations on land property rights, and possibly constitutes a perverse incentive. Thus, It is important that rural registers processes define specific guidelines on its application in legal and non-legal lands. It is also important to bear in mind that registers could be part of a more comprehensive program to promote land legalization aligned to other national initiatives such as the lands fund (peace agreement) or the multipurpose cadaster.	LOW RISK	• Design a system to implement rural registers, defining sound and clear guidelines including aspects such as the objective of the registers, the use given to the information recorded on each land, information management methods, types of reports to be generated and data to be disseminated. • Inform local beneficiaries about the scope of this register and implement mechanisms to solve doubts about the application • Design specific mechanisms to inform women and vulnerable groups. • Identify and apply the instruments needed to promote voluntary register of local communities and their commitment to conservation agreements..

Project activities	Risk description	Comments	Level of risk (Screening)	Mitigation measures
Activity 1.4 Implementation of the Deforestation Control Protocol (monitoring, forest traceability, operational and administrative) - including the reinforcement of deforestation control actions and other associated crimes	• Inadequate capacity of stakeholders to participate in decision-making and negotiation processes • Low ownership of the processes in the territory Inequality in information access • Little participation of local stakeholders in dialogue spaces • Decision-making processes not consistent with the needs and expectations of the interested parties	The National Government created the National Council to Combat Deforestation and other Associated Environmental Crimes (CONALDEF) for the defense of water, biodiversity and the environment. Functions of this Council include: Propose the policy, plans, programs and strategies to combat deforestation, adopt and dictate norms and regulations, monitor progress of activities to combat deforestation and coordinate international cooperation support.	LOW RISK	• Provide support National Government in the operation of the National Council to Combat Deforestation (CONALDEF), led by the MADS and conformed by other government´s institutions • Identify and apply mechanisms to assure that interested parties have equal access to all relevant information needed for making decisions, • Implement communication and coordination mechanisms for involving local stakeholders more effectively and promote participation of all interested parties, including the design and implementation of specific tools to involve indigenous peoples and women. • Implement training programs address local stakeholders needs of information and capacities to increase participation and ownership of national processes at the regional and local level.
OUTPUT 2. Forest areas sustainably managed and contributing to close the agriculture frontier				
Activity 2.1. Support local community-base organizations in the design and establishment of sustainable forest management units in eight areas	• Legal procedures are not in place to promote integrated management of forests and facilitate community access to natural resources. • Dependence on a single source of income and reduction of economic income obtained by current unsustainable productive activities • Land ownership limitations might constitute difficulties in assuring long-term forest management activities.	Procedures: Current procedures might constitute a barrier for supporting local communities and entrepreneurs in developing sustainable forest management nuclei. It is important to agree with the environmental authorities a set of procedures that would be applied by communities and entrepreneurs in these forestry units, including monitoring systems that evaluate affectivity and efficiency of procedures, as well as the sustainability of the management system in the long-term. The nuclei supported by the project could be considered as reference points for implementing new nuclei with adjusted procedures and rules. Sustainability: Forest management units must assure that extraction practices are not	LOW TO MODERATE RISK	• Support national government and regional authorities in the establishment of procedures to assure the economic, social and environmental feasibility of the sustainable forest management nuclei. • Forestry units will promote diversity of products, to reduce dependence economic dependence of one or two single products and diversify the local economy • Regarding land tenure rights, the project and the government will consider schemes to guarantee that local communities holding a forest management permit are allowed to manage the resources of the surrounding area in a sustainable way. • Implement training programs, involving a gender perspective, to create capacities for local forest management including (see Activity 2.2).

Project activities	Risk description	Comments	Level of risk (Screening)	Mitigation measures
	• Local communities lack knowledge about forest management practices as they have been depending from agricultural systems • Forest management activities may incentivize intervention in natural ecosystems and protected areas or their buffer zones • Forestry units may operate in areas with low labor and gender equality standards	depleting the populations of managed species and are not affecting or changing the characteristics of surrounding natural ecosystems or protected areas Labor: Forestry units may operate in location characterized by subsistence production systems, informal agricultural activities, lack access to decent jobs and prevalence of gender inequality in the labor market		**MODERATE RISK**: The Project will develop an Environmental and Social Analysis for Moderate Risk Projects (ESA) including specific assessments of the risk and measures to reduce and monitor impacts. • The National Park Unit will be informed about activities to be developed in neighboring areas and will be invited to participate in monitoring activities of the ESA • Forestry Units will subscribe forest conservation agreements to avoid impacts in natural forest areas surrounding the forestry units.

Project activities	Risk description	Comments	Level of risk (Screening)	Mitigation measures
Activity 2.2 Implementation of training programs for sustainable forest management	• Forest ecosystems are impacted negatively by the lack of knowledge on the appropriate management practices. • Lack of knowledge on the managed species and their populations drive the depletion of the species at local level. • Dependence of few species makes the production system economically unsustainable and generates overexploitation practices. • Little participation of women in new forest-based businesses	Traditionally, forest management in the region is not applied, and use of non-timber forest products is frequently promoted under cultivation. There is a need to generate local capacities for forest management, integrated to other agriculture systems that are presently dominant in the intervention area. In this context, and taking into account the need to promote sustainable alternatives, it is important to design and implement a technical assistance program targeted to the communities that are going to be part of the forest management nuclei. Those programs should include information on the species to be managed, their habitats, recommended management practices and monitoring systems. The training program should include information on how to calculate harvest rates and how to manage information derived from monitoring systems, in such a way that communities be able to make adjustments and decisions in favor of managed species conservation.	LOW RISK	To reduce risks, the project will design a specific training program to generate capacities for sustainable forest management at a local level. This program will include: - Identification of species with market potential and analysis of economic feasibility. - Analysis of population´s characteristics (abundance, density, distribution, productivity) to identify potential harvesting, non-detrimental management practices and other habitat management considerations. - Design of management systems: non-detrimental harvest practices, management conditions (individual size, characteristics of raw materials to be collected, etc.). - Development of local inventories and implementation of monitoring systems - Support of monitoring systems application, including analysis of resulting data and recommendations to adjust management conditions, if necessary. • To promote women participation, the project will assess women capacities and interests related forest management and will design training programs to promote women initiatives and integrate them into the training programs promoted and implemented by the project

Project activities	Risk description	Comments	Level of risk (Screening)	Mitigation measures
Activity 2.3 Market access and strengthening of product value chains of timber and non-timber forest products and other sustainable products derived from forestry units	• Limited access to target markets. • Exclusion of local communities and/or women groups.	Market: One of the main incentives for implementing sustainable practices in forest management nuclei is the market demand. It is important to evaluate for each nucleus the market opportunities and consider this in the design of the management system. It would be an asset to involve private companies in the process of forest product development, and act in partnership with other actors to continue the activities once the project is completed. Exclusion of local communities and women groups: Market demand requires volumes not easily managed by local communities with any capacities for provision of forest products. To reduce costs and assure the provision, buyers decide to work with intermediaries or bring their own workers, excluding local communities and generating little value-added at a local level. The project may generate mechanisms to assure that buyers include local communities and invest in the creation of capacities for generating value-added products in situ.	LOW RISK	• Support the development of market studies for identified products of sustainable management forest nuclei and will support tailored market strategies for each forestry unit • Build on existing experiences in the promotion of private sector partnerships. • Support a strategy to raise awareness on the products derived of sustainable forest management nuclei by highlighting the production conditions considered in those systems, and their contribution to conservation of forests, climate change mitigation, local community well-being, among other relevant messages. • Implementation of market strategies and support to local supply chains and market linkages, in a way that local communities are included and capacities are generated to continue marketing activities once the project ends. • Support communication strategies to make it visible the traditional activities of local communities and women that contribute to reduce threats of forest ecosystems and promote sustainable forest management.

Project activities	Risk description	Comments	Level of risk (Screening)	Mitigation measures
Activity 2.4 Strengthening regional environmental authorities in the implementation of monitoring and control mechanisms and instruments to assure sustainable forest management in selected forestry units.	• Incidence of external agents in decision making and control of the territory (e.g. armed groups and illegal activities) • Local authorities lack capacities (human resources and financial resources) for law enforcement and support community-based forest management units	Regional Environmental Authorities currently operate permission systems to allow the management of natural forests. Authorities normally manage the approval process, revising the information contained in the required management plans (census and inventories), verifying the quantities and species that are to be included in the permit. Once the permit is granted, there is no capacity of local authorities to follow up to the implementation of the management plan, there are no procedures to monitor that species and quantities permissioned are actually what managers are mobilizing, and sometimes control activities are hindered by local security problems. Regarding the management of species, regional environmental authorities have no installed capacity to monitor managed species, with little knowledge ion them and their populations, as well as no specific conservation strategies in place. Strategies of the project might need to define specific interventions that tackle the main problems related to forest management sustainability and focus on the establishment of sustainable forestry units.	LOW RISK	• Promote articulation of local and national actions and facilitate the joint work with the CONALDEF and other authorities. • Assess institutional gaps capacities of environmental authorities for control practices and support a strengthening capacities program • Identify the support needed to monitor forest management units and identify resources, procedures and instruments needed to improve capacities of regional environmental authorities. • Implement a capacity building program in parallel to the establishment of forestry units, • The project will address the legal and capacity loopholes that limit activities to control and monitor forest management systems by supporting environmental authorities in the definition of norms and regulations on legal procedures and the monitoring to its implementation.
Activity 2.5 Design of incentives and financial instruments to promote sustainable forest management	Lack of clear rules on the participation and distribution of benefits Institutional instruments are not applicable and local communities lack the capacities for accessing financial incentives	Requirements of rural financial mechanisms (e.g. credits) usually imply land property, which might constitute a constraint in areas where land tenure rights are not clear and local communities have no formal economic activities. I It is also important to take into account that community lands are not often beneficiaries of financial mechanisms, so there is a need to design specific mechanisms to benefit	MODERATE RISK	Design a set of incentives aligned with the needs local communities, women groups and indigenous peoples interested in participating in forest management activities. In addressing the risks, the project will identify feasible and novel incentives that consolidate forest management units, including instruments that promote responsible tenure of forestlands. The project will identify specific instruments suitable for involving and incentivize indigenous

Project activities	Risk description	Comments	Level of risk (Screening)	Mitigation measures
	Exclusion of community lands.	indigenous lands, as well as community lands involved in forest management nuclei.		communities and women groups interested in establishing sustainable forest management units.
Activity 2.6 Implementation of long-term community-based monitoring systems in forestry units	• Lack of incentives for people to engage and maintain monitoring initiatives. • Monitoring systems are not appropriate to assure that forest management is sustainable.	Local communities are called to implement monitoring activities to reduce deforestation and assure sustainable forest management. However there are few incentives for them to engage in those activities, which, when available, are often part of specific international cooperation projects. Thus, community-based monitoring could be integrated to the implementation of sustainable forest management, in a way that its activities and associated costs are included into the system. Also, monitoring activities could be linked to the promotion of incentives such as PES.	LOW RISK	• To reduce the risk that monitoring activities are not implemented because of the lack of incentives, the project will guarantee that those activities and its costs be included as part of the management system. In this way, the management system would define specific budgets to keep monitoring systems working. • Monitoring systems will be tested and data analyzed with a participatory approach in order to made adjustments at local level and assure the these systems provide the information needed for making future decisions to improve the sustainability of the management and reduce risks on the survival of the managed species. • In addition, market strategies will highlight the value added of monitoring activities to assure sustainability of products derived of the management system.
OUTPUT 3. Territorial governance and capacities of indigenous peoples strengthened for forest management and conservation.				

Project activities	Risk description	Comments	Level of risk (Screening)	Mitigation measures
Activity 3.1 Strengthening REDD+ implementation and forest governance in Indigenous Territories	• No recognition, respect or inclusion of the mechanisms of own-government and decision-making • Scaling-up of internal political and philosophical conflicts of the communities • IP organizations and communities have no capacities for the formulation and implementation of projects • Lack of access to information excludes organizations or communities and parties interested	Pillar 4 of the Amazon Vision Program (PIVA) has been formulated based on a participatory process implemented in close coordination with the MIAACC, MADS and OPIAC. This process established agreements on the methodology for the implementation of activities and the support of the project formulated by IPs organizations and communities. Although procedures took into account several criteria to assure representativeness and promote active participation, it is important to revise mechanisms to guarantee both, that information about the project reaches all communities interested and that technical assistance is provided to support project formulation and implementation.	MODERATE RISK	• In close coordination with the Amazon Vision Program and the relevant stakeholders involved in the implementation of the PIVA, the project will define specific mechanisms to support IPs in the formulation of sub-projects and facilitate broad dissemination of the call promoted by the project. • Project activities will be built on the lessons learned from previous calls developed by the Amazon Vision Program, and will adjust procedures and practices in order to support IPs in the implementation of selected projects. The project will conduct a gender-sensitive stakeholder analysis to ensure equal opportunities for women and men, and assess the gender sensitivity of planned activities. In this context the project may need to implement specific activities to strengthen women participation and support women organizations in the formulation and implementation of projects that contribute to increase governance in indigenous territories MODERATE RISK: The project will develop an Environmental and Social Analysis (ESA) and agreed on an Environmental and Social Commitment Plan (ESCP) that would take into account Indigenous Peoples Planning Framework and will assess the impacts and guide implementation and monitoring of mitigation measures to assure that this activity in general and the supported sub-projects involve the necessary measures to foster full respect, promotion, and safeguarding of IPs rights so hat they (a) benefit from activities and projects in a culturally appropriate manner; and (b) do not suffer harm or adverse effects from the design and implementation of GCF-financed activities
Activity 3.2 Empowerment and participation of indigenous women	• Lack of capacities and access to information exclude women or reduce participation of women in the project's activities	As activities of the project will be focused on supporting implementation of projects formulated by indigenous peoples, the project requires the design of mechanisms and activities to assure women participation.	MODERATE RISK	

7.2 Defining Sub-Activities and Sub-projects

Although the potential adverse environmental impacts from the project are likely to be small and limited, such impacts can accrue into larger impacts if they are not identified early during the planning cycle and their mitigation measures integrated into the project planning and implementation. Definition of sub-activities and subprojects constitute a tool to identify expected impacts and mitigation at a lower scale and define specific mitigation and monitoring measures.

As described in section 2, implementation of the Project requires the definition of sub-activities and sub-projects for each of the proposed activities, which may include design and implementation of training and capacity building programs and incentives, establishment of forestry units, infrastructure investments in forestry units, subprojects implemented in indigenous territories and specialized studies, among others. As these sub-activities and sub-projects will be defined during the implementation phase FAO is committed to ensuring meaningful, effective and informed participation of stakeholders in the definition of these during the first year of the project or during the implementation depending on the annual work plans agreed with interested parties, so that impacts are identified early during the planning cycle and mitigation measures are integrated into project planning and implementation. In the case of Output 3, sub-projects will be identified according to the periodicity of the public calls that will be part of Activity 3.1 and 3.2, thus these Output will have specific processes of risk identification and management that will operate since the application process.

During the process identification and definition of sub-activities and sub-projects the PMU will assess the likelihood of risks in relation to any potential adverse impacts and overlaps of activities within protected areas, compliance with labor laws/ standard, women participation and gender violence. This is taking into account that the risk classification of this project is Moderate Risk due to potential impacts on protected areas, indigenous peoples territories, decent work and gender equality, therefore sub-activities and sub-projects supported in the framework of this project must not increase the risk classification of this project and instead may help to reduce risks and implement mitigation measures.

7.3 Environmental and Social Risk Screening of Activities/Sub-Activities/Sub-projects

As the level of risk may not always be immediately apparent or may change during project preparation when projects sites are being identified. The Project activities will be systematically screened and monitored during its implementation in order to identify indirect, cumulative and associated impacts, as relevant.

Screening is the process of identifying and classifying E&S risks associated with individual projects. The Safeguards Specialist (TL of the Output 3) will head up the process of screening of all sub-activities and sub-projects defined, with the support of TL of Outputs 1, 2 and 3 and the Gender Specialist following this process:

1. Sub-activities and sub-projects defined are preliminary screened by the PMU using FAO´s environmental and social screening checklist and preliminary mitigation measures identified.
2. The sub-activities and sub-projects are classified according to the risk level given by the nature and significance of potential environmental and social impacts. Three categories of risk will be defined: low, moderate, and high. All sub-activities and sub-projects must be screened. The classification system provides an opportunity to address potential environmental and social risks, while, at the same time, ensure the sustainability of Project outcomes.
3. The TL of the Output 3 consults with project-affected representative stakeholders (communities, authorities, civil society representatives, etc.) and experts the potential adverse impacts of sub-activities or sub-projects considered as moderate or high risk.

Depending the nature, magnitude, reversibility and location of impacts the TL of the Output 3 and the Project Manager will define the need to develop further consultations.

4. Screening is adjusted according to the results of consults with stakeholders and experts
5. FAO's environmental and social screening checklist (Annex 3) will determine if a sub-activity will require an Environmental and Social Management Plan (ESMP). According to the nature, magnitude, reversibility, and location of impacts of each sub-activity or sub-project, expert judgment will be a main factor in deciding whether an ESMP is required for a sub-activity or not. For a sub-activity that requires an ESMP, the proposal must include a set of mitigation measures with monitoring and institutional arrangements, to be taken during the implementation phase to correctly manage any potential adverse environmental and social impacts that may have been identified.
6. As FAO will undertake environmental and social screening following FAO's Environmental and Social Screening Checklist. The TL of the Output 3 will aggregate the results of the screening checklists and send it to the ESM unit in FAO for endorsement. Screening of sub-activities involves:

    - Checking that the activities involved are permissible (as per the legal and regulatory requirements of the project);
    - Determining the level of environmental assessment required based on the level of expected impacts.

7. The E&S screening checklist will result in the following screening outcomes: (i) determine the category for further assessment; and (ii) determine which environmental assessment instrument to be applied. The E&S screening checklist will be included as part of the process of identification and implementation of sub-activities and sub-projects that will be systematically screened in order to identify potentially high risk and modified to lower the risk classification to low or moderate.
8. For moderate risk sub projects an Environmental and Social Commitment Plan (ESCP) will be prepared during the inception phase to set out the measures and actions required for the sub-activity or sub-project to manage and effectively mitigate environmental and social risks and achieve compliance with ESS over a specified timeframe. The ESCP will incorporate the mitigation recommendations of the ESA, as well as the results of the stakeholder engagement process.Where sub-activities or sub-projects are classified as moderate or high risk, FAO will require an Environmental and Social Analysis (ESA, for moderate risk) and/ a full Environmental and Social Impact Assessment (ESIA, for high risk) carried out by independent external experts. The TL of the Output 3 acting a Safeguards Specialist will lead the process of elaboration of these instruments in close coordination with the ESM unit of FAO and the Technical Committee members as needed.

Environmental and Social Commitment Plan (ESCP)
Moderate and high risk projects will prepare an Environmental and Social Commitment Plan (ESCP) during the project development to set out the measures and actions required for the project to manage and effectively mitigate environmental and social risks and achieve compliance with ESS over a specified timeframe. The ESCP sets out the project commitments and lists actions that the project will take and a timeframe for these actions to achieve compliance with the standards and manage the identified risks and impacts throughout the entire life of the project. The ESCP will incorporate the mitigation recommendations of the ESA or the ESIA, as well as the results of the stakeholder engagement process. It will summarize concrete measures and actions required to avoid, minimize, reduce or otherwise mitigate the potential environmental and social risks and impacts of the project. FAO will require the diligent implementation of identified mitigation measures and a review of the status of implementation as reflected in the monitoring and reporting

plan.

The PMU will be responsible of preparing the ESCP, which is certified by the E&S Management Unit and reported to the Project Board and the Technical Committee.

Risk identification will be complemented by following procedures implemented under the Amazon Vision Program, which created a tool to manage social and environmental risks, called Integral Management of Socio-environmental Risk (GIRSA in Spanish). This tool seeks to facilitate the identification, analysis and decision-making regarding the management of the risks that may be generated by the implementation of the different actions considered in the program. In this context the risk management for the AVP is based on a broad conception of the concept of risk and is addressed in three approaches:

- **External and internal risks:** includes the external elements that affect the program performance and the risks of possible damages/affectations generated by the program activities in the social, cultural and environmental dimensions. GIRSA gathers the results of a set of participatory spaces with regional and local stakeholders of the possible negative impacts that could occur due to the interventions of the program.
- **Multi-level Risks**: risk management is initially addressed at the program level (each pillar), however, the implementation of activities and projects in the territories requires a further detail in the risk analysis and the definition of safeguards measures considering the particular dynamics of the territories. Therefore, the risk approach has two levels, program (Pillar's activities) and project (initiatives and projects supported by the AVP).
- **Step by step**: The AVP propose evaluate risks following a systematic approach that requires to establish a clear methodology that can be used at different times and by different actors within the Program and provide feedback on the process. Therefore, it was designed a scheme based on five strategic steps and applicable to the two levels of the Program (Pillars and Projects): 1. Verification of compliance with the applicable legal framework; 2. Identification of social and environmental risks of the initiative; 3. Identification of safeguards measures; 4. Implementation of these measures; 5. Monitoring and feedback. Although the steps are applicable to the different levels, the tools applied are differentiated between program level and projects (sub-projects). Based on this steps the Project will take into account the tools developed by the AVP
    - Tool 1. Verification of compliance with the legal framework at the Program and Pillars level (applicable to annual work plans)
    - Tool 2. Prerequisites for projects presented under the REM Amazon Vision Program. (applicable to initiatives, sub-projects supported by the Program)
    - Tool 3. Matrix of analysis and prioritization of social and environmental risks and identification of safeguards measures at the level of Pillars and / or projects (applicable to activities, sub-activities and sub-projects)

7.4 Environmental and Social Risk Management (Monitoring and Reporting)

Activities, sub-activities and sub-project classified as moderate risk based on the environmental and social risks identified during the screening process will then be required to develop ESMPs that include information on the mitigation actions, the indicators and timeframe where the completion of such mitigation actions are expected. The ESMP should include:

Mitigation Measures: Based on the environmental and social impacts identified from the checklist, the project partners, community association and TL of each output supported by the TL of the Output 3 will develop an Environmental and Social Management Plan (ESMP) should describe with technical details each mitigation measure, together with designs, equipment descriptions and operating procedures as appropriate. Mitigation measures will be identified taking into account

experiences of the Amazon Vision Program and advice from the Technical Committee. According to the GIRSA implementation of safeguard mitigation measures may include consideration of new criteria for the actions already carried out by the Program, implementation of new activities or complementary processes to those foreseen in the Program, adoption of guidelines for the formulation and implementation of projects that include information and standard procedures for addressing risks.

To facilitate the application of mitigation measures and following AVP procedures the Project will implement training programs targeted to relevant stakeholders for the elaboration of the ESMP, application of the mitigation measures and the adoption of applicable guidelines or protocols. The AVP is constructing a “toolbox” to support implementation of safeguards that would be applicable at the national level in different REDD+ programs.

Implementation of prioritized measures will be led by project partners, community association and TL of each output that lead the implementation of the sub-activity or sub-project, in close coordination with stakeholders involved, local partners and field staff.

Monitoring: Due diligence to all activities, sub-activities and sub-projects must be undertaken during proceeding project stages therefore, environmental and social monitoring should be implemented for each of the sub-activities and sub-projects identified in order to evaluate and address changes in the risk classification as well as monitor the implementation and measure the success of the mitigation measures. Specifically, the monitoring section of the ESMP provides:

- A detailed description of methodologies and approaches applicable to monitor measures, including indicators and parameters to be measured and frequency, methods to be used, sampling areas and definition of thresholds that will signal the need for corrective actions.
- Monitoring and reporting procedures to ensure early detection of impacts that may need particular mitigation measures and to provide information on the progress and results of mitigation (e.g. by annual audits and surveys to monitor overall effectiveness of this ESMF).

The TL of the Output 3 will be responsible of monitoring E&S safeguards at activity level and assure that these activities are included in project work plans and reports.

Monitoring at sub-activities and sub-project level will be in charge of project partners or community organization responsible for the implementation. The TL of the Output 3 will oversee the implementation of the monitoring practices and instruments in coordination with the TL of the Output under sub-activities or sub-projects are being executed. The Project will design a specific tool to oversee implementation of ESMP of each sub-activity and sub-project. Results will be included in annual progress reports. It is also envisaged that the developed tools will contribute to the National System of Safeguards SNS, which is still under construction.

Institutional arrangements: The ESMP should also provide a specific description of institutional arrangements, i.e. who is responsible for carrying out the mitigating and monitoring measures (for operation, supervision, enforcement, monitoring of implementation, remedial action, financing, reporting and staff training). Additionally, the ESMP should include a cost estimate of the measures and activities recommended, so that the necessary funds are included. The mitigation and monitoring measures recommended in the ESMP should be developed in consultation with all affected groups to incorporate their concerns and views on the design of the ESMP.

Once the ESM unit in FAO Headquarters endorses the pre-implementation documents with ESMPs, the TL of the Output 3 will ensure ESMPs are included and reported upon, along with stakeholder engagement in the context of the monitoring plan. In this context, field staff will be responsible for monitoring the plan´s progress, as well as identifying any potential risks that may emerge through the implementation phase. TL of the Output 3 will compile this information in progress reports and templates that will include a section on E&S risk management, where the above information will be reported.

Information from progress reports will be received by the Safeguard Specialist in the PMU who will compile the information received in the progress reports, as well as information related to grievances in a semi-annual report on the Environmental and Social Safeguards Performance to be endorsed by the ESM Unit in FAO.

7.5 Stakeholders participation

FAO is committed to ensuring meaningful, effective and informed participation of stakeholders in the formulation and implementation of FAO programs and projects. Regarding the Environmental and Social Risk Management, the Project would involve relevant stakeholders in the identification of adverse risks of sub-activities and sub-projects supported with GCF funds. The Project will lead activities to consult with project-affected representative communities and/or groups and civil society representatives to identify adverse impacts, define mitigation measures and categorize the risk level.

Stakeholder will also be involved in the implementation of mitigation measures. Training programs will be designed and implemented to generated capacities of relevant stakeholders in the analysis of risks, implementation of mitigation measures, monitoring of affectivity and making decisions about adjustments or definition of new mitigation measures. These programs are especially important in the case of sub-projects, since local communities and organization will be responsible of implementing their own systems for managing environmental and social risks and the Project would have the opportunity to generate capacities for communities to implement measure in current and future projects.

According to national regulations the Project may need the application of indigenous peoples prior and informed consent depending the characteristics of the sub-projects. In this cases the Project will evaluate risks involving IPs authorities directly and will define with them and the participation of the Ministry of Interior the procedures and protocols to be implemented. In these cases the Project will follow FOA guidelines and measures to operationalize the principle of Free Prior and Informed Consent (FPIC) in proposed projects or other activities (hereinafter, “projects”) that may directly or indirectly affect indigenous peoples.

The PMU will be responsible of reporting stakeholders participation in all activities related to the implementation of E&S safeguards, so that will maintain adequate documented evidence of stakeholder engagement in all processes related to the Environmental and Social Risk Management.

7.6 Implementation of the Gender Action Plan

Following the recommendations derived from the Environmental and Social Assessment of Colombia’s RBP (ESA, Annex 2 of the FP), the project will support specific activities to develop gender assessments at the local level, in order to understand real and perceived gender differences in interests and needs, and anticipate potential threats or risks.

Therefore a gender dimension will be mainstreamed in all forest-related interventions and according to their objectives and goals, this Project will promote women active participation and will propend for addressing men and women differentiated needs. Activities under the three outputs will include participatory assessments and methodologies to identify women needs and roles, strategies to promote women participation, programs to increase women capacities, and actions to strengthen the women’ role in the implementation of forest management activities, monitoring activities, territorial governance and making-decisions processes. Thus, in order to achieve objectives and goals of this Project, activities of each output include:

- Application of participatory methodologies to identify those production activities developed by women and men, strengthening needs and prioritization of areas of work and roles.
- Identification of women's role in making decisions processes related to deforestation reduction, forest management and indigenous governance
- Develop assessments and strategies to address strengthening needs of women to participate actively in local monitoring and making-decision processes, benefit from the implementation of sustainable forest management activities and increase capacities for local governance.
- Identify and implement strategies to promote active participation of women in production activities associated to sustainable forest management activities
- Identify barriers that women face for project formulation and management
- Design technical assistance programs taking into account women's empowerment needs
- Methodologies to guarantee women participation in the definition and implementation of conservation agreements
- Development of strategies to ensure that women access to training programs, technical assistance activities and other lessons learned derived from the implementation of the project.
- Execution of strategies to guarantee participation of women in the design of sustainable forest management nuclei and support participation and empowerment of women part of associations and producers groups.
- Design and implement strategies to raise awareness about women strengthening needs, knowledge on forest management and their role governance
- Identify women needs to strengthen their capacities for entrepreneurial development and sustainable forest management.

The Gender Assessment and Gender Action Plan provide further details about project activities for gender mainstreaming (Annex 4 of the FP).

8 Indigenous Peoples' Planning Framework (IPPF)

Colombia's National REDD Strategy includes specific measures and strategies for promoting indigenous Peoples' participation. The construction of the Integrated Strategy for Deforestation Control and Forest Management was developed based on a participatory process that involved dialogues led by the Ministry of Environment and Sustainable Development since 2010 while preparing the country for the implementation of REDD +. These spaces promoted participation of all actors that have an impact on the conservation of forests in the national territory, such as the National Government, indigenous Peoples', Afro-Colombian communities, farmer organizations, organized civil society (NGOs), production sector organizations, women's organizations, and academia.

This participation process promoted dialogue around the importance of forests and the problems associated with their deforestation and degradation, identified the main causes and agents of deforestation, as well as measures for their control. This process determined capacities that need to be strengthened to assure an active participation; strengthen community organizations, and create spaces for dialogue and participation; identify and evaluate the risks and benefits of implementing actions aimed at reducing deforestation and forest degradation, as well as priority conservation activities.

Following guidelines determined in the strategy, current projects and programs around the reduction of deforestation in the Amazon start from the premise that forest conservation is linked to territories, their inhabitants and their governance capacities. For this reason, it is essential to raise the quality of life of the populations that dependent on forests, while improving sustainability practices that they develop, strengthening the governance of the territories.

In this context, the *Colombia REDD-plus RBP For Results* project will support investments to national strategies for deforestation control in the Colombian Amazon. This project will promote sustainable rural development by reinforcing forest governance, strengthening environmental governance of indigenous Peoples', and supporting enabling-environment conditions, focusing mainly on consolidation of the Forest and Carbon Monitoring System (SMByC), as the main decision-making tool for processes at a local level. Smallholders and indigenous Peoples' of the Amazon region will be the main beneficiaries of the project. The outcomes and outputs defined for this project are:

Main Outcome: The National and Territorial Government of the Amazon Biome has implemented the Strategy for the Control of Deforestation in the Amazon consigned in the PND 2018-2022 and its lines of Legality, Forest Economy and Land Tenure, and Permanent Monitoring.		
Output 1. The responsible institutions have reported the local deforestation rates and the efficiency in the implementation of the actions to reduce deforestation and associated emissions, in a detailed way and with information of high technical quality.	Output 2. Strengthened producer organizations have implemented community-based forest management plans in the priority areas of the Amazon Biome.	Output 3. The prioritized ethnic communities of the Amazon biome have implemented traditional practices of conservation, use and sustainable management of the forests in the Amazon biome.-

The three proposed outcomes correspond to the three project's outputs as follows:
Output 1 will finance investments to strengthen capacities for forest monitoring in deforestation hotspots at different scales. Output 2 will support the design and implementation of sustainable forest management nuclei as a deforestation reduction strategy by promoting a forest-based local economy. Output 3 will be targeted to strengthen indigenous governance by financing the execution of project proposals formulated by local organizations.

The project will build on the progress made by the Amazon Vision Program being executed by the Colombian Government with the financial support of the Governments of Germany, Norway and the United Kingdom. This program, aimed at reducing green house emissions derived from amazon deforestation through a sustainable development model promotes strategies to protect and use forests in a sustainable manner, as well as empower local communities and indigenous Peoples' generating low-carbon production alternatives. Specifically activities of the Project will support and complement Pillars (Components) 1, 4 and 5 related to forest governance, indigenous Peoples' and enabling conditions, respectively.

Following FAO and GCF indigenous Peoples' policies this Project is designed to ensure that Indigenous Peoples' receive social and economic benefits, considering them as recipients of technical assistance and equal partners in development. Project activities under outputs 2 and 3 will be directly implemented in indigenous lands involving local communities. Other activities related to forest monitoring and strengthening of local capacities will additionally include indigenous Peoples' representatives, organizations and communities, as well as promote indigenous women participation.

The overall objective of s is to facilitate compliance with FAO and GCF policies for indigenous Peoples' and provide a framework for the implementation of the Project. Specific objectives of this document are:

i. Provide a general overview of the Amazon indigenous Peoples' conditions.
ii. Define the measures to be applied by the project to assure implementation of FAO and GCF indigenous Peoples' policies
iii. Assess potential positive and negative impacts of activities proposed under the Project.
iv. Guide the planning process of activities that involve indigenous Peoples', following previous agreements derived from the implementation of the Amazon Vision Program.
v. Provide guidance on preparation and implementation of Indigenous Peoples' sub-projects to be supported under Output 3.

8.1 Indigenous Peoples' in the Amazon Region

The indigenous population in the Amazon Biome is organized around 187 reserves, which occupy about 29 million hectares, equivalent to approximately 47% of the Amazonian territory. Indigenous territories are areas with diverse characteristics of size, population and cultures. Nearly 71% of the Amazonian indigenous territory is concentrated in eight large reserves (Predio Putumayo, Gran Vaupés, Cuenca Media y Alta Del Río Inirida – CMARI, Yaigojé-Río Apaporis, Selva de Matavén, Miriti-Parana, Ríos Cuiari E Isana y Morichal Viejo-otros) characterized for their great extension of forests and low deforestation. 163 indigenous reservations (resguardos) represent less than 6% of the indigenous territories in the Amazon. These territories have less than 100 ha, are very fragmented and populated, and often present higher deforestation threats. Some other populations are located in resguardos or territories that are not currently legally defined (Botero et. al. 2015[55]).

Taking into account the demographic figures, the Constitutional Court order 004 of 2009 declared 102 indigenous people in risk of ethnic and / or cultural extinction, 34 of them in a situation of special vulnerability and risk of disappearance, which includes indigenous populations of Putumayo, Caquetá, Guaviare, Vaupes, Guainía and Meta. The Constitutional Court identified the common factors that constitute the main drivers of confrontation and displacement of indigenous Peoples'. These factors are: (1) the confrontations that take place in indigenous territories between armed actors, without actively involving indigenous communities and their members, but directly and

[55] Botero R, MT Becerra, ME Molano, MH Cendales, N. de la Hoz. 2015. Pueblos indígenas y desarrollo bajo en emisiones. Retos y recomendaciones preliminares para el trabajo con pueblos indígenas en la amazonia colombiana. Earth Innovation Institute & Fundación para la Conservación y el Desarrollo Sostenible.

manifestly affecting them; (2) war processes that actively involve indigenous Peoples' communities, and their individual members, in the armed conflict; and (3), the territorial and socioeconomic processes related to the internal armed conflict that affect their traditional territories and their cultures.

8.2 Regulatory framework

The institutional framework of the Colombian State protects the ethnic and cultural diversity. The Agrarian Reform Act of 1961 (Law 135) recognized indigenous territories in Colombia for the first time. However, the National Constitution of 1991 is the instrument that guides the current institutional political framework on indigenous issues. The National Constitution of 1991 recognized the rights and autonomy of indigenous territories and created the figure of "Resguardos" as a special jurisdiction (Art. 63). In 1995, Article 21 of Decree 2164 defined Resguardos as "… a legal and socio-political institution of a special nature, consisting of one or more indigenous communities, which with a collective property title enjoys the guarantees of private property, possess territory and are governed for its management and internal life by an autonomous organization protected by the indigenous jurisdiction and its own regulatory systems". An indigenous resguardos has a defined territory, a registered community property title, and an internal organization governed by its own internal regulations.

Consequently, the State recognizes the participation of each *resguardo* in the incomes of the Nation through the General Participation System (GSP), and contemplates an allocation of the General Royalties System. Legally constituted indigenous guards are beneficiaries of the system and receive transfers through local mayorships. Although there are no particular cases yet, the regulations contemplate that in case the guards are established as Indigenous Territorial Entities (TSIs), their authorities will receive and directly administer the transfer. The box below presents the main policies related to territorial governance of indigenous Peoples' in Colombia.

Indigenous Peoples' Territorial Relevant Policies

1961: Law 135 Non-adjudication of wastelands occupied by indigenous communities and constitution of safeguards.
1991: Constitution of 1991. Recognition and protection of the ethnic and cultural diversity of the Colombian Nation. Indigenous territories recognized as territorial entities.
1993: Law 60 Allocation of budgetary resources of the country to indigenous reservations through the General Participation System (GSP).
1993: Decree 1088 Creation of the associations of Indigenous Traditional Cabildos and Authorities.
1993: Decree 1809 Legally constituted indigenous reservations are considered as Municipalities.
1994: Law 160 National System of Agrarian Reform and Rural Development. Provisions for constitution, extension, and sanitation of Indigenous Reserves (Art 85).
1995: Decree 2164 Procedures for the constitution, restructuring, extension and sanitation of the Indigenous Reserves in the national territory.
2009: Decree 3759 Modification of the structure of the Colombian Institute of Rural Development INCODER, and dictates provisions on constitution, extension, sanitation and restructuring of indigenous reservations for the benefit of their communities.
2014: Decree 1953 Special regime for the administration of Indigenous Territories.
2014: Decree 2333 Mechanisms for the effective protection and legal security of lands and territories occupied or possessed ancestral by indigenous communities.

Although the development of guidelines for REDD + projects, payments for environmental services among other issues is still incipient, current strategies are promoting activities to strengthen territorial governance, ownership, and use of the forest with a gender perspective, as well as potential distribution of financial benefits.

8.3 Indigenous Peoples' governance

The National Constitution grants the right of indigenous Peoples' to self-government and self-determination, which is consolidated through the recognition and protection of government systems as special public entities and by promoting the ability to decide autonomously on all matters of interest (Art. 287 and 330). The development of the special indigenous jurisdiction recognizes the proper justice systems and allows indigenous Peoples' to exercise social control autonomously within their territories, in accordance with their own rules and procedures (Art. 246).

Each of the indigenous Peoples' that inhabit the Amazon has ancestral forms of governance. The Colombian State respects the normative and organizational systems of each ethnic group and articulate actions in the territory as defined by Indigenous Peoples'. Most of the ethnic groups of the Amazon region have adopted the figure of Governor Council (Cabildo Gobernador) to relate to the government and other stakeholders.

At a community level, the Captain, leader of indigenous communities, heads the decision making processes at the community level and is elected according to the regulatory systems defined by his own community. To facilitate articulation with the national government, several communities can form an Association of Indigenous Traditional Authorities (AATI) represented by a Governor Council. An AATI is a public entity ruled by the Colombian Law, responsible for promoting and coordinating with local, regional and national authorities, the execution of projects in health, education and wellbeing (Decree 1088 of 1993). AATIs may or may not be associated with indigenous organizations.

Indigenous Territorial Entities (ETIs) are a higher-level instance for territorial planning and management. This figure was created in the National Constitution of Colombia of 1991, defined as Territorial Entities of departments, districts, municipalities and indigenous territories (Art. 286). These entities enjoy autonomy for the management of their interests, the right to administer resources and establish the necessary taxes for the fulfillment of their functions (Art, 287). Article 329 indicates that the Indigenous Territorial Entities (ETIs) will be formed according to the provisions of the Organic Law of Territorial Planning and will be delimited by the National Government, with the participation of indigenous representatives, prior to the concept of the Territorial Planning Commission. Currently the figure of TSIs is not operative yet.

The main institutions in charge of supporting and strengthening indigenous governance are:

Ministry of Interior: National entity in charge of leading the policy framework for the strengthening of democracy, coexistence and citizen participation. It ensures the enjoyment of public rights and freedoms, and the full implementation of the Social Rule of Law and leads the articulation of policies aimed at strengthening decentralization. The Ministry has a special Direction of Indigenous Peoples' and Rom communities, promote recognition of ethnic diversity (indigenous Peoples' and Rom) and the exercise of their rights. This instance is in charge of developing ethnological studies, protect the rights of the Indigenous Population and perform the necessary actions to manage the requests, requirements and consultations related to Indigenous communities. This entity also leads the process of registration and Certification of Indigenous Authorities and Associations, coordinates participatory processes and promotes the participation of organizations and authorities.

National Indigenous Organization of Colombia (ONIC): Main organization that groups and represents the Colombian indigenous Peoples'. Its functions include the defense of the indigenous organization Autonomy, defense of indigenous territories, control of natural resources located in indigenous territories and ensures the application of the current regulatory framework.

National Organization of Indigenous Peoples' of the Colombian Amazon – OPIAC: OPIAC is a public institution that represents politically the indigenous Peoples' of the Colombian Amazon. Its main objective is to ensure that all the collective and individual rights of its affiliates are respected and recognized by all the actors located in the Colombian Amazon.

8.4 Consultation and participation

At the national level the Permanent Roundtable of Agreement and Consultation with Indigenous Peoples' and Organizations (Mesa Permanente de Concertación) is the main instance of consultation and participation, and is responsible of leading all consultation and agreement processes with the State regarding administrative and legislative decisions that may affect indigenous Peoples'. This instance is in charge of evaluating the execution of the State's indigenous policy and monitor compliance with the resulting agreements. This roundtable is ruled by the Decree 1397 of 1996.

At the regional level, the Roundtable of the Amazon Region (Mesa Regional Amazónica - MRA) is the main instance of consultation and participation of indigenous Peoples' of the Amazon Region. This instance was created through an agreement between the OPIAC and the National Government with the objective of consolidating participation of the Amazon Indigenous Peoples'. This instance was formalized through the Decree 3012 of 2005 as a space for consultation for recommending to the government institutions the formulation, diffusion and execution of sustainable development public policies targeted to IPs located in the region, as well as participate in the evaluation and following-up of policies.

For environmental issues the instance of consultation is the *Mesa Indigena Amazónica Ambiental y de Cambio Climático (MIAACC)* formed as a thematic roundtable of the MRA. This body leads all consultation processes related to the indigenous environmental issues as well as the formulation and implementation of environmental planning and management guidelines to be developed in Amazonian territory. The MIAACC was created in April 2012 with the purpose of designing and building bases, as part of the process of preparing the National REDD+ strategy. This round table is formed by twelve indigenous leaders of the Colombian Amazon (two for each department) and receives technical support from the Ministry of Environment and Sustainable Development, and OPIAC.

Regarding prior consultation in Colombia, consultation processes are regulated by the Decree 1320 of 1997 of the Ministry of Interior. The prior consultation aims to analyze the economic, environmental, social and cultural impact that can be caused to indigenous or afro-Colombian communities by the exploitation of natural resources within its territory, and the proposed measures to protect its integrity. The norm stated that Those persons or entities in charge of the project, work or activity that requires prior consultation must prepare the environmental studies with the participation of the representatives of the indigenous communities, legal representatives or traditional authorities.

Taking into account the governance bodies and previous agreement, the Project activities were defined according to the activities and procedures for the implementation of the Pillar 4 of the REM-Amazon Vision Program (PIVA), which were agreed as a result of a participatory process involving relevant stakeholders and representatives of Indigenous Peoples. Building on these agreements the Project development team participated in a meeting of the MRA (March 4, 2020) to ensure that this instance were duly informed, in a transparent and impartial way, about the project activities being proposed and the proceeds allocated under Output 3, which will be targeted to strengthen territorial governance in line with the activities of the PIVA. Meetings of the MRA have the purpose of discussing government and international cooperation initiatives that coulf have impacts on the indigenous peoples territories. Ministry of Government (Interior) heads up the MRA in coordination with the Ministry of Environment.
During the meeting ot March 4th, indigenous delegates of the MRA endorsed the REDD+ RBP Project to be presented by the Colombian government before the Green Climate Fund (FVC). The MRA agreed that a team of seven technical experts (1 per department and one delegate from OPIAC) would provide comments and enrich the technical document. The technical team will meet between March 30 and April 3 and will present their recommendations to the MRA meeting that will be held during the week of 13th April. It is expected that during this meeting the MRA, as legitimate

representatives of indigenous peoples of the Amazon Region, will agree on the route of implementation of the activities included in the REDD+ RBP Project. Participants of the meeting included the Vice-minister of Planning and Environmental Normalization (MADS), the Director of Indigenous and minorities issues of the Ministry of Interior, the Director of the CDA (Regional Environmental Authority for Guanía, Guaviare and Vaupés), the Project manager and PIVA Technical Leader of the REM-AVP, indigenous delegates of the six departments of the Amazon, delegate from the Sinchi Institute, Corpoamazonia, the Ombudsman's Office of Colombia, the Comptroller General of Colombia and professionals of MADS and Ministry of Interior (Secretariat).

8.5 Consultation process in the framework of the Amazon Vision Program

In line with previous agreements with OPIAC and in order to promote active participation of IP, the national government presented to the MRA the Amazon Vision Program in 2012. After evaluating the components and characteristics of the Program, the MRA recommended to develop a process of participatory construction to guide the activities of the project and guarantee coherent impacts to the regional approach of sustainable development. The participation process included the development of thirteen workshops in six departments, the elaboration of a rapid assessment and an analysis of indigenous planning instruments available (indigenous plans of life), specific safeguards and other relevant instruments.

The participatory process confirmed the importance of Indigenous Peoples', the integrity of their knowledge systems, and their role in the conservation of the Amazon Region. This exercise also identified threats that IP faces regarding the sectoral, formal and informal interventions, the expansion of illegal mining activities, and the establishment of crops for illicit use.

Based on the results and findings of the participatory process, the MIACC in a work session held in November 2016, agreed upon a preliminary structure of the Pillar 4 of the Amazon Vision Program, and defined a proposal of principles, technical components, implementation criteria and stakeholders map for the application of this component. Finally, in May 2017 the document of PIVA was approved by the MRA in its 39th session of meetings[56]. Table 16 presents the main milestones of the process of consultation and agreement of PIVA.

Table 16. Milestones of the process of concertation of Pillar 4 under the Amazon Vision Program (PIVA).

YEAR	***AGREEMENTS***
2012	*i) MRA supports the proposal of the National Government (Amazon Vision Program).* *ii) Amazon Vision carried out a process of participatory construction of indigenous Peoples' and organizations.* *iii) MIACC is delegated (Art. 4, Decree 3012 of 2005) as a counterpart for technical development, support and monitoring of the process.*
2015 – 2016	*i) Donors of the Amazon Vision program defines that the financial support to PIVA will be up to 20% of global resources allocated to the program.* *ii) National Government and Donors agreed that PIVA resources would be managed in a special sub-account of the Patrimonio Natural Fund.* *iii) PIVA resources would be implemented in initiatives proposed directly by indigenous organizations and associations; taking into account that for its execution the agreements and alliances that may arise must be considered.* *iv) MIAACC agreed on the cities where the 13 participatory workshops of indigenous Peoples' would be held for the construction of the PIVA.*

[56] http://visionamazonia.minambiente.gov.co/content/uploads/2018/05/ACTA-MESA-REGIONAL-AMAZONICA-5-DE-M-AYO-2017.pdf

2016 April to December	*i) Creation of the technical formulation team for the PIVA document.* *ii) Implementation of the participatory process and development of 13 planned workshops.* *iii) Analysis of live plans, safeguard plans and other planning instruments.* *iv) Expert meetings to provide general recommendations to PIVA.* *v) Preliminary PIVA document.* *vi) Review of PIVA in MIAACC session meetings and definition of 4 technical consultation workshops.*
2017	*i) Development of consultation workshops.* *ii) Approval of PIVA document by the MRA.*

As a result of this process six fundamental conditions were identified aimed at promoting synergistic impacts in the implementation of the PIVA, regarding the challenges that Indigenous Peoples and the Colombian government face:

a) The implementation of the PIVA should promote the articulation of state institutions, so the investment, decisions and orientations of the public policy concur to effectively achieve the program objectives.
b) AVP must guarantee the effective participation of Indigenous Peoples in the other 4 Pillars of REM - AVP (Improving Forest Governance, Sustainable Development and Planning, and Agro-Environmental Sector), in order to incorporate indigenous knowledge systems and government structures in coherence with the program actions and results.
c) Social and environmental safeguards implementation, in accordance with the fundamental rights for Indigenous peoples and the international instruments adopted by Colombia. In any case, the application of safeguards will be aimed at promoting progressivity in the exercise of rights.
d) In the case of indigenous peoples who, due to their special cultural characteristics and/or their condition of vulnerability are in a situation where their organizational level is not officially recognized, the indigenous pillar will have to generate the necessary technical and financial mechanisms for their communities to effectively access the projects' actions and benefits.
e) The presentation of projects for the implementation of the PIVA is exclusive to the indigenous institutions.
f) The PIVA implementation actions will guarantee the integral protection of Indigenous Peoples in their natural state.

Commitments agreed in the PIVA document assure continuous involvement of stakeholders and support to five thematic areas of intervention, taking into account the areas were IPs need support to strengthen their governance capacities. Activities prioritized under each intervention area are:

1. Territory and environment
- Indigenous Territorial Planning.
- Planning and Management of the territory based on indigenous knowledge systems and articulation with territorial planning and management instruments that are prioritized.
- Establishing and implementing inter-cultural agreements between indigenous communities, Afro-descendant communities and peasants for the control and management of natural resources.
- Supporting the construction of the Amazon Indigenous REDD initiative.
- Community bio-cultural monitoring.
- Guarantees and legal security of the territory.
- Alignment, extension and constitution of safeguards.
- Supporting the implementation of measures for the integral protection of sacred sites, occupied or ancestral territories.

2. Own Government
- Strengthening of self-government systems, indigenous institutions and spaces and instances of participation, coordination and consultation at all levels.

- Formulating and/or updating the Indigenous Life Plans and supporting the development of the environmental component of the Indigenous Safeguard Plans and their articulation with public policy.
- Capacity building in the area of prior consultation and prior, free and informed consent

3. **Economy and production**
   - Supporting local Production, Sovereignty and Food Security.
   - Strengthening and promotion of knowledge and practices that ensure food autonomy.
   - Implementing the income-generating economic initiatives that are culturally, environmentally and productively sustainable.
   - Strengthening capacities in issues related to conservation incentives.
4. **Strengthening of Indigenous women**
   - Strengthening and empowering indigenous women to make their contribution visible in the resolution of specific problems in participation, governance, improvement of their livelihoods and differential development
5. **Transversal Lines**
   - Strengthening of Education, Transmission and Conservation of Indigenous Knowledge
   - Recovering and exchanging of the research and transmission of traditional knowledge and its practices
   - Strengthening of own languages and support for own education processes
   - Strengthening of traditional medicine systems.
   - Strengthening of skills and knowledge of politics, administration, indigenous legislation to indigenous authorities and local and regional institutions.
   - Supporting the regional exchange of experiences and learning.

Regarding benefit sharing, the REM-AVP established a scheme for the Distribution of Benefits and Investments based on its five pillars of intervention, which aims to achieve effective results in the reduction of deforestation and sustainable development for the region. This distribution scheme was agreed with the donors of the Program, and the indigenous pillar with the relevant IP organizations following a consultation process. The following figure shows the Distribution of Benefits and Investments Scheme of the program.

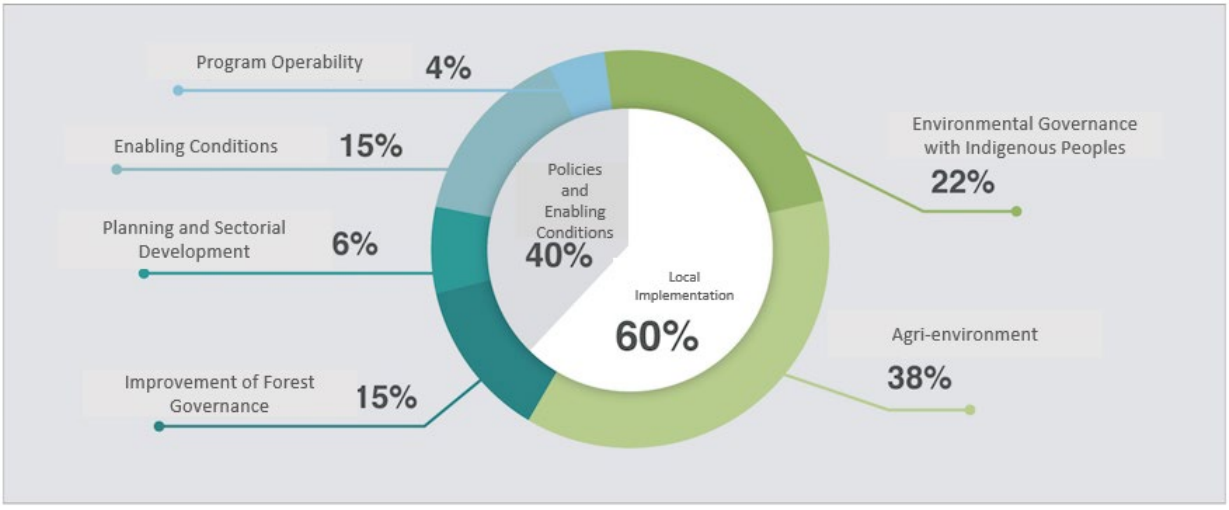

Figure 3. Scheme of Distribution of Benefits and Investments of the REDD+ Early Movers Project of Amazon Vision Program (REM-AVP)

8.6 Support to IPs subprojects funded with GCF resources

Taking into consideration the results of the consultation process held under the Amazon Vision Program, the *Colombia REDD-plus RBP For Results* Project will follow the procedures defined with MIAACC to plan and implement activities that involve indigenous Peoples' or will be implemented in their lands. Activities under output 3 will support sub-projects formulated by indigenous Peoples' organizations and communities.

Subprojects will support sustainable production activities as a strategy to strengthen local governance and address deforestation threats. Projects may include activities of low impact on forest ecosystems including forest management, fishing, ecotourism and low-scale agricultural systems. These projects will offer an opportunity to explore local strategies, and reduce threats on the forest cover and strengthen local capacities for land management.

Selection of projects include the following activities:

- *Definition of terms of reference and conditions to support projects*: In close coordination with the Amazon Vision Program, the project will define specific terms of reference for guiding selection of subprojects including a minimum the types of projects to be financed and amounts, type of beneficiaries, contents of the proposals to be presented by interested organization, selection criteria and timeline.
- *Activities of dissemination of the calls to assure broad participation of indigenous communities:* The project will design a plan to disseminate the calls taking into account the characteristics of beneficiaries, location, languages and access to communication media.
- *Reception of projects*: The project will define mechanisms to receive project proposals and facilitate that IP communities are able to send their proposals on time.
- *Selection and prioritization of projects*: Based on the set of criteria defined in the terms of reference, the PMU will be responsible of creating a selection committee that would be responsible of evaluating and select the proposals that would be prioritized for supporting formulation and re-structuration processes.
- *Formulation and re-structuration support of selected projects*: Beneficiary organizations and communities that proposed the prioritized projects will receive technical assistance to improve their proposals. This assistance will also support projects in the analysis of potential positive and adverse impacts and social assessment and the development of plans for addressing any grievances.
- *Selection of sub-projects to be financed:* After a second round, prioritized project proposals will be evaluated and selected based on the improvement of their proposals after the process of formulation and re-structuration.
- *Definition of implementation arrangements*: Organizations that presented the selected sub-projects to be finance will sign an agreement for the implementation of the sub-project. The agreement will define the institutional arrangements for the implementation, reflecting commitments of the organization to execute activities of the project as well as those related to the IP action plan.
- *Evaluation of results and design of new calls*: The results of the process will be evaluated and lessons learned will be reports to improve terms of reference for future calls and procedures to support formulation, re-structuration and implementation of safeguards. The evaluation process will involve IPs representatives following Amazon Vision's procedures.
- *Financing*: The project will finance IPs sub-projects according to the terms describe in the agreement with executing organizations.
- *Technical support for the execution of selected projects*: Along the process of sub-projects implementation the PMU will provide technical support to the activities, including the IPs action plan. To this end the PMU will be strengthened with environmental, social and gender professionals that will be responsible of providing communities with the technical advise needed.

According to the procedures of the Amazon Vision Program the terms of reference for each of the calls will be defined in close coordination with MIAACC, including activities to support formulation, re-structuration and implementation of prioritized sub-projects. MIAACC will be also involved as the technical instance for the monitoring and evaluation activities carried out under the Project.

To support implementation of the steps describe previously, the PMU will define a framework for ensuring that projects apply the national regulations and the FAO and GCF IP's principles. This framework will include:

1. Tools for screening of applicable social and environmental safeguard policies
2. Guidelines for elaboration of a baseline document that includes demography and social characteristics of the benefited Indigenous Peoples' communities and description of the area of intervention
3. Tools for assessing the potential adverse and positive impacts
4. Guidance on the regulations applicable and documents to report the implementation of free, prior and informed consultation processes, if applicable
5. Guidance for elaborating action plans to mitigate/reduce adverse impacts
6. Tools for monitoring and control of potential impacts

These instruments and guidelines will be elaborated by the PMU and integrated into the terms of reference of the calls for proposals. Regarding E&S safeguards the definition and due diligence of indigenous peoples sub-projects will follow the procedures described in the section 7.

8.7 Measures for the application of FAO and GCF indigenous Peoples' policies

Complementing the activities for selection and implementation of sub-projects financed with GCF resources, all activities under the Project will apply the following measures to foster full respect, promotion, and safeguarding of IPs rights so hat they (a) benefit from activities and projects in a culturally appropriate manner; and (b) do not suffer harm or adverse effects from the design and implementation of GCF-financed activities:

1. **Consultation:** In line with national regulations and the guiding principles of GCF indigenous Peoples' policies, the project will develop free consultation and application, with prior and informed consent, specifically for those activities that could affect indigenous Peoples' lands, territories, resources, livelihoods and cultures. Considering output 3 of the project will be focused on supporting Indigenous Peoples' proposals, consultation activities will be carried out following procedures previously agreed between Indigenous Peoples' representatives and the national government for the implementation of the Amazon Vision Program.

2. **Governance and self-government**: Interventions of this project aim to strengthen local governance by empowering local communities in the management of information, promoting sustainable forest management, supporting indigenous Peoples' initiatives and strengthening the role of women. Recognizing the importance of strengthening indigenous Peoples' governance capacities, activities under the project will respect and support Indigenous Peoples' rights related to land, territories, resources, as well as cultural and spiritual heritage, values, traditional knowledge, resource management systems and practices, occupations and livelihoods, customary institutions, and overall well-being. The project will involve Indigenous Peoples' representatives in the planning of activity execution in order to understand and properly address Indigenous Peoples' issues and rights, including developing the capacity of indigenous representatives and leaders. Indigenous projects under Output 3 will be selected taking into account the right of indigenous communities to freely pursue their economic, social and cultural development and their right to autonomy or self-government, as well as their livelihoods and financing means.

3. **National and international regulations**: According to the national policy framework, project activities that involve Indigenous Peoples' and local communities and/or are developed in indigenous territories will be executed respecting the national laws and international agreements, including the National Constitution, Law 21 of 1991 that approves the ILO Convention No. 169, the United Nations Declaration on Indigenous Peoples', the United Nations Declaration on Rights of Indigenous Peoples', and Decree 2941 of 2009.

4. **Indigenous Peoples' under voluntary isolation:** Activities of the project will also be implemented in close coordination with local valid representatives, following the procedures agreed in the framework of the Amazon Vision Program. In the case of indigenous Peoples' living in voluntary isolation, or remote groups with limited external contact, the project will take the appropriate measures to recognize, respect and protect their rights to remain isolated and to live freely according to their culture.

5. **Participation and traditional knowledge**: Activities of the project will promote active participation of indigenous Peoples' and their representative organizations recognizing, respecting and valuing their contributions to the implementation of activities and promoting leadership of traditional knowledge holders in the definition of work plans, strategies and instruments promoted by the project. Output 3 specifically will be targeted to support activities proposed by indigenous Peoples' organizations that would be selected under a set of criteria that include the respect and recognition of traditional knowledge as well as the improvement of local livelihoods.

6. **Capacity building:** Activities will be designed and agreed upon according to the procedures implemented by the Amazon Vision Program meeting the needs and priorities of Indigenous Peoples' to strengthen local capacities of deforestation monitoring, project formulation, implementation of conservation agreements and improvement of forest management, among others. In order to facilitate access to resources and capacity building for indigenous Peoples', activities under Output 3 will support Indigenous Peoples' with technical assistance for the formulation and implementation of projects, including financial and management capacities for local leaders, organizations and communities.

8.8 Project's impacts on Indigenous Peoples'

Most project activities will generate important benefits for indigenous Peoples' by creating capacities, increasing participation in decision making processes and strengthening territorial governance. The following table presents the positive and the potential negative impacts derived, as well as possible measures to avoid or minimize impacts.

Table 17. Potential impacts of the Project activities on Indigenous Peoples and proposed mitigation measures

Project activities	Positive impacts	Negative Impacts	Measures to reduce negative impacts
Strengthening of both the national carbon and forest monitoring system to generate fast and efficient warnings of deforestation in the amazon region, and the local capacities to manage information derived from the	IPs will have access to information derived from the forest monitoring systems and deforestation reports. IPs will increase their capacities to manage forest information and making decisions accordingly	IPs community organizations may be inadequately represented. Trainings and capacity building activities may not take into consideration local languages and culture of IPs.	Instruments and reports derived from the forest monitoring systems will be designed jointly with indigenous Peoples' representatives in order to address information needs as well as the appropriate technological instruments to guarantee access to information

Project activities	Positive impacts	Negative Impacts	Measures to reduce negative impacts
monitoring system at the village, municipality and regional scales.	IPs will be able to monitor deforestation in their lands and access to early warnings.	IPs are not able to make decisions because of the lack of information at the scale they need or cannot access early warnings	The project will carry out trainings ant other capacity building activities to ensure that IPs have the necessary knowledge to interpret deforestation reports and warning, develop local report and make decisions based on this information
Support zero-deforestation agreements by strengthening monitoring and reporting activities at territorial level.	IPs will be involved in the implementation of local zero-deforestation agreements. IPs capacities will be strengthen to participate and support making decisions processes related to zero-deforestation agreements Indigenous women will be empowered to lead and participate actively in the definition and implementation of the agreements.	IPs are not represented properly in the zero-deforestation agreements Deforestation threats on indigenous lands are not addressed properly in the zero-deforestation agreements IPs have no opportunities/ resources/capacities to participate actively in monitoring or following up to the implementation of the agreements.	The project will promote active participation of indigenous Peoples' representatives in the processes related to the formulation and implementation of zero-deforestation agreements During the process of agreeing zero deforestation plans, the project will generate information to analyze impact of sectoral activities on indigenous Peoples' lands and will ensure that IPs know the information and provide inputs to be addressed by the zero-deforestation agreements
Support the implementation of rural environmental cadasters as a measure to monitor deforestation at land level and promote local conservation and zero-deforestation agreements.	IPs will access to information about potential threats on their territories related to land tenure	IPs are not able to access information of the process and identify potential threats on their territories	The project will carry out trainings ant other capacity building activities to ensure that IPs have the necessary knowledge to understand the process of rural environmental cadasters and their potential impacts. The project will implement measure to address potential threats of cadasters in neighboring indigenous lands
Support local communities in the design and establishment of sustainable forest management systems in eight areas	IPs will benefit from the development of instruments and methodologies that could be replicated in their territories	If unsustainable, forest management could imply a threat to indigenous territories neighboring forest management nuclei.	The project will carry out trainings ant other capacity building activities to ensure that IPs have access to instruments and methodologies that could support local initiatives related to sustainable forest management The project will identify and prevent potential impacts of those sustainable forest management nuclei

Project activities	Positive impacts	Negative Impacts	Measures to reduce negative impacts
			neighboring indigenous Peoples' lands and will ensure that IPs know the risks and are able to implement measures to prevent them.
Development of a training program for sustainable forest management including management and monitoring activities in an integrated approach.	IPs will benefit from training programs and will participate actively Indigenous women and IPs communities will be empowered to participate in forest management practices and monitoring programs	IPs community organizations may be inadequately represented. Trainings and capacity building activities may not take into consideration local languages and culture of IPs. IPs knowledge is not properly included in training programs and monitoring systems	The project will take measures to ensure that indigenous Peoples' representatives in areas neighboring sustainable forest management nuclei are informed and invited to participate in training activities related to forest management and monitoring. The project will take measures and open the necessary spaces to promote that IPs are able to share their knowledge and experiences on sustainable forest management as IPs consider appropriate. The Project will design training programs and materials considering local languages and culture.
Support long-term community-based monitoring systems in sustainable forest management nuclei.	Indigenous women and IPs communities will be empowered to participate in forest management practices and monitoring programs.		
Support the development of market strategies for each sustainable forest management nucleus.	IPs will benefit from better access to markets of forest products IPs capacities for market access will be strengthened	IPs products are excluded from market access and other related activities IPs community organizations may be inadequately represented. Trainings and capacity building activities may not take into consideration local languages, capacities and culture of IPs	The Project will consider strategy to integrate indigenous Peoples' in the forest products marketing process and will propose specific market strategies targeted to forest products elaborated by IPs. The project will develop trainings taking into consideration the capacity building needs, languages and cultures of IPs in areas neighboring forest management nuclei.
Support the design and development of incentives and financial instruments to promote sustainable forest management.	IPs will benefit from incentives designed according to their needs and land property characteristics	Financial incentives may exclude community lands	Activities under Output 2 will support the design of specific incentives targeted to reduce deforestation and promote conservation activities in indigenous lands.

Project activities	Positive impacts	Negative Impacts	Measures to reduce negative impacts
Support to the implementation of forest economy and sustainable production projects as a strategy to strengthen IPs territorial governance	IPs will benefit from financial resources for the implementation of projects formulated according to their needs and contexts. IPs will benefit from capacity building programs to support formulation and management of projects	IPs may not be included in community organizations, or may be inadequately represented Projects implemented by indigenous organizations may run counter to IP traditional practices and customary laws Trainings and capacity building activities may run counter to IP traditional practices and customary laws	The Project will follow procedures agreed under the Amazon Vision Program (PIVA) to guarantee that IPs interested in access to financial resources are able to apply to the calls. Selection criteria will take into consideration FAO and GCF guiding principles as presented in the section 4 of the IPPF. The project will develop trainings targeted to IPs interested in applying for financial resources for their projects The implementation of Output 3 will be accompanied by a training program aimed at supporting IPs organizations in the implementation of selected projects.
Support activities of empowerment and participation of women	Indigenous women will be empowered to participate actively in the formulation and execution of projects, as well as formulate and execute their own projects	Lack of capacities and access to information exclude women or reduce participation of women in the project's activities	The Project will implement a training program aimed at supporting women IPs organizations formulating and implementing indigenous projects executed under Output 3. The Project will put in place a mechanisms to follow up women participation in all relevant activities of the Project and take measure to empower women and promote their participating in making decision processes

8.9 Institutional arrangements

The Project Management Unit (PMU) will coordinate and oversee the implementation of all activities of the Project. Indigenous Peoples' issues related to the project will be managed under Output 3. The Technical Leader of this Output will be responsible of bearing the implementation of the activities of the project as well as following up on the activities of other outputs that involve participation of indigenous Peoples'.

The PMU would also have a responsibility to lead the definition of the implementation arrangements for the application of indigenous Peoples' sub-projects that will be funded under Output 3, and ensure that FAO and GCF guiding principles are applied.

During the first phase, the PMU Unit would be focused on aspects structuring and reviewing operational arrangements to guarantee that IPs interested in accessing finance are able to participate in the public calls and have the capacities to comply with the selection requirements. MIAACC will be involved during this process according to the procedures agreed in the framework of the Amazon Vision Program.

The Project will allocate funds to strengthen the social and environmental management capabilities of the PMU to provide proper guidance to IPs in the formulation and execution of projects, as well as other communication activities to assure IPs broad participation. The TL of the Output 3 will be responsible for following up application of FAO and GCF principles, contracting social studies and leading the implementation of training programs and other capacity building activities needed to reduce or mitigate potential adverse impacts or risks on indigenous peoples territories or communities. Complementing these activities, the Project will include a Gender Specialist that would support the development of activities to guarantee indigenous women participation and empowerment.

8.10 Evaluation and monitoring

Taking into account that the category of risk of this project is Moderate Risk, potential adverse impacts of indigenous peoples will be also assessed using the Environmental and Social Analysis tool. Based on this safeguards applicable to indigenous peoples sub-projects will be monitored and reports based on the established in the ESCP. In line with these instruments, during the first six months of the project the PMU will prepare an Indigenous Action Plan that will define with more specificity the activities involving indigenous Peoples' in each of the Components of the Project. This plan will define activities and products, including measures to prevent negative impacts by the project.

The PMU will be responsible of the implementation of the Indigenous Peoples' Plan (IPP), which will oversee all the activities, monitor and report their implementation. According to the procedures previously agrees between IPs authorities and the National Government for the Amazon Vision Program, this IPP will be consulted and approved by MIAACC and the PMU will be responsible of generating annual reports on the its execution, and will develop reports needed by MIAACC or the National Government when needed. The Action Plan approved by MIAACC will be available to the public as well as the reports developed by the PMU on its implementation. The TL of the Output 3 as the Safeguards Specialist will monitor and report to the Project Board and the MRA the progress of the project activities, the impacts identifies and the mitigation measures implemented. These activities will be coordinated with the reports of the PIVA in the context of the Amazon Vision Program.

As the sub-project proposed by indigenous peoples organizations and communities are going to be selected through annual public calls, the IPP will be updated after each call, once sub-projects have been selected and a due diligence for each project carried out. Based on the results of the due diligence the TL of the Output 3 will be responsible for updating the IPP. The proposed Outline of the IPP is presented in Annex 6.

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Annex 1. List of non-eligible activities

Scope	Key elements
Non-eligible environmental aspects	Implementation of forest management practices without following permission procedures defined by environmental authorities. Intervention activities in protected areas or their buffer zone that are not considered in the management plan of the protected areas Plantation of dense monocultures, involving either introduced, exotic or native species, in areas deforested after 2010. Planting of exotic plant species (trees or shrubs), including potentially invasive ones. Clone-based forest plantations with (one clone or very few clones) of tree or shrub species in areas without previous forest / scrubland or in areas with forest / scrubland that are reforested. Use of agrochemicals that are on the list of prohibited products or that are not on the list of authorized products that periodically updates the Agricultural and Livestock Service (SAG), but that present a danger or high-risk for the environment or human populations. Elimination, reduction or complete replacement of natural plant covered areas where the project is being implemented. Promotion of livestock grazing in areas where the project is being implemented. Infrastructure works such as dams and water impoundments Establishment of irrigation systems Management of species that could be considered invasive or become pests in the area of intervention Activities that involve generation of contaminated waste materials that effect water and soil quality Production activities that result in soil degradation or change a natural ecosystem Use/introduction of genetic modified organisms

Scope	Key elements
Non-eligible social aspects	Actions that may generate the following significant impacts on Indigenous Peoples: a) cultural disruptions that seriously affect traditional practices and / or ways of life, such as the physical displacement of these populations without their prior, free and informed consent, without benefiting from the project; b) negative impacts on community lands and natural resources of traditional use with irreversible impacts on the livelihoods of indigenous populations, and; c) severe and / or irreversible effects on resources and ancestral practices of cultural or spiritual value, among other issues. Actions that generate impacts related to Involuntary Resettlement (IR), direct economic and social negative effects resulting from the project's activities for the following causes: i) involuntary land deprivation, which results in displacement or housing loss; loss of assets or access to assets; or loss of sources of income or livelihoods; or ii) The involuntary restriction of access to areas classified by the Law as parks or protected areas, with the consequent adverse effects on the subsistence of displaced peoples. Other activities that could result in displacement of jobs (e.g. because of sectoral restructuring or occupational shifts), negative change to existing legitimate tenure rights, a reduction of the adaptive capacity to climate change for any stakeholders in the project area, reduction of resilience against extreme weather events, no compliance with labor law, child labor

Annex 2. Project Environmental and Social (E&S) Screening Checklist

Would the project, if implemented (…)?	Not applicable	No	Yes	Unknown
I. FAO VISION/STRATEGIC OBJECTIVES				
Be in line with FAO's vision?			X	
Be supportive of FAO's strategic objectives?			X	
II. FAO KEY PRINCIPLES FOR SUSTAINABILITY IN FOOD AND AGRICULTURE				
Improve efficiency in the use of resources?				
Conserve, protect and enhance natural resources?			X	
Protect and improve rural livelihoods and social wellbeing?			X	
Enhance resilience of people, communities and ecosystems?			X	
Include responsible and effective governance mechanisms?			X	
ESS 1 NATURAL RESOURCES MANAGEMENT				
- Management of water resources and small dams				
Include an irrigation scheme that is more than 20 hectares or withdraws more than 1000 m3/day of water?	X			
Include an irrigation scheme that is more than 100 hectares or withdraws more than 5000 m3/day of water?		X		
Include an existing irrigation scheme?		X		
Include an area known or expected to have water quality problems?		X		
Include usage of non-conventional sources of water (i.e. wastewater)?		X		
Include a dam that is more than 5 m. in height?		X		
Include a dam that is more than 15 m. in height?		X		
Include measures that build resilience to climate change?			X	
- Tenure				
Negatively affect the legitimate tenure rights of individuals, communities or others?		X		
ESS 2 BIODIVERSITY, ECOSYSTEMS AND NATURAL HABITATS				
Make reasonable and feasible effort to avoid practices that could have a negative impact on biodiversity, including agricultural biodiversity and genetic resources?			X	

Have biosafety provisions in place?	X			
Respect access and benefit-sharing measures in force?	X			
Safeguard the relationships between biological and cultural diversity?			X	
- Protected areas, buffer zones and natural habitats				
Be located such that it poses no risk or impact to protected areas, critical habitats and ecosystem functions?			X	
ESS 3 PLANT GENETIC RESOURCES FOR FOOD AND AGRICULTURE				
- Planted forests				
Have a credible forest certification scheme, national forest programs or equivalent or use the	X			
Voluntary Guidelines on Planted Forests (or an equivalent for indigenous forests)?	X			
ESS 4 ANIMAL - LIVESTOCK AND AQUATIC-GENETIC RESOURCES FOR FOOD AND AGRICULTURE				
Involve the procurement or provision of pesticides?		X		
- Aquatic genetic resources				
Adhere (Aligned) to the FAO Code of Conduct for Responsible Fisheries (CCRF) and its related negotiated instruments?	X			
Be aligned, where applicable, with FAO's strategic policies established in the FAO Technical Guidelines for Responsible Fisheries (including aquaculture)?	X			
- Livestock genetic resources				
Be aligned with the Livestock Sector Strategy including the animal disease, public health and land degradation provisions?	X			
ESS 5 PEST AND PESTICIDES MANAGEMENT				
Involve the procurement or provision of pesticides?	X			
Result in increased use of pesticides through expansion or intensification of production systems?		X		
Require the disposal of pesticides or pesticide-contaminated materials?		X		
ESS 6 INVOLUNTARY RESETTLEMENT AND DISPLACEMENT				
Avoid the physical and economic displacement of people?			X	
ESS 7 DECENT WORK				

Adhere to FAO's guidance on decent rural employment, promoting more and better employment opportunities and working conditions in rural areas and avoiding practices that could increase workers' vulnerability?			X	
Respect the fundamental principles and rights at work and support the effective implementation of other international labor standards, in particular those that are relevant to the agri-food sector?			X	
ESS 8 GENDER EQUALITY				
Have the needs, priorities and constraints of both women and men been taken into consideration?			X	
Promote women's and men's equitable access to and control over productive resources and services?			X	
Foster their equal participation in institutions and decision-making processes?			X	
ESS 9 INDIGENOUS PEOPLES AND CULTURAL HERITAGE				
Are there any indigenous communities in the project area?			X	
Are project activities likely to have adverse effects on indigenous peoples' rights, lands, natural resources, territories, livelihoods, knowledge, social fabric, traditions, governance systems, and culture or heritage (tangible and intangible)?		X		
Are indigenous communities outside the project area likely to be affected by the project?		X		
Designed to be sensitive to cultural heritage issues?			X	

Annex 3. FAO Environmental and Social (E&S) Screening Checklist: Second Level Questions

SAFEGUARD 1 NATURAL RESOURCES MANAGEMENT			
Question	Management of soil and land resources	Risk Level	Comments
1.1	Would this project result in the degradation (biological or physical) of soils	LOW RISK	Project activities will promote sustainable forest management practices and sustainable production systems addressing impacts on soil degradation and reducing impacts on managed areas.
1.2	Would this project undermine sustainable land management practices?	LOW RISK	Project objectives and activities are mainly targeted to promote sustainable land management at local level.
Question	Management of water resources and small dams		Comments
1.3	Would this project develop an irrigation scheme that is more than 20 hectares or withdraws more than 1000 m3/day of water?	LOW RISK	The program will not involve any irrigation scheme nor will it finance the construction of related infrastructure.
1.4	Would this project develop an irrigation scheme that is more than 100 hectares or withdraws more than 5000 m3/day of water?	LOW RISK	The project will not entail development of irrigation schemes.
1.5	Would this project aim at improving an irrigation scheme (without expansion)?	LOW RISK	The project will not support improving of irrigation schemes
1.6	Would this project affect the quality of water either by the release of pollutants or by its use, thus affecting its characteristics (such as temperature, pH, DO, TSS or any other?	LOW RISK	Activities of the project will promote good production and management practices in order to avoid impacts on water quality and biological characteristics. Forest sustainable management practices and indigenous sub-project will involve good practices for management and use of water resources.
1.7	Would this project include the usage of wastewater?	LOW RISK	No wastewater will be used as part of the program.
1.8	Would this project involve the construction or financing of a dam that is more than 15 m. in height?	LOW RISK	No dam construction is included in this program.
1.9	Would this project involve the construction or financing of a dam that is more than 5 m. in height?	LOW RISK	No dam construction is included in this program.
Question	Tenure		Comments

1.10	Would this project permanently or temporarily deny or restrict access to natural resources to which they have rights of access or use Could this project result in any changes to existing *tenure rights*[1] (*formal and informal*[2]) of individuals, communities or others to land, fishery and forest resources?	LOW RISK	No
1.10.1	Could this project result in a negative change to existing legitimate tenure rights?	N/A	N/A
Question	Climate		Comments
1.11	Could this project result in a reduction of the adaptive capacity to climate change for any stakeholders in the project area?	LOW RISK	The project aims to improve climate change resilience in the short term and increase adaptive capacities of local communities in the long run.
1.12	Could this project result in a reduction of resilience against extreme weather events?	LOW RISK	The project aims to improve climate change resilience in the short term and increase adaptive capacities of local communities in the long run.
1.13	Could this project result in a net increase of GHG emissions beyond those expected from increased production?	LOW RISK	Project activities are designed to promote mechanisms and incentives to reduce emissions generated by deforestation and forest degradation (REDD)
1.13.1	Is the expected increase below the level specified by FAO guidance or national policy/law (whichever is more stringent)?	N/A	N/A
1.13.2	Is the expected increase above the level specified by FAO guidance or national policy/law (whichever is more stringent)?	N/A	N/A
SAFEGUARD 2 BIODIVERSITY, ECOSYSTEMS AND NATURAL HABITATS			
Question	Protected areas, buffer zones or natural habitats		Comments
2.1	Would this project be implemented within a legally designated protected area or its buffer zone?	MODERATE RISK	Due to the nature of the project various activities that may take place in and/or nearby protected areas and buffer zones, including forest management and conservation activities.
Question	Biodiversity Conservation		Comments
2.2	Would this project change a natural ecosystem to an agricultural/aquacultural/forestry production unit with a reduced diversity of flora and fauna?	LOW RISK	Project activities will not promote changes of natural land covers or transformation processes to agricultural or pasture lands. Conservation agreements will be

			promoted to reduce deforestation and land use change.
2.3	Would this project increase the current impact on the surrounding environment for example by using more water, chemicals or machinery than previously?	LOW RISK	Project activities will reduce current impact on the surrounding environment and measure will be taken to use water and inputs more efficiently
Question	Use of alien species		Comments
2.4	Would this project use an alien species which has exhibited an invasive* behavior in the country or in other parts of the world or a species with unknown behavior?	LOW RISK	Project activities will support the conservation of native species and will not introduce alien species.
Question	Access and benefit sharing for genetic resources		Comments
2.5	Would this project involve access to genetic resources for their utilization and/or access to traditional knowledge associated with genetic resources that is held by indigenous, local communities and/or farmers?	LOW RISK	No
SAFEGUARD 3 PLANT GENETIC RESOURCES FOR FOOD AND AGRICULTURE			
Question	Introduce new crops and varieties		Comments
3.1	Would this project Introduce crops and varieties previously not grown?	LOW RISK	No
Question	Provision of seeds and planting materials		Yes
3.2	Would this project provide seeds/planting material for cultivation?	LOW RISK	No
3.2.1	Would this project involve the importing or transfer of seeds and/or planting materials for cultivation?	N/A	N/A
3.2.2	Would this project involve the importing or transfer of seeds and/or planting materials for research and development?	N/A	N/A
Question	Modern biotechnologies and the deployment of their products in crop production		Comments
3.3	Would this project supply or use modern plant biotechnologies and their products?	LOW RISK	No
Question	Planted forests		Comments
3.4	Would this project establish or manage planted forests?	LOW RISK	No
SAFEGUARD 4 ANIMAL (LIVESTOCK AND AQUATIC) GENETIC RESOURCES FOR FOOD AND AGRICULTURE			
Question	Introduce new species/breeds and change in the production system of locally adapted breeds		Comments
4.1	Would this project introduce non-native or non-locally adapted species, breeds, genotypes or other genetic	LOW RISK	Project activities will support the conservation of native species and will not introduce non-native or

	material to an area or production system?		non-locally adapted species, breeds, etc.
4.1.1	Would this project foresee an increase in production by at least 30% (due to the introduction) relative to currently available locally adapted breeds and can monitor production performance?	N/A	N/A
4.1.2	Would this project introduce genetically altered organisms, e.g. through selective breeding, chromosome set manipulation, hybridization, genome editing or gene transfer and/or introduce or use experimental genetic technologies, e.g. genetic engineering and gene transfer, or the products of those technologies?	N/A	N/A
4.2	Would this project introduce a non-native or non-locally adapted species or breed for the first time into a country or production system?	LOW RISK	No.
4.3	Would this project introduce a non-native or non-locally adapted species or breed, independent whether it already exists in the country?	LOW RISK	No.
4.4	Would this project ensure there is no spread of the introduced genetic material into other production systems (i.e. indiscriminate crossbreeding with locally adapted species/breeds)?	LOW RISK	No introduced genetic material is considered in the Project.
Question	Collection of wild genetic resources for farming systems		Comments
4.5	Would this project collect living material from the wild, e.g. for breeding, or juveniles and eggs for on growing?	LOW RISK	No
Question	Modification of habitats		Comments
4.6	Would this project modify the surrounding habitat or production system used by existing genetic resources?	LOW RISK	No
4.7	Would this project be located in or near an internationally recognized conservation area e.g. Ramsar or World Heritage Site, or other nationally important habitat, e.g. national park or high nature value farmland?	MODERATE RISK	Due to the nature of the project various activities that may take place in and/or nearby protected areas and buffer zones, including forest management and conservation activities. s.
4.8 AQGR	Would this project block or create migration routes for aquatic species?	LOW RISK	No
4.9	Would this project change the water quality and quantity in the project area or areas connected to it?	LOW RISK	No

4.10	Would this project cause major habitat / production system changes that promote new or unknown chances for gene flow, e.g. connecting geographically distinct ecosystems or water bodies; or would it disrupt habitats or migration routes and the genetic structure of valuable or locally adapted species/stocks/breeds?	LOW RISK	No
4.11	Would this project involve the intensification of production systems that leads to land- use changes (e.g. deforestation), higher nutrient inputs leading to soil or water pollution, changes of water regimes (drainage, irrigation)?	LOW RISK	Project activities are entitled to support sustainable production practices that do not imply land use changes, different to afforestation and land restoration.
SAFEGUARD 5 PEST AND PESTICIDES MANAGEMENT			
Question	Supply of pesticides by FAO		Comments
5.1	Would this project procure, supply and/or result in the use of pesticides on crops, livestock, aquaculture or forestry?	LOW RISK	No pesticide use is foreseen in the program.
5.2	Would this project provide seeds or other materials treated with pesticides (in the field and/or in storage) ?	LOW RISK	No
5.3	Would this project provide inputs to farmers directly or through voucher schemes?	LOW RISK	No
5.4	Would this project lead to increased use of pesticides through intensification or expansion of production?	LOW RISK	The project will not support the introduction of pesticides.
5.5	Would this project manage or dispose of waste pesticides, obsolete pesticides or pesticide contaminated waste materials?	LOW RISK	Not applicable
SAFEGUARD 6 INVOLUNTARY RESETTLEMENT AND DISPLACEMENT			
Question			Comments
6.1	Would this removal* be voluntary?	LOW RISK	The Project does not consider any removals as part of future activities.
SAFEGUARD 7 DECENT WORK			
Question			Comments
7.1	Would this project displace jobs? (e.g. because of sectoral restructuring or occupational shifts)	LOW RISK	No
7.2	Would this project operate in sectors or value chains that are dominated by subsistence producers and other vulnerable informal agricultural workers, and more generally characterized by high levels “working poverty”?	MODERATE RISK	Yes

7.3	Would this project operate in situations where youth work mostly as unpaid contributing family workers, lack access to decent jobs and are increasingly abandoning agriculture and rural areas?	LOW RISK	The project will undertake specific activities to facilitate and promote the inclusion of gender, youth and minorities.
7.4	Would this project operate in situations where major gender inequality in the labor market prevails? (e.g. where women tend to work predominantly as unpaid contributing family members or subsistence farmers, have lower skills and qualifications, lower productivity and wages, less representation and voice in producers' and workers' organizations, more precarious contracts and higher informality rates, etc.)	MODERATE RISK	Yes
7.5	Would this project operate in areas or value chains with presence of labor migrants or that could potentially attract labor migrants?	LOW RISK	No. The program will work with local/rural communities.
7.6	Would this project directly employ workers?	MODERATE RISK	Yes, the program will support activities that may need directly employ local workers
7.7	Would this project involve sub-contracting?	LOW RISK	No
7.8	Would this project operate in a sector,	MODERATE RISK	Yes
7.9	Would this project provide or promote technologies or practices that pose occupational safety and health (OSH) risks for farmers, other rural workers or rural populations in general?	LOW RISK	No
7.10	Would this project foresee that children below the nationally defined minimum employment age (usually 14 or 15 years old) will be involved in project-supported activities?	LOW RISK	No
7.11	Would this project foresee that children above the nationally-defined minimum employment age (usually 14 or 15 years old), but under the age of 18 will be involved in project-supported activities?	LOW RISK	No
7.12	Would this project operate in a value chain where there have been reports of child labor?	LOW RISK	No

7.13	Would this project operate in a value chain or sector where there have been reports of forced labor [4]?	LOW RISK	No
SAFEGUARD 8 GENDER EQUALITY			
Question			Comments
8.1	Could this project risk reinforcing existing gender-based discrimination, by not taking into account the specific needs and priorities of women and girls?	LOW RISK	The program will support gender studies and mainstreaming in it´s activities.
8.2	Could this project not target the different needs and priorities of women and men in terms of access to services, assets, resources, markets, and decent employment and decision-making?	LOW RISK	The project will include women and youth priorities based on consultations in the areas of intervention
SAFEGUARD 9 INDIGENOUS PEOPLES AND CULTURAL HERITAGE			
Question			Yes
9.1	Are there indigenous peoples* living		Yes. FPIC and consultation process will be part of the project
9.1.1	Do the project activities influence the Indigenous Peoples living outside the project area?	LOW RISK	No
9.2	Are there indigenous peoples living in the project area where activities will take place?	MODERATE RISK	Indigenous peoples organization are considered one of the main beneficiaries of the project.
9.3	Would this project adversely or seriously affect on indigenous peoples' rights, lands, natural resources, territories, livelihoods, knowledge, social fabric, traditions, governance systems, and culture or heritage (*physical** and *non-physical or intangible***) inside and/or outside the project area?	LOW RISK	The project will respect indigenous peoples rights and activities will be designed to strengthen indigenous peoples' territorial governance.
9.4	Would this project be located in an area where cultural resources exist?	LOW RISK	The project has not identified areas of particular cultural interest. If so the project will take measure to assure conservation of those areas by avoiding forest management and intervention activities in those areas.

Annex 4. Indicative Outline of Environmental and Social Analysis (ESA) for Moderate Risk Sub-Projects

Executive summary

a. Project description

b. Significant risks/impacts

c. Stakeholder engagement

d. Mitigation

Introduction

a. Project overview and justification

b. E&S process

1. Project description

1.1 Project location and siting

1.2 Description of project activities

1.3 Identification of stakeholders/beneficiaries

2. E&S baseline

2.1 Current state of the environment and current socio-economic conditions in the project site area

2.2 Potential future changes foreseen as a result of the planned activities

3. Impact assessment

3.1 Key E&S risks/impacts

3.2 Rank E&S risks/impacts by significance

3.3 Alternatives to project to avoid/minimize impacts

4. Mitigation

4.1 Identify applicable recognized good management and/or pollution abatement practices

4.2 Demonstrate record of the prior successful use of identified good management and/or pollution abatement practices in the project area or other justification

4.3 Indicators to monitor mitigation effectiveness

4.4 Review of applicable legislation

4.5 FAO ESS 1 to 9

5. Stakeholder consultation/engagement

5.1 Stakeholder consultation/engagement

5.2 Consultations on E&S mitigation

5.3 Grievance mechanism

6. Recommendations

6.1 Proceed/do not proceed with project

6.2 Recommendations

The contents of the E&S Analysis (ESA) will significantly vary depending on the specific characteristics of each project. This outline presents a proposal of key elements for the E&S analysis. If host country requirements apply, these should also guide the content of the analysis.

Annex 5: Outline of Environmental and Social Commitments Plan (ESCP)

Part I

1. Mitigation action plan

1.1 Mitigation measures from the E&S analysis/ESIA

1.2 Justification of mitigation hierarchy72

Part II

2. Mitigation implementation

2.1 Recipients institutional/organizational structure to implement mitigation

2.2 Roles and responsibilities

2.3 Budget

2.4 Time frames specified for each mitigation action

3. Monitoring and reporting

3.1 Mitigation indicators to be monitored

3.2 Time frame agreed

3.3 Report on findings template

3.4 Reporting time frame

4. Adaptive management

4.1 Where project changes occur, unforeseen circumstances arise, or monitoring determines a need to change mitigation plan, it is changed in accordance with an agreed adaptive management process.

The LTO confirms the information above
Date_____
Signature_____

The E&S Management Unit
Certifies the ESCP as above
Does not certify the ESCP as above. More clarifications required.
Date _____
Signature_____

Annex 6. Proposed outline of the Indigenous Peoples' Plan (IPP)

The IPP is prepared in a flexible and pragmatic manner, and its level of detail varies depending on the specific project and the nature of the effects to be addressed. In general, and where appropriate, an IPP should include the following elements:

Executive summary

1. Baseline

- Location of activities, sub-activities, sub-projects
- Socio-economic and environment characteristics of indigenous areas of intervention
- Land tenure arrangements

2. Analysis of impacts, risks and opportunities

Identification of potential environmental and social risks and impacts (results of independent and participatory activities)

3. Mitigation measures

- Recommended measures to avoid, minimize and mitigate potential adverse effects on indigenous peoples, and to enhance positive impacts
- Time frame for the implementation of mitigation measures

4. Measures for natural resource management.

Where applicable, this section describes measures to assure that natural resources upon which indigenous peoples depend are managed in a sustainable way to reduce potential risks and impacts

5. Stakeholders engagement

5.1 Stakeholder consultation/engagement

5.2 Consultations on E&S mitigation

5.3. Benefit-sharing plans

5.4 Grievance mechanism

6. Monitoring plan and procedures

- Monitoring, evaluation and reporting mechanisms
- Institutional arrangements
- Analysis of results of the monitoring and procedures for adjustments of the IPP
- Reporting mechanisms