

Environmental and Social Assessment of Colombia's *RBP*:

1 Introduction	2
Context and Purpose	2
2 Methodology and Scope of Assessment	2
3 Assessment of Policy-Level Alignment for Period of Achievement of Results	3
3.1 Low Deforestation Development Vision for the Colombian Amazon (<i>Visión Amazonía</i>)	3
3.2 Forest Conservation and Sustainability in the Heart of the Colombian Amazon	3
3.3 FAO Environmental and Social Standards (ESS)	4
4. Policy, Law and Regulation Review	5
5. Project Alignment Review	5
6. Stakeholder Engagement and Grievance Mechanism	6
7. Conclusions and Recommendations	6
8. Key Documents for ESA	7
Annex A- Matrix for the <i>Heart of the Amazon Project</i> : policy, law & regulations analysis (PLR) with FAO ESS and REDD+ Safeguards	1
ANNEX B: Project Alignment Review for Colombia's <i>Forest Conservation and Sustainability in the Heart of the Colombian Amazon project</i> (Heart of the Amazon project)	1
<i>Annex C Stakeholder engagement</i>	29
Annex D- Grievance Mechanism Grievance	33

1 Introduction

Context and Purpose

The Green Climate Fund (GCF) has issued a request for submitting proposals for the REDD+ results-based payments Pilot Program (Decision B.18/07). Colombia has met the GCF eligibility criteria to access REDD+ results-based payments (GCF Decision B.17/18, section 1 of Annex III). Accordingly, Colombia's REDD+ focal point MINAMBIENTE, extended an invitation to FAO as a GCF accredited entity to prepare and submit a funding proposal to the REDD+ results-based payments Pilot Program.

As part of the requirements of the funding proposals for the Pilot Program, an Environmental and Social Assessment Report (ESA) must be presented. This ESA retroactively reviews the actions from 2015 and 2016, for which results-based payments are sought, in order to confirm that these actions were consistent with applicable GCF ES standards. This ESA reviews retroactive alignment focusing on policy alignment and using FAO's Environmental and Social Standards¹ (ESS) –which are fully coherent with GCF's Environmental and Social Standards–.

The Environmental and Social Assessment (ESA) is focused on Colombia's Low Deforestation Development Vision for the Colombian Amazon, also known as **Visión Amazonía** that has served as a framework² for several projects oriented to avoid deforestation in the Amazon. The assessment will focus on the **Forest Conservation and Sustainability in the Heart of the Colombian Amazon project (Heart of the Amazon project)** which is a critical program for producing the results for which Colombia is seeking results-based payments.

2 Methodology and Scope of Assessment

The Environmental and Social Assessment, as per the Green Climate Fund requirements for the RBP pilot program³, aims to (a) evaluate the consistency between FAO's ES standards and the measures undertaken to prevent environmental and social risks and impacts associated with activities implemented in the proposed regions during a period of time; (b) describe the grievance redress mechanism (GRM) that was established as part of the REDD+ activities; (c) describe and assess the processes for stakeholder identification, consultation and participation in REDD+ actions.

This analysis will highlight policy alignment with the Cancun Safeguards and the application of the safeguards through national policies, laws and regulations, which is the lens through which Colombia defined its REDD+ safeguards approach (National interpretation) at its first⁴ and second

¹ <http://www.fao.org/3/a-i4413e.pdf>

² Colombia's current interventions in the Amazon have been aligned with the Amazon Vision, launched in 2013 by the Government as an initiative that promotes a low-carbon development model and a goal of zero net deforestation by the year 2020. Under the Amazon Vision umbrella, there are several ongoing projects from bilateral/multi cooperation: (a) **Forest Conservation and Sustainability in the Heart of the Colombian Amazon project (Heart of the Amazon project)** GEF (P144271) and Additional Funding 2017 GEF-6 (b) REDD Early Movers (REM); (c) USAID support to the Conservation and Governance Program for landscape-level conservation efforts as an integral strategy to address threats to the Amazonian biome; (d) EU support of subnational projects to strengthen the environmental system and promote sustainable development as directed in the Peace accords.

³ https://www.greenclimate.fund/documents/20182/1203466/Terms_of_reference_for_the_pilot_programme_for_REDD_results-based_payments.pdf/e26651fc-e216-c8b0-55a1-8eea16a90f39

⁴ https://redd.unfccc.int/files/salvaguardas_en_colombia.pdf

Summary of Information⁵ (SOI), and is gradually strengthening its Safeguards Information System (SIS).

The assessment covers the policies, laws and regulations (PLRs) applicable to the *Heart of the Amazon* Project, which initiated in March 2015 and continues to operate (in its second phase with additional funding) until 2022. This project is an important and recognized effort to promote sustainable land-use activities to reduce deforestation and conserve biodiversity. The project has been implemented in the context of Colombia's long-standing commitment to the conservation, improvement of governance, consolidation, preservation and sustainable management of Protected Areas in the Colombian Amazon. Specifically, relating to Colombia's *Low Deforestation Development Vision for the Colombian Amazon (Visión Amazonía)* and Colombia's REDD+ Readiness process.

3 Assessment of Policy-Level Alignment for Period of Achievement of Results

3.1 Low Deforestation Development Vision for the Colombian Amazon (Visión Amazonía)

In October 2013, the Government of Colombia through the Ministry of Environment and Sustainable Development (MADS), presented its 'Low Deforestation Development Vision for the Colombian Amazon' (*Visión Amazonía*), which calls for the construction of a partnership model between Colombia and the international community to promote low-carbon development models in all of its forested areas. In its vision, Colombia recognizes that the Amazon "cannot simply be a large protected area, but must also provide additional alternatives for the development and integration into the global economy for its population, as well as wealth and prosperity for the country at large." *Visión Amazonía*, supported by a multi-donor strategy with over US\$100 million in commitments, establishes a results-based payment mechanism to which international and national development partners contribute by rewarding the protection of the climate change mitigation services provided by the Colombian Amazon forests.

3.2 Forest Conservation and Sustainability in the Heart of the Colombian Amazon

The Forest Conservation and Sustainability objective of the Heart of the Colombian Amazon Project is to improve governance and promote sustainable land use activities in order to reduce deforestation and conserve biodiversity in the Colombian Amazon forests.

The Project seeks to address the conservation of an area of over nine million hectares in the Heart of the Colombian Amazon, which is a vast area of humid tropical forest. The Project Direct Intervention Areas include the departments of Caquetá, Meta, Guaviare and Amazonas.

The project is funded by the World Environment Fund (GEF) and implemented by the World Bank. The executing partners of this project are: Ministry of Environment and Sustainable Development (MADS), National Natural Parks (PNN), the Institute of Hydrology, Meteorology and Environmental Studies (IDEAM), the Amazon Institute for Scientific Research (SINCHI) and Natural Heritage.

The project encompasses the following areas:

(a) The Natural Chiribiquete Mountain Ridge National Park (PNNSCH), a Protected Area, which occupies an area of 2,782,353 hectares⁶.

⁵ https://redd.unfccc.int/uploads/2_223_segundo_resumen_de_salvaguardas.pdf

- (b) An area known as the Ariari-Guayabero District of Integrated Management of Natural Renewable Resources (also known as “Restoration Zone for Southern Production”), located in San José del Guaviare and Calamar (Guaviare Department).
- (c) Seven indigenous peoples reserves (*resguardos*).
- (d) Areas located inside the Amazon Forest Reserve in the Caquetá and Guaviare Departments.
- (e) Areas removed (*areas sustraídas*) from the Amazon Forest Reserve in Cartagena del Chairá and Calamar municipalities (in Caquetá Department) and San José del Guaviare municipality (Guaviare Department).

The Project includes four components:

Component 1: Protected Areas Management and Financial Sustainability i) Strengthen the management effectiveness of the PNNSC and its buffer zone through, inter alia, the design and implementation of a management plan for the PNNSC. ii) Increase the financial sustainability of the management of about 2.7 million hectares of protected areas in the Project Area.

Component 2: Forest Governance, Management and Monitoring i) Enhance the institutional capacity and financial sustainability of relevant stakeholders for sustainable landscape governance, management, and monitoring of the Project Area. ii) Enhance the institutional capacity of relevant stakeholders to monitor GHG emission reductions, in accordance with the NSFCM, in the Project Area. iii) Enhance the capacity of indigenous peoples’ authorities for sustainable land-use practices and forest governance within indigenous territories in the Project Area. iv) Support the disclosure of data on reduction of deforestation in the Project Area.

Component 3: Sectoral Programs for Sustainable Landscape Management. i) Support improvement of cross-sectoral policy coordination and consistency to achieve long term-reductions in deforestation in the Project Area. ii) Support the development and adoption of guidelines and programs in, inter alia, the agriculture, extractive industries and infrastructure sectors, aimed at reducing pressures on forests and biodiversity, and GHG emissions, and restoring ecosystems in the Project Area. iii) Support the promotion of sustainable land-use and natural resource management practices that contribute to the restoration of vegetation, reduce pressure on forests and advance the livelihoods of local communities in the municipalities of San Jose del Guaviare, Calamar and Cartagena del Chaira.

Component 4: Project Coordination, Management, Monitoring and Evaluation. Strengthen the PCU to ensure coordination, management, monitoring, evaluation, and communication for the implementation of the Project.

Direct beneficiaries of the project include:

- (a) An estimated of 3,485 indigenous people, including their traditional authorities and living in the seven indigenous reserves *resguardos* (Mirití-Parará, Nonuya de Villazul, Aduche, Mesay, Yaguará II, Monochoa and Puerto Zábalo-Los Monos); (b) *Campesino* families in Cartagena de Chairá, San José de Guaviare and Calamar (approximately 200 families involving 800 people); (c) Agricultural and rural producer associations; (d) The municipal and regional governments of Caquetá and Guaviare Departments; and (e) Regional environmental authorities (i.e. CDA and Corpoamazonia).

3.3 FAO Environmental and Social Standards (ESS)

FAO’s Environmental and Social Standards were adopted in 2015. At the program and field level, nine ES standards were designed to help manage and improve FAO’s environmental and social performance through a risk and outcome based approach. The ES standards set out specific requirements relating to different social and environmental issues. Projects approved and supported

⁶ The area was created in 1989 by Resolution 120 of the Ministry of Agriculture and expanded in 2013 through Resolution 1038 of the Ministry of Environment and Sustainable Development (MADS).

by FAO must meet these environmental and social standards. FAO's Environmental and Social Standards relate to the following areas: Natural Resource Management (ESS1), Biodiversity, Ecosystems and Natural Habitats (ESS2), Plant Genetic Resources for Food and Agriculture (ESS3), Animal - Livestock and Aquatic - Genetic Resources for Food and Agriculture (ESS4), Pest and Pesticide Management (ESS5), Involuntary Resettlement and Displacement (ESS6), Decent Work (ESS7), Gender Equality (ESS8), Indigenous Peoples and Cultural Heritage (ESS9). The desired outcomes are described in the objective of each ESS, followed by specific requirements to help the organization achieve these objectives.

4. Policy, Law and Regulation Review

Annex A presents the matrix for the Heart of the Amazon Project policy, law and regulations analysis (PLR) with FAO's ES standards and REDD+ Safeguards. The analysis was performed using a matrix to verify that the Heart of the Amazon Project was designed in order to meet UNFCCC safeguards, Colombia's legal framework and FAO's Environmental and Social Standards. The criteria for this matrix⁷ include Colombia's national interpretation of REDD+ safeguards (fifteen safeguarding elements), ensuring that the indicators and diagnostic questions comprised FAO's nine Environmental and Social Standards (ESS).

The PLR review shows that the Amazon Heart project was structured to meet the relevant environmental and social requirements as set out in REDD+ safeguards, Colombia's legal framework, and FAO's ES standards.

5. Project Alignment Review

A project alignment review was conducted to assess the extent in which activities implemented by the Heart of the Amazon Project were consistent with FAO ES standards, and consequently with REDD+ safeguards.

The review consisted of creating a matrix, using FAO's project implementation questions to guide the risk assessment of the project activities and its safeguards instruments in order to verify consistency with FAO ES standards. To ensure compliance with FAO's ESS, a risk classification was assigned to each question and when a moderate risk was determined, an analysis of the measures and actions undertaken to mitigate environmental and social risks associated was performed. The review was carried out based on inputs from key stakeholders and the revision of key documentation, namely: Colombia's safeguards information summaries I⁸ & II⁹, The Heart of the Amazon project Environmental and Social Management Framework (ESMF)¹⁰, FCPF Midterm progress Report Colombia¹¹, Indigenous Peoples Framework¹², Indigenous Peoples Plans (IPP) of Puerto Zabalo-Los Monos, Monochoa, Aduche, Nonuya de Villazul, Mesai, Miriti-Parana, and Yaguara II¹³, Institutional Guide for Avoiding Contact and Negative Impact on Indigenous Peoples Living in Voluntary Isolation or Initial Contact¹⁴, *Identificación y valoración de oportunidades del*

⁷ The matrix was developed following the original idea of Climate, Law and Policy to encompass REDD+ Safeguards and UNDP SES, but adapted for FAO's ESS and Colombia's national interpretation.

⁸ https://redd.unfccc.int/files/salvaguardas_en_colombia.pdf

⁹ https://redd.unfccc.int/uploads/2_223_segundo_resumen_de_salvaguardas.pdf

¹⁰ <http://documents.worldbank.org/curated/en/406411468240557915/pdf/E46450V10SPANI00Box385335B00PUBLIC0.pdf>

¹¹ https://www.forestcarbonpartnership.org/system/files/documents/Colombia%20Mid-term%20Progress%20Report%20-%20final%20for%20posting_0.pdf

¹² <http://www.parquesnacionales.gov.co/porta1/wp-content/uploads/2014/08/Anexo-3-Marco-referencia-y-desarrollo-PPI.docx>

¹³ <http://documents.worldbank.org/curated/en/967021468025776954/pdf/IPP7470V30SPAN00Box385335B00PUBLIC0.pdf>

¹⁴ <http://documents.worldbank.org/curated/en/934661468026070198/pdf/IPP7470V10SPAN00Box385335B00PUBLIC0.pdf>

*componente 1 - Áreas Protegidas*¹⁵, *Identificación y valoración de riesgos sociales y ambientales del componente 2 - Mejor gobernanza, manejo y monitoreo forestal*¹⁶, *Identificación y valoración de riesgos sociales y ambientales del componente 3 - Programas sectoriales para el manejo sostenible del paisaje*¹⁷, *Project Appraisal document*¹⁸, *Process Framework Marco de procedimiento para el manejo de restricciones en el acceso a los recursos naturales en áreas de Reserva Forestal de la Amazonia*¹⁹, and Social Evaluation-Evaluación social de los 7 resguardos indígenas en el área del Proyecto, "Conservación de Bosques y Sostenibilidad en el Corazón de la Amazonia"²⁰, among others.

The ESA seeks to provide a snapshot of how these policies were applied at the project level. For this project-level assessment, the representative project of Heart of the Amazon was chosen to assess consistency in application of the PLR.

The review concludes that the social and environmental approach of the *Heart of the Amazon project* is well aligned with FAO's ES standards. (see **Annex B Project Alignment Review for Colombia's Forest Conservation and Sustainability in the Heart of the Colombian Amazon project**).

The ESMF for activities financed by result-based payments could take into account lessons learned in the implementation of social and environmental safeguards of the Heart of the Amazon Project.

6. Stakeholder Engagement and Grievance Mechanism

The ESMF of the project, in its chapter 6, describes the four areas for the dissemination and interaction with the beneficiaries and stakeholders, these being: i) social diagnosis and consultation for the design of the project; ii) disclosure of MGAS, PPI and MP; iii) information exchange, dialogue and consultation for the implementation of project activities; iv) attention to requests, complaints and conflict resolution.

During the preparation and implementation of the Heart of the Amazon Project relevant stakeholders participated. **Annex C Stakeholder engagement** describes the participation of relevant stakeholders in the project. Additionally, Annex C highlights the important steps Colombia has taken to engage relevant stakeholder during Colombia's REDD+ Readiness Process.

Beneficiaries and relevant stakeholders in the project had and continue to have access to an effective grievance redress mechanism. **Annex D Grievance Mechanism** describes the process.

7. Conclusions and Recommendations

The Heart of the Colombian Amazon Project was designed to generate long-term positive environmental impacts through the protection of critical natural habitats and improved land-use planning. It is intended to improve the sustainability of some of the agricultural activities of small landholders, strengthening the management of natural resources by indigenous peoples in their

¹⁵ http://www.parquesnacionales.gov.co/portal/wp-content/uploads/2014/08/Anexo-1-Oportunidad_riesgo_medidas-C1.xlsx

¹⁶ https://storage.googleapis.com/pnn-web/uploads/2014/08/Anexo-10-Oportunidad_riesgo_medidas-C2.xlsx

¹⁷ https://storage.googleapis.com/pnn-web/uploads/2014/08/Anexo-11-Oportunidad_riesgo_medidas-C3.xlsx

¹⁸ [EVISED0020Box385377B00OU0090.pdf](https://documents.worldbank.org/curated/en/295031468026095931/pdf/RP16900V10SPAN00Box385324B00PUBLIC0.pdf)

¹⁹ <http://documents.worldbank.org/curated/en/295031468026095931/pdf/RP16900V10SPAN00Box385324B00PUBLIC0.pdf>

²⁰ <http://documents.worldbank.org/curated/en/393891468233946406/pdf/IPP7470V40SPAN00Box385335B00PUBLIC0.pdf>

traditional territories, while improving the protection of indigenous population living in voluntary isolation or initial contact.

The ESMF included guidelines to enhance management plans and monitoring systems for detecting and addressing environmental and other impacts in real time. All Project activities implemented were subject to the environmental procedures defined in the ESMF and in compliance with the requirements of the national and subnational legal frameworks.

The ESA demonstrated that the Heart of Amazonía programme was implemented within legal and policy framework that provided an enabling environment for achieving alignment with FAO's ESS.

As a recommendation for the future, projects should carefully analysed the potential it offers for contributing to equal opportunities. Gender-responsive analyses are required to understand real and perceived gender differences in interests and needs, and to anticipate threats or risks.

It is also recommended that the gender dimension be mainstreamed in all forest-related interventions and identifying opportunities to empower women

Where applicable, special attention should be paid to the gender dimension. In particular, to support the enforcement of the Colombian regulations, i.e. (i) to provide property title to both members of the couple, (ii) to implement affirmative actions for property rights formulation of female headed households,

8. Key Documents for ESA

Document	Link
Aide Memoire (August 2016)	http://documents.worldbank.org/curated/en/308021481718486768/pdf/1481581387929-0000A8056-ITM00267-P144271-12-12-2016-1481581386105.pdf
Colombia's safeguards information summary II	https://redd.unfccc.int/uploads/2_223_segundo_resumen_de_salvaguadas.pdf
Colombia's safeguards information summary	https://redd.unfccc.int/files/salvaguadas_en_colombia.pdf
Environmental and Social Management Framework (ESMF)	http://documents.worldbank.org/curated/en/406411468240557915/pdf/E46450V10SPANI00Box385335B00PUBLIC0.pdf
Encuesta de caracterización predial para tipificar los sistemas productivos en áreas de baja y media intervención de Calamar, San José del Guaviare y Cartagena del Chairá	http://www.parquesnacionales.gov.co/portal/wp-content/uploads/2014/08/Anexo-15-Encuesta_caracterizacion_predial_tipifica_sistemas_productivos.docx
FCPF Midterm progress Report Colombia	https://www.forestcarbonpartnership.org/system/files/documents/Colombia%20Mid-term%20Progress%20Report%20-%20final%20for%20posting_0.pdf
Institutional Guide for Avoiding Contact and Negative Impact on Indigenous Peoples Living in Voluntary Isolation or Initial Contact	http://documents.worldbank.org/curated/en/934661468026070198/pdf/IPP7470V10SPAN00Box385335B00PUBLIC0.pdf

Indigenous Peoples Framework

<http://www.parquesnacionales.gov.co/portal/wp-content/uploads/2014/08/Anexo-3-Marco-referencia-y-desarrollo-PPI.docx>

Indigenous Peoples Plan (IPP) of Puerto Zabalo-Los Monos, Monochoa, Aduche, Nonuya de Villazul, Mesai, Miriti-Parana, and Yaguara II

<http://documents.worldbank.org/curated/en/967021468025776954/pdf/IPP7470V30SPAN00Box385335B00PUBLIC0.pdf>

Identificación y valoración de oportunidades del componente 1 - Áreas Protegidas

http://www.parquesnacionales.gov.co/portal/wp-content/uploads/2014/08/Anexo-1-Oportunidad_riesgo_medidas-C1.xlsx

Identificación y valoración de riesgos sociales y ambientales del componente 2 - Mejor gobernanza, manejo y monitoreo forestal

https://storage.googleapis.com/pnn-web/uploads/2014/08/Anexo-10-Oportunidad_riesgo_medidas-C2.xlsx

Identificación y valoración de riesgos sociales y ambientales del componente 3 - Programas sectoriales para el manejo sostenible del paisaje

https://storage.googleapis.com/pnn-web/uploads/2014/08/Anexo-11-Oportunidad_riesgo_medidas-C3.xlsx

Integrated safeguards data sheet concept stage

<http://documents.worldbank.org/curated/en/784291468231575340/pdf/ISDS-Print-P144271-08-20-2013-1377004783147.pdf>

<http://documents.worldbank.org/curated/en/291261468259760644/pdf/AppraisalISDS-Print-P144271-09-30-2014-1412113289939.pdf>

Implementation Status & Results Report

<http://documents.worldbank.org/curated/en/386111468233947328/pdf/ISR-Disclosable-P144271-04-18-2015-1429388659229.pdf>

<http://documents.worldbank.org/curated/en/842701468019132845/pdf/ISR-Disclosable-P144271-10-01-2015-1443721441780.pdf>

<http://documents.worldbank.org/curated/en/136461468028429832/pdf/ISR-Disclosable-P144271-05-06-2016-1462574845509.pdf>

Legal Framework Colombia Documents

<https://drive.google.com/drive/folders/0B1BbjiN3jG5ODBnUDFJQmlwWTA>

Manual para la delimitación y zonificación de zonas amortiguadoras

<http://documents.worldbank.org/curated/en/990331468247469699/pdf/RP16900V40SPAN00Box385324B00PUBLIC0.pdf>

Project Appraisal document

<http://documents.worldbank.org/curated/en/2067814>

Process Framework

Marco de procedimiento para el manejo de restricciones en el acceso a los recursos naturales en áreas de Reserva Forestal de la Amazonia

[68019270283/pdf/880670REVISED0020Box385377B00OUO090.pdf](http://documents.worldbank.org/curated/en/295031468026095931/pdf/880670REVISED0020Box385377B00OUO090.pdf)

Social Evaluation

Evaluación social de los 7 resguardos indígenas en el área del Proyecto, "Conservación de Bosques y Sostenibilidad en el Corazón de la Amazonia"

<http://documents.worldbank.org/curated/en/295031468026095931/pdf/RP16900V10SPAN00Box385324B00PUBLIC0.pdf>

<http://documents.worldbank.org/curated/en/393891468233946406/pdf/IPP7470V40SPAN00Box385335B00PUBLIC0.pdf>

Annex A- Matrix for the *Heart of the Amazon Project*: policy, law & regulations analysis (PLR) with FAO ESS and REDD+ Safeguards

SAFEGUARD A <i>Actions complement or are consistent with the objectives of national forest programs and relevant international conventions and agreements</i>	
Criteria A.1. Correspondence with the international agreements signed by Colombia regarding forests, biodiversity and climate change²¹.	
Diagnostic Question: to what extent do PLRs require consistency with objectives of national forest programs and relevant international conventions and agreements, and this is applicable to the forestry sector?	
Indicator	Explanation (identify articles/provisions) (<i>not an exhaustive reference to all relevant PLRs</i>)
PLRs clearly define what the national forest program(s) is/are and requires that steps are taken to ensure that any new policy/initiative is consistent with (or at least does not contradict) existing policies/programs)	<p>The Institutional strategy for the articulation of policies and actions related to climate change in Colombia (CONPES 3700) recognizes that for the implementation of mitigation measures associated with the forestry sector, the regulatory support is based on the Forest Policy; the Strategic Plan for the Restoration and Establishment of Forests; the Policies and Strategies for the Consolidation of a National System of Protected Areas of the Country and the National Forest Development Plan.</p> <p>Colombia has a Forest Policy since 2002; the Policy for the Integral Management of Biodiversity and its Ecosystem Services from 2012 and the National Policy of Climate Change from 2017.</p> <p>Activities executed under the Heart of the Amazon Project, are consistent with the objectives of the National Forest Plan (especially with objectives 4 and 5) and with the strategic lines of the National Policy for the Integral Management of Biodiversity and its Ecosystem</p>

²¹ The criteria were established according to Colombia's national interpretation of the Cancun safeguards.

	Services (PGIBSE).
Number of relevant of international agreements that the country is Party to (<i>Including HR and environmental/biodiversity conventions</i>)	<p>Among others, Colombia has ratified the following international agreements and instruments²²:</p> <p>International Covenant on Economic, Social and Cultural Rights (ICESCR)</p> <p>International Covenant on Civil and Political Rights (ICCPR)</p> <p>International Convention on the Elimination of All Forms of Racial Discrimination (ICERD)</p> <p>Convention on the Elimination of Discrimination Against Women</p> <p>Convention on the Rights of the Child</p> <p>Equal remuneration convention</p> <p>International Labor Organization Convention concerning Indigenous and Tribal Peoples in Independent Countries, No. 169 (ILO 169)</p> <p>United Nations Convention to Combat Desertification (UNCCD)</p> <p>United Nations Framework Convention on Climate Change (UNFCCC)</p> <p>Convention on Biological Diversity - Decision XI/19</p> <p>Convention of Biological Diversity</p> <p>Ramsar Convention on Wetlands of International Importance especially as Waterfowl Habitat</p> <p>International Tropical Timber Agreement, 2006 -</p> <p>Convention on International Trade in Endangered Species of Wild Fauna and Flora - CITES</p>

²² For more information, see: <http://hrlibrary.umn.edu/research/ratification-colombia1.html>

	Andean Decision 391
How the national legal framework incorporates international law	There is compatibility between the development of actions and measures to reduce deforestation and compliance and complementarity with international agreements and related national policies, as long as these agreements are linked under laws, decrees and resolutions of the country.
SAFEGUARD B	
<i>Transparent and effective national forest governance structures, taking into account national legislation and sovereignty</i>	
Criteria B.1. Transparency and access to information	
Diagnostic Question: To what extent do PLRs guarantee the right to access information?	
Indicators	Explanation (identify articles/provisions)
PLRs recognize the right to access information	Colombian legislation contains different normative instruments related to transparency and access to information. The Political Constitution of Colombia art. 13, 20 and 80 establish access to information as a fundamental right. Law 1755 of 2015- establishes that all persons have the right to request information and to consult, examine and request copies of documents for reasons of general or particular interest.
PLRs guarantee passive access to information (access to information on request)	Law 962 of 2005, Law 1712 of 2014 and Decree 103 of 2015- determine that all public sector entities must have available and updated information on their functions, services, projects, programs and actions in the execution of their functions. Particularly relevant for the Amazon region and indigenous groups, is

	that the law of transparency and access to information establishes that in order to facilitate specific populations to access information that particularly affects them, at the request of community, authorities and entities will disseminate public information in various languages and tongues and develop understandable alternative formats for such groups. Law 99 of 1993 contemplates modes and procedures for citizen participation.
Diagnostic Question: To what extent does the legal framework require public institutions to ensure the access and distribution of information?	
Indicators	Explanation (identify articles/provisions)
PLRs create dedicated institutions for distribution of information	Law 1474 of 2011- regulates the fundamental right of petition and establishes that public entities must develop a system for the orderly attention of requests, complaints, claims, and assign to specialized agencies the function of handling these complaints and/or claims including the use of alternative means for those who do not have technological means.
PLRs create a central registry for gathering information related to forest management	Decree 1076 of 2015 component 2.2.8.9.1.1 creates the general framework of the SIAC (Environmental Information System of Colombia. On this basis, the Decree 1655 October 17, 2017 (which creates the National Forest Information System (SNIF), SMByC, INF) is supported.
PLRs provide clear procedures for request/access to information	Law 1437 of 2011 (Code of Administrative Procedure and Administrative Litigation)
SAFEGUARD B	
Criteria B.2. Accountability	
Diagnostic Question 1: To what extent do PLRs establish structures and practices to consolidate accountability?	
Indicators	Explanation (identify articles/provisions)
PLRs aim to consolidate accountability through a permanent process including the offer of clear and understandable information and institutionalized spaces for explaining and justifying the decisions and actions of public management.	The country has an accountability policy (CONPES 3654 of 2010) establishing structures and practices to consolidate accountability in public and private organizations. This CONPES defines three main components for accountability:

	<p>a) The information which refers to the availability, exposure and dissemination of data, statistics, documents, reports, etc.</p> <p>b) The explanation or dialogue, which refers to the support of the actions, to the presentation of the diagnoses and the interpretations, to the exposition of the criteria used to make the decisions, and therefore implies the existence of dialogue and the possibility of influencing other stakeholders in the decisions to be taken.</p> <p>c) Incentives, which consist of the existence of mechanisms to correct actions, stimulus proper compliance, or punishment for poor performance.</p> <p>CONPES 167 of 2013 (National Strategy for comprehensive public anti-corruption policy) - The actions of this policy seek, among other things, to ensure that accountability becomes part of the culture of public and private organizations.</p> <p>Colombian law establishes mechanisms to enable citizens to be part of accountability exercises such as <i>Veedurías ciudadanas</i> (citizen oversight) and citizen control councils²³.</p>
SAFEGUARD B	
Criteria B.3. Forest Governance	
Diagnostic Question: to what extent do PLRs require/promote effective coordination between various agencies that play a role in forest management?	
Indicators	Explanation (identify articles/provisions)
PLRs define concrete mechanisms to support and encourage coordination (inter-ministerial committees, working groups, cross cutting teams, etc.)	In the country there are different coordination mechanisms and national, regional and local institutional arrangements that support the appropriate decision-making on forest management and the measures

²³ Law 849 of 1998, Law 850 of 2003 and decree 1714 of 2000.

	<p>and actions to reduce deforestation. Among others are the following:</p> <ul style="list-style-type: none"> • National Environmental Council • <i>Mesa Nacional REDD</i> (REDD National Board) • Intersectoral Commission on Climate Change and Technical Committees • Regional nodes of climate change • <i>Mesa Nacional Forestal</i> (Nacional Forest Board) • Mesas forestales Putumayo, Caquetá, Amazonas, Guaviare ^[1] _{SEP} • Regional Territorial Planning Commissions • Territorial Planning Councils • Regional Environmental Councils of macrobasins • <i>Consejos de Cuenca</i> (Basin Councils)
PLRs define effective mechanisms for information sharing across different sectors and levels of government for forest management	<p>The country has a regulatory framework that establishes the existence and operation of the National Environmental System, which includes a set of guidelines, norms, activities, resources, programs and institutions that define the actions of the State and civil society in relation to the environment and the natural heritage, including forest resources. The regulatory framework establishes hierarchies and functions in the National Environmental System, indicating the following descending order: Ministry of Environment, Regional Autonomous Corporations, Departments and Districts or Municipalities²⁴.</p>
PLRs clearly define forest governance structures and their functions	<p>Decree 1791 of 1996 - Forest Use Regime, Decree 3750 of 2011 CONPES No. 2834 in May 1998- This document develops different components of forest and territorial management, land use categories, conservation, and restoration of Forest Resources</p>
<p>To what extent do PLRs promote and protect gender equality? Diagnostic Question:</p>	
PLRs promote and enhance gender equality and address gender discrimination	<p>Law 51 of 1981, which approves the "Convention on the Elimination of All Forms of Discrimination against Women", adopted by the United Nations General Assembly on December 18, 1979 and signed in Copenhagen on 17 July 1980".</p>

²⁴ Law 99 of 1993

PLRs require public institutions to raise awareness on gender equity	<p>There are regulations that favor the recognition of the work of rural women and the assurance of their participation in decision-making spaces. In the case of rural women, Law 731 of 2002 has fundamental elements to initiate a process of gender mainstreaming in institutions related to forest conservation, protection and management.</p> <p>The Ministry of Agriculture and Rural Development (MAdR) in the Vice Ministry of Rural Development, has the directorate of Rural Women responsible for the implementation of Law 731 of 2002. This directorate has designed and implemented the “Rural Women” program as a structural basis for its management, which is designed to strengthen and improve the living conditions of rural women in their diversity, overcome obstacles that plunged them into poverty and vulnerability, and promote the equity of rural women.</p> <p>The implementation of the comprehensive strategy of Deforestation Control and Forest Management in Colombia offers scenarios of social, productive and economic transformation in which substantive gender equality and the empowerment of women can be leveraged through different types of initiatives, steps and activities.</p>
SAFEGUARD B	
Criteria B.4. Strengthening capacities – Capacity building	
Diagnostic Question: to what extent do PLRs require/promote strengthening capacities of relevant stakeholders?	
Indicators	Explanation (identify articles/provisions)
PLRs promote strengthening citizen capacities	<p>The Constitution, art1, 2, 13, 38 and 80 establishes that the state must promote the conditions of equality between citizens and therefore, must guarantee the level of understanding of the technical aspects among all citizens</p> <p>Law 99 of 1993 creates the Ministry of Environment and the National Environmental System SINA.</p> <p>Although the national regulations that define the structure of the entities of the National Environmental System SINA, establish as one of the functions of this entity to strengthen the capacities of communities in</p>

	<p>general through training, dissemination and information programs, which promote greater knowledge of general environmental issues.</p> <p>Agro Environmental Knowledge Leadership Schools (ELSAs). At the National level, there is the National REDD+ school.</p>
<p style="text-align: center;">SAFEGUARD C</p> <p style="text-align: center;"><i>Respect for the knowledge and rights of indigenous peoples and members of local communities, by taking into account relevant international obligations, national circumstances and laws, and noting that the United Nations general assembly has adopted the United Nations Declaration on the Rights of Indigenous Peoples</i></p>	
<p>Criteria C.1. Free, Prior and Informed Consent</p>	
<p>Diagnostic Question: to what extent do PLRs recognize and regulate the right to FPIC in consistency with relevant international law?</p>	
Indicators	Explanation (identify articles/provisions)
PLRs recognize and regulate the right to FPIC in consistency with international law (if applicable)	<p>Colombia approved ILO Convention 169 and therefore the Colombian legal framework (Law 21 of 1991) recognizes the right of indigenous peoples to prior consultation.</p> <p>Colombian law has regulated the right to prior consultation, stating that it is mandatory and must be carried out before the execution or implementation of any project or initiatives that may directly affect national ethnic groups or the rights they hold. Additionally, it establishes that the direct affectation occurs regardless of whether the affectation is positive or negative, indicating that this aspect must be resolved precisely in consultation with the affected peoples. (Decree 1320 of 1998, Presidential Directive 01 of 2010, Judgment C-0196 of 2012, Decree 2613 of 2013)</p> <p>Within the Ministry of Interior there is a Prior Consultation Directorate that is the main agency responsible for carrying out and guaranteeing the consultation processes of ethnic communities, together with other entities involved in processes of this nature.</p> <p>There are two important instances of consultation between the State and indigenous peoples regarding administrative and legislative</p>

	decisions that may affect indigenous peoples. These instances correspond to the Permanent Bureau of Agreement with Indigenous Peoples and Organizations (Created by Decree 1397 of 1996) and to the Roundtable of the Amazon Region (Mesa Regional Amazónica – MRA) (Created by Decree 3012 of 2005).
SAFEGUARD C	
Criteria C.2. Traditional Knowledge	
Diagnostic Question: To what extent do PLRs recognize and protect rights associated with culture of indigenous peoples and local communities in accordance with international law?	
Indicators	Explanation (identify articles/provisions)
PLRs protect indigenous peoples and local communities' rights associated with culture, including respect for customs and traditions	<p>Colombia has a Safeguard Policy of the Intangible Cultural Heritage (PCI), which includes traditional knowledge of indigenous peoples as part of this heritage.</p> <p>The Colombian regulations define a special regime for the safeguarding, protection and sustainability of the PCI, which states that no one can abolish ownership or affect the fundamental, collective and social rights that people and communities have for access, enjoyment or creation of that heritage. Additionally, it allows the creation of Safeguard Plans for this heritage (Law 397 of 1997, Law 1185 of 2008, Decree 2491 of 2009).</p> <p>Andean Decision 391 of 1996 (protection of genetic resources and protection of associated traditional knowledge)</p>
SAFEGUARD C	
Criteria C.3. Benefit-Sharing	
Diagnostic Question: To what extent do PLRs recognize and protect benefit-sharing arrangements specific to indigenous peoples and local communities in accordance with international law?	
Indicators	Explanation (identify articles/provisions)

PLRs define mechanisms for benefit sharing (specific to indigenous peoples/local communities) arising out of the use of forest resources and traditional forest-related knowledge

Decision 391 of the Andean Community establishes the common regime on access to genetic resources for the member countries that include Colombia.

There is no specific regulation in Colombia that defines the guidelines for carrying out a distribution of the benefits derived from REDD+ initiatives and projects. The need to define the way in which communities that carry out conservation, restoration and sustainable management activities of forest ecosystems that are part of a REDD+ project and that can be understood as a fair and equitable distribution, is evident. However, the design of voluntary agreements between the parties, the development of workshops and rounds of dialogue and negotiation with the stakeholders, allow to know in detail the benefits derived from a project and to agree on a fair and equitable distribution for the parties.

When a REDD + policy, measure or action is developed, the type of benefits that are generated (economic, social, cultural or ecosystem) must be understood and identified, knowing them is the first step in ensuring that they are properly distributed. Equitable distribution will also depend on the roles and commitments of each of the stakeholders involved.

Mechanism: Coordination and consultation instances; Benefit-sharing mechanisms (Voluntary agreements between the parties, the development of workshops and rounds of dialogue and negotiation with the stakeholders)

“ILO Convention 169 and the United Nations Declaration on Indigenous Peoples ”

Political Constitution of Colombia “articles 2, 7, 63, paragraph article 330, article 93 and transitory 55”

Law 99 of 1993, by which the Ministry of the Environment is created, the Public Sector responsible for the management and conservation of the environment and renewable natural resources is reorganized; the

	<p>National Environmental System, SINA is organized.</p> <p>Law 70 of 1993 regulates the transitory article 55 of the Constitution, and recognizes the right of collective property of black communities over some portions of the national territory.</p> <p>Andean Decision 391 of 1996, protection of genetic resources and protection of associated traditional knowledge.</p> <p>Convention on Biological Diversity- is the first international instrument to regulate access to genetic resources and benefit sharing. It reiterates the principle of sovereignty of States over natural resources that are under their jurisdiction and recognizes the power of national governments to regulate access to their genetic resources and subject it to national legislation.</p>
SAFEGUARD C	
Criteria C.4. Territorial Rights	
Diagnostic Question: To what extent do PLRs recognize the territorial rights to indigenous peoples and local communities in accordance with international law?	
Indicators	Explanation (identify articles/provisions)
PLRs respect territorial rights of indigenous peoples and local communities	<p>Colombian legislation recognizes the collective ownership of indigenous territories through the figure of <i>resguardo</i>, which have an unattachable, inalienable and imprescriptible character (Law 1071 of 2015).</p> <p>Indigenous territories are defined by legislation so that it includes not only the areas titled, habituated and exploited by the community under the figure of <i>resguardo</i>, “but also those that constitute the traditional scope of their cultural and economic activities, so as to facilitate the strengthening of the spiritual and material relationship of these peoples with the land and contribute to the preservation of past customs and their transmission to future generations ”(Judgment T-009 of 2013).</p>

	<p>The country's regulatory framework establishes the creation of an inter-institutional coordination system for the unification of property information of indigenous territories and a procedure for protection measures for the possession of ancestral and traditional territories (Decree 2333 of 2104).</p> <p>In relation to the management of forest reserves in the Amazon, the country's regulatory framework establishes that territories traditionally used by indigenous peoples, located in forest reserve areas for the purposes of Law 160 of 1994, may only be used for the constitution of indigenous <i>resguardos</i> (Decree 1071 of 2015).</p> <p>Law 152 of 1994- Organic Law of the Development Plan Decree 2164 of 1995- partially regulates Chapter XIV of Law 160 of 1994 in relation to the endowment and titling of lands to indigenous communities for the constitution, restructuring, extension and sanitation of Indigenous Reserves in the national territory.</p> <p>In relation to the use and exploitation of forests, the regulatory framework indicates that the forest extraction intended to be carried out by indigenous communities in areas of indigenous protection or reserve or by the black communities referred to in Law 70 of 1993, will be governed by the special norms that regulate the administration, management and use of renewable natural resources by these communities (Resolution 1791 of 1996). Article 76 of Law 99 of 1993</p>
SAFEGUARD D	
<i>The full and effective participation of the interested parties, in particular the indigenous peoples and local communities</i>	
Criteria D.1. Participation	
Diagnostic Question: to what extent do PLRs define a clear and meaningful process/mechanism for public participation in environmental decision-making?	
Indicators	Explanation (identify articles/provisions)

PLRs define a clear process for public authorities to carry out consultations (institutional responsibilities, procedural guidelines, time-frames)	<p>The political constitution of Colombia articles 7, 40, 70, 229 and 330 guarantees the right to full and effective participation of all citizens.</p> <p>Colombian legislation has several normative instruments to promote and protect the right to citizen participation in the political, administrative, economic and social life of the country²⁵.</p> <p>The regulatory framework establishes that all management plans of public entities must have explicit measures to promote citizen participation²⁶.</p> <p>In environmental matters, there are specific modes and procedures for citizen participation, which contemplate the right to intervene in the administrative actions initiated for the issuance, modification or cancellation of permits or licenses for activities that affect or may affect the environment or for the imposition or revocation of sanctions for noncompliance with environmental standards and regulations²⁷.</p> <p>Law 1437 of 2011- Under the principle of participation, the authorities will promote and attend the initiatives of citizens, organizations and communities aimed at intervening in the processes of deliberation, formulation, execution, control and evaluation of public management.</p>
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SAFEGUARD E

That actions are consistent with the conservation of natural forests and biological diversity, ensuring that the actions referred to in paragraph 70 of this decision are not used for the conversion of natural forests, but are instead used to incentivize the protection and conservation of natural forests and their ecosystem services, and to enhance other social and environmental benefits

Criteria E.2. Conservation of Natural Forests and Biodiversity

Diagnostic Question: Do PLRs regulate the protection of biodiversity and natural forests?

²⁵ Statutory Law 134 of 1994, Law 1757 of 2015

²⁶ Law 1757 of 2015

²⁷ Law 99 of 1993

Indicators	Explanation (identify articles/provisions)
PLRs contain provisions for the protection of natural forest areas	<p>Colombian legislation has different policies and laws that establish the duty of the State and individuals to conserve and sustainably manage the country's forests and biodiversity, and highlights ecosystem services as one of the main bases for human well-being²⁸.</p> <p>Among these are: the National Plan for Forest Development 2000, Policy for the integral management of biodiversity and its ecosystem services 2015 and National Plan for Ecological Restoration, Rehabilitation and Recovery of Degraded Areas (PNR) 2011.</p> <p>Additionally, the regulations indicate that when subtractions are made from forest reserve areas, they must be compensated²⁹, and that in the case that the subtractions are carried out with the purpose of strengthening the rural development of the country or for restitution of land to victims of the armed conflict, the activities must be forestry, agroforestry and silvopastoral³⁰.</p> <p>In the Amazon there are two zoned forest reserves in two types of areas. Some to ensure the maintenance of ecological processes for the provision of ecosystem services, and others for sustainable forest management³¹.</p> <p>The country's regulations include financial instruments (such as the CIF) aimed at promoting the maintenance and conservation of forests³².</p>

²⁸ CONPES 3824 of 1998, CONPES 3125 of 2000 Policy for the integral management of biodiversity and ecosystem services (PGIBSE), Sustainable production and consumption policy, Law 2 of 1959, Decree law 2811 of 1974, Law 99 of 1993

²⁹ Resolution 293 of 1998, Resolution 763 of 2004, Resolution 871 of 2006, Resolution 918 of 2011, resolution 1526 of 2012.

³⁰ Resolution 629 of 2012.

³¹ Resolutions 1925 of 2013 and 1277 of 2014

³² Decree 900 of 1997.

PLRs define clear penalties for non-compliance with the regulations	The Colombian regulatory framework establishes provisions for forest control and surveillance ³³ and contemplates environmental sanctioning procedures for actions or omissions of environmental standards, including those related to sustainable management and conservation of forests and biodiversity ³⁴ .
PLRs promote sound environmental management and sustainable use of public/private forests (preparation of management plans, guidelines, and processes?)	Regulatory provisions state that forest reserves must be subject to regulation and management plans (Law 2 of 1959)
PLRs contain clear regulations regarding the planting of invasive species and pest management?	Resolution 207 of 2010 has a list of invasive species. In addition, there are procedures and mechanisms that involve research institutes dependent on MADS (e.g. SINCHI and Humboldt) through which introduced or invasive species are identified and actions are recommended or prohibited.
PLRs clearly prohibit the conversion of natural forests to other land-uses, or other types of forests (such as plantations)?	Law 139 of the CIF of 1993 expressly prohibits the conversion of natural forest to plantations. Law 373 of 2009, environmental sanction regime, non-compliance with conservation regulations.
SAFEGUARD E	
Criteria E.2. Provision of environmental goods and services	
Diagnostic Question: do PLRs support/promote the provision of forest environmental goods and services?	
Indicators	Explanation (identify articles/provisions)
PLRs promote the provision of environmental goods and services	Decree Law 2811 of 1974 - Establishes that the power to administer the forest resource is headed by the State, and therefore it determines the ways of acquiring the right to its use, and the conditions under which it is permitted / Article 42). Policy for the Integral Management of Biodiversity and its Ecosystem Services (PNGIBSE)

³³ Decree 1791 of 1996

³⁴ Law 1333 of 2009

	<p>Decree law 2811 of 1974, “creates the National Code of Natural Resources and the environment and in its Second Book. The ownership, use and environmental influence of renewable natural resources.</p> <p>Decree 953 of 2013, Regulates article 111 of Law 99 4 of 1993 modified by article 210 of Law 1450 of 2014, in relation to the payment of environmental water services.</p> <p>Decree 870 of 2017, establishes Payment for Environmental Services and other conservation incentives.</p>
PLRs promote the development of alternative livelihoods in forests (eco-tourism, agroforestry)?	The PNN regulation states the criteria for establishing management plans and forestry activities. Regulation Resolution 1925 of 2013 and 1277 of 2014 (For the Amazon biome) established the zoning for the forest reserve areas of the Second Law. Zoning and ordination were adopted as guidelines to guide future territorial and environmental planning processes, as well as for the construction of public policies and for the planning of projects for an adequate use of the territory.
<p style="text-align: center;">SAFEGUARD F</p> <p style="text-align: center;"><i>Actions to address the risks of reversals</i></p>	
Criteria F.1. Territorial Planning	
Diagnostic Question: to what extent do PLRs promote measures to address risks of reversals?	
Indicators	Explanation (identify articles/provisions)
PLRs require the development of instruments that ensure the long-term sustainability of the interventions	<p>The regulatory framework of the country related to territorial planning establishes that for the elaboration and implementation of territorial plans, laws related to the conservation and protection of the environment and natural resources, constitute norms of a higher hierarchy and must be included as environmental determinants in the planning of the territory³⁵.</p> <p>The following are considered environmental determinants: (1) Those</p>

³⁵ Law 388 of 1997

	<p>related to the conservation and protection of the environment, natural resources and the prevention of threats and natural hazards, (2) The provisions that regulate the use and operation of the areas that make up the national natural park system and (3) the national forest reserves.</p> <p>Law 1454 of 2011 (LOOT) - By which organic norms on territorial planning are dictated and other provisions are modified.</p>
SAFEGUARD F	
Criteria F.2. Sectoral planning	
Diagnostic Question: to what extent do PLRs promote sectoral planning?	
Indicators	Explanation (identify articles/provisions)
PLRs contain regulations regarding sectoral planning?	<p>The Colombian regulations establish the obligation of environmental licenses for the execution of works, the establishment of industries or the development of any activity that can cause serious deterioration to renewable natural resources or the environment or introduce considerable or notorious modifications to the landscape³⁶.</p> <p>With the current objective of strengthening environmental licensing processes, in addition to the National Environmental Licensing Authority, autonomous and sustainable development corporations, as well as territorial entities, municipalities and districts, are competent to grant or deny environmental licenses.</p> <p>The National Mining Management Plan proposes to identify and advance supra-municipal pilot processes with joint participation of the National Environmental System, the mining sector, the DNP and the departmental, municipal and district authorities, aimed at identifying gaps in the criteria, guidelines and instruments of territory management for the harmonization between mining activity and other classes and land uses, improve the application of environmental licensing, advance</p>

³⁶ Decree 2041 of 2014

	<p>joint actions between the mining and environmental sector to minimize and monitor the generation of environmental impacts on renewable natural resources, with special attention to water resources and risk-generating factors associated with climate change³⁷.</p> <p>The expansion plans of the productive sectors nowadays involve environmental variables, which permeate the sectoral activities promoting their long-term sustainability.</p> <p>Precautionary principle Environmental sanctioning procedure.</p>
SAFEGUARD G	
<i>Actions to reduce displacement of emissions</i>	
Criteria G.1. Forest monitoring to avoid emission displacement	
Diagnostic Question: to what extent do PLRs require regular monitoring and measurement of risks to forest permanence	
Indicators	Explanation (identify articles/provisions)
PLR s require the development of detailed land use and forest inventories (forest cover, forest cover change), monitoring of land-use and land-use change (including monitoring system)	<p>The regulatory framework establishes that the Institute of Hydrology, Meteorology and Environmental Studies -IDEAM- aims to carry out studies and research and provide environmental data and information required by MADS and other SINA entities for decision-making³⁸.</p> <p>Decree number 1655 of 2017, through which Book 2 Part 2 Title 8 Chapter 9 of Decree number 1076 of 2015 is added, five new sections in the sense of establishing the organization and operation of the National Forest Information System, the National Forest Inventory and the Forest and Carbon Monitoring System that are part of the Environmental Information System for Colombia, and other provisions are issued.</p>

³⁷ Resolution 0256 of 2014

³⁸ Decree1277 of 1994

ANNEX B: Project Alignment Review for Colombia's *Forest Conservation and Sustainability in the Heart of the Colombian Amazon project* (Heart of the Amazon project)

The *Heart of the Amazon project* is consistent with Colombia's Low Deforestation Development Vision for the Colombian Amazon, an initiative that promotes a low-carbon development model and a goal of zero net deforestation by the year 2020.

The objective of the heart of the Amazon Project is to improve governance and promote sustainable land use activities in order to reduce deforestation and conserve biodiversity in the Colombian Amazon forests. The Program, implemented since 2015 to date, is part of the efforts of the Colombian government to promote land use activities and reduced deforestation. Project implementation has advanced well under the leadership of MADS and supported by the Patrimonio Natural Fondo Para la Biodiversidad y Areas Protegidas (PNF); the National Natural Parks Administrative Unit (PNN); the Amazon Institute for Scientific Research Sinchi (Instituto Amazónico de Investigaciones Científicas Sinchi, SINCHI); and IDEAM. An Environmental and Social Management Framework (MGAS) has been prepared for the Project that was subject to public consultation, and disseminated locally. Between May and August 2014, specific consultations were made regarding safeguard instruments.

In 2015 and 2016 Colombia registered reduced emissions of 31,474,936.5 tCO₂ eq. The alignment study focused on the *Heart of the Amazon project* because it is a pilot of the Amazon Vision Program and has contributed to design strategies of other initiatives operating in the region today. ~~was a contributing factor to these reductions.~~ In 2015 and 2016³⁹, 1,300,000.00 has of environmental significance were brought under protection measures and effectively managed.

³⁹ <http://documents.worldbank.org/curated/en/857991529966916219/pdf/Disclosable-Version-of-the-ISR-Forest-Conservation-and-Sustainability-in-the-Heart-of-the-Colombian-Amazon-P144271-Sequence-No-07.pdf>

Project Environmental and Social (E&S) Screening Checklist

The project implemented (...)?	Not applicable	No	Yes	Unknown
I. FAO VISION/STRATEGIC OBJECTIVES				
Was in line with FAO's vision?			X	
Was supportive of FAO's strategic objectives?			X	
II. FAO KEY PRINCIPLES FOR SUSTAINABILITY IN FOOD AND AGRICULTURE				
Conserved, protected and enhanced natural resources?			X	
Protected and improved rural livelihoods and social well-being?			X	
Enhanced resilience of people, communities and ecosystems?			X	
Included responsible and effective governance mechanisms?			X	
ESS 1 NATURAL RESOURCES MANAGEMENT				
<i>- Management of water resources and small dams</i>				
Included an irrigation scheme that is more than 20 hectares or withdraws more than 1000 m ³ /day of water?	X			
Included an irrigation scheme that is more than 100 hectares or withdraws more than 5000 m ³ /day of water?	X			
Included an existing irrigation scheme?	X			
Included an area known or expected to have water quality problems?	X			
Included usage of non-conventional sources of water (i.e. wastewater)?	X			
Included a dam that is more than 5 m. in height?	X			
Included a dam that is more than 15 m. in height?	X			
Included measures that build resilience to climate change?			X	
<i>- Tenure</i>				
Negatively affected the legitimate tenure rights of individuals, communities or others?		X		
ESS 2 BIODIVERSITY, ECOSYSTEMS AND NATURAL HABITATS				

The project implemented (...)?	Not applicable	No	Yes	Unknown
Made reasonable and feasible effort to avoid practices that could have a negative impact on biodiversity, including agricultural biodiversity and genetic resources?			X	
Had biosafety provisions in place?	X			
Respected access and benefit-sharing measures in force?	X			
Safeguard the relationships between biological and cultural diversity?			X	
<i>- Protected areas, buffer zones and natural habitats</i>				
Was 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				
<i>- Planted forests</i>				
Had a credible forest certification scheme, national forest programs or equivalent or use the Voluntary Guidelines on Planted Forests (or an equivalent for indigenous forests)?	X			
ESS 4 ANIMAL - LIVESTOCK AND AQUATIC- GENETIC RESOURCES FOR FOOD AND AGRICULTURE				
Involved the procurement or provision of pesticides?		X		
<i>- Aquatic genetic resources</i>				
Aligned to the FAO Code of Conduct for Responsible Fisheries (CCRF) and its related negotiated instruments?	X			
Was aligned, where applicable, with FAO's strategic policies established in the FAO Technical Guidelines for Responsible Fisheries (including aquaculture)?	X			
<i>- Livestock genetic resources</i>				
Was aligned with the Livestock Sector Strategy including the animal disease, public health and land degradation provisions?	X			
ESS 5 PEST AND PESTICIDES MANAGEMENT				
Involved the procurement or provision of pesticides?	X			

The project implemented (...)?	Not applicable	No	Yes	Unknown
Resulted in increased use of pesticides through expansion or intensification of production systems?		X		
Required the disposal of pesticides or pesticide contaminated materials?		X		
ESS 6 INVOLUNTARY RESETTLEMENT AND DISPLACEMENT				
Avoided the physical and economic displacement of people?			X	
ESS 7 DECENT WORK				
Adhered 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				
Had the needs, priorities and constraints of both women and men been taken into consideration?			X	
Promoted women's and men's equitable access to and control over productive resources and services?			X	
Fostered their equal participation in institutions and decision-making processes?			X	
ESS 9 INDIGENOUS PEOPLES AND CULTURAL HERITAGE				
Were there any indigenous communities in the project area?			X	
Were 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		
Were indigenous communities outside the project area likely to be affected by the project?		X		
Designed to be sensitive to cultural heritage issues?			X	

Project Implementation Questions	Risk	Comments
ESS 1 Natural Resources Management		
<i>Key objectives: Promote direct action to enhance resource use efficiency. Focus on ways to ensure the transition to sustainable practices</i>		
Management of soil and land resources		
1.1 The project resulted in the degradation (biological or physical) of soils?	Low risk.	<p>No.</p> <p>The objective of the Forest Conservation and Sustainability in the Heart of the Colombian Amazon Project for Colombia is to improve governance and promote sustainable land use activities in order to reduce deforestation and conserve biodiversity in the project area.</p> <p>Evidence from the impact evaluation of productive systems actually found a positive impact on soils.</p> <p>Activities from the project could accelerate degradation processes if not approached correctly with proper social engagement and consultation. The ESMF includes a description of the process to engage different stakeholders during the Project to avoid or minimize any conversion or degradation that may result from human activity induced by the Project.</p>

1.2 The project undermined sustainable land management practices?	Low risk	No. The project has consolidated the expansion of PAs in the Project area and improved forest governance and management, with a landscape approach perspective. Also, the project ESMF includes the process for development of sustainable management plans and other forestry-related policies or enforcement activities. The ESMF also reviews the regulations in light of the Bank policy requirements for sustainable forest management.
Management of water resources and small dams		
This project did not finance any dams nor will rely on the operation of existing dams.		
Tenure		
1.3 The project permanently or temporarily denied or restricted access to natural resources to which they have rights of access or use? The project resulted in any changes to existing tenure rights ⁴⁰ (formal and informal ⁴¹) of individuals, communities or others to land, fishery and forest resources?	Low Risk	The Heart of the Amazon Project does not resulted in any changes to existing tenure rights and does not contemplate physical relocation or land acquisition. However a Process Framework (PF) ⁴² was prepared in order to screen for and manage any involuntary restrictions on access to natural resources in the forest buffer zone during the process of identifying new regional PAs. The Framework was consulted and disclosed in the country.

⁴⁰ Tenure rights are rights to own, use or benefit from natural resources such as land, water bodies or forests

⁴¹ Socially or traditionally recognized tenure rights that are not defined in law may still be considered to be 'legitimate tenure rights'.

⁴² Link to process framework <http://documents.worldbank.org/curated/en/295031468026095931/pdf/RP16900V10SPAN00Box385324B00PUBLIC0.pdf>

1.4 The project resulted in a negative change to existing legitimate tenure rights?	N/A	N/A
Climate		
1.1 The project resulted in a reduction of the adaptive capacity to climate change for any stakeholders in the project area?	Low Risk	<p>No. The activities of the Heart of the Amazon project support climate change mitigation by reducing deforestation and conserving and enhancing carbon stocks.</p> <p>The project aims to conserve forests and its activities have not impacted negatively the adaptive capacity of the stakeholders in the area.</p>
1.2 The project resulted in a reduction of resilience against extreme weather events?	Low risk	<p>No. The project activities aimed to increase and protect forest ecosystems. Healthy forest ecosystems play an important role in reducing climate change vulnerability and disaster risk.</p>
ESS 2 Biodiversity, Ecosystems and Natural Habitats		
<p><i>Key objectives:</i> <i>Avoid agricultural, livestock, fisheries, aquaculture and forestry practices that could have adverse impacts on biodiversity, ecosystems, ecosystem services or critical habitats.</i> <i>Sustainably manage the ecosystems in order to maintain the services and benefits they provide.</i> <i>Ensure that exchange of genetic resources conforms to access and benefit sharing measures in force in the country(ies) involved.</i></p>		
Protected areas, buffer zones or natural habitats		
2.1 The project was implemented within a legally designated protected area or its buffer zone?	Low risk	<p>No. The project will not support execution of projects related to infrastructure or other types of physical investments involving land use, water space in or around protected areas or their buffer zones.</p> <p>Through component 1, the project aimed</p>

		<p>to: i) Strengthen the management effectiveness of the PNNSC and its buffer zone through, inter alia, the design and implementation of a management plan for the PNNSC ii) Increase the financial sustainability of the management of about 2.7 million hectares of protected areas in the Project Area.</p> <p>In order to reduce and avoid deforestation, the Project consolidated the expansion of an existing protected area (Chiribiquete National Park) by supporting governance (institutions, zoning, action plans, carbon monitoring, dialogue and policies) for the entire area. The Project was designed to generate positive environmental impacts through protection of critical natural habitats and improved land-use planning. Nevertheless, some activities in the buffer-zone through improved enforcement, changes in land-use provisions, and promotion of financial mechanisms linked to emissions reductions could be sensitive from a social standpoint. Thus, an Environmental and Social Management Framework (ESMF)⁴³ was prepared by the Recipient and co-executants. The ESMF describes the process and criteria to consolidate the expanded protected area, land-use plans in the buffer zone and development of enforcement capacity, as well as other activities to be financed by the Project.</p>
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⁴³ <http://documentos.bancomundial.org/curated/es/406411468240557915/Marco-de-gestion-ambiental-y-social>

		The ESMF analyzes gaps in existing systems, best practices in different sectors and how can sustainability practices be improved.
Biodiversity Conservation		
2.2 The project changed a natural ecosystem to an agricultural/aquacultural/forestry production unit with a reduced diversity of flora and fauna?	Low risk	<p>No.</p> <p>The Project seeks to protect critical natural habitats by significantly expanding and consolidating existing PAs and supporting governance (institutions, zoning, action plans, dialogue, and policies) for the entire area.</p> <p>The project's goal was to promote sustainable practices compatible with the conservation of remaining forests and reduce deforestation. Project activities were thus designed to minimize impact on the natural habitats.</p> <p><i>The fragmentation of habitats in these departments is of particular significance because they represent one of the last remnants of connectivity between the Andes and the Amazon ecosystems and play a critical role in the provision of water to the Amazon watershed.</i></p>
2.3 The project increased the current impact on the surrounding environment for example by using more water, chemicals or machinery than previously?	Low risk	<p>No.</p> <p>Within the plan and strategies for the management of protected areas, the objective is the conservation of forests and critical natural habitats and the maintenance of associated ecosystem services, meeting the conservation objectives of the area, such as:</p> <p>*Maintain the function of the ecosystems present in the area to guarantee (i) the</p>

		ability to buffer the effects of climate variability through water regulation in the basins of the Apaporis (Tunja), Yari and Caquetá rivers, and (ii) climate regulation at the regional level.
Use of alien species		
2.4 The project used 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? *An invasive alien species is defined by the Convention on Biological Diversity as “an alien species whose introduction and/or spread threatens biological diversity” (see https://www.cbd.int/invasive/terms.shtml).	Low risk	No alien species were used. In fact, PAs are the best way to protect particular conservation targets such as endemic and endangered species.
Access and benefit sharing for genetic resources		
2.5 The project involved access to genetic resources for their utilization and/or access to traditional knowledge associated with genetic resources held by indigenous, local communities and/or farmers?	Low risk	No, the project didn't involved access to genetic resources.
ESS 3 Plant Genetic Resources for Food and Agriculture		
<i>Key objectives:</i> <i>Prevent actions resulting in loss of PGRFA diversity by promoting their effective conservation (in situ and ex situ);</i> <i>Safeguard against actions resulting in unintended environmental and social consequences;</i> <i>Promote sustainable crop improvements and production and enhanced productivity;</i> <i>Ensure that the transfer of PGRFA conforms with the measures relating to access and benefit sharing, IPR and farmers' rights which are in force in the country(ies) involved.</i>		
Introduce new crops and varieties		

3.1 The project Introduced crops and varieties previously not grown?	Low risk	No.
Provision of seeds and planting materials		
3.2 The project provided seeds/planting material for cultivation?	Low risk	The project during 2015-2016 included 1,122 hectares of agroforestry plantations. A "Technical procedure for implementation and monitoring" was developed and the indications of the "Environmental guide for the implementation of agroforestry systems" will be addressed one by one.
3.2.1 The project involved the importing or transfer of seeds and/or planting materials for cultivation?	Low risk	No
3.2.2 The project involved the importing or transfer of seeds and/or planting materials for research and development?	Low risk	No
Modern biotechnologies and the deployment of their products in crop production		
This project did not finance biotechnologies		
Planted forests		
3.4 The project established or managed planted forests?	Low risk	The project did not establish or manage planted forests.
ESS 4 Animal - Livestock and Aquatic - Genetic Resources for Food and Agriculture		
<i>Key objectives:</i> <i>Promote sustainable management of animal and aquatic genetic resources;</i> <i>Prevent loss of valuable livestock and aquatic genetic diversity;</i> <i>Safeguard against actions resulting in unintended environmental and social consequences.</i>		
Introduce new species/breeds and change in the production system of locally adapted breeds		

4.1 The project introduced non-native or non-locally adapted species, breeds, genotypes or other genetic material to an area or production system?	Low risk	No The project aimed to maintain native forests.
4.1.1 The project foresaw an increase in production by at least 30% (due to the introduction) relative to currently available locally adapted breeds and monitored production performance?	N/A	N/A
4.1.2 The project introduced genetically altered organisms, e.g. through selective breeding, chromosome set manipulation, hybridization, genome editing or gene transfer and/or introduced or used experimental genetic technologies, e.g. genetic engineering and gene transfer, or the products of those technologies?	N/A	N/A
4.2 The project introduced a non-native or non-locally adapted species or breed for the first time into a country or production system?	Low risk	No introduction of new species were supported by the program.
4.3 The project introduced a non-native or non-locally adapted species or breed, independent whether it already exists in the country?	Low risk	The program does not support the introduction of non-native species
4.4 The project ensured 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 was considered in the Project.
Collection of wild genetic resources for farming systems		

4.5 The project collected living material from the wild, e.g. for breeding, or juveniles and eggs for on growing?	Low risk	No introduced genetic material was considered in the Project.
Modification of habitats		
4.6 The project modified the surrounding habitat or production system used by existing genetic resources?	Low risk	No.
4.7 The project was 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	Yes, however the program supports the conservation of natural forests. The original project was located near three RAMSAR areas. With the additional funding of the project new areas were selected to improve the ecosystems connectivity between the national parks and reserves in the Amazon and the landscape that surrounds them, among them three Ramsar areas, namely :the Lagos de Tarapoto and Estrella Fluvial del Inirida sites Also, Chiribiquete, in 2018 ⁴⁴ , was designated a World Heritage Site.
4.8 The project blocked or created migration routes for aquatic species?	Low risk	No
4.9 The project changed the water quality and quantity in the project area or areas connected to it?	Low risk	No

⁴⁴ <https://whc.unesco.org/en/list/1174/documents/>

4.10 The project caused major habitat/production system changes that promoted new or unknown chances for gene flow, e.g. connecting geographically distinct ecosystems or water bodies; or disrupted habitats or migration routes and the genetic structure of valuable or locally adapted species/stocks/breeds?	Low risk	No
4.11 The project involved 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	<p>No.</p> <p>The project does not include intensification of production systems. However, the installation of agroforestry systems could have resulted in: a) Changes in physical and chemical properties of the soil due to land preparation, b) Possible loss of the organic layer, c) Geomorphodynamic processes due to the opening of pikes (in degraded or stubble soils, d) the alteration of vegetation cover, fruit production.</p> <p>Therefore, the project generated the following: i) guidelines for the assessment of impacts and the checking of good practices in the implementation of agroforestry systems, ii) format for the identification and assessment of impacts and the verification of good practices in the implementation of agroforestry systems.</p> <p>Finally the strategic use of PAs, in tandem with other policies, has proven effective in deforestation control.</p>
ESS 5 Pest and Pesticides Management		

<i>Key objective: Promote Integrated Pest Management (IPM), reduce reliance on pesticides and avoid adverse impacts from pesticide use on the health and safety of farming communities, consumers and the environment.</i>		
Supply of pesticides by FAO		
5.1 The project procured, supplied and/or resulted in the use of pesticides on crops, livestock, aquaculture or forestry?	Low risk	<p>No. The project did not supply pesticides. However, under project component 3, livelihood activities might include sustainable agriculture or reforestation activities that may require pest management.</p> <p>Under the risk management matrix for component 3, the use of biological control was selected as a mitigation action⁴⁵. Recognizing the potential risk of soil and water pollution due to inadequate packaging and liquid disposition of products used for pest and fertilization management, the project generated the following: i) guidelines for impact assessment and checking good practices in the implementation of agroforestry systems⁴⁶, ii) format for identifying and assessing impacts and checking good practices in implementing agroforestry systems⁴⁷.</p> <p>Special attention was given to strict compliance with the guidelines established by the Colombian Agricultural Institute</p>

⁴⁵ Annex 11, <http://www.parquesnacionales.gov.co/portal/es/conservacion-y-sostenibilidad-de-losbosques-de-la-amazonia/>

⁴⁶ Annex 12 of the ESMF <https://es.scribd.com/document/245422811/Anexo-12-Guia-Ambiental-Implementacion-SAF>

⁴⁷ Annex 22, <http://www.parquesnacionales.gov.co/portal/es/conservacion-y-sostenibilidad-de-losbosques-de-la-amazonia/>

		(ICA) regarding the production and management of agricultural bio-inputs, to prevent the risks associated with biological control of pests.
5.2 The project provided seeds or other materials treated with pesticides (in the field and/or in storage)?	Low risk	No provision of seed or materials treated with pesticides was foreseen in the project.
5.3 The project provided inputs to farmers directly or through voucher schemes?	Low risk	No
5.4 The project led to increased use of pesticides through intensification or expansion of production?	Low risk	The project did not support the use of pesticides.
5.5 The project managed or disposed of waste pesticides, obsolete pesticides or pesticide contaminated waste materials?	Low risk	The project did not support the used of pesticides
ESS 6 Involuntary Resettlement and Displacement		
<p><i>Key objectives:</i> <i>Prohibit forced eviction.</i> <i>Avoid, and when avoidance is not possible, minimize adverse social and economic impacts from restrictions on land or resource use or from land and resource acquisition.</i> <i>Improve or at least restore living conditions of persons who are physically or economically displaced, through improving and restoring their productive assets and security of tenure.</i></p>		

6.1 The project resulted in a voluntary removal*? *temporary or permanent removal of people from their homes or means of production/livelihood or restrict their access to their means of livelihoods	Low risk	For the project activities, no physical relocation or land acquisition was required, but a Process Framework (PF) ⁴⁸ was prepared in order to screen for and manage any involuntary restrictions on access to natural resources in the forest buffer zone that can be caused during the process of declaring new regional protected areas. In 2015 and 2016, the project did not result in a voluntary removal.
ESS 7 Decent Work		
<i>Key objectives:</i> <i>Promote direct action to foster decent rural employment.</i> <i>Promote fair treatment, non-discrimination and equal opportunity for all workers.</i> <i>Protect and support workers, particularly disadvantaged and vulnerable categories of workers.</i> <i>Promote the application of international labor standards in the rural economy, including the prevention and elimination of child labor in agriculture.</i>		
7.1 The project displaced jobs? (e.g. because of sectoral restructuring or occupational shifts)	Low risk	No
7.2 The project operated 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”?	Low risk	No.

⁴⁸See. <http://documents.worldbank.org/curated/en/295031468026095931/pdf/RP16900V10SPAN00Box385324B00PUBLIC0.pdf>

7.3 The project operated 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	No
7.4 The project operated 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.)	Low risk	No. Equal opportunities were offered to men and women. During project design, women participated in specific workshops to address their needs and aspirations with regards to food security and productive alternatives in the <i>chagras</i>
7.5 The project operated in areas or value chains with presence of labor migrants or that could potentially attract labor migrants?	Low risk	No. The project did not operate in areas with presence of labor migrants
7.6 The project directly employed workers?	Moderate risk	Yes. People were employed in the project's coordination unit. During recruitment and hiring the principles of equal opportunity, fair treatment, and no discrimination were applied.
7.7 The project involved sub-contracting?	Low risk	No. The project did not included subcontracting

7.8 The project operated in a sector, area or value chain where producers and other agricultural workers are typically exposed to significant occupational and safety risks? Major OSH risks in agriculture include: dangerous machinery and tools; hazardous chemicals; toxic or allergenic agents; carcinogenic substances or agents; parasitic diseases; transmissible animal diseases; confined spaces; ergonomic hazards; extreme temperatures; and contact with dangerous and poisonous animals, reptiles and insects.	Low risk	No
7.9 The project provided or promoted 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 The project foresaw 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 The project foresaw that children above the nationally-defined minimum employment age (usually 14 or 15 years old), but under the age of 18 were involved in project-supported activities?	Low risk	No

7.12 The project operated in a value chain where there have been reports of child labor?	Low risk	No
7.13 The project operated in a value chain or sector where there have been reports of forced labor ⁴⁹ ?	Low risk	No
ESS 8 Gender Equality		
<i>Key objectives</i> <i>Provide equal access to and control over productive resources, services and markets.</i> <i>Strengthen women and men's participation in decision-making in rural institutions and policy processes.</i> <i>Ensure that all stakeholders benefit equally from development interventions and that inequality is not reinforced or perpetuated.</i>		
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	<p>No.</p> <p>The Heart of the Amazon project did not directly address gender equality, but any person (woman or man) was eligible to participate. However, the Project appraisal document highlights the importance of ensuring equal participation in terms of gender.</p> <p>During project design, women participated in specific workshops to address their needs and aspirations with regards to food security and productive alternatives in the <i>chagras</i> in Mirití Paraná. In other regions,</p>

⁴⁹ Forced labor consists of any work or service not voluntarily performed that is exacted from an individual under threat of force or penalty. It includes men, women and children in situations of debt bondage, suffering slavery-like conditions or who have been trafficked. "In many countries, agricultural work is largely informal, and legal protection of workers is weak. In South Asia, there is still evidence of bonded labor in agriculture, resulting in labor arrangements where landless workers are trapped into exploitative and coercive working conditions in exchange for a loan. The low wages associated with high interest rates make it quite difficult for whole families to escape this vicious circle. In Africa, the traditional forms of "vestiges of slavery" are still prevalent in some countries, leading to situations where whole families (adults and children, men and women) are forced to work the fields of landowners in exchange for food and housing. In Latin America, the case of workers recruited in poor areas and sent to work on plantations or in logging camps has been widely documented by national inspection services and other actors." (ILO, Profits and poverty: the economics of forced labor / International Labor Office. - Geneva: ILO, 2014)

		<p>most of the participants were men.</p> <p>The intermediate results indicator states that 504 women and 568 men in project areas benefited from improved access to conservation-friendly livelihood activities.</p> <p>As part of these actions, equal opportunities were offered to men and women to participate in grant agreements. However, because women hold less land titles, a reduced number of women signed such agreements.</p> <p>During Phase 2 of the Heart of the Amazon project, gender equality was directly promoted</p>
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	<p>The Project supported to traditional food security systems (<i>chagras</i>) managed by women.</p> <p>In the communities of the project, the <i>chagra</i> (space of land where they produce their crops), represents the basis of the sustenance of their food. The women, with the authorization of the leaders, have been recovering the traditional seeds that include cassava, cane, pineapple, banana, tobacco and fruit trees. For example, in the Mirití-Paraná indigenous <i>resguardo</i>, women decided to organize to recover traditional seeds for food and, at the same time, contribute to the food security of their communities.</p> <p>Through these activities, women are strengthening the entire process around</p>

		<p>the <i>chagra</i> that include their traditional planting systems that promote environmental conservation and sustainable land use. In parallel, this has allowed them greater integration, increase their participation in different activities and have a stronger voice in front of leaders, all men.</p> <p>Through this process, communities are not only maintaining their crops, but also their traditions, passing knowledge from one generation to another and conserving the environment.</p> <p>The managerial positions of the Association of Indigenous Traditional Authorities –AATIs-, have historically been held by men. The political space for women has opened gradually.</p> <p>The Indigenous peoples framework specifies the importance of both, women and men in the consultation processes for the IPPs.</p>
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ESS 9 Indigenous Peoples and Cultural Heritage

Key objectives

Ensure that the UN Declaration on the Rights of Indigenous Peoples is respected in all FAO's projects and programs;
Promote the right to self-determination and development with identity of indigenous peoples (right to decide the kind of development that takes place among their people and on their lands and territories, in accordance with their own priorities and conceptions of well-being);
Guarantee the application of the principle of Free, Prior and Informed Consent (FPIC) of indigenous people affected by the project;
Recognize, respect and preserve the rights, lands, natural resources, territories, livelihoods, knowledge, social fabric, traditions, governance systems of Indigenous Peoples.

9.1 Are there indigenous peoples ⁵⁰ living outside the project area ⁵¹ where activities will take place? The project activities influenced the Indigenous Peoples living outside the project area?	Low risk	No, Investments financed by the Project were not intended to promote or facilitate contact with either indigenous peoples who might be living in voluntary isolation in the proposed Project area, nor with their potentially existing institutions. However, in order to address the unique issue of protecting indigenous peoples living in voluntary isolation and/or initial contact, <i>Guidelines for Indigenous Peoples Living in Voluntary Isolation</i> ⁵² were prepared to address unintended contact but also to avoid forced contact with indigenous peoples who live in voluntary isolation. These Guidelines include a procedure based on a precautionary approach to avoid and protect indigenous peoples living in voluntary isolation.
9.2 Are there indigenous peoples living in the project area where activities will take place?	Moderate risk	Yes. There are indigenous peoples living in the Project area. The Project encompasses seven indigenous peoples reserves (<i>resguardos</i>). Six of the reserves occupy an area of 2,387,939 hectares, and are

⁵⁰ FAO considers the following criteria to identify indigenous peoples: priority in time with respect to occupation and use of a specific territory; the voluntary perpetuation of cultural distinctiveness (e.g. languages, laws and institutions); self-identification; an experience of subjugation, marginalization, dispossession, exclusion or discrimination (whether or not these conditions persist).

⁵¹ The phrase "Outside the project area" should be read taking into consideration the likelihood of project activities to influence the livelihoods, land access and/or rights of Indigenous Peoples' irrespective of *physical distance*. In example: If an indigenous community is living 100 km away from a project area where fishing activities will affect the river yield which is also accessed by this community, then the user should answer "YES" to the question.

⁵² <http://documents.worldbank.org/curated/en/934661468026070198/pdf/IPP7470V10SPAN00Box385335B00PUBLIC0.pdf> The Institutional Guide for Avoiding Contact and Managing Negative Impacts on Indigenous Peoples Living in Voluntary Isolation was prepared based on international best practice and was peer reviewed by the Amazon Conservation Team. It was not be subject to a consultation process with these communities but was presented during the general consultation of the ESMF.

	<p>located along the Caquetá river between the departments of Caquetá and Amazonas. These are: (i) Puerto Zábalo-Los Monos, (ii) Monchoa, (iii) Aduche, (iv) Nonuya de Villazul, (v) Mesay and (vi) Miriti-Paraná. The seventh reserve, Yaguará II, occupies 146,500 hectares and is spread over three municipalities in two departments, namely La Macarena, San Vicente del Caguán and San José del Guaviare.</p> <p>During the project preparation, a social assessment, an Institutional Guide for Avoiding Contact and Negative Impact on Indigenous Peoples Living in Voluntary Isolation or Initial Contact, and seven Indigenous Peoples Plans (IPPs)⁵³ were prepared and disclosed. The IPPS were elaborated for Miriti Parana, Villazul, Aduche, Mesai, Yaguara II, Monchoa, y Puerto Zabalo-Los Monos.</p> <p>The project ensured free, prior and informed consultation with indigenous people (FPIC) Chapter 5 of the Indigenous peoples framework⁵⁴ describes the guarantee of the right to the effective participation of indigenous peoples as a safeguard of their fundamental, integral and collective rights. It established actions and strategies to prevent and mitigate possible adverse impacts to the indigenous population and recognize their</p>
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⁵³ <http://documents.worldbank.org/curated/en/967021468025776954/Planes-de-pueblos-indigenas-de-los-resguardos-de-Miriti-Parana-Villazul-Aduche-Mesai-Yaguara-II-Monchoa-y-Puerto-Zabalo-Los-Monos>

⁵⁴ See: [https://www.sinchi.org.co/files/gef/170330%20MPPI-PPI%20GEFCA%20\(corregido\).pdf](https://www.sinchi.org.co/files/gef/170330%20MPPI-PPI%20GEFCA%20(corregido).pdf)

	<p>collective rights through: (a) the design and execution of prior, informed consultation processes and the implementation of agreements with the communities and with the indigenous territories certified by the Ministry of the Interior as subject to prior consultation for the declaration of PAs, and (b) the provision of guidelines and clear and flexible procedures for the development and/or updating of IPPs.</p> <p>The process of free, prior and informed consultation⁵⁵ was undertaken with the seven <i>resguardos</i> (indigenous reserves) that are located in the area of influence of the Park and agreements were reached with these communities regarding activities that will help them contribute to its management and protection, as well as to the management of their territories located on the periphery of the Park. These agreements were incorporated into the seven IPPs that were prepared and will ensure that the PNN fulfills its obligations under the Law on Prior Consultation. (Law 21 of 1991)</p> <p>The IPPs were prepared with the full collaboration of the Indigenous Traditional Authorities of the <i>resguardos</i> and reflect the agreements made with them during the process of free, prior and informed consultation carried out by the National</p>
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⁵⁵ Colombian legal framework (Law 21 of 1991)

		Parks Agency (PNN) during the expansion of the Chiribiquete Park.
9.3 The project adversely or seriously affected indigenous peoples' rights, lands, natural resources, territories, livelihoods, knowledge, social fabric, traditions, governance systems, and culture or heritage (physical ⁵⁶ and non-physical or intangible ⁵⁷) inside and/or outside the project area?	Low risk	<p>No.</p> <p>The PNNSC includes the upper reaches of the Apaporis and Yari rivers, major tributaries of the Caquetá River, which empties into the Amazon River. The Apaporis River is the second longest river entirely within Colombia and is of enormous cultural significance for indigenous peoples in the Amazon. Acknowledging this, the project considers the adequate measures to mitigate the potential adverse impacts. (See next response)</p> <p>It is important to highlight that during project preparation, as part of the Indigenous peoples framework, indigenous peoples living in the regions of the project participated in workshops⁵⁸ to identify potential risks of the project. The main potential risks perceived by the indigenous peoples present in the area included:</p> <p>1) The management zoning of enlarged</p>

⁵⁶ Physical defined as movable or immovable objects, sites, structures, group of structures, natural features and landscapes that have archaeological, paleontological, historical, architectural, religious, aesthetic or other cultural significance located in urban or rural settings, ground, underground or underwater.

⁵⁷ Non-physical or intangible defined as "the practices, representations, expressions, knowledge and skills as well as the instruments, objects, artifacts and cultural spaces associated therewith that communities, groups, and in some cases individuals, recognize as part of their spiritual and/or cultural heritage"

⁵⁸ The resulting risk matrix can be found in pages 23-28, the road map for the participatory design of the PPI is included in page 32, and the agreements for each resguardo are also included from page 64 onwards. Source: Indigenous Peoples Plan (IPP) of Puerto Zabalo-Los Monos, Monochoa, Aduche, Nonuya de Villazul, Mesai, Miriti-Parana, and Yaguara II, <http://documents.worldbank.org/curated/en/967021468025776954/pdf/IPP7470V30SPAN00Box385335B00PUBLIC0.pdf>

	<p>areas of PNN Chiribiquete could eventually generate unwanted contacts with less known tribes, thus violating their right to privacy and to not be contacted. This comes under the heading of Land and environmental rights.</p> <p>2) According to the perception of indigenous peoples, expanding the PNN can involve the loss in the indigenous ancestral territory access. These are territorial and environmental rights.</p> <p>3) Infringement access, use, enjoyment and control of territories considered ancestral and natural resources. This also is also under the category territorial and environmental rights.</p> <p>4) Perception of a breach of indigenous autonomy in government and administration of the territory. This falls under the category of right to self-determination and governance.</p> <p>5) Indigenous perception about the violation of rights associated with ancestral knowledge and cultural values. This is the right to recognition and respect for traditional knowledge.</p> <p>The Project developed the <i>institutional guide for the protection of indigenous peoples in voluntary isolation or initial contact</i>⁵⁹. The document sets mitigation actions that not only guarantee the respect for the rights of indigenous peoples, but promote their collective rights over fundamental components of the protection</p>
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59 <http://documents.worldbank.org/curated/en/934661468026070198/Guia-institucional-para-la-proteccion-de-los-pueblos-indigenas-en-aislamiento-voluntario-o-contacto-inicial>

		<p>and territorial consolidation, recognition and promotion of indigenous governments and their organizational processes within the framework of the right to self-determination and respect and promotion of cultural values.</p> <p>Drafts of the IPPs were shared and discussed with the respective communities and Actas⁶⁰ from each community have been attached to the instrument as evidence of their broad community support for their respective Plan.</p>
9.4 The project was located in an area where cultural resources exist?	Moderate risk	<p>Yes. The PNNSCH is known for its abundant rock paintings in 32 archaeological sites. Thus, not only in the management Plan of PNNSCH but also the project Environmental Assessment included adequate measures related to cultural property and incorporate mechanisms to mitigate the potential adverse impacts on cultural property.</p> <p>For example, PNNSCH Management Plan defines the historical-cultural areas with the objective of preserving areas in which the natural environment / cultural systems interactions have left archaeological remains of material and intangible importance, as well as areas of spiritual and mythological significance for indigenous peoples ancestrally related to the region between the Caquetá, Yari, Apaporis and Tilla rivers.</p>

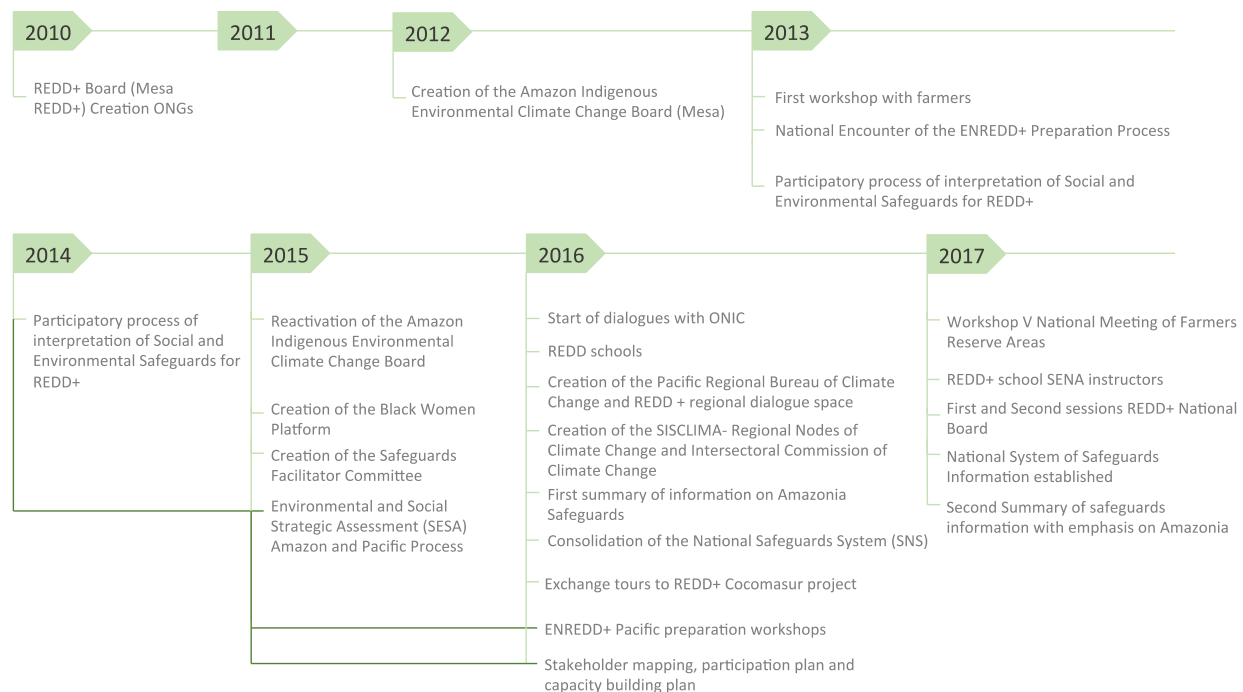
⁶⁰ See: <http://documents.worldbank.org/curated/en/967021468025776954/pdf/IPP7470V30SPAN00Box385335B00PUBLIC0.pdf>
<http://documentos.bancomundial.org/curated/es/393891468233946406/pdf/IPP7470V40SPAN00Box385335B00PUBLIC0.pdf>
<http://documents.worldbank.org/curated/en/506751468026096207/pdf/IPP7470V20SPAN00Box385335B00PUBLIC0.pdf>

Annex C Stakeholder engagement

National Level

As stated in Colombia's first and second Summary of Information (SOI), regarding the effort to reduce deforestation and the construction of the Comprehensive Strategy for the Control of Deforestation and Forest Management in Colombia EICDGB, advances in the participation of social and institutional stakeholders at local, regional and national levels have promoted different areas of participation of a great diversity of stakeholders including indigenous peoples, black and peasant communities, environmental authorities, different institutions and sectors.

The construction of the EICDGB "Forests Territories of Life", started from the process of participation and early dialogues led by the Ministry of Environment and Sustainable Development since 2010 within the framework of preparing the country for the implementation of REDD+, in which spaces were promoted with stakeholders 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), the productive sector, women's organizations, and academia.



Source: Adapted from Gobierno de Colombia, 2017, Estrategia Integral de Control a la Deforestación y Gestión de los Bosques (Bosques, Territorios de vida)⁶¹

This participation process promoted dialogue around the importance of forests and the problems associated with their deforestation and degradation, identify in a participatory manner, what are the main causes and agents of deforestation as well as the measures that can be taken to counteract this phenomenon; elements for the construction of the Strategy from the perspective of stakeholder groups; determine the capacities that need to be strengthened to have an active participation in the process; strengthen the instances of community organizations for dialogue and participation; Identify and evaluate the risks and benefits of implementing actions aimed at reducing deforestation and forest degradation, as

⁶¹ https://redd.unfccc.int/files/eicdgb_bosques_territorios_de_vida_web.pdf

well as priority activities for its conservation. In this sense, between 2010 and 2013, 191 workshops were held, with the participation of more than 5369 people.



It is recognized that, in Colombia, the different stakeholders and sectors of the country have different ways of relating to forests according to their worldview, the biogeographic region they are in and according to the role they play in decision-making about this resource. Therefore, the various spaces for participation have allowed dialogue with the Government generating key inputs for the construction of a strategy that reflects the different perspectives.

Consequently, Colombia has established a differential approach consistent with ethnic, racial, territorial, age and gender diversity among others. In this sense, the advances have focused on two aspects: i) consolidate participation spaces as a way of experiencing the meanings of the forest⁶² y ii) build diagnostic and gender mainstreaming elements in the different products of the Strategy⁶³.

Between 2015 and 2017, 20 information and capacity building events of regional and national character were held, with the participation of more than 217 indigenous representatives, 472 Afro-descendants and 85 peasants from the Amazon, Andean and Pacific regions. These spaces took place in the framework of the Actor Participation Plan and the Capacity Building Plan (MADS, 2017a; Ramirez, Lagos, & Toquilla, 2017), in order to socialize the progress in the construction of the Strategy, strengthen capacities of key stakeholders to participate and generate inputs in the construction of the EICDGB, as well as contribute to the design and prioritization of measures and actions to reduce deforestation and sustainably manage the forests in the country.

Specifically, in 2015, with the support of cooperation programs for REDD+ such as the UN-REDD Program, the World Bank FCPF and the GIZ Forests and Climate Program and non-governmental institutions, a route of participation was implemented with different stakeholders of the national, regional and local order focused on improving the information of the key stakeholders; and around the global and national discussions about climate change and the Reduction of Emissions from Deforestation and Degradation, also generating and strengthening national and regional spaces for dialogue in the face of this problem.

As a result of this process, 17 workshops were held with the participation of more than 460 people in the Amazonia region.

Stakeholder	Participation					
	Events		% participation		% participation	Total
Indigenous people	11	279	79	73	21	352
Multiactor Institutions	6	67	59	46	41	113

Among the main results in terms of participation are the reactivation of the instance of technical coordination on environmental issues between the National Government and the indigenous peoples of the Colombian Amazon, (Indigenous Amazonian Environment and Climate Change Board - MIAACC), within the framework of the Roundtable of the Amazon Region (Mesa Regional Amazónica – MRA), instance in which it was possible to consolidate and approve the proposal of the Indigenous Pillar of the

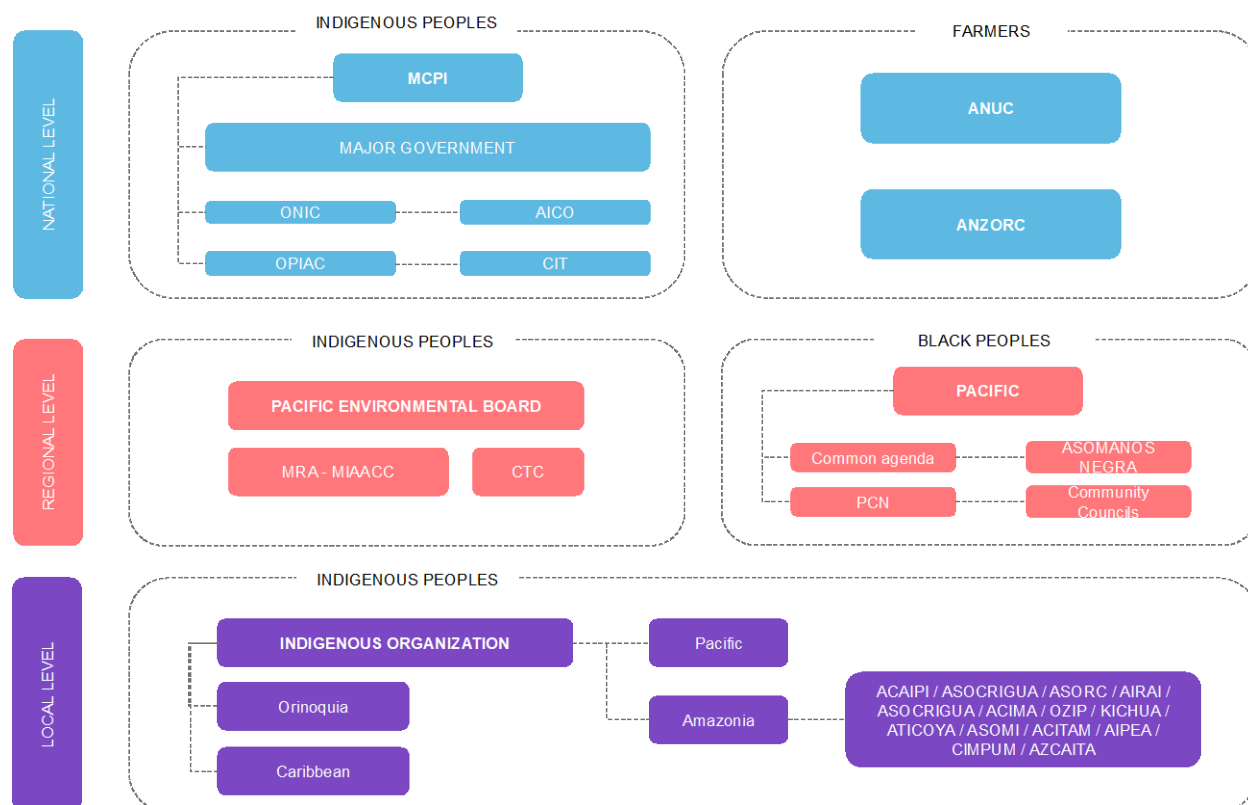
⁶² Progress has been made in the construction of a Black Women's Platform in the Pacific, in which the elements related to the use and exploitation of the forest are being built.

⁶³ A diagnosis of gender mainstreaming in the strategy has been built, and a consultancy is currently under development in search of applying some of the actions resulting from this work.

Vision Amazonia Program (PIVA)⁶⁴, through regional participation spaces in the six departments that make up this region of the country.

In addition to these processes, the installation of the REDD + National Board stands out as one of the most important achievements in the preparation of the EICDGB⁶⁵, which constitutes a platform for articulation and dialogue of key stakeholders led by MADS and proposed in the R-PP in the framework of the participation process for the formulation of the ENREDD+. In this last period (April 2017), the first session of the REDD+ National Board (*Mesa Nacional REDD+*) was held, where 93 people from the different key sectors relevant to the construction of the Strategy participated.

In summary, the process of dialogue with different stakeholders during the 2015-2017 period was essential to guide the REDD + approach in the country and build the EICDGB from the different views of the stakeholders directly related to forests. This has generated more trust between institutions and communities to advance in the articulation of initiatives such as participatory community monitoring, the National Forest Monitoring System, and positioning of instances such as forest boards (*mesas forestales*) and their relevance in the implementation of the Strategy.



Source: Adapted from Gobierno de Colombia, 2017, Estrategia Integral de Control a la Deforestación y Gestión de los Bosques (Bosques, Territorios de vida)⁶⁶

⁶⁴ Minutes of the thirty-ninth regular session of the Roundtable of the Amazon Region (Mesa Regional Amazónica – MRA) - May 5, 2017

⁶⁵ The REDD + National Board (*Mesa Nacional REDD+*) is articulated to the sectoral decision-making of the Intersectoral Commission on Climate Change (CICC), through the definition and appropriation of actions to reduce deforestation in each of the participating portfolios in the structure established by SISCLIMA, and the Intersectoral Commission for the Control of Deforestation and the Protection of Forests (CICOD) (Decree 1257 of 2017).

⁶⁶ https://redd.unfccc.int/files/eicdgb_bosques_territorios_de_vida_web.pdf

Project level

Most project activities were prepared under a participatory scheme and with different instances of consultation.

Indigenous peoples who live in seven indigenous reservations were consulted: Mirití-Paará, Nonuya de Villazul, Aduche, Mesai, Yaguará II, Monochoa and Puerto Zábalo; who participated in the prior consultation process for the expansion of the PNNSCH. These consultations made it possible to agree on the lines of work that formed the basis of the activities of the Heart of the Amazon Project.

Also, four consultations were held between December 2013 and August 2014, to obtain feedback regarding the Amazon Heart Project and incorporate it into its design. Specific consultations for the safeguards instruments were held between May and August 2014, and additional consultations with affected *resguardos* were held during the preparation of the AF (October 13-15, 2016, March 9, 2017, October 24-26, 2016, December 15, 2016 and February 13 to 17, 2017). The ESMF was disclosed locally and on the World Bank's webpage.

Annex D- Grievance Mechanism Grievance

National level

The legal framework of Colombia establishes through several instruments, article 23 of the Political Constitution of 1991, that “Everyone has the right to submit respectful requests to the authorities for reasons of general or particular interest and to obtain prompt resolution. The legislator may regulate its exercise before private organizations to guarantee fundamental rights”. Currently, there are different instruments that respond to this right:

- Decree 1151 of April 14, 2008, which establishes the general guidelines of the Online Government Strategy.
- Law 1755 of 2015 regulates the right of petition.
- By law, each government institution has a complaints and claims system (PQR system) for relevant stakeholders formulate, consult and follow up on complaints, claims, requests for information, formulation of consultations, environmental manifestations and complaints.
- Decree 1166 of 2016 regulating the presentation, filing and processing of verbal requests.
- CONPES Document 3649 of 2010- Establishes the national citizen service policy. Its central objective is to contribute to the generation of trust and to the improvement of the levels of citizen satisfaction with respect to the services provided by the Public Administration in its national order.

Project level

A Project grievance mechanism was developed to address any potential conflicts or disputes involving Project beneficiaries or stakeholders throughout project implementation.

The Grievance Redress Mechanism aimed to ensure due attention and timely resolutions to the requirements raised by stakeholders and in particular, by the communities linked to the project and promote the continuous improvement of the procedures established for the development of the activities.

The procedure for managing requests, complaints and grievances is governed by a set of operational criteria. First, there are multiple access channels, which were disseminated among those interested (person to person, telephone, email, website). Second, it has clear procedures and deadlines to respond to stakeholders and respect confidentiality when necessary. Third, it recognizes and relies on the legitimate traditional mechanisms of clarification of disagreements and conflict resolution, for actions on the *veredas* and indigenous *resguardos*. And finally, it produces periodic reports on the performance of the established mechanisms and their results and shares them with the participating entities, organizations and communities.

The procedure is activated with the filing, verbal or written, of a request⁶⁷, complaint⁶⁸ or grievance before any of the partners of the project, by electronic means, physical correspondence, or person to person with the team in the field.

To facilitate the resolution of possible disputes and attend complaints, the project had the following mechanisms:

⁶⁷ Verbal or written communication in which information is requested or a consultation is raised on aspects of the project or its partner entities and/or it is requested to advance an action. The requests made in the exercise of the right enshrined in article 23 of the National Constitution, are called petitions and will be answered in the terms established by the Administrative Contentious Code.

⁶⁸ Demonstration of disagreement, discontent or censorship, for inappropriate or improper execution of the commitments at the head of the partner entities.

a. First instance access. The Project Coordination Unit (PCU) is responsible to form an instance of attention and resolution of conflicts, be in charge of processing the claims of the beneficiaries or the differences that may arise between them, and defining their operating regulations. It is also the first instance of GRM attention. As responsible for the follow-up of the project, the PCU will have updated information that will facilitate the attention of GRM. In indigenous *resguardos*, the first instance of GRM care will be the Monitoring Committee. In any case, it will inform the PCU of the GRMs it receives and the procedure given to them.

b. Instance of knowledge by type of GRM. In the case of GRM related to the programming or the execution of the project activities, the interested stakeholder may directly contact, at any time, any of the members of the member entities of the Project Coordination Unit, who will receive and process the request. In the indigenous *resguardos*, stakeholders will contact the members of the Follow-up Committee that it designates. In all cases, it is mandatory to report to the Project Coordination, to ensure the consolidation of the information, follow-up and provide feedback on the execution of the project. For this, the member of the PCU will make the registration of the request or complaint and of the response or solution given, in the template designed for this purpose.

If the complaint is related to the lack of inter-institutional coordination, the member of the PCU that receives the concern will take it to the Project Coordination Unit. The Coordinator will inform the directors of the corresponding entities. If the complaint is related to the administrative and resource management of the project and the PCU cannot resolve it, the PCU Coordinator will submit it to the Project Executive Committee (EC). Finally, if the complaint is related to the Coordination, it may be submitted directly to the Director of Natural Heritage. This will present the case in the EC and inform the petitioner or claimant of the solution given.

c. Procedures. The GRM must be documented, even in those cases in which they are presented verbally. For the first and second cases described above, the members of the PCU will have a maximum period of five business days to respond to the GRM. In the last two cases, such term will be extended to ten business days. In the event that the complexity of the matter warrants it, this term may be extended, which shall be communicated in writing to the respective petitioner. The response must be communicated to the petitioner through the means that he himself had made available (personal appearance, referral by postal service, email, etc.)

d. Conflict prevention. To prevent possible conflicts, the project has a strategy for monitoring and evaluating activities.

e. Mediation mechanisms. The EC, made up of the five partner entities, will act as mediator, in those cases that require it. In serious matters, it will define the procedure to follow and channel the matter to the competent entities.

In the farmer settlements and in the indigenous *resguardos*, the spaces and mechanisms of internal conflict resolution will be recognized (e.g. assemblies of communal action boards, Follow-up Committee of prior consultation agreements). The PCU will support the strengthening of communities in conflict resolution. In the event that there are conflicts related to the restriction in access to natural resources or with the implementation of the IPP or the PF, these must be resolved in the first instance in the EC.

Between 2015 and 2017 the Heart of the Amazonia grievance mechanism received nine information requests and each of these were resolved. The required information is listed in the table below where information about requests and responses is described.

Requests submitted to date show no concerns expressed about Project implementation.

Table 1. Registration for information, clarifications or claims by the beneficiary communities of the project and communities and institutions in general.

DATE	INSTITUTION OR	INSTITUTION OR	APPLICATION DESCRIPTION	SUPPORT DOCUMENT	PROCESS PERFORMED TO	SUPPORT DOCUMENT
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	COMMUNITY APPLICANT	COMMUNITY REQUESTED			GIVE ANSWER	
1/7/2016	Indigenous traditional leaders and authorities who sign middle and low Caquetá resguardos	World Bank	Request for approachement with the indigenous peoples of the Colombian Amazon region, Project P144271 and the safeguards policies of the World Bank's ethnic groups. They express that they have little understanding and information about the Project and actions to be implemented. In particular, they propose holding a meeting with World Bank officials.	SQR PNN-1. document 160107 P144271 Safeguards	A video conference was held with the Project Co-Managers and the Safeguards Specialist by the World Bank and the members of the Project Executive Committee to discuss the issue among others, and indicate the route to follow. A visit to the resguardos was scheduled with the World Bank specialist, PNN and General Coordination. They were held within the framework of the follow-up meetings of the prior consultation agreements for the first extension of the PNN SCH.	160116 RTA resguardos Petition to the WB - SQR PNN-1 160119 AM Follow-up_PPI - SQR PNN-1. 160330 AM Field Follow-up PPI - SQR PNN-1
1/18/2016	Andoke de Aduche resguardo	National Parks - Amazonia Territorial Directorate	As for the personnel hired by Puerto Rastrojo for the Scientific expedition, it is necessary to define mechanisms to guarantee the participation of members of the indigenous community that are part of the organizational process in the knowledge generation activities (Research).	160718 Aduche resguardo Act	In a follow-up meeting to the agreements and programming of PPI activities for 2018 (August 25, 2017), PNN's commitment to consult any action on the right to participate or because it may affect or interest the resguardo. In that order, the PNN SCH and the PPI announced that they are about to present the way in which the Consultative Body will operate to regulate the research topics that are a function of the Park within the framework of the Management Plan of the Serranía de Chiribiquete protected area.	170825 AM Aduche Follow-up Meeting https://drive.google.com/file/d/1YMI2z7gv3D1z7in2cC_9fKjNVHM9CcJE/view?usp=sharing

Table 2. Registration for information, clarifications or claims by the beneficiary communities of the project and communities and institutions in general.

DATE	INSTITUTION OR COMMUNITY APPLICANT	INSTITUTION OR COMMUNITY REQUESTED	APPLICATION DESCRIPTION	SUPPORT DOCUMENT	PROCESS PERFORMED TO GIVE ANSWER	SUPPORT DOCUMENT
2/6/2017	Association of Traditional Authorities Regional Indigenous Council of the Middle Amazon - CRIMA	National Parks - Amazonia Territorial Directorate	Request a first rapprochement between the directives of CRIMA and the traditional indigenous authorities and the Amazonia Territorial Directorate and Head of the PNN SCH; with the purpose of guaranteeing collective rights and obtaining clear and transparent information, within the framework of the Chiribiquete mountain range expansion protocol and the GEEF Heart of the Amazon project, which is being completed, and the GEEF 6 project beginning	170208 CRIMA-Retake Agreements PPI SQR PNN-2	National Parks met with CRIMA directives at the DTAM Offices, to clarify their concerns.	Folder 170208 SQR PNN-2 CRIMA-Retake PPI Agreements
4/19/2017	Association of Traditional Authorities Regional Indigenous Council of the Middle Amazon - CRIMA	MADS - Amazonia Vision	15 leaders, traditional chiefs and representatives of the towns Uitoto, Muinane, Nonuya and Andoque of the Amazons and Medio Caquetá River will be in Bogotá to hold meetings with the President of the Republic, the Minister of the Interior and the ambassadors of the United Kingdom, Norway, Germany, among other institutions. The purpose of these meetings was to present their visions and solutions to ensure their fundamental rights, preserve the Amazon rainforest, combat climate change, and achieve sustainable development in the Colombian Amazon, especially in light of the commitments made by Colombia under	Convocatoria_Rueda_De_Prensa_FINAL_19_abril	The CRIMA in April, summons the Vision Amazonia Program and because this is an umbrella program of GEF Heart of the Amazon, PNN is invited to present the results against compliance with the consultation agreements with the middle Caquetá resguardos. Participation with the leaders of the CRIMA in the meeting, which is attended by the MADS - presided over by the Amazon Vision Coordinator and the Social Participation Directorate of the MADS and invited entities and is carried out on June 5th and 6th to socialize the progress and	Folder 170419 SQR MADS-VA-1 CRIMA Approach Request

			different international treaties, including intergovernmental agreements on forests and climate change agreed at the COP21 in Paris in 2015.		results of GEF CA.	
3/29/2017	Association of Traditional Authorities Regional Indigenous Council of the Middle Amazon - CRIMA	World Bank	Request for approachement with indigenous peoples located in the Middle Caquetá, Colombian Amazon region, based on Project P144271 and the safeguards policies of World Bank ethnic groups (Annex OP 4.10)	170329 CRIMA SQR WB Approach P144271-OP4.10	From the General Coordination of GEF Heart of the Amazonia, response to the World Bank - WB is given, where the communication sent by the CRIMA in late April 2017 is put in context. The document sent to the WB provides the necessary information to clarify what is happening with the resguardos and agree where we come from, where we are and where we are going. (For more detail see the WB response document).	Folder 170329 SQR PNN-3 CRIMA request to WB
6/27/2017	Choviko Mesay Community	National Land Agency - ANT	Opposition Enlargement Aduche Choviko Mesay	170627 Opposition Enlargement Choviko Mesay Aduche	This request was made known to the ANT, who gave the corresponding procedure. Since this action is tangential to the Project, it is necessary to inform the competent entity in the matter.	Folder 170627 SQR ANT-1 Opposition Enlargement RI Aduche
6/5/2017	Andoke de Aduche resguardo	National Land Agency - ANT	Request for the reopening of the process of enlargement of the Aduche resguardo due to the overlapping of the file enlargement of the Aduche Reservation, does not appear in the ANT.	It was verbally carried out to the PPI - GEF Heart of the Amazonia, PNN Coordinator.	In order to attend the Aduche claim to the PNN for the stoppage of the enlargement process, PNN recommended on several occasions to officiate the ANT and relate the official documents with information necessary to open the file and the enlargement process. Later PPI and PNN	Folder 170419 SQR MADS-VA-1 CRIMA Approach Request

					facilitated the visit of the Governor Alex Andoque to Bogotá; They collected information from DTAM (social maps, cultural documents) and accompanied the Governor of Aduche to the ANT offices. There on June 3, 2017, the enlargement process was reopened and the ANT informed that in 1 month it would schedule a visit to the resguardo to continue the socio-economic and land study mandated by Law 160 of 1994.	
12/26/2017	UNAD	MADS	UNAD Petition Law - Heart of the Amazon Project.	171225 Application MADS Inputs Request UNAD to GEFCA-ASL. E-mail from the Office of International Affairs requesting the inputs to respond to the right to request UNAD	Inputs were provided to the Office of International Affairs of MADS, to respond to this right of petition.	Folder 171225 SQR MADS-GEFCA-2 Petition UNAD

Additionally, in order to support the implementation of the activities included in the IPPs, the IPPs promoted the establishment of special “Monitoring Committees” (Comités de Seguimiento) in each of the resguardos. In the resguardos, the Monitoring Committees address requests or complaints that originate within the resguardos first hand and share the information regarding the receipt and processing of complaints with the project coordination unit⁶⁹ (PCU) on a regular basis. These Committees will be provided with the appropriate resources and support so that the indigenous communities themselves are able to plan and track the execution of the activities included in the various IPPs agreed with the traditional authorities, and so that they can prepare any culturally adapted and appropriate tools for engaging the rest of the community.

In the event that within the committees it is not possible to solve a specific problem, the issue will be taken to an extraordinary commission, led by the inter-ethnic conflict resolution group of the Directorate of Indigenous Affairs and Minorities of the Ministry of Interior, who will convene interested parties. This commission will be accompanied by the Delegate Advocacy for indigenous and ethnic minorities of the

⁶⁹ A PCU was created within Patrimonio Natural Fund for Biodiversity and Protected Areas (PNF) and will be responsible for project implementation.

Advocacy of the People (Defensoría del Pueblo) and the Committee on Indigenous Affairs of the Office of the Attorney General as representatives of the Public Ministry.

In terms of addressing any possible grievances related to project design or implementation, whenever feasible, the PCU will support existing conflict resolution mechanisms in campesinos and IP communities. The grievance mechanism has clear procedures in place for dealing with requests and complaints. Such procedures are described in detail in the Project OM.