

**INTEGRATED MANAGEMENT PROJECT OF THE PUTUMAYO-IÇÁ RIVER BASIN**

**STAKEHOLDER ENGAGEMENT PLAN**

**EXECUTING AGENCY**  
**Wildlife Conservation Society - WCS**

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## Table of Contents

Abbreviations and Acronyms .....	3
<b>1. Introduction.....</b>	<b>7</b>
1.1. Stakeholder Engagement Plan Objectives .....	7
1.2. Project description .....	7
<b>2. Legal and judicial framework of the stakeholder relationship .....</b>	<b>10</b>
2.1. International instruments signed by the countries.....	10
2.2. Legal framework by country .....	10
2.2.1 Participation and access to information .....	10
2.2.2 Consultation with Indigenous Peoples.....	12
2.3. World Bank Policies.....	14
2.4. WCS Policies on Participation and Consultation .....	15
2.5 GEF Policies .....	15
<b>3. Stakeholder identification and analysis .....</b>	<b>15</b>
3.1 Affected parties.....	16
3.2 Vulnerable and disadvantaged groups.....	18
3.3 Other stakeholders.....	20
<b>4. Stakeholder engagement strategy .....</b>	<b>21</b>
4.1 Phase 1: Information for the general public .....	22
4.2 Phase 2: Remote socialization with stakeholders.....	25
4.3 Phase 3: Socialization and face-to-face dialogue with stakeholders. ....	34
4.4 Participation during the implementation of the Project.....	36
<b>5. Mechanism for addressing complaints or claims .....</b>	<b>37</b>
5.1 What is a complaint or claim?.....	37
5.2 Who can file a complaint or claim?.....	37
5.3 How is a complaint or claim filed? .....	37
5.4 How are complaints or claims handled? .....	39
<b>6. Implementation, follow-up and monitoring of the SEP.....</b>	<b>40</b>
<b>Annexes .....</b>	<b>41</b>
Annex 1. List of Political and Administrative Units involved in the project .....	42
Annex 2. Legal framework of Brazil, Colombia, Ecuador and Peru, regarding participation, access to information and free, informed consultation with indigenous peoples. ....	42
Annex 3. Governance systems of indigenous peoples in the Putumayo-Içá Basin.....	43

## Abbreviations and Acronyms

AAO	Andes Amazonía Orinoquía
AATI ASOINTAM	Asociación de Autoridades Tradicionales Indígenas de Tarapaca Amazonas
ACILAPP	Asociación de Cabildos y Autoridades del Predio Putumayo
ACIMA	Asociación de Capitanes Indígenas de Mirití Amazonas
ACIMVIP	Asociación de Cabildos Indígenas del Municipio de Villagarzón Putumayo
ACIPAP	Asociación del Pueblo Awa.
ACIPSP	Asociación de Cabildos Indígenas del Pueblo Siona.
ACITAM	Asociación de Cabildos Indígenas del Trapecio Amazónico
ACIYA	Asociación de Capitanes Indígenas de Yaigojé-Apaporis
ACT	Amazon Conservation Team
ADAFROCOD	Asociación para el desarrollo afrocolombiano de la Dorada
AFRO ORITENSES	Asociación de comunidades oritenses
AFROVILLARBOLENSES	Fundación para la promoción y desarrollo de las comunidades afro Villa Arbolenses
AFROASISENSE	Movimiento de negritudes de Puerto Asís por los derechos humanos de las comunidades afroasisenses
AFROCOBA	Asociación para el desarrollo afrocolombiano del Bajo Amarón
AFRODES	Asociación de comunidades negras de Puerto Asís
AFROLEGUIZAMO	Asociación por los derechos de los afrodescendientes residentes en el Municipio de Leguízamo
AFROMOCOENSES	Asociación Afromocoense
AFROPUERTOCOLONENSE	Asociación de comunidades afrocolonense
AFROTESALIA	Fundación para la promoción y el desarrollo de las comunidades afro de Tesalia
AFRO-VILLAGARZÓN	Organización de la comunidad afro de Villagarzón
AIDSESEP	Asociación Interétnica de Desarrollo de la Selva Peruana
AINZA	Cabildo organizado indígena zona Arica
AIPEA	Asociación de Autoridades Indígenas de Pedrera Amazonas
AIZA	Cabildo organizado indígena zona Arica
ALTRÓPICO	Fundación Altropico
AMIT	Associação das Mulheres Indígenas Tikuna
ANA Brasil	Agencia Nacional del Agua de Brasil
ANA Perú	Autoridad Nacional del Agua de Perú
ANDI	Asociación Nacional de Industriales (Colombia)
ANP	Áreas Naturales Protegidas
APIPOATA	Asociación Piscícola Productora de Peces Ornamentales y Artesanales de Tarapacá Amazonas
APKAC	Asociación del Pueblo Kichwa
ASCAC	Asociación de la comunidad Afrocaicidense
ASMOCUTAR	Asociación de Mujeres Comunitarias de Tarapacá
ASOINTAM	Asociación de autoridades indígenas de Tarapacá Amazonas
ASOCIPCA	Asociación de Cabildos Indígenas de Puerto Caicedo.

ASOINGA	Asociación de Cabildos Indígenas Inga de Puerto Guzmán.
ASOMI	Asociación de Mujeres Indígenas.
ASOPASTOS	Asociación de Autoridades Indígenas de los Pastos
ASOPESTAR	Asociación de Pescadores de Tarapacá
ASSCOMAL/Rio Içá	Associação das Comunidadees Manejadoras de lagos do Rio Içá
AUNAP	Autoridad Nacional de Acuicultura y Pesca
AZCAITA	Asociación de Cabildos y Autoridades Indígenas de Tradición Autóctona del Trapecio Amazónico
AZICATCH	Asociación Zonal indígena de Cabildos y Autoridades de La Chorrera
BM	Banco Mundial
CAIOP	Consejo de Autoridades Indígenas de Orito Putumayo.
CEDIA	Centro para el Desarrollo del Indígena Amazónico
CI	Conservation International
CIMTAR	Cabildo indígena Mayor de Tarapacá
CLPI	Conservación basada en derechos y en el consentimiento libre, previo e informado
CNS	Consejo Nacional de las Poblaciones Extractivistas
COIAB	Coordinación de las Organizaciones Indígenas de la Amazonía Brasileña
COICA	Coordinadora Indígena de la Cuenca Amazónica
COINPA	Consejo indígena de Puerto Alegría
CONAIE	Confederación de Nacionalidades Indígenas del Ecuador
CORPOAMAZONIA	Corporación para el Desarrollo Sostenible del Sur de la Amazonía
CRIMA	Consejo Regional Indígena del Medio Amazonas
DIREPRO	Dirección Regional de la Producción del Gobierno Regional de Loreto
EAGS	Equipo de Administración de Garantías Sociales
EAS	Norma Ambiental y Social
EE.UU.	Estados Unidos
FCDS	Fundación para la Conservación y el Desarrollo Sostenible
FECOIBAP	Federación de Comunidades Indígenas del Bajo Putumayo
FECONAFROPU	Federación de Comunidades Nativas Fronterizas del Putumayo
FECONAMAI	Federación de Comunidades Nativas Maiyuna
FECONAMNCUA	Federación de Comunidades Nativas del Medio Napo Curaray y Arabela
FECOTYBA	Federación de Comunidades Tikuna y Yahuas del Bajo Amazonas
FEINCE	Nacionalidad Cofán
FEMA	Fiscalía Especializada en Materia Ambiental
FEPYRA	Federación de Pueblos Yaguas del Río Apayacu
FIKAPIRm	Federación Indígena Kichwa del Alto Putumayo Inti Runa
FUNPRODECAFROCVAG	Fundación para la promoción y el desarrollo de las comunidades afrocolombianas del Valle del Guamuéz
FWA	Garantía Federal Amplia
FZS	Frankfurt Zoological Society
GAD	Gobierno Autónomo Descentralizado
GAIA	Fundación GAIA

GILAT	Equipo de radiofonía
GOREL	Gobierno Regional de Loreto
IBC	Instituto del Bien Común
ICMBio	Instituto Chico Mendes para la Conservación de la Biodiversidad
IDSMA	Instituto de Desarrollo Sostenible Mamirauá
IGP	Instituto Geofísico del Perú
IIAP	Instituto de Investigación de la Amazonía Peruana
INABIO	National Biodiversity Institute
INP	Instituto Nacional de Pesca
INPA	Instituto Nacional de Investigaciones de la Amazonía
IPAAM	Instituto de Protección Ambiental del Estado de Amazonas
IPIAP	Instituto Público de Investigación de Acuicultura y Pesca
IRB	Revisión de Investigación con Sujetos Humanos (Institutional Review Board)
KIPARA	Asociación del Pueblo Embera.
KWE'EX KSA'W	Asociación del Pueblo Nasa.
MAAE	Ministerio del Ambiente y Agua de Ecuador
MADS	Ministerio de Ambiente y Desarrollo Sostenible de Colombia
MGAS	Marco de Gestión Ambiental y Social
MINAM	Ministerio de Ambiente de Perú
Minsalud	Ministerio de Salud
MNE	Mancomunidad del Norte del Ecuador
MOWACTHA	Associação de Mulheres Indígenas Ticuna da Comunidade de Paranapara I.
MRA	Mecanismo Global de Reparación de Agravios
NCI	Naturaleza y Cultura Internacional
OCIBPRY	Organización de Comunidades Indígenas del Bajo Putumayo y Rio Yaguas
OCIMPA	Organización de Cabildos Indígenas de Puerto Asís
OEFA	Organismo de Evaluación y Fiscalización Ambiental
OIMA	Organización Indígena del pueblo Muruy del Amazonas
OINCE	Organización Indígena de la Nacionalidad Cofán del Ecuador
OINSE	Nacionalidad Siona
OISPE	Organización Indígena Secoya del Perú
OKAS	Organização Kambeba do Alto Solimões
ONAMIAP	Organización Nacional de Mujeres Indígenas Andinas y Amazónicas del Perú
ONG	Organizaciones No Gubernamentales
ONIC	Organización Nacional de Indígenas de Colombia
ONISE	Organización de la Nacionalidad Indígena Siona del Ecuador
OPIAC	Organización de los Pueblos Indígenas de la Amazonía Colombiana
ORCONEPUL	Organización de negritudes de Puerto Limón
ORPIO	Organización Regional de los Pueblos Indígenas del Oriente
OSC	Organizaciones de la Sociedad Civil
OZIP	Organización Zonal Indígena del Putumayo

PANI	Asociación de autoridades indígenas del pueblo Miraña y Bora del medio Amazonas
PEDICP	Special Project for the Integral Development of the Putumayo River Basin
PIA	Pueblos Indígenas en Aislamiento voluntario
PNCBMCC	Programa Nacional de Conservación de Bosques para la Mitigación del Cambio Climático
PNN	Parques Nacionales Naturales de Colombia
PROAmazonía	Programa Integral Amazónico de Conservación de Bosques y Producción Sostenible
RSC	Regional Steering Committee
SANIPES	Organismo Nacional de Sanidad Pesquera
SAP	Programa de Acción Estratégica
SEDECTI	Secretaria de Estado de Desarrollo Económico, Ciencia, Tecnología e Innovación del Amazonas (Brasil).
SEMA	Secretaria del Medio Ambiente del Estado de Amazonas (Brasil)
SEP	Stakeholder Engagement Plan
SEPA	Secretaria Ejecutiva de Pesca y Acuicultura del Estado de Amazonas (Brasil)
SEPROR	Secretaria de Producción Rural del Estado de Amazonas(Brasil)
SERFOR	Servicio Nacional Forestal y de Fauna Silvestre
SERNANP	Servicio Nacional de Áreas Naturales Protegidas (Perú)
SINCHI	Instituto Amazónico de Investigaciones Científicas
SSMT	Equipo de Gestión de Salvaguardas Sociales
UEA	Universidad del Estado de Amazonas
UFAM	Universidad Federal de Amazonas
WCS	Wildlife Conservation Society
WWF	World Wide Fund for Nature

## **1. Introduction**

This document sets out the Stakeholder Engagement Plan - SEP of the project “Integrated Management of the Putumayo-Içá River Basin.” This document is part of the process of compliance with the Social and Environmental Standards of the World Bank (WB) by the Wildlife Conservation Society (WCS), the regional executing agency of the project, to comply with World Bank Standard 10, which seeks to guarantee a socially and culturally appropriate relationship with all stakeholders. It presents an analysis of the legal and judicial framework for stakeholder relations, as well as international instruments signed by the countries, the legal framework of each country, and WCS, WB and GEF policies. It characterizes stakeholders and affected parties and proposes strategies for promoting their participation in the project's socialization and consultation processes. Lastly, it defines a mechanism for addressing complaints or claims, and follow-up and monitoring tools, as well as the personnel that will carry out the activities described in this document.

### **1.1. Stakeholder Engagement Plan Objectives**

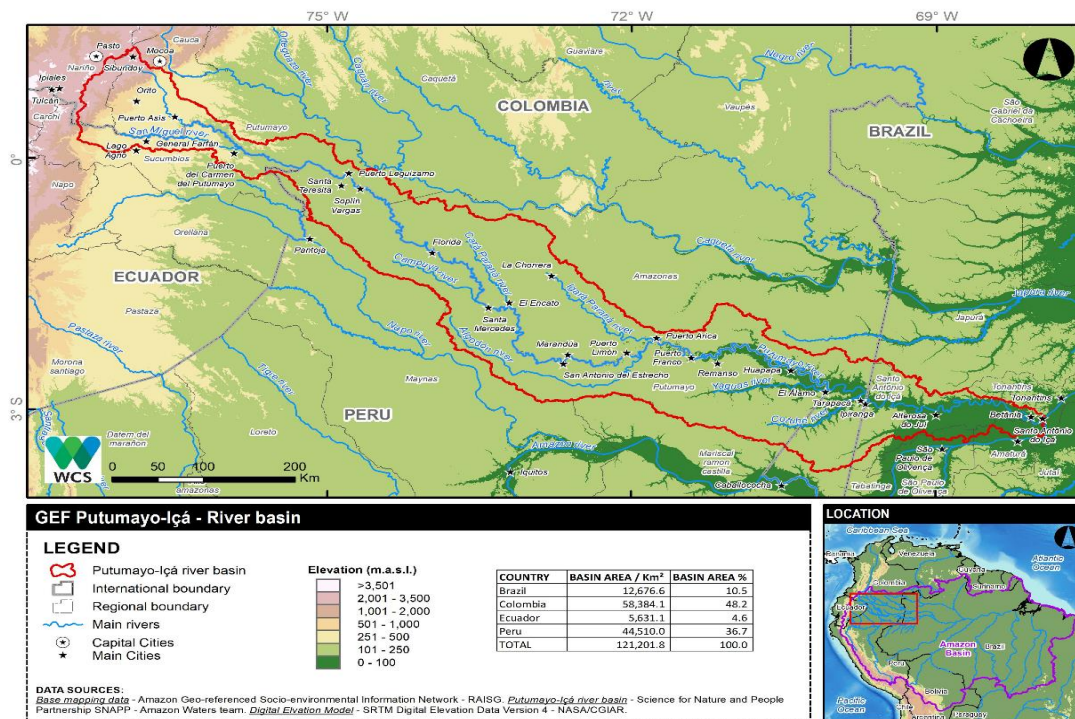
According to ESS 10, the objectives of the Stakeholder Engagement Plan are:

- Establish a systematic approach to stakeholder engagement so Borrowers can identify, build and maintain a constructive relationship with them, especially with project-affected parties.
- Assess the level of stakeholder interest in and support for the project, and allow their views to be considered in project design and environmental and social performance.
- Promote the inclusive and effective participation of affected parties throughout the project cycle with regard to issues that could have an impact on them, and provide the necessary means for such participation.
- Ensure that adequate, accessible, timely, understandable and appropriate information on environmental and social risks and impacts is disclosed to stakeholders.

The document also takes ESS 7 into account in relation to the identification, characterization, and participation of stakeholders that are Indigenous Peoples (World Bank, 2016), as well as the approach to social inclusion proposed in the Directive on disadvantaged people of the World Bank and the measures to be taken into account regarding the health situation due to the Covid-19 pandemic.

### **1.2. Project description**

The project will be implemented in the Putumayo-Içá River Basin, the 10th longest tributary of the Amazon River, that is approximately 2,000 kms in length. It includes 118,000 km<sup>2</sup>, approximately 1.7% of the Amazon basin, in Colombia, Ecuador, Peru and Brazil, and flows into the Amazon River, thus connecting the Andes mountains with an intricate network of rivers, lakes and flooded forests (Map 1). The Putumayo-Içá rivers receive water from the Yaguas and Cotuhé rivers, two of the most biodiverse hydrographic basins in the world. Among the large rivers in the Amazon, the Putumayo-Içá is probably the only one that is still free-flowing, due to the lack of hydroelectric plants along its route.



Map 1 Putumayo - Içá River Basin.

In political and administrative terms, the basin involves four (4) countries: Brazil, Colombia, Ecuador and Peru. Due to the political and administrative structure of each country, the project area includes four departments and five provinces, and at the local level, four districts, 32 municipalities, 6 cantons and 17 parishes (Table 1, Annex 1).

Table 1. Political and administrative jurisdictions related to the project

Supra-local jurisdictions			Local jurisdictions			
Country	Departments / States	Provinces	Districts	Municipalities	Cantons	Parishes
Brazil	1			6		
Colombia	3			26		
Ecuador		1			6	17
Peru	1	1	4			
<b>Totals</b>	<b>4</b>	<b>5</b>	<b>4</b>	<b>32</b>	<b>6</b>	<b>17</b>

It is estimated that approximately 45% of the basin consists of indigenous territories of the Murui Muina, Bora, Miraña, Ocaina, Kichwa, Yagua, Tikuna, Maijuna, Secoya, Cofan, Cocama, Resigaró, Witoto, Tupi-Guaraní peoples, and Peba-Yagua, Quechua and Tucano groups in 153 communities and 60 reservations (Table 2).

Table 2. 1 Number of indigenous communities and reservations in the Putumayo-Içá Basin.

Country	Communities	Reservations
Brazil	55	
Colombia		60
Ecuador	19	
Peru	79	
<b>Total</b>	<b>153</b>	<b>60</b>



It is known that there are 2 indigenous peoples in isolation (PIA)<sup>1</sup> within or near the middle basin of the Putumayo Içá River in the Río Puré National Natural Park, and there are indications of at least 4 more peoples that are yet to be confirmed. One is located south of the Putumayo River on the Colombian-Peruvian border, and at least three are to the north in the water divide of the Putumayo and Caquetá rivers, in the Predio Putumayo reservation.

In demographic terms, the basin has some of the most remote, economically disadvantaged and vulnerable communities, and the lowest population density. Demographic data for the region are only partially available due to its remoteness and the dispersion of information across national borders. It has been determined, however, that the overall population density of the basin is less than 14 inhabitants/km<sup>2</sup>, and fluctuates between 75.4 inhabitants/km<sup>2</sup> in Colombian municipal capitals, and less than 5 inhabitants/km<sup>2</sup> in Brazil. It is estimated that the indigenous and Afro-descendant population that will be affected by the project is 68,071 people, distributed by country as follows (Table 3):

*Table 3. Distribution of the population in communities and reservations. Source: Official census.*

Country	Number of persons
Brazil	8,553
Colombia	38,436
Ecuador	15,843
Peru	5,239
<b>Total</b>	<b>68,071</b>

Indigenous peoples have inhabited the region for thousands of years and currently most live in the central part of the basin. During the second half of the last century, the upper part of the basin received large flows of other indigenous groups (Nasa, Awá, Pastos, Emberá-chami, Emberá-katio, Yanakona, and others) and peasant and Afro-Colombian migrants. Some of these groups had been displaced by violence. Their traditional livelihoods depend on fishing, hunting, timber and non-timber forest products, and agriculture, while activities such as illegal artisanal mining and the production of illicit crops are increasing in several areas.

The project will improve the capacity of Brazil, Colombia, Ecuador, and Peru to work collectively to promote the conservation and sustainable use of water and hydrobiological resources, and will mobilize local, sub-national, national and multinational actions for a comprehensive plan that will strengthen knowledge and governance in the Putumayo-Içá Basin. In particular, it will develop the organizational and management capacity of local communities and public entities; facilitate the systematic generation, management, dissemination and exchange of knowledge and information by all direct stakeholder sectors and levels; enable effective regional and cross-border dialogue, cooperation and coordination; promote and support the adaptation, implementation, management and monitoring of the efficiency of local, national and regional policies; promote several approaches to address possible effects of water pollution due to mercury and other pollutants from legal and illegal activities; and identify and strengthen sustainable management of water resources and ecosystems, including market-based and non-market-based approaches. It will also support

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<sup>1</sup> Peoples in isolation are "peoples or segments of indigenous peoples that do not maintain regular contact with the majority population, and who also tend to avoid all types of contact with people outside their group." Source: Amazon Conservation Team, personal communication; based on "United Nations Guidelines for the Protection of Indigenous Peoples in Voluntary Isolation and in Initial Contact in the Amazon Region, the Gran Chaco and the Eastern Region of Paraguay: Results of consultations carried out by OHCHR in the region: Bolivia, Brazil, Colombia, Ecuador, Paraguay, Peru and Venezuela "(May 2012).

communities whose livelihoods have been affected by disease and/or social distancing measures to prevent the spread of Covid-19, through employment/livelihood-generating activities, such as community surveillance and production systems. Finally, actions related to traditional and scientific knowledge for decision-making will have a basin-wide scope; however, investment pilots will be implemented through sub-projects at technically prioritized sites whose exact location will be determined during the project.

## **2. Legal and judicial framework of the stakeholder relationship**

The following is the general context of the legal and judicial framework of stakeholder relations at the international level and in each country, in accordance with the policies and procedures of WCS and the World Bank.

### **2.1. International instruments signed by the countries**

With regard to participation and access to information, the respective Political Constitutions of the four countries recognize freedom of expression, access to information and citizen participation as citizens' rights. With respect to free and informed consultation with Indigenous Peoples, the four countries have ratified ILO Convention No. 169 on indigenous and tribal peoples<sup>2</sup>, which seeks to ensure that countries respect the right of indigenous and tribal peoples to decide their own development priorities, insofar as it affects their lives, beliefs, institutions, spiritual well-being and lands, and to control as much as possible their own economic, social and cultural development. It stipulates that interested peoples should be consulted through appropriate procedures and, in particular, through their representative institutions, whenever legislative or administrative measures are envisaged that could affect them directly (Article 6, subsection 1.a).

The **United Nations Declaration on the Rights of Indigenous Peoples (2007)**<sup>3</sup>, sets the minimum standards of respect for the collective and individual rights of indigenous peoples, especially their rights to their lands, assets, vital resources, territories and resources, culture, identity and language, employment, health, education, prior consultation, and to freely determine their political status and economic development.

### **2.2. Legal framework by country**

In view of the importance of recognizing and consolidating broad and informed participation by indigenous peoples in actions to be implemented by the Putumayo-Içá Project, the following is an assessment of the legal framework of Brazil, Colombia, Ecuador and Peru with regard to participation, access to information and free, informed consultation with indigenous peoples, in order to guarantee the participatory nature of the project. This legal framework is summarized in Annex 2.

#### **2.2.1 Participation and access to information**

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<sup>2</sup> Ratified by 23 countries: by Peru on February 2, 1994; by Colombia on August 7, 1991; by Ecuador on May 15, 1998; and by Brazil on July 25, 2002. Accessed on October 14, 2020, ILO website: [https://www.ilo.org/dyn/normlex/es/f?p=1000:11300:0::NO:11300:P11300\\_INSTRUMENT\\_ID:312314](https://www.ilo.org/dyn/normlex/es/f?p=1000:11300:0::NO:11300:P11300_INSTRUMENT_ID:312314)

<sup>3</sup> Adopted by Brazil, Ecuador and Peru on September 13, 2007.

**Brazil:**

- The Political Constitution of the Federative Republic of Brazil (1988) recognizes freedom of expression and the right of access to information (Art. 5), and calls for the creation of unique social protection systems that imply the creation and operation of municipal, state and federal administrative councils and the promotion of citizen participation in public policies.
- The Ley de Acceso a la Información Ambiental [Law on Access to Environmental Information] (Law No. 10650/2003) regulates access to public information on policies, plans and programs that may impact the environment, as well as environmental emergencies, liquid and gas emissions, and others.
- In relation to citizen participation, the Ley de Aguas [Water Law] (Federal Law No. 9433/1997) states that the management of water resources must be decentralized and involve public authorities, users and communities.
- Access to Information Law (Federal Law 12.527 / 2011) states the right of everyone to receive information of particular or collective interest from public authorities.
- Transparency Law (LC 131/2009) was created to disclose in real time the income and expenses of each public entity (with a maximum period of 24 hours) on a website.

**Colombia:**

- The Political Constitution of the Republic of Colombia (1991) stipulates that it is a function of the State to facilitate citizen participation in decision-making (Art 2) and that the law shall organize forms and systems of citizen participation to monitor public management (Art 270). It also guarantees community participation in decisions about the environment that may affect it (Art 78 and 79).
- The Ley de Veedurías Ciudadanas [Citizen Oversight Law] (Law No. 850/2003) establishes a mechanism that allows citizens and community organizations to monitor public management of areas, aspects and levels where public resources are used, wholly or partially.
- The Ley de Transparencia y del Derecho al Acceso a la Información [Law on Transparency and the Right of Access to Information] (Law No. 1712/2014) defines access to public information as a fundamental right, and regulates the way in which people can access public information.
- The Ley Estatutaria de Participación [Statutory Law on Participation] (Law No. 1757/2015) has provisions that promote and protect the right to democratic participation, and guarantees participation mechanisms for development planning, social policies, citizen coexistence and reconciliation, and the inclusion of the traditionally excluded population (Art. 104, subsection b).

**Ecuador:**

- The Political Constitution of Ecuador (2008) establishes the right of all people to freely access information generated by public or private entities that manage State funds or perform public functions (Art 18); the right to participate in the preparation of national, local and sectoral plans and policies, and development and budget agendas, and promotes citizen education (Art 83, subsection 3; Art. 100, subsections a, b, c, e).
- The Ley Orgánica de Participación Ciudadana [Organic Law on Citizen Participation] (2010) promotes and guarantees rights of citizen participation, collectives, communes, communities, indigenous peoples and nationalities, Afro-Ecuadorian and Montubio peoples as leaders in decision-making (Art 1) and in planning and managing public affairs (Art 29). It establishes the principles of equality, interculturality, multinationality and gender equality (Art 4).

- The Ley Orgánica de Transparencia y Acceso a la Información Pública [Organic Law on Transparency and Access to Public Information] (Law No. 24/2004), recognizes that access to public information is a people's right that is guaranteed by the State (Art 1, subsection 1), and its objectives include ensuring effective citizen participation in general decision-making and supervision (Art 2, subsection f).

#### Peru:

- The Political Constitution of Peru (1993) calls for access to information and the right of citizens to participate in public affairs (Art 2 and 31), and states that neighbors have a right and duty to participate in municipal government in their jurisdiction.
- The Ley de los Derechos de Participación y Control Ciudadanos [Law on Citizens' Rights to Participation and Oversight] (Law No. 26300/1994) governs citizens' rights to participate and monitor in accordance with the Constitution (Article 1) and stipulates that the rights include taking the initiative in establishing municipal and regional laws and regulations (Art 2, subsections b and d).
- The Ley de Transparencia y Acceso a la Información Pública [Law on Transparency and Access to Public Information] (No. 27806/2002) promotes transparency in State acts and governs the right of access to information.
- The Ley Marco del Sistema Nacional de Gestión Ambiental [Framework Law of the National Environmental Management System] (Law No. 28245/2005) strengthens the participation of civil society in environmental management to encourage the inclusion of representative private organizations and civil society in environmental decision-making.
- The Ley Orgánica de Gobiernos Regionales [Organic Law of Regional Governments] (Law No. 27867/2003 and Law No. 28056/2003); the former contains mechanisms for promoting citizen participation and public transparency and the latter establishes the framework for participatory budgeting, and promotes mechanisms and strategies for civil society participation in budgetary programming, and monitoring and oversight of public resources management.

#### 2.2.2 Consultation with Indigenous Peoples

Although the countries ratified Convention 169, the development of their national regulatory frameworks and the application of the right to prior consultation occurs at different levels, and in general, it follows international standards<sup>4</sup>.

**Brazil:** The country has not created a specific national regulatory framework; however, it does have a few autonomous regulations and procedures that indigenous peoples utilize to exercise their rights.

- The chapter of the Political Constitution of the Federative Republic of Brazil entitled "The Indigenous" (Dos Índios) and article 68 of the Transitory Constitutional Provisions Act refer to territorial rights of Afro-Brazilian communities
- Legislative Decree ratifying Convention 169 (Decree No. 143/2002).
- Autonomous consultation protocols developed by indigenous peoples, based on their rights to autonomy and self-determination<sup>5</sup>.

<sup>4</sup> IWGIA (2019). Autonomous protocols for prior consultation. New paths for self-determination by indigenous peoples in Latin America. Accessed on November 6, 2020. Link : [https://www.iwgia.org/images/documentos/Protocolos\\_autonomicos\\_de\\_Consulta\\_Previa.pdf](https://www.iwgia.org/images/documentos/Protocolos_autonomicos_de_Consulta_Previa.pdf).

<sup>5</sup> Specific consultation protocols: Wajãpi People, Pueblo Munduruku, Juruna (Yudjá) da Terra Indígena Paquiçamba da Volta Grande do Rio Xingu, Indígenas do Território do Xingu, Waimiri Atoari, Kayapó-Menkragnoti associados ao Instituto Kabu, Montanha Mangabal, Krenak, Indígenas Munduruku e Apiaká do Planalto Santareno, Tekoa Itaxi Mirim – Guarani Mbya, Quilombolas de Jambuaçu Moju, Communities of Pimental e São Francisco, Quilombolas de Abacatal/Aurá.

**Colombia:** Prior consultation was implemented through sectoral norms and the corresponding legal instruments developed by the Inter-American Court of Human Rights - IACHR and the Constitutional Court. Some indigenous peoples and Afro-descendant communities have created relationship protocols containing strategies for exercising consultation rights, since there are differences between peoples that make it difficult to standardize a process governed by a general law. However, this initiative is not supported by the Department of Prior Consultation of the Ministry of the Interior<sup>6</sup>.

- Political Constitution of Colombia, articles 1, 7, 63, 287, 329 and 330, with provisions on the rights of indigenous peoples and the right to prior consultation.
- Law approving Convention 169 (Law 21/1991)
- Sectoral laws: The General Environmental Law No. 99/93 states that the exploitation of natural resources must occur after consultation with indigenous and Afro-descendant communities. Law 70/1993 recognizes black communities as an ethnic group and calls for their participation in the design, preparation and evaluation of environmental, socio-economic and cultural impact studies. Decree No. 1320 regulates prior consultation with indigenous and black communities for the exploitation of natural resources in their territories.
- Decree No. 1397/1996 created the Comisión Nacional de Territorios Indígenas and the Mesa Permanente de Concertación (MPC) [National Commission for Indigenous Territories and the Permanent Coordination Board] with indigenous organizations, and states that one of its functions is to arrange a transitory procedure and whatever is necessary to ensure participation, consultation and agreement with specific indigenous peoples until the regulatory decree is issued.
- Presidential Directive No. 001/2010 specifies actions that require consultation and those that do not, and mechanisms for carrying it out.
- Decree 2893/2011 creates the Dirección de Consulta Previa en el Ministerio del Interior [Prior Consultation Department of the Ministry of the Interior], responsible for directing consultation processes.
- Decree 2613/2013 and Presidential Directive 10/2013 aim to link public institutions to the Prior Consultation Department and indirectly regulate prior consultation.
- Decision of the Constitutional Court T-063/19

**Ecuador:** The right to prior consultation is recognized in the Political Constitution. There are also sectoral norms and regulations that recognize this right, and the Constitutional Court of Ecuador has defined criteria to be observed in consultation processes. There is a draft Law on prior consultation, which has been criticized due to the lack of participation by indigenous peoples.

- Articles 56, 57 and 398 of the Political Constitution establish the right to prior consultation.
- Resolution No. 304/1998 ratified Convention 169.
- Decree 1247/2012 establishes the regulations for free, prior and informed consultation for bidding and allocation processes involving hydrocarbon areas and blocks. However, an analysis by the Foundation for Due Process showed that the Decree contains provisions that are

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<sup>6</sup> It is argued that it would cause the disaggregation of the processes and that differential treatment of each group is guaranteed with prior consultation. However, an analysis by IWGIA (2019) considered that regional protocols focus on rights to autonomy and self-determination, not on guidelines for prior consultation processes.

incompatible with international standards and others; it circumscribes consultation as an instrument of participation and information (OXFAM, 2018)<sup>7</sup>.

- Sectoral rules and regulations that recognize the right to consultation:
  - Article 58 of the Ley Orgánica de Recursos Hídricos, Usos y Aprovechamiento del Agua [Organic Law of Water Resources, Water Use and Utilization]
  - Articles 81 to 83 of the Ley Orgánica de Participación Ciudadana [Organic Law of Citizen Participation]
  - Articles 87 to 91 of the Mining Law
  - Article 141 of the Código Orgánico de Organización Territorial [Organic Code of Territorial Organization].
  - Decree 1247/2012 establishes the regulations for Free, Prior and Informed Consultation in bidding and allocation processes of hydrocarbon areas and blocks.
  - Decree 1040 refers to participation regulations in the Environmental Management Law and regulations of the Ministry of Environment, and applies to other development projects in other sectors of the economy.

**Peru:** Prior consultation is implemented through a specific law and its regulations. Furthermore, the Peruvian Constitutional Court recognizes the binding nature of Inter-American Court jurisprudence and the pronouncements of the ILO. Compliance with international standards in applying the right to prior consultation is weak, for example, with respect to how projects or standards that should be consulted are determined.

- Articles 2, 19, 88, 89, 149 and 191 of the Political Constitution of Peru refer to the rights of indigenous peoples, which serve as the basis for prior consultation.
- Legislative Resolution N ° 26253/1993 approved Convention 169. It entered into force in 1995.
- Ley del derecho a la consulta previa a los pueblos indígenas u originarios [Law on the right to prior consultation of indigenous or native peoples] (N ° 29785/2011)
- Regulations of the Law on the Right to Prior Consultation of Indigenous or Native Peoples (Legislative Decree No. 001-2012-MC/2012)

### 2.3. World Bank Policies

The World Bank has developed environmental and social policies and standards to support projects in receiving countries<sup>8</sup>. With respect to disclosure of information, consultation and stakeholder participation, it requires Borrowing countries to provide sufficient information on possible risks and impacts of the project according to the specifications of the Environmental and Social Standards - ESS 10, and that Stakeholder involvement should be proportional to the risks and impacts to which affected communities are subjected<sup>9</sup>. Moreover, it recognizes the importance of open and transparent interaction with affected stakeholders, and establishes provisions for participation during project formulation and execution through meaningful consultation processes that allow

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<sup>7</sup> Due Process of Law Foundation, OXFAM. 2018. Implementation of Consultation and Free, Prior and Informed Consent. Comparative experiences in Latin America and discussions on a consultation law in Mexico. Accessed 06 November 2020, website of the Due Process of Law Foundation: [http://www.dplf.org/sites/default/files/informe\\_sobre\\_consulta\\_y\\_cpli\\_mexico\\_final\\_web.pdf](http://www.dplf.org/sites/default/files/informe_sobre_consulta_y_cpli_mexico_final_web.pdf)

<sup>8</sup> World Bank (2016). World Bank Environmental and Social Framework. Accessed October 21, 2020, WB website: <http://pubdocs.worldbank.org/en/345101522946582343/Environmental-Social-Framework-Spanish.pdf>

<sup>9</sup> The World Bank may participate in consultation activities to understand the concerns of affected parties and how the Borrower will address them in the project design and mitigation measures, and supervise their implementation (World Bank, 2016).

stakeholders to express their opinions and Borrowers to consider and answer them. Finally, it stipulates that each Project shall have a specific mechanism for handling complaints or claims, which may include formal and informal mechanisms and arrangements that allow concerns to be addressed quickly and efficiently with cultural relevance and without cost or remuneration.

#### 2.4. WCS Policies on Participation and Consultation

WCS policies and procedures are designed to guarantee that conservation actions are consistent with the best practices of social safeguarding and comply with international human rights standards, such as the World Bank Environmental and Social Framework, the United Nations Declaration on the Rights of Indigenous Peoples, and the Belmont Report on Ethical Principles and Guidelines for the Protection of Human Subjects of Research. This includes the creation of effective and lasting partnerships with indigenous peoples and local communities, based on their rights to land and resources and guaranteeing their full participation through the *Free, Prior and Informed Consent (FPIC)* process in decisions relating to the management of natural resources governed by the state, and to ensure that they are not involuntarily displaced, either physically or economically. In 2009, WCS also approved the document "Conservation and Human Rights: A Framework for Action,"<sup>10</sup> containing a set of principles on respecting and promoting world human rights standards in the course of its conservation work that highlight stakeholder engagement as a critical component.

#### 2.5 GEF Policies

Since 1996, GEF has adopted a Policy on Public Participation<sup>11</sup> that contains provisions for ensuring that civil society participates in the projects it finances. Its principles state that effective public participation should contribute to the social, environmental and financial sustainability of projects, that it is the responsibility of the country and the Executing Agency to ensure public participation, and that a budget should be assigned for that purpose in the project. It also indicates that public participation should include dissemination of information, consultations and stakeholder participation, the latter being people, groups or institutions with an interest in the results of a project or that could be affected by it<sup>12</sup>.

### 3. Stakeholder identification and analysis

For the purposes of this document and in accordance with ESS 10 of the World Bank (World Bank, 2016), "interested party" is understood to be individuals or groups that:

- a) are affected or may be affected by the project (**parties affected by the project**), including parties that are likely to be affected by actual impacts or potential risks to their physical environment, health, safety, cultural practices, well-being or means of subsistence. These stakeholders can include individuals or groups, as well as local communities,

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<sup>10</sup> WCS (2009). Conservation and Human Rights: A Framework for Action. Accessed 21 October 2020, on the WCS website: <https://www.wcs.org/about-us/literature/conservation-and-human-rights>

<sup>11</sup> GEF (2015). Policy on Public Participation in Projects Funded by the Global Environment Facility (GEF). Accessed 21 October 2020, GEF website: [https://www.thegef.org/sites/default/files/documents/Public\\_Involvement\\_Policy\\_Spanish\\_Feb\\_18\\_2015\\_0.pdf](https://www.thegef.org/sites/default/files/documents/Public_Involvement_Policy_Spanish_Feb_18_2015_0.pdf)

<sup>12</sup> Stakeholders include the Government of the recipient country, executing agencies, entities in charge of carrying out the project, groups hired to carry out project activities and/or consulted during the different stages, beneficiaries, groups of people who may be affected, and other civil society groups who may have an interest in the project (World Bank, 2016).

- b) are more likely to be affected by project impacts or may be more limited than others in their ability to reap the benefits of the project (**vulnerable and disadvantaged groups**),
- c) may have an interest in the project (**other stakeholders**), which may be due to its location, characteristics, impacts or aspects related to the public interest. They may include, for example, regulators, public officials, the private sector, the scientific community, academics, women's organizations, other civil society organizations, and cultural groups.

### 3.1 Affected parties

83 grassroots organizations representing indigenous peoples, Afro-descendants, artisans, women and fishermen were identified (Table 5). Regarding indigenous communities, the SEP will deal with levels of organization of the communities and reservations in order to reach first level organizations (community level), and also involve higher levels of the organization (Table 6). The project recognizes that within each of these population groups, there are others more vulnerable and disadvantaged such as young people, the elderly or people with disabilities, who will be identified in each of the three phases of socialization that have been proposed. The execution of the Project will respect the organization of indigenous and Afro-descendant peoples of the Basin, that have traditional leaders for decision-making in their territories through their Councils of the Elders, Territorial Governments, and others.

Table 5. Number of grassroots organizations according to the sector they represent by country.

Type of social actor	Country				
	Brazil	Colombia	Ecuador	Peru	Total
Indigenous Peoples	4	17	2	6	29
Afro-descendant people		19			19
Fishermen	4	3		7	14
Women	4	4	1		9
Craftsmen	1 <sup>13</sup>				1
<b>Total</b>	<b>13</b>	<b>43</b>	<b>3</b>	<b>13</b>	<b>72</b>

Table 6. Levels of organization of indigenous communities and reservations.

Country	Organic levels			
	First level	Second level	Third level	Total
Brazil	55	8	5	68
Colombia	15	1	44	60
Ecuador		19		19
Peru	32	47		79
<b>Total</b>	<b>102</b>	<b>75</b>	<b>49</b>	<b>226</b>

Organizations that represent a large number of communities or reservations in the project area by country are: FECONAFROPU and FECOIBAP, in Peru; OZIP, in Colombia; and FEINCE in Ecuador (Table 7). It should be noted that many communities are not represented by these organizations and it will be necessary to contact them if they are affected by the project.

Table 7. List of indigenous organizations by country.

<sup>13</sup> Tikuna Içaense Indigenous Crafts Center.



Country	Indigenous organizations
<b>Ecuador</b>	FEINCE (represents 14 Cofán communities) and OINSE (represents 5 Siona communities).
<b>Brazil</b>	<b>COIAB</b> , ACISPO, AMIT, OKAS, ACIK, FOCCIT, Federação Kokama Kukamira, Associação Kaixana, Instituto Ngütapa, Bet.ânia-Mekünare, Organização Indígena dos Kokama do Amazonas, Ass. Vila Alterosa, Ass. Vila Betânia
<b>Colombia</b>	ACILAPP, ACIMA, ACITAM, AIZA, ASCINVAGUA, ASOAIMTAM, ASOCIPCA, ASOPASTOS, AZCAITA, AZICATCH, CIMTAR, COINPA, CRIMA, OIMA/CIMPUM, OZIP, OPIAC, PANI.
<b>Peru</b>	FECONAFROPU (represents 23 communities); FECOIBAP (10 communities); FECONAFROPU/FEKIMMEP (7 communities); OISPE (3 communities); OCIBPRY (3 communities); FECONAMNCUA (2 communities); OISPE (2 communities)

At the regional level, indigenous organizations are represented by the Coordinadora Indígena de la Cuenca Amazónica [Indigenous Coordinator of the Amazon Basin] (COICA) and at the country level, AIDSESP (Peru), ONIC (Colombia), CONAIE (Ecuador) and COIAB (Brazil). These governance systems are the channel for the engagement process.

Colombia has 19 organizations that represent the Afro-descendant population of the Basin (Table 8). In Peru (Loreto) and Brazil, a small percentage of the population identifies as Afro-descendant (4% of the population of Santo Antônio do Içá, according to the Instituto Brasileiro de Geografia e Estadística), but they do not have their own territories or established organizations. For Ecuador, no information is yet available to determine whether there are Afro-descendant communities specifically settled in the Basin. This information will be verified when Project implementation begins in the field.

*Table 8. Organizations that represent the Afro-descendant population in Colombia.*

Organization	Number of persons represented
Afromocoenses	1.315
AFROPUERTOCOLONENSE	394
AFRODES	986
AFRO ORITENSES	1.253
ASCAC	3.084
ADAFROCOD	172
AFROCOBA	126
AFROLEGUIZAMO	1.642
Afrotosalia	578
AFRO VILLARBOLENSES	587
FUNPRODECAFROCVAG	976
AFROASISENSE	992
Organización de la comunidad afro de Villagarzón	1.040
ORCONEPUL	1.509
Community councils: Ranchería, San José de los Pinos, Tesalia, Versabal and Puerto Limón.	
<b>Overall Total</b>	<b>14.654</b>

Other important organizational structures include the representatives of artisanal fishermen: 4 associations in Brazil, 3 in Colombia and 7 in Peru (Table 9). No registered associations were found in Ecuador, which will be validated during the implementation of the project in the field. It is important to mention that there are many groups associated with agricultural, fishing and productive activities; however, this information needs to be specified and validated in the field during the implementation of the project.

*Table 9. Organizations representing associations or communities of Artisanal Fishermen in Brazil, Colombia and Peru.*

Country	Organizations
Brazil	ASSCOMAL/Rio Içá (represents 76 fishermen), Associação de Pescadores de Santo Antônio do Içá, Colônia de pescadores de Santo Antônio do Içá y Organização Kambeba do Alto Solimões – OKAS (represents 5000 fishermen)
Colombia	Asociación de Pescadores del Río Putumayo en Puerto Asís, ASOPESTAR and APIPOATA
Peru	Asociaciones de Pescadores y Procesadores Artesanales – APPA: Arahuana, Fronteras Vivas, Lleego, Los Bufeos del Yaguas, Los Catalanes del Putumayo, Los Cocodrilos, Los Delfines del Muntúm.

### 3.2 Vulnerable and disadvantaged groups

As indicated above, there are indigenous peoples in the Putumayo-Içá Basin that are not represented by the organizations shown in Table 7. Additionally, in Auto 004 of 2009, the Constitutional Court of Colombia, identified that the indigenous peoples Siona, Murui, Kichwas, Awa, Korebaju, Embera Chami, Inga, Camëntsá, Kofán, Nasa, Yanacona and Pijaos in the department of Putumayo, are at high risk of physical and cultural extermination as a consequence of the Colombian armed conflict and the environmental effects related to the expansion of crops for illicit use, mining and hydrocarbon exploration and exploitation. This may increase their vulnerability and limit their ability to express themselves, and participate in and benefit from the project. Consequently, efforts will be made to ensure that direct communication channels are established with communities that may be affected in any way by Project activities, according to their organizational structures (Council of Elders, etc.); the recognition of early warnings on the risks of physical and cultural extermination and the protection measures in the territories; and articulation with other entities and initiatives to protect the rights of indigenous peoples.

Indigenous women in Latin America often face diverse and repetitive forms of historical discrimination that combine and overlap, and expose them to greater vulnerability in all aspects of their daily lives. According to ECLAC (2015), indigenous women experience a higher incidence of poverty, receive lower incomes, have few opportunities to access the labor market and less schooling, which results in high illiteracy rates, lower life expectancies, higher infant and maternal mortality, and less access to sanitation and drinking water<sup>14</sup>. They also have limited access to social programs and services, little participation in political processes and social marginalization, which is why their voices and participation are usually limited, in addition to the scarcity of laws and public policies aimed at addressing their particular problems<sup>15</sup>. This occurs despite the fact that indigenous women are recognized as the protectors and guardians of cultural values and the guarantors of the permanence of their peoples. The Project will seek to recognize the contributions, capacities and

<sup>14</sup> Economic Commission for Latin America and the Caribbean - ECLAC. 2014. Indigenous Women. New protagonists for new policies. Population Division and Division of Gender Affairs. Editorial CEPAL. 34 p. In: [https://repositorio.cepal.org/bitstream/handle/11362/36779/1/S2014351\\_es.pdf](https://repositorio.cepal.org/bitstream/handle/11362/36779/1/S2014351_es.pdf)

<sup>15</sup> Inter-American Commission on Human Rights (IACHR). 2017. Indigenous women and their human rights in the Americas. p.157. ISBN 978-0-8270-6658-8. In: <http://www.oas.org/es/cidh/informes/pdfs/MujeresIndigenas.pdf>

potential of indigenous women as active agents of change, and encourage their participation and that of their organizations, shown in the following (Table 10)<sup>16</sup>:

*Table 10. Women's organizations in Brazil, Colombia and Peru.*

País	Organización
Brasil	Associação das Mulheres Indígenas Ticuna (AMIT) de Porto Cordeirinho
	Organização Geral das Mulheres Indígenas Tikuna do Alto Solimões.
	Rede das Mulheres Indígenas do Estado do Amazonas - Makira-Êta
Colombia	Grupo de sabedoras Nimaïra Uaiï Jagiyï Nimaïra Uaiï Jagiyï.
	Asociación de Mujeres Indígenas Ariana de la Comunidad de Puerto Nuevo.
	Asociación de Mujeres Comunitarias de Tarapacá – ASMUCOTAR.
	Asociación de Mujeres Indígenas ASOMI.
Perú	Organización Nacional de Mujeres Indígenas Andinas y Amazónicas del Perú – ONAMIAP Programa Mujer de la Organización Regional de los Pueblos Indígenas del Oriente -ORPIO Programa Nacional Mujer de la Asociación Interétnica de Desarrollo de la Selva Peruana - AIDSESP
	Mujeres lideresas de la Federación de Comunidades Nativas del Ampiyacu - FECONA
	Comités de vigilancia conformados por 180 mujeres
	Mujeres organizadas en las comunidades Tres Esquinas y San Martín, para el manejo y comercialización de arahuana

No information on women's associations was found for Ecuador, which will be validated during project implementation.

Considering the situation of women within the Basin, the Project has a Gender Action Plan that will promote an approach that includes gender issues, taking into account particular needs, priorities, power structures, situation and relationships between men and women to address them in the design, implementation and evaluation of activities. In this way, the project seeks to ensure that women and men have the same opportunities to participate and receive the benefits for their empowerment.

Finally, as was mentioned previously, there are indigenous peoples in voluntary isolation in the Basin. These peoples are affected, among other things, by mercury residues deposited in rivers due to illegal mining in some parts of the basin, which leads to serious contamination of fish that are later consumed by the inhabitants. These peoples are deemed a vulnerable population, and it is a priority for the Project to consider the EAS 7 to adopt the appropriate measures to recognize, respect and protect their territories, lands, health and culture, as well as measures to avoid any unwanted contact with them as a result of the project.

<sup>16</sup> De La Cruz, P. 2015. Ferias de Chagras en la Amazonia colombiana, contribuciones a los conocimientos tradicionales y al intercambio de productos de asociaciones indígenas y mujeres de Tarapacá. [Chagras Fairs in the Colombian Amazon, contributions to traditional knowledge and the exchange of products of indigenous associations and women of Tarapacá.] 218 p. In: [https://www.researchgate.net/publication/287205299\\_Ferias\\_de\\_Chagras\\_en\\_la\\_Amazonia\\_colombiana\\_contribucion\\_es\\_a\\_los\\_conocimientos\\_tradicionales\\_y\\_al\\_intercambio\\_de\\_productos\\_de\\_las\\_asociaciones\\_indigenas\\_y\\_de\\_mujeres\\_de\\_Tarapaca](https://www.researchgate.net/publication/287205299_Ferias_de_Chagras_en_la_Amazonia_colombiana_contribucion_es_a_los_conocimientos_tradicionales_y_al_intercambio_de_productos_de_las_asociaciones_indigenas_y_de_mujeres_de_Tarapaca)

### 3.3 Other stakeholders

Table 11 shows the stakeholders and their roles. It should be noted that some of these parties will be directly involved in the implementation of the project, as indicated below:

Table 11. Project stakeholders and roles.

Sector	Country	Organizations	Role
<b>National authorities</b>	Brazil	SEMA, ANA Brasil	Key actors in the formulation of policies and regulations, and in strategic issues such as land use, planning and watershed management, promoting coordination with sector policies and programs.
	Colombia	MADS	
	Ecuador	MAAE	
	Peru	MINAM, ANA Perú	
<b>State, departmental or regional authorities</b>	Brazil	SEPROR / SEPA IPAAM SEDECTI	Articulation of Project results in line with regional priorities. Participation in regional and local policies and initiatives. Support for the development and implementation of cross-border actions. Support for the generation of information and knowledge. Beneficiaries of some project interventions.
	Colombia	Corpoamazonía	
	Ecuador	INABIO	
	Peru	IIAP	
<b>Authorities with special territorial jurisdiction Protected natural areas</b>	Brazil	ICMBio SEMA	Identification and implementation of activities for the effective management of strategic conservation areas for water security and provision of ecosystem services. Beneficiaries of some of the project's interventions
	Colombia	PNN	
	Ecuador	Sistema Nacional de Áreas Protegidas	
	Peru	SERNANP	
<b>Scientific, academic and NGO entities</b>	Brazil	Rainforest Foundation, INPA, UEA, UFAM, IDSM, WWF Brasil, Field Museum, Museu Magüta, CNS	They contribute knowledge and experience to applied research in the project region.
	Colombia	SINCHI, FCDS, ACT, Fundación GAIA, Tropenbos, WWF Colombia, CI Colombia, The Field Museum, FZCS	
	Ecuador	WWF Ecuador, NCI	
	Peru	CEDIA, IBC, The Field Museum, FZCS, Rainforest Foundation, WWF Peru	
<b>Local authorities</b>	All Countries	All those whose political and administrative jurisdiction is identified in Table 1 and Annex 1.	Support for the implementation of project activities. Beneficiaries of some project interventions
<b>Local communities and populations</b>		Indigenous and Afro-descendant organizations, associations of artisans, fishermen, women, and others.	The most vulnerable sector due to their levels of poverty and the fact that their cultural identity and livelihoods are associated with forests and rivers. Main beneficiaries of the project

Sector	Country	Organizations	Role
Private sector associations and organizations		Productive sectors (e.g., ANDI - Colombia, and others)	Alignment of investments with best practices and promotion of business opportunities in coordination with public sector entities. Financial resources and relations with funding sources. Beneficiaries of project results that will strengthen their practices.

#### 4. Stakeholder engagement strategy

The Participation Program of the GEF Putumayo-Içá Project aims to encourage and ensure stakeholder participation in the identification of benefits and opportunities of the Putumayo-Içá Project by reflecting on the value of the biodiversity and cultural wealth of the Basin. All actors are key and their interactions are essential in order to align the objectives, activities and work plan. The formulation of the project has begun with multiple stakeholders, which will ensure that the process is participatory and inclusive throughout the 3 phases.

The first phase initiated consultations and virtual workspaces in January 2020, with stakeholders in the four countries to formulate the Putumayo-Içá Project. Key stakeholders for the project include indigenous and Afro-descendant populations, as well as women and youth. However, due to the Covid-19 pandemic, face-to-face consultations with these communities were not possible during the first phase. For that reason, given the governance networks described above, and literacy, language and accessible media conditions, we are proposing a second phase of virtual socialization between the end of 2020 and the first half of 2021, and a third phase of face-to-face socialization in 2021, when travel conditions allow, in order to ensure that these social actors participate.

The development and implementation of these three phases starts with diagnostic information and basic knowledge of the Basin, which will help structure key messages that will be socialized both virtually and in person with stakeholders. They will be tailored to the needs, requirements and characteristics of each specific stakeholder, so that effective, clear and congruent messages can be developed.

The communication and socialization of the Project, in the three phases, will be carried out taking into account the following emphasis and audiences: (i) The internal communication between the team and the implementing partners such as environmental authorities, academy, NGOs, Research Institutes, in each of the countries to be informed about the progress of the project and support the decision-making; (ii) communications with local and indigenous communities to strengthen spaces and channels to present their needs and expectations about the project's activities; (iii) external communications that will promote and disseminate project information to a wider public (local authorities, NGOs, Research Institutes, private and business sectors, as well as communities not directly benefited), and to raise awareness on key issues such as the impacts of water pollution on the ecosystems and inhabitants of the Basin. This will be maintained throughout the project in order to promote dialogue between stakeholders based on a common knowledge base to support informed decision-making (Figure 1).

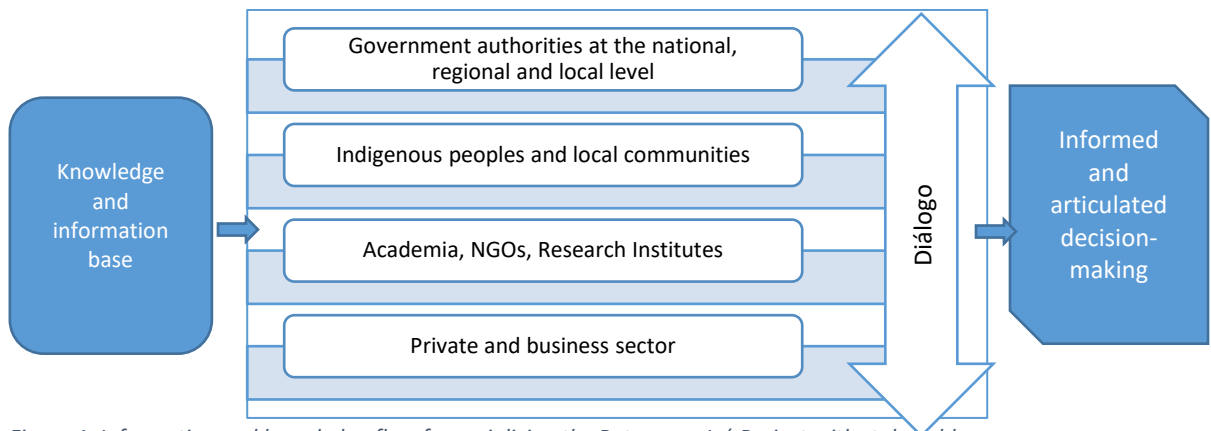


Figure 1. Information and knowledge flow for socializing the Putumayo-Içá Project with stakeholders.

#### 4.1 Phase 1: Information for the general public

Phase 1, implemented in January 2020, included 65 virtual meetings with government entities (national and regional), research institutes, NGOs and the private sector. The categories were (i) thematic meetings for each of the project components and related topics, (ii) Technical Committees, with Focal Points from the four Countries, the World Bank, WCS and (2) representatives for each component, in a decision-making scenario, and (iii) country level meetings facilitated by the WCS team. During thematic meetings between June and September 2020, representatives of fifty-four (54) organizations from the four (4) Countries actively participated in the preparation of the project, supported the collective construction of the theory of change, and made technical contributions.

##### (i) Thematic meetings

32 thematic meetings were held in accordance with the components of the project (Table 12). These collaborative work spaces involved technical experts from government agencies of the four participating countries, coordinators and technical experts from NGOs working in the Putumayo - Içá basin, the World Bank and WCS. The WCS work team coordinated each meeting and two representatives were selected from among the participants to facilitate discussions and accompany the presentation of progress reports to the Technical Committees. The average attendance during thematic meetings was 55 delegates from more than 35 institutions, and the main topics addressed included the theory of change, activities and sub-activities, definition of the geographic area of intervention and pilot projects, results and indicators, logical framework and risks (security, Covid 19, etc.).

Stakeholder participation was ensured in the following manner:

- The parties were invited well in advance, and the methodology and topics to be discussed at each meeting were explained. Participants were thus able to prepare for each session and bring their suggestions and questions.
- An agenda was presented at each meeting, and always included plenty of time for discussion so that all participants could provide feedback.
- A chat was enabled during all meetings so that people who did not wish to open their microphones could write.
- The emails of the facilitators of each component were enabled to receive suggestions, comments, questions, etc., on each of the topics discussed.

- Each thematic group had a virtual space on Google Drive, where stakeholders could access presentations, minutes of meetings and working documents to advance together asynchronously, according to commitments made at each meeting.

The principal outcome of these workspaces was to advance the joint, participatory development of Project objectives, activities and sub-activities, including an initial approach to selecting potential areas for implementing the Project (and selection criteria), based on all the contributions and points of view of the participating organizations from countries, and to ensure that they were reflected in the project documents. Furthermore, participants were informed during work sessions about adjustments made in response to their contributions. Progress and adjustments were also recorded in files available on the virtual space of Google Drive. [Google Drive](#).

Table 12. Organizations involved in formulating the PAD.

Component	Number of participants	Institutions
1. Information and knowledge	53 delegates 28 institutions	Fundación Altrópico, ACT, WB, CORPOAMAZONIA, FCDS, FZS, GAD of the Province of Sucumbíos, Gaia, Provincial Government of Sucumbios, INPA, IAP, IGP, INABIO, MADS, MINAM, MAAE, PNN, PROAmazonía, PNCBMCC, SEDECTI, SEMA, SERNANP, SERFOR, SINCHI, The Field Museum, UEA, WCS, WWF.
2. Governance	56 delegates, 28 institutions	Fundación Altrópico, ANA, WB, PNN, COIAB, FCDS, CORPOAMAZONIA, Fórum de Desenvolvimento Integrado e Sustentável da mesorregião do Alto Solimões, FZS Peru, GAIA, GOREL, IBC, INP, IPIAP, MADS, MINAM, MAAE, MNE, ProAmazonia, PNCBMCC, Secretaria de Estado de Desenvolvimento Econômico, SEDECTI, SEMA, Sepror, SERNAP, SINCHI, The Field Museum, UEA, WCS, UFAM.
3. Pollution reduction	55 delegates, 28 institutions	ANA, WB, Specialized Prosecutor for Environmental Matters, CORPOAMAZONIA, Fundación Altrópico, FCDS, FZS Peru, GAIA, SINCHI, INP, IPIAP, MADS, MINAM, MAAE, Ministerio de Salud, Ministerio del Ambiente, MNE, OEFA, PNN, PROAmazonia-UNDP, PEDICP, SEMA, SERNAP, SERNANP, UEA, Universidade do Estado do Amazonas, WCS, WWF.
4. Production alternatives	66 delegates, 30 institutions	ACT, AUNAP, ANA, WB, CEDIA, CORPOAMAZONIA, DIREPRO, Fórum de Desenvolvimento Integrado e Sustentável da mesorregião do Alto Solimões, Altrópico, FCDS, FZS Peru, GAIA, IDSM, IBC, INP, Instituto Publico de Investigaciones Acuicola y Pesquera, Sinchi, MADS, MINAM, MAAE, Ministerio del Ambiente - Dirección General de Estrategias sobre los Recursos Naturales, PNN, Prefectura de Sucumbios, PROAmazonía, PNCBMCC, SEMA, Sepror, SERNANP, The Field Museum, UEA, WCS, WWF.

## (ii) Technical Committees

Three (3) Technical Committees met (on June 24, August 5 and September 23, 2020, with representatives from MADS, MAAE, MINAM and SEMA, representatives of components, the World Bank and WCS. The Committees helped socialize the progress of each component and permitted decision-making on the scope and activities of the project. During these events, representatives of each of the components presented the main results of the meetings and described some of the difficulties encountered in the project.

The following aspects were taken into account to ensure that the events were successful and the expected results were achieved:

- Joint preparation of the agenda to cover all their relevant issues. Agendas always included a space for discussion so that all participants could present their opinions, make suggestions and give feedback.
- Open communication was maintained with focal points during the formulation process, and all their concerns regarding the project were addressed.
- Meeting dates, methodology and topics for discussion were agreed with the focal points well in advance, so that participants could prepare for each session and bring suggestions and questions.
- A chat was enabled during all events so that people who did not wish to open their microphones could write.
- Facilitators' emails were enabled to receive suggestions, comments, questions, etc., on each of the topics discussed.

In addition to achieving direct and effective dialogue to update and provide feedback on progress, the main results of the Committees also included (i) validation of formulation processes, (ii) agreements about the results and progress of themes, (iii) consensus on critical project issues and (iv) resolution of bottlenecks encountered during the project formulation process.

### (iii) Meetings by Country.

31 internal meetings were held in each country (Table 13), with government institutions, NGOs and the private sector.

Table 13. Number of meetings and participants in internal meeting of each Putumayo-Içá Basin country.

Country	Number of meetings	Number of participants	Participating institutions
Colombia	8	45	MADS, AUNAP, The Field Museum, Fundación GAIA, PNN, SINCHI, Minsalud, ACT, ANDI, WWF, FZS, FCDS, CORPOAMAZONIA, CI Colombia.
Ecuador	5	23	Dirección de Biodiversidad, GAD de la Provincia del Carchi, Gobierno Autónomo Descentralizado Provincial del Carchi, INABIO, IPIAP, MAAE, Reserva Ecológica Cofan Bermejo, Secretaria Técnica de la Circunscripción Territorial Especial Amazónica.
Peru	16	73	ANA, CEDIA, Coordinación FEMA, DGANP SERNANP, Participativa DGCA MINAM, DIREPRO, FEMA Coordinadora Nacional de Fiscalías Ambientales, The Field Museum, GOREL – ARA, IBC, IGP, IAP, MINAM, OEFA, PEBDICP, PlanetGOLD, PNCBMCC, SANIPES, SANIPES Iquitos, SANIPES, SERFOR, SERNANP, Unidad de Monitoreo de la Fiscalía Especializada en Materia Ambiental de Loreto, WWF, FZS
Brazil	2	19	COIAB, Fórum de Desenvolvimento Integrado e Sustentável da mesorregião do Alto Solimões, INPA, SEDECTI, SEMA, Sepror, UEA.

The principal objective of these meetings was to discuss and reach consensus on country positions regarding Project themes prior to Thematic Meetings led by MADS, MAAE, MINAM and SEMA. The WCS work team provided support and facilitated the meetings held to answer potential questions regarding the process and provide inputs for country discussions. The agenda of each meeting was



prepared and circulated in advance to ensure that invited stakeholders participated. Likewise, chats were kept open during meetings to receive all participants' contributions, and open communication was maintained after the events to receive questions, comments and feedback on the process. As a result of these meetings, each country advanced with the review and feedback on the design of project components, and consolidated their contributions according to a country vision, which the delegates presented during thematic meetings.

#### 4.2 Phase 2: Remote socialization with stakeholders

The design of a strategy to socialize the project proposal with stakeholders began in October 2020, with priority given to indigenous peoples, Afro-descendant communities, fishermen's associations, and women's and artisans' organizations, which are key stakeholders of the project; they could not be contacted due to biosecurity restrictions implemented in the region by the Governments of the four countries and by indigenous organizations and local communities in response to the Covid-19 pandemic. This strategy will be implemented between November 2020 and January 2021, according to the work plan shown in Table 14.

Table 14. Phase 2 Work plan for remote socialization with stakeholders in the Putumayo-Içá Basin.

Activity	Responsible	Oct.20	Nov.20	Dec.20	Jan.21	Feb.21	Mar.21	Apr.21
Identification and prioritization of dissemination channels and target audience	WCS, BM, Governments*							
Definition of information and key messages to be shared	WCS							
Preparation and dissemination of communications	WCS, Governments							
Planning and development of virtual socialization spaces	WCS, WB, Governments							
Design and dissemination of communication pieces	WCS							
Respond to indigenous organizations	WCS							

\* Governments are delegates of GEF focal points in MADS, MAAE, MINAM and SEMA.

The initially agreed schedule had changes that made the socialization activities extend for an additional time to the initially planned:

- In November 2020, a new Minister and Vice Ministers of Environment were appointed in Colombia. In the same month, in Peru Martín Vizcarra was dismissed as President and in Brazil there was a change in the focal point who had been supporting the Project. Previously, in March 2020, in Ecuador the Ministry of the Environment and the Secretariat of Water (Senagua) merged, creating the Ministry of Environment and Water. These changes implied making institutional approaches with the incoming officials to present the project.
- In December 2020, it was reported that a new variant of Covid 19 began to circulate in the state of Amazonas (Brazil). On January 28, 2021 the first case was identified in the border area with Colombia and in the following weeks in Peru. According to the Colombian Ministry of Health, this new variant has a higher speed of contagion, so in addition to being in Brazil, Colombia and Peru, it is possible that it has spread or could spread to Ecuador, especially in areas of interest of the project. This implies new restrictions that could lead to the need to extend the virtual activities in the project until the health situation evolves favorably. In April, the contagion situation has continued to rise and mobility restrictions have been extended.
- In April 2021, presidential and congressional elections were held in Peru. After the presidential inauguration, which will take place on July 28, 2021 it will be necessary to establish contact with the new government to present the project and the progress in the formulation or approval, if applicable.
- Between February and March 2021, indigenous organizations in Ecuador (Siekopai Nationality and ONISE) made changes to their Governing Council. Therefore, it was necessary to share information about the project with the new indigenous authorities. In mid-March 2021 the Minister of Environment and Water resigned and with this change there were also movements within this ministry with technical personnel from some areas. Additionally, between February and April of 2021, Ecuador held presidential elections. The possession of the new president and assembly members will be held on May 24. This implies new changes with respect to ministers and authorities. Finally, the FONAKISE organization will also make changes to its Governing Council at the end of June of 2021.

Three axes were defined for organizing and advancing the project's socialization process. The first axis provides basic information and general knowledge to stakeholders about what the project is, and its importance for communities living in the Basin, and also provides spaces for answering questions about the process and receiving comments. The second axis promotes stakeholders' understanding of their role in the Project, so that they can take ownership and participate in its activities. Finally, the third axis coordinates work schemes and joint dialogue and highlights the benefits of the project and related work (Figure 2).

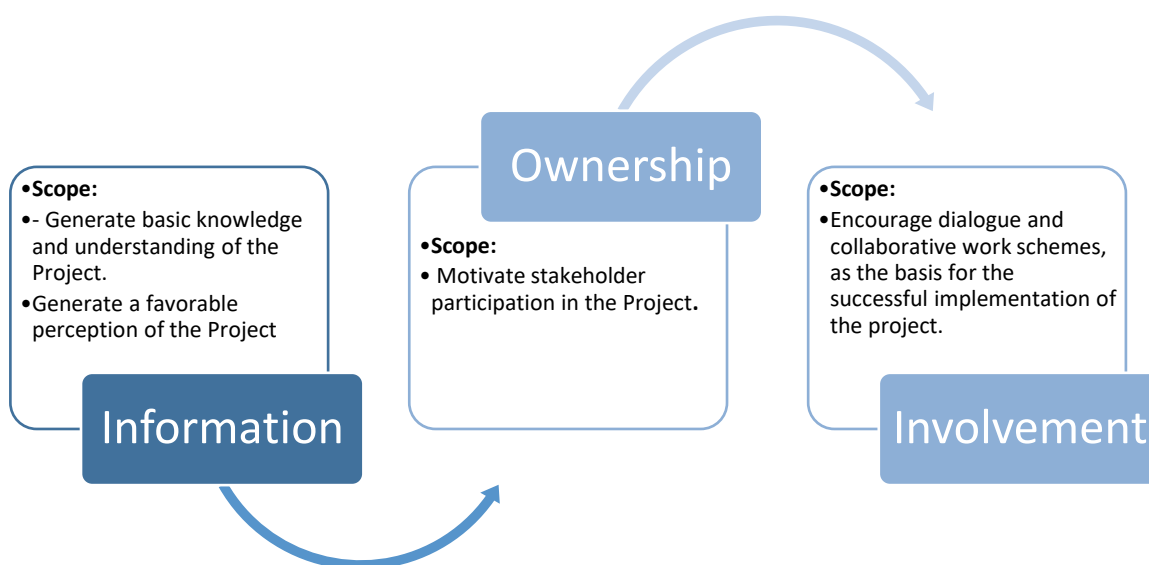


Figure 2. Axes of the strategy for socializing the Putumayo-Içá Project with stakeholders during Phases 2 and 3.

In Phase 2, the strategy includes the generation and dissemination of Project information through several one-way and two-way communication channels. The best channels for the stakeholders (target audiences) will need to be identified for this dissemination, and it is essential to move towards assertive dissemination that will become effective information, help position the Project among the parties, and generate trust. Furthermore, it is hoped that government actors and NGOs that already have access to communities will help with the dissemination through their own web pages, and share Project information and documents.

Currently, the WCS technical team has made progress in defining the information and key messages to present the project's objective, its components, benefits, key partners and contact mechanisms to receive inquiries, comments and suggestions, and define virtual meeting spaces (Table 15). It is important to highlight that although communication materials will be developed to be used in the four countries, there may be communication media and / or materials that, due to the needs and identification of opportunities in each country, may or may not be prioritized.

Table 15. Means and channels for face-to-face socialization of the Project with indigenous and local communities.

Discussion lines for messages	Media	Communication materials
Basic knowledge of the Project and associated key concepts.	Website: www.cuencaputumayoica.com Virtual platforms Social networks Virtual meetings	Presentations. Informative pieces for social networks. Short videos.
Benefits and opportunities of the Project for communities.	Virtual platforms Social networks Website	Informative pieces for social networks. Short videos.
Proposed measures to mitigate potential risks and impacts	Workshops Printed materials	Infographics Presentations

Importance of traditional knowledge to preserv the natural and cultural diversity of the Basin.	Social networks	
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Based on the above, the project will design messages and communication pieces with organized, relevant and culturally appropriate information, based on the following considerations:

- Spanish and Portuguese will be the main languages of the messages as they are most commonly used by local inhabitants and organizations of the Basin. However, for monolingual communities that speak only the native language, messages will also be broadcast in their respective languages. According to the prior assessment, 25 native languages are spoken in the Basin and shared by indigenous communities in 2 or more countries (Table 16).
- Clear, simple and concise language will be used and technical terms will be avoided, so that target audiences can easily understand and replicate the messages.
- To achieve greater impact and credibility, messages will recognize cultural values and will appeal to the communities' role and social responsibility in managing the Basin, so that they will identify with the objective of the Project.

The communication pieces can be found on [Google Drive](#) and on the project website, in the "[nuestras noticias](#)" section.

Coordination with the governance networks of indigenous peoples and Afro-descendant communities, and fishermen's, women's and artisans' organizations will be encouraged to ensure two-way communication in order to enhance the socialization and replicability of messages, and address concerns and comments from audiences. The project website will have a comment section and telephone contact information for that purpose. Moreover, we will examine socialization processes with organizations/communities that provide access while applying appropriate measures to avoid any risk due to Covid-19.

Table 16. Cross-border languages in the Putumayo-Içá Basin. Source: Own preparation with information from Instituto Caro y Cuervo, 2020.

Countries	Shared native languages	Linguistic Family
Brazil, Peru and Colombia	Ticuna/tikuna	Yurí-tikuna
	Murui-muinani/uitoto	Witoto
	Kukama – kukamiria	Tupí-guaraní
Brazil and Colombia	Baniwa	Arawak
	Jupda/jupde/hup	Nadahup
	Yuhup	
	Bará, Barasana, Desano, Karapana, Makuna, Piratapuyo, Siriano, Tukano, Tuyuca	Eastern Tucano
	Yeral, nheengatú	Tupí-guaraní
Ecuador and Colombia	Siona (secoya)	Western Tucano
	Kofán	Independent
	Inga	Quechua
Ecuador, Peru and Colombia	Kichwa/Quichua	Quechua
Peru and Colombia	Yagua	Peba-yagua
	Bora	Bora
	Ocaína/Okaina	Witoto
	Andoque/andoque	Independent
	Resígaro	Arawak

Finally, it should be noted that the design and implementation of this strategy will ensure Free, Prior and Informed Consent, in accordance with the political and regulatory framework of each country, ILO Convention 169, and the main principles of socialization and consultation processes, including timely information, transparency, interculturality, confidentiality, and others. The adoption of informed consent will be made when completing the face-to-face phase of socialization, taking into account that virtual consultations cannot be made.

Regarding the potential channels and dissemination mechanisms, the following have been used in the first four months of 2021:

#### (i) Written communications

Since the main target audience in this phase is indigenous and local communities, communication in the four (4) countries began with formal written communications to leaders of the respective organizations that represent them (Table 17), in order to establish a first contact and to invite them to the first virtual meeting on February 4 2021.

Table 17. Organizations to be contacted in Phase 2.

Country	Organization
<b>Brazil</b>	AMIT, ASSCOMAL/Rio Içá, Associação de Pescadores de Santo Antônio do Içá, Colônia de pescadores de Santo Antônio do Içá, OKAS, COIAB, ACISPO, FEPESCA, ACIK, FEI, CNS, Makira-Êta, Org. Geral Mulheres Tikuna do Alto Solimões, Org. Indígena Kokama do Amazonas
<b>Colombia</b>	OZIP, Mesa Permanente del Pueblo Kofán, Asociación COINPA Puerto Alegría, CIMPUM - Consejo indígena pueblo Muruy, AIZA - Asociación indígena Zona Arica, CIMTAR Tarapacá, ASOINTAM.
<b>Ecuador</b>	FEINCE, ONISE, FONAKISE, Nacionalidad Siekopai.

<b>Peru</b>	AIDSESP, ORPIO, FIKAPIR, OISPE, ECA SIECO PAI, ECA ÑUKANCHIPA SUMAK SACHA, ANECAP, FECONAFROPU, FECOIBAP, OCIBPRY, FECONAMAI, FEKIMMEP, ONAMIAP.
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Table 18. Progress in phase 2 implementation, by April 30 2021.

<b>Country</b>	<b>Advances</b>
<b>Colombia</b>	<ul style="list-style-type: none"> <li>• Written communications, signed by the Ministry of Environment and Sustainable Development - MADS and WCS, were sent to the following prioritized organizations for Phase 2: OZIP, Mesa permanente del pueblo Cofán, COINPA Puerto Alegría Association, CIMPUM, AIZA, CIMTAR, ASOAINAM. Through the communications, these organizations were invited to participate in the virtual meeting space (Webinar) on February 4, 2021.</li> <li>• Individual meetings were held with the representatives of the Mesa permanente del pueblo Cofán, COINPA and ASOAINAM on January 26, CIMPUM on January 27, CIMTAR on January 28, February 18, March 12 and April 30, and AIZA on February 4 and April 6. It is important to highlight that CIMTAR has shared the following prioritized initiatives to be considered by the Project: 1. Strengthening the poultry raising system in the region; 2. Recovery and promotion of traditional crops, native seeds and the knowledge of traditional agriculture; and 3. Construction of ponds for fish reproduction (ornamental and for consumption).</li> <li>• Informative pieces with information about the project have been sent via WhatsApp to the representatives of these organizations (February 23, and March 10, 18 and 23).</li> <li>• Information about the project, website and video of the webinar on February 4 were shared to the emails of indigenous organizations (February 10 and 23).</li> <li>• Meeting with representatives of Corpoamazonia, to coordinate their support to share information about the project through its channels (webpage, Twitter, among others). April 9.</li> <li>• On April 21, the Project was presented at the XXVIII meeting of the Technical Committee of the Trinational Program for conservation and sustainable development of the protected areas corridor PNN La Paya - ZR Gueppí - RPF Cuyabeno. During this committee, meeting points were identified between the Project and the Trinational Program, on which it is expected to work collaboratively.</li> <li>• On May 11 the Project will be presented to the Committee for the fight against the illicit exploitation of mining deposits.</li> </ul>
<b>Ecuador</b>	<ul style="list-style-type: none"> <li>• Stakeholders identified as affected parties were contacted to present the project in a general way. Plans for face-to-face socialization with indigenous organizations were suspended due to the Covid emergency in the country. A plan was designed to hold virtual meetings to share information with indigenous organizations (December, 2020).</li> <li>• During January 2021, the organizations were consulted about the best communication channels to share information with local communities. Radio messages and printed booklets were the main resources identified. Once produced, these will be sent to the organizations and will be distributed through the leaders of the communities. The radio message about the project was broadcast through the network of stations of the Coordinator of Popular and Educational Community Media of Ecuador - CORAPE. Some indigenous organizations also maintain agreements with local radio stations, which will also contribute to the socialization and dissemination phase.</li> <li>• In March, virtual meetings were held with the indigenous leaders of the four participating organizations (03/10 - ONISE; 03/12 - FONAKISE; 03/20 - SIEKOPAI; 03/20 + 03/27 - FEINCE). The second meeting with FEINCE was postponed and moved until 04/10 due to complications in the organization's agenda. In these spaces, general information</li> </ul>

	<p>about the project was shared, including details about the activities that are proposed with the communities. Questions were answered and the communication resources were shared (radio messages, booklets, videos) to be distributed with the other members of the indigenous nationalities. Additionally, the printed booklets were sent to indigenous organizations, for their distribution in the territory. This process was personally in charge of the presidents of FONAKISE and ONISE. In relation to FEINCE, the delivery and socialization of information about the project in the territory was in charge of a technician from the Foundation for the Survival of the Cofán People, an ally of the indigenous organization. Regarding the Siekopai Nationality, the shipment and delivery of the printed cards was coordinated to a relative of the organization's president. Communication with this organization is the only one with which intermittences are recorded, because there is not a very good signal on the cell phone or the internet. In general, indigenous organizations requested to socialize the project in their territories, because not all communities have internet services to hold a virtual meeting. In the socialization process, the most frequent concerns have been related to the issue of governance and community initiatives.</p> <ul style="list-style-type: none"> <li>• In April 2021, a meeting to update the project was held with the Sucumbios Zonal Director (Ministry of the Environment and Water). It is expected to organize an extended meeting with the management units of the Sucumbios Environmental Zonal Coordination and identify artisanal gold mining projects that want to get involved in the project.</li> </ul>
<p><b>Perú</b></p>	<ul style="list-style-type: none"> <li>• Written communications were sent to 12 organizations by the Ministry of the Environment - MINAM. To date, 10 have been contacted.</li> <li>• Five organizations have requested a face-to-face presentation of the project, mainly due to non-familiarity with virtual platforms.</li> <li>• Virtual meetings have been held with 6 organizations, including national (AIDSESP, ONAMIAP, ANECAP), regional (ORPIO) and local (FECONAFROPU and OCIBPRY) organizations.</li> <li>• The possibility of disseminating informational material on WhatsApp and through community peripherals or transmission of material in radio format in certain sectors, free of charge, is being analyzed, taking into account the mobilization restrictions established by the governments.</li> </ul>
<p><b>Brazil</b></p>	<ul style="list-style-type: none"> <li>• Written communications to indigenous organizations were sent in December 2020, signed by WCS and the Secretariat of the Environment of the State of Amazonas (SEMA).</li> <li>• In December 2020, four meetings were held with IDAM (Instituto de Desenvolvimento Agropecuário del Amazonas / Santo Antônio do Içá Office), Museu Magüta, Instituto Ngütapa and IDSFb (Institute of Sustainable Development of Fonte Boa). The organizations contacted expressed their interest in the project, requesting to keep them informed of the updates, highlighting their interest in face-to-face meetings. However, due to the COVID emergency in the Amazon, no face-to-face meetings with local communities have been scheduled so far.</li> <li>• In February 2021, 3 meetings were held with SEDECTI, AWAS and OKAS. It is highlighted that the indigenous organizations expressed their interest in participating in the project, as an opportunity to expand their actions for cultural rescue, resource management and local development processes, among others.</li> <li>• New organizations present in the Putumayo-Icá basin in Brazil have been mapped, mainly organizations of artisanal fishermen, women and artisans. Communication with these groups has been carried out mainly via WhatsApp, due to access restrictions in the area. Communication pieces of the project (videos, radio message, brochure) have been disseminated through WhatsApp. To date, no comments or concerns have been received from these organizations. In June they will be contacted again to follow up on</li> </ul>

	the receipt of the socialized information, inquiring about possible remote (telephone) or face-to-face meeting spaces.
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## **(ii) Virtual meeting with indigenous organizations**

To initiate a dialogue and promote the participation of prioritized indigenous organizations as interested parties, a virtual meeting was held on February 4. During this meeting the objectives of the project, main components, benefits and opportunities were presented. In addition, comments and questions were received and the website was shared as a communication mechanism between the project team and the general public. The meeting (webinar) was held through the Amazon Information and Dialogue Platform (PID Amazonia), with transmission by zoom and Facebook, with a total of 153 participants (101 on Zoom and 52 on Facebook). Four panelists were invited, one from each country, experts in the main topics of the project who, through guiding questions, allowed the participants to inform the scope, importance and benefits of the project. A short video was made with general information about the project and digital pieces with the information of the virtual meeting, which were previously shared. The results of the meeting can be found at Annex 3.

In addition, in each country, telephone calls have been made with representatives of indigenous organizations. In Colombia, meetings were held with the Mesa permanente del Pueblo Cofán, COINPA and ASOAINAM on January 26, CIMPUM on January 27, CIMTAR on January 28 and February 8, and with AIZA on February 4. After the virtual meeting (February 4), communication pieces have been shared with the representatives of these organizations through email and WhatsApp, including the contact details of the project (email, website), the video of the virtual meeting. Also, their requests for information and contributions have been attended (Table 18). To date, CIMTAR and AIZA representatives have expressed their interest in creating a new virtual meeting space, to update the progress and next steps in the project formulation process. In May it is expected to define dates for this space according to the availability of the representatives. An invitation will be extended to other organizations that wish to participate.

In Peru, between January and March 2021 virtual meetings were held with indigenous organizations at the national (AIDSESP, ONAMIAP, ANECAP), regional (ORPIO) and local (FECONAFROPY and OCIBPRY) levels. During the first meetings, general information about the project, the identified problem, agencies involved and the communication channels were shared; and in the second meetings the components, subcomponents and activities, potential benefits, and key aspects such as the Gender Action Plan were presented. In the second round of meetings, comments and contributions were obtained from the organizations in these aspects: a) ensure the strengthening of indigenous organizations, especially at the local level, to participate in governance groups and platforms; b) take into account the Life plans of the communities, c) establish alliances with national and regional programs implemented by indigenous organizations for the surveillance of the territory, d) ensure the protection of traditional knowledge for the maintenance of traditional uses; e) maintain communication with the organizations to update the progress in the formulation, approval and implementation of the project; and f) consider the organizations in the planning and development of the socialization of the project in the territory.

In Brazil, virtual meetings were held with the organizations IDSFB, IDAM-SAI, Ngütapa, Museu Magüta, SEDECTI, AWAS and OKAS. These organizations expressed their interest in the project and in keeping up-to-date with its progress. Especially in the case of indigenous organizations such as



AWAS, they highlighted that the project constitutes an opportunity to strengthen themselves in priority actions such as cultural rescue and natural resource management.

In Ecuador, at the end of November 2020, phone calls were made to contact the indigenous organizations FEINCE, ONISE, FONAKISE. In these spaces, general information about the project was shared. In January, these organizations were invited to the webinar (February 4) and were identified the most effective communication channels to reach local communities. In addition, a meeting was held with the Secoya Nationality on March 20 and meetings with the Siona Nationality were held on February 23 and March 10. Additionally, printed booklets were sent to indigenous organizations for its distribution in the territory. Based on these interactions, the indigenous organizations informed their interest in the project and in holding face-to-face meeting spaces in their territories. On the other hand, FONAKISE expressed its interest in sending a communication addressed to the Project team to evaluate the possibility of expanding the project's area to include communities that are not located on the Putumayo River Basin. To date, this communication has not been received.

### **(iii) Identified dissemination spaces**

In the short term, it is a priority to identify additional spaces to present the project, such as forums, festivals, symposia, congresses, among others. However, in the first quarter of 2021, the organizations or events consulted do not have an established agenda. In this sense, support has been requested from the focal points, who will consult possible spaces with government entities and others. Furthermore, it is hoped that government actors and NGOs that already have access to communities will help with the dissemination through their own web pages, and share Project information and documents. The information associated with participation in these complementary dissemination spaces and main results will be incorporated into this document.

On April 21, the project was presented, together with representatives of the World Bank, at the meeting of the Technical Committee of the Trinational Program for Conservation and Sustainable Development of the Corridor of Protected Areas of Colombia, Ecuador and Peru. At this meeting, the participants expressed their interest in the project and willingness to join forces.

### **(iv) Webpage**

As one of the main strategies, the WCS communications team led the construction of the project website, [www.cuencaputumayoica.com](http://www.cuencaputumayoica.com), launched on February 4, 2021, during the first virtual meeting with indigenous organizations. This webpage contains strategic information regarding the project, its components, update of progress, general geographic location, participating entities, among others. In addition, the website has been promoted as a communication channel with the general public, enabled to receive questions, suggestions and comments. Initially the webpage is in Spanish and later it will be enabled in Portuguese. During the planning phase of the structure and contents of the website, feedback was received from the Focal Points during a meeting held on January 21 and via email, and the final approval was received on February 3, 2021.

It is important to highlight that since virtual communication mechanisms in general are not formally recognized by indigenous communities to dialogue with them, face-to-face meetings that can be held in Phase 3 for this audience will be prioritized. However, in a consensual manner with the communities, the short-term objective is to evaluate the viability of moving forward through virtual meetings, considering the contingency for Covid 19. These meetings will be held taking into account the technical note of the World Bank "Public consultations and participation of interested parties in operations supported by the World Bank when there are limitations for holding public meetings "(March 20, 2020).

## **(v) Mobile**

To establish an official communication mechanism of the project for telephone contact and WhatsApp, WCS opened a telephone account (mobile +57 315 7784256) on March 18. From this communication channel, progress in the formulation of the project has been reported, and communication pieces has been sent to the indigenous organizations prioritized in Phase 2 and to the different key actors of the project (8 recipients from Brazil, 19 from Peru, 23 from Ecuador and 11 from Colombia). In addition, this channel has been enabled to receive opinions, suggestions and questions from the different actors, in order to give them answers.

It is important to highlight that the different messages and informative pieces have been sent in Spanish and Portuguese, disseminating the following information: video of the webinar (March 17), radio spot with image (March 19), primer (March 24) and video of the project (April 8).

To date, no responses, comments or feedback to the information submitted have been received, but the following interactions stand out:

- On March 15, a representative of AIZA (Colombia) requested information to learn more about the project. This request was answered by the same means.
- On April 8, the NGUTAPA Institute (Brazil) wrote directly and their phone number was stored in the broadcast list. This Institute has sent general information about its work, which is not directly related to the project.
- On April 11, a Ngutapa representative asked how his community participates in the project, to which he was informed that the project is currently in the design stage and specific areas of development have not been defined. Finally, an invitation was extended to provide their contributions or comments for the project through the mechanisms enabled for this purpose.

### **4.3 Phase 3: Socialization and face-to-face dialogue with stakeholders.**

During this phase, face-to-face activities - meetings and workshops - will be organized as a space for dialogue with indigenous communities, Afro-descendants and fishermen's and women's organizations, among others, in order to strengthen socialization and feedback to the Project in a collaborative and inclusive construction process. Face-to-face work spaces will be arranged with the Project's respective partner institutions in each country, to provide technical, logistical and operational support for socialization with the participation of the corresponding communal, territorial and regional governments. In Peru, the indigenous organizations have also expressed their technical support at this stage, for adequate interaction and dialogue with the communities. Information will be provided on physical and digital media to support these meetings, and a record of the receipt of supplies delivered will be kept. Minutes of these meetings will be recorded and socialized through mechanisms acceptable to the participants.

This phase, which is expected to begin in the second half of 2021, will be carefully planned and progressively implemented in accordance with the official COVID 19 risk monitoring systems of each country, and in line with the instructions and decisions of the organizational structures of local communities. In all cases, biosecurity measures will be implemented in these meetings according to the protocols of national and local authorities and the executing institutions. The Project will also be constantly updated regarding the impact of Covid 19 in the Putumayo-Içá Basin through official reports from the national authorities of each Country. Figure 3 provides a map of Covid 19 effects for each country, according to official information available on November 1, 2020.

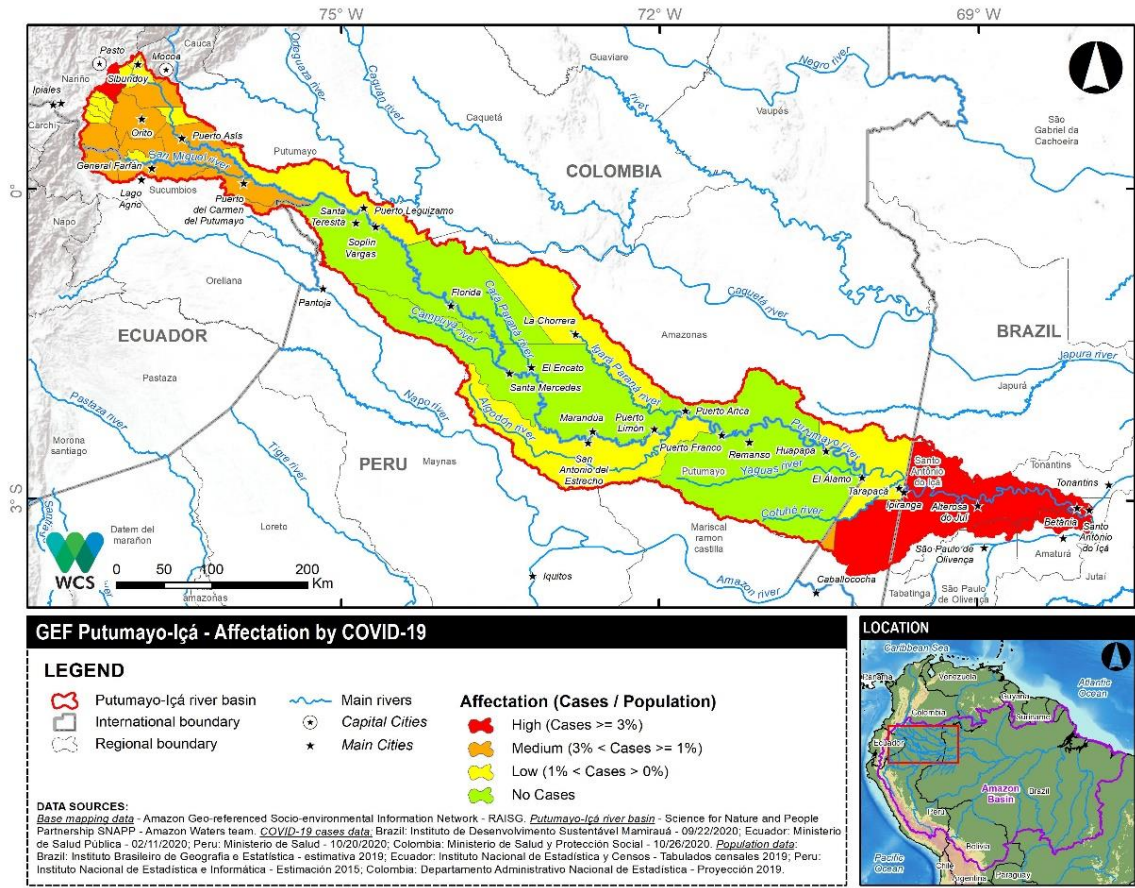


Figure 3. Effects of COVID 19 in the Putumayo-Içá Basin. Own preparation - WCS, from the following sources and information cut-off dates: Instituto de Desenvolvimento Sustentável Mamirauá - Brazil (September 22, 2020), Ministry of Public Health - Ecuador (November 2, 2020), Ministry of Health - Peru (October 20, 2020) and Ministry of Health and Social Protection - Colombia (October 26, 2020).

The production and dissemination of messages and communications through channels identified in Phase 2 (radio, social networks, instant messaging applications, and others, Table 16) will continue, and additional pieces will be developed as shown in Table 19, which will also be disseminated through the web pages and social networks of the Project's social entities. Additionally, in Colombia the following organizations will be contacted in this Phase: OPIAC, Association of Mirití Indigenous Captains, ACILAPP, ATICOYA (Tikuna, Cocama and Yagua Association), ACIPS, APKAC, PANI Association, ACITAM; AZCAITA, CRIMA, OIMA and AINZA.

In addition to highlighting fundamental aspects of the project during this phase, such as its objective, components and benefits, its potential risks and impacts will be socialized, as well as the corresponding measures for their mitigation, which are contained in project instruments such as the MGAS and the Planning Framework for Indigenous Peoples. A specific language, approach and messages will be selected for each stakeholder with particular benchmarks that will ensure that they take ownership of the project naturally by identifying the advantages, benefits and incentives of participating. The project website will also be developed as a space for receiving comments, questions and concerns from the public, which will position it as one of the main permanent interactive communication mechanisms. Finally, it is important to note that after the Project has

been socialized according to Phase 2 and 3 proposals, the corresponding project instruments will be updated based on the processes and final results of the socialization.

*Table 19. Means and channels for face-to-face socialization of the Project with indigenous and local communities.*

Discussion lines for messages	Media	Communication materials
Basic knowledge of the Project and associated key concepts.	Workshops Website: www.cuencaputumayoica.com Social networks Printed materials	Presentations. Maps Brochure Executive summaries Posters
Benefits and opportunities of the Project for communities.	Radio	Informative pieces for social networks. Short videos. Podcasts
Proposed measures to mitigate potential risks and impacts	Workshops Printed materials	Infographics Presentations

#### **4.4 Participation during the implementation of the Project.**

It is essential to ensure timely and effective stakeholder participation in order to achieve positive stakeholder outcomes. Therefore, project implementation and formulation will take place in a highly participatory manner with stakeholders, using a dialogue, consensus and participatory model. This is expected to generate and consolidate a collaborative and trusting relationship with stakeholders and encourage them to interact, discuss and share knowledge. With this approach, the main objective is to control stakeholder expectations through good communication and a firm agreement on the regional scope and limitations of the project, and continuously highlight the value of diverse and inclusive participation in decision-making as the basis for open communication and transparency to ensure that the Project begins and is implemented legitimately.

With this purpose, the Project will start by recognizing indigenous peoples, Afro-descendants and local communities as stakeholders, partners and rights holders who play an important role in the sustainable use, management and conservation of the environment. The Project will ensure that work and discussion spaces are available and created with project beneficiaries, which will be designed and implemented in harmony with their culture, times and organizational structures. Furthermore, it will include and pay special attention to women, the elderly and youth from indigenous and other local communities, in recognition of their role in maintaining, recovering and transferring traditional knowledge, and will support their inclusion and participation and that of other traditional experts in Project activities. This will be accompanied by informative materials, which may be prepared in native languages, if that is agreed.

Indigenous representatives who are officially delegated by their respective peoples will be encouraged to participate in the decision-making spaces of the Project, such as the Technical Committee and the Regional Steering Committee - RSC, which is essential in order for their interests to be taken into account and for activities to be guided by their cultural realities.

Finally, to ensure that all stakeholders can express their doubts, questions and comments on the implementation of the Project, a mechanism will be established to respond to complaints or claims, as described below in chapter 5.

## **5. Mechanism for addressing complaints or claims**

In order to address doubts, concerns and complaints that may arise during the preparation and implementation of the Project, there will be a Complaints or Claims Redress Mechanism- MAQR, to strengthen direct participation by stakeholders. The MAQR will also link to WCS's and the World Bank's own Global Grievance Redress Mechanisms, and is seen as a process that will be perfected along the way. The purpose of the MAQR is to provide a mechanism for affected persons or communities, and others with knowledge of the circumstances, to submit complaints or claims in good faith about the impacts of the Project. It will ensure that complaints or claims are dealt with, answered, and documented in a fair and timely manner. It will also provide inputs to improve the implementation and results of the Project and avoid conflicts by quickly responding to complaints and suggestions, in accordance with the following principles:

- Freedom of expression,
- Respect for the Cosmovision of indigenous peoples,
- Transparency and accessibility, to strengthen means of stakeholder participation and provide publicly accessible information on approaches addressed by the MAQR,
- Legitimacy, to provide security and strengthen governance,
- Equity, with emphasis on vulnerable groups with fewer opportunities, such as indigenous and Afro-descendant peoples, women, youth, and others.

### **5.1 What is a complaint or claim?**

For the purposes of the MAQR, a complaint or claim is understood to be a grievance submitted in good faith about the Project and its activities, where there is reasonable cause to believe that it is contributing to or causing individuals or communities to suffer human rights abuses or rights violations<sup>17</sup>. It is important that these can be made anonymously, so non-public, sensitive and/or personally identifiable information is treated as confidential to the extent possible, depending on the circumstances. If filing a complaint or claim involves risks for the claimant, WCS will respond in such a way that their privacy is protected and the confidentiality of the information is guaranteed, while allowing any confirmed grievance to be properly rectified. Under certain circumstances, WCS may be legally bound to disclose information provided under the MRA.

### **5.2 Who can file a complaint or claim?**

The MAQR will be available to any interested party at any time during the project life cycle, as defined in chapter 3 of this document. The Project Coordinating Unit - PCU will be in charge of socializing the MAQR with stakeholders through joint work spaces from the beginning of Project implementation, paying special attention to indigenous and local communities and other vulnerable populations.

### **5.3 How is a complaint or claim filed?**

To start the process, the following channels will be available and shared with stakeholders:

- (i) person-to-person reception through leaders and representatives of organizations and governance systems of indigenous peoples and local communities, which, in turn, will submit the case to the PCU, which will provide feedback in harmony with the culture and

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<sup>17</sup> The term "human rights" refers to the rights contained in the Universal Declaration of Human Rights and described in WCS policies.

customs of indigenous and Afro-descendant peoples for resolving disagreements. It is important to note that leaders and representatives will be trained and involved in the operation of the MAQR,

- (ii) file a complaint or written claim by email and/or through the web pages of the Project or partner entities that will be designated before project activities begin. There will be a link on the Project website, called "Contact Us", which will provide a form so that any interested party can enter complaints or claims. Once entered, an automatic response will be generated to confirm receipt of the request, generate a filing number and communicate that a response will be provided within no more than 15 business days. This mechanism will also allow the person's identity to be protected, as it is not mandatory to fill out the name, identity card and address fields,
- (iii) by telephone, using lines enabled for this purpose, which will be defined before project activities begin.

For the respective investigation and in order to generate an appropriate personalized response, it is proposed that the following information be available:

- Name(s), affiliation(s), address(es) and other contact information of the complainant and/or their representative(s). Representatives should identify the person(s) on whose behalf the complaint or grievance is being filed, and provide evidence of their authority to represent that person(s). In any case, it is reiterated that whoever files a report can remain anonymous. However, it is important to note that anonymous reports could limit the ability of partner entities to adequately investigate and address the complaint or claim.
- A description of specific facts, circumstances and events that gave rise to the complaint or claim: location, date, time, names and descriptions of persons involved, statements made including exact quotes when possible, actions observed or witnessed, and names or descriptions of any witnesses. The more specific and detailed the information is, the more complete and effective the investigation and response will be.
- An explanation of harm suffered and how individual or community rights were violated. Whoever files a complaint or claim may refer to codes of conduct, standards, policies or other frameworks that are relevant to the case and, where applicable, should describe any efforts to resolve the case through other available redress mechanisms.
- A description of the requested redress, where relevant or appropriate.

## 5.4 How are complaints or claims handled?

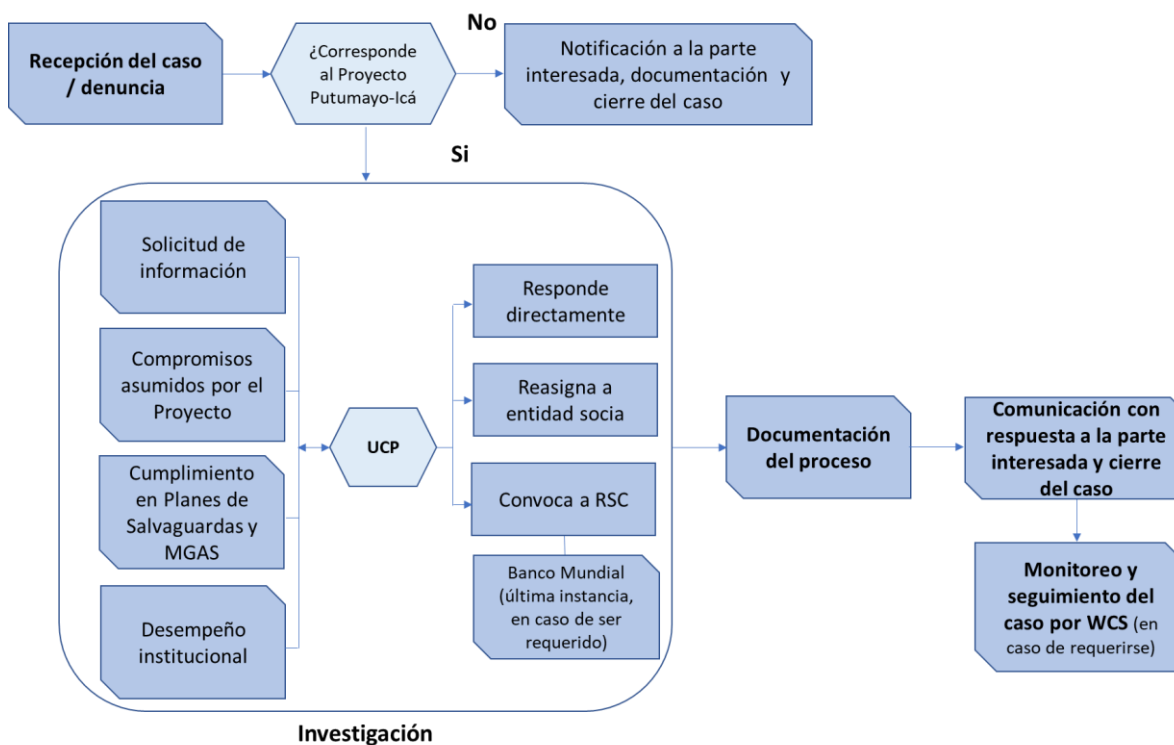


Figure 4. Analysis, response and resolution of complaints or claims received in the Putumayo-Içá Project MAQR.

Once a case is received, it is referred to the PCU, which will develop a review plan that is appropriate for the location, nature, seriousness, and complexity of the complaint or claim. This plan will define the investigation process and response, including the following steps:

- i. **Investigation:** All complaints or claims will be classified into two broad categories: “Applicable to the Putumayo-Içá Project” or “not applicable” to the Putumayo-Içá Project.” This classification is the responsibility of the PCU, headed by the Project Coordinator and the social and safeguards specialist. Cases classified as “Applicable” will be reclassified into the following categories, according to their nature:
  - *Request for information:* refers to statements that raise questions about responsibilities or dates of execution of activities,
  - *Commitments assumed by the Project,* refers to the application of protocols or plans for the implementation of Project activities, such as Workshops, Training Sessions, Technical Assistance, Intervention Activities, Monitoring and Follow-up.
  - *Compliance of the Project with Safeguard Plans and the Environmental and Social Management Framework,*
  - *Institutional performance,* which includes all proposals received in relation to the performance of partner institutions of the Project.

Claims that are found to be false, frivolous or submitted with malicious intent will be classified as “not applicable,” and will be rejected and excluded from any further consideration. Stakeholders will be notified about the determination made, and the case will be closed. The investigation may include interviews with Project personnel, witnesses,

and affected individuals (to the extent possible and appropriate), review of relevant documentation and other materials, taking of photographs, as well as other information gathered to determine the factual basis of the case.

- ii. **Documentation:** all cases processed under the MAQR will be documented and tracked. Investigation results and any recommendations for resolution or corrective action will be documented in writing.
- iii. **Communication:** the claimant will be notified that the complaint was received, and a contact will be identified. When the investigation is complete, the results and pertinent actions will be communicated through the means the claimant provided for receiving a response.
- iv. **Monitoring:** If recommended by the investigative report of the case, WCS will monitor the implementation of corrective actions taken and document progress.

The response time for any complaint filed may not exceed 15 business days. If there is a delay, stakeholders will be notified about the reasons for the delay and the deadline for response.

Depending on the nature of the case, the PCU will evaluate the viability of addressing and resolving it directly. If necessary, the PCU may rely on partners to complement the response to a complaint or claim, or will reassign it directly, and in that case, it will be the responsibility of the partner to continue the process and provide the respective response within the specified times, and keep the PCU informed. If warranted by the seriousness of the case, the PCU Coordinator may convene an extraordinary meeting of the RSC<sup>18</sup>, where all documentation required for decision-making will be submitted.

Communities and individuals that feel they were negatively affected by a project supported by the World Bank can also submit their complaints directly to the Bank through the Grievance Redress Service, using the following channels:

- By email: [grievances@worldbank.org](mailto:grievances@worldbank.org)
- By fax: +1.202.614.7313
- By mail: World Bank, Grievance Redress Service, MSN MC10-1018, 1818 H Street Northwest, Washington, DC 20433, USA.

Finally, it is important to note that the PCU, in all cases, must document the entire process of a complaint or claim, submit the respective report to the RSC and summarize the information in semi-annual reports to the World Bank.

## 6. Implementation, follow-up and monitoring of the SEP

The implementation of the SEP will involve joint work with the focal points of each country and the corresponding partner institutions to ensure stakeholder participation. WCS will also have a social and safeguards specialist to support the implementation and monitoring of the proposed actions. Table 20 shows the responsibilities of the different actors regarding the implementation of the SEP.

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<sup>18</sup> As part of the institutional arrangements of the Project, the RSC will be in charge of its general supervision, and will comprise the operational focal points of GEF of each country or their delegates (SEMA in the case of Brazil) and WCS will act as the Secretariat of the Committee.



Table 20. Responsibilities of key partners/stakeholders for the implementation of the SEP.

Actor/Stakeholder	Responsibilities
<b>PCU (Project Management and Implementation Unit) and Social and Safeguards Specialist</b>	<ul style="list-style-type: none"> <li>- Planning, execution and follow-up and monitoring of the SEP.</li> <li>- Report to the RSC.</li> <li>- Management and handling of the MAQR.</li> <li>- Coordination/supervision of contractor performance.</li> <li>- Submission of reports to the World Bank.</li> <li>- Preparation of proposals for improving the implementation of the Project regarding stakeholder participation and relations.</li> </ul>
<b>WCS</b>	<ul style="list-style-type: none"> <li>- Follow-up on the stakeholder consultation and participation process.</li> <li>- Supervise compliance with SEP and MGAS guidelines and orientations.</li> <li>- Follow-up on the MAQR.</li> <li>- Monitoring and follow-up of cases resolved by the MAQR.</li> <li>- Contribute to the preparation and validation of reports to the RSC (WCS).</li> </ul>
<b>Focal points and project partners</b>	<ul style="list-style-type: none"> <li>- Support SEP structuring and implementation.</li> <li>- Management of MAQR responses, according to their jurisdiction.</li> </ul>
<b>Stakeholders</b>	<ul style="list-style-type: none"> <li>- Active participation in the Project.</li> <li>- Support the inclusive nature and proper implementation of the Project, and utilize MAQR and participation spaces defined in the SEP.</li> </ul>

For follow-up and monitoring of compliance with the SEP, including the MAQR, it will also have the support of the Social and Safeguards Specialist in coordination with the PCU. This team will submit reports to the RSC for semi-annual Committee meetings, or extraordinarily, at the request of one of its parties. It will submit reports to the World Bank on the technical and financial progress of the Project, according to semi-annual reporting periods. In both processes, the respective supporting documentation of the progress and implementation of the SEP will be attached (records of work sessions and training with stakeholders on the MAQR, documentation of cases processed through the MAQR, and others) and will suggest improvements to ensure effective stakeholder participation and prevent conflicts with them. The Project also has a Monitoring System with specific indicators to monitor the participation of affected parties and reports received and addressed through the MAQR. The following indicators are available to monitor and follow-up the SEP, and are to be reported semi-annually by WCS (Table 20):

Table 20. Indicators associated with the implementation of the SEP.

Indicator name	Baseline	Goal	Source
Direct beneficiaries disaggregated by gender as a co-benefit of GEF investment (Number)	0	5,000	Project reports
Direct women beneficiaries as a co-benefit of GEF investment (%)	0	45	Project reports
Registered complaints on the delivery of Project benefits that were resolved (%)	0	100	MAQR

## 7. Budget

The PCU will structure a budget for the Appraisal, through which the financial resources and personnel necessary for each of the activities to be implemented within the framework of the SEP will be indicated. Likewise, it will define the mechanisms to monitor budget execution and make the financial report to the World Bank each semester.

## Annexes

### Annex 1. List of Political and Administrative Units involved in the project

Country	Political Administrative Units
Brazil	Municipalities: Amaturá, Santo Antônio do Itá, São Paulo de Olivença.
Colombia	Municipalities: El Encanto, La Chorrera, Leticia, Puerto Alegría, Puerto Arica, Puerto Nariño, Puerto Santander, Tarapacá, Córdoba, Funes, Ipiales, Potosí, Puerres, Pasto, Colón, Mocoa, Orito, Puerto Asís, Puerto Caicedo, Puerto Leguizamo, San Francisco, San Miguel, Santiago, Sibundoy, Valle del Guamuéz, Villagarzón.
Ecuador	Parishes: El Dorado de Cascales, Santa Rosa de Sucumbios, Sevilla, Cuyabeno, Puerto Libre, Dureno, General Farfan, Jambeli, Nueva Loja, Pacayacu, Santa Cecilia, Palma Roja, Puerto Bolívar, Puerto el Carmen del Putumayo, Puerto Rodríguez, Santa Elena, Rosa Florida.
Peru	Districts: Putumayo, Rosa Panduro, Teniente Manuel Clavero, Yaguas.

### Annex 2. Legal framework of Brazil, Colombia, Ecuador and Peru, regarding participation, access to information and free, informed consultation with indigenous peoples.

Country	Theme of the standards	
	Participation and access to information	Free, informed consultation with Indigenous Peoples
Brazil	<ul style="list-style-type: none"> <li>- Ley de Acceso a la Información Ambiental [Law on Access to Environmental Information] (Law No. 10650/2003)</li> <li>- Water Law (Federal Law No. 9433/1997)</li> </ul>	<ul style="list-style-type: none"> <li>- Political Constitution, chapter "the Indigenous" and article 68 of the Acto de las Disposiciones Constitucionales Transitorias [Act of Transitory Constitutional Provisions]</li> <li>- Legislative Decree ratifying Convention 169 (Decree No. 143/2002).</li> <li>- Regional consultation protocols</li> </ul>
Colombia	<ul style="list-style-type: none"> <li>- Ley de Veedurías Ciudadanas [Citizen Oversight Law] (Law No. 850/2003)</li> <li>- Ley de Transparencia y del Derecho al Acceso a la Información [Law of Transparency and the Right of Access to Information] (Law No. 1712/2014)</li> <li>- Ley Estatutaria de Participación [Statutory Law of Participation] (Law No. 1757/2015)</li> </ul>	<ul style="list-style-type: none"> <li>- Political Constitution, articles 1, 7, 63, 287, 329 and 330.</li> <li>- Law approving Convention 169 (Law 21/1991)</li> <li>- Decree No. 1397/1996.</li> <li>- Presidential Directive No. 001/2010, establishing actions that require consultation, those that do not, and mechanisms to carry it out.</li> <li>- Decree 2893/2011 creating the Department of Prior Consultation of the Ministry of the Interior.</li> <li>- Decree 2613/2013 and Presidential Directive 10/2013 that indirectly regulate prior consultation.</li> <li>- Protocols for relations with indigenous peoples and Afro-descendant communities.</li> <li>- Decision of the Constitutional Court T-063/19</li> </ul>
Ecuador	<ul style="list-style-type: none"> <li>- Ley Orgánica de Participación Ciudadana [Organic Law of Citizen Participation] (2010)</li> <li>- Organic Law of Transparency and Access to Public Information (Law No. 24/2004)</li> </ul>	<ul style="list-style-type: none"> <li>- Political Constitution of Ecuador, articles 56, 57 and 398, expressly recognizing the right to consultation.</li> <li>- Resolution No. 304/1998 ratifying Convention 169.</li> <li>- Decree 1247/2012, regulations for the implementation of free, prior and informed consultation for bidding and allocating hydrocarbon areas and blocks.</li> <li>- Criteria established by the Constitutional Court (March 2010), on prior consultation</li> </ul>
Peru	<ul style="list-style-type: none"> <li>- Law No. 26300/1994 on the Derechos de Participación y</li> </ul>	<ul style="list-style-type: none"> <li>- Political Constitution, articles 2, 19, 88, 89, 149 and 191, on the rights of indigenous peoples.</li> </ul>

Country	Theme of the standards	
	Participation and access to information	Free, informed consultation with Indigenous Peoples
	Control Ciudadanos [Rights of Citizen Participation and Control]. - Ley de Transparencia y Acceso a la Información Pública [Law on Transparency and Access to Public Information] (No. 27806/2002) - Ley Marco del Sistema Nacional de Gestión Ambiental [Framework Law of the National Environmental Management System] (Law No. 28245/2005). - Ley Orgánica de Gobiernos Regionales [Organic Law of Regional Governments] (Law No. 27867/2003 and Law No. 28056/2003).	- Legislative Resolution No. 26253/1993 approving Convention 169. - Ley del derecho a la consulta previa a los pueblos indígenas u originarios [Law on the right to prior consultation with indigenous or native peoples] (No. 29785/2011) - Regulations of the Law on the Right to Prior Consultation of Indigenous or Native Peoples (Legislative Decree No. 001-2012-MC/2012)

### Annex 3. Webinar Report.

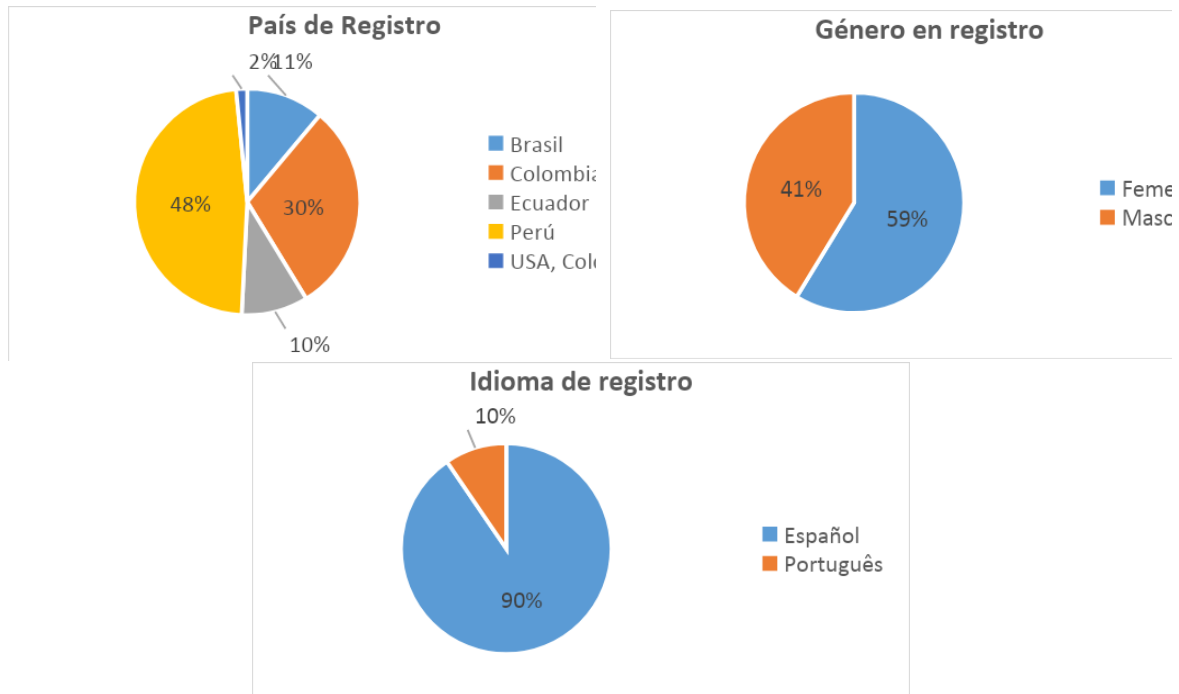
- **Date:** February 4, 2021
- **Organized by:** Ministerio de Ambiente y Desarrollo Sostenible de Colombia, Ministerio de Ambiente y Agua de Ecuador, Ministerio del Ambiente de Perú, Secretaría de Medio Ambiente del Estado de Amazonas, y Wildlife Conservation Society junto con PID Amazonía. Facilitator: Charo Lanao.
- **Objectives:**
  - Socialize background, objectives, benefits and opportunities of the project
  - Receive feedback on the information provided, as well as concerns, suggestions and contributions.
  - Share the project website and channels to receive questions and comments.
- **Agenda:**
  - Project presentation
  - Panel - presentations by: Padu Franco (Regional Director AAO, WCS), Catalina Gutierrez (Director of the Colombia Program, WCS), Edwin Agudelo (SINCHI, Colombia), Dallas González (MINAM, Peru), Luis Borbor (MAAE, Ecuador) and George Rebelo (Brazil).
  - Questions
  - Closing
- [Webinar](#) en Facebook Live y zoom
- **Mechanisms for collecting questions, comments and suggestions:**
  - [Form](#)
  - Webpage: [Cuenca Putumayo-Içá](#)
  - Email: [contacto@cuencaputumayoica.com](mailto:contacto@cuencaputumayoica.com)

### Results:

- Total attendees (Zoom + Facebook Live) = 153.
- Zoom: Total attendees (more than 30 minutes of connection) = 101, Total connections= 151, Average connection duration (of total attendees)= 58.3 minutes.
- Facebook live: 52 viewers, 251 interactios, 1.582 people reached.

According to the attendance records of the Google format distributed in the call, the following results could be found:

- Total attendees: 63

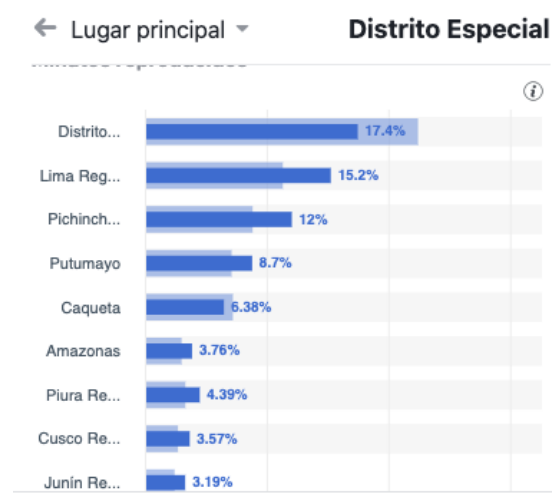
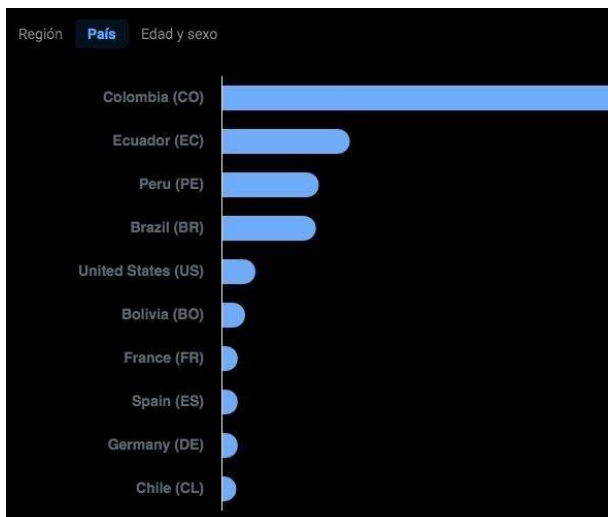


- Registered institutions

Amazon Conservation Team  
 ANA  
 Anecap  
 Asociación de Autoridades Tradicionales Mesa Permanente de trabajo por el Pueblo Cofán  
 Aunap  
 CAM  
 CORPOAMAZONIA  
 CSM E P  
 FECONAFROPU - PERU ESTRECHO PUTUMAYO.  
 Field Museum  
 Fiscalía Especializada en Materia Ambiental (FEMA)  
 FONAKISE (de la nacionalidad Kichwa de Sucumbíos)  
 Independiente  
 Instituto del Bien Común  
 Instituto Geofísico del Perú  
 MINAM

Ministerio de Ambiente y Agua  
 Ministerio de Ambiente y Desarrollo Sostenible  
 Ministerio del Ambiente  
 Ministerio del Ambiente (OEFA) - Perú  
 Museo de Historia Natural  
 Natura & Co  
 natura cosméticos  
 OCIBPRY BAJO PUTUMAYO - YAGUAS  
 OEFA  
 Organización de la Nacionalidad Indígena Siona del Ecuador  
 Parque Nacional Natural La Paya  
 Parques Nacionales Naturales de Colombia  
 PEBDICP-MIDAGRI Proyecto Especial Binacional Desarrollo Integral de la Cuenca del Río Putumayo  
 PEDICP  
 PNN - Dirección Territorial Amazonia  
 Programa Nacional de Conservación de Bosques para la Mitigación del Cambio Climático.  
 Promotores ambientales comunitarios PACOA  
 Secretaria de Estado do Meio Ambiente - SEMA/AM  
 Secretaria Executiva de Ciência, Tecnologia e Inovação  
 SERNANP  
 Sociedad Zoologica de Francfort  
 UEA  
 UNALM  
 UNIVERSIDADE DO ESTADO DO AMAZONAS  
 Universidade Federal de Juiz de Fora  
 World Wildlife Fund, Inc. - Peru

### Facebook Live results



← Público principal ▾

Mujeres, 25

Rendimiento total del video Se muestra todo

4 de feb - 8 de feb

**4.1 mil**

Minutos reproducidos

**43%**

Hombres

**53%**

Mujeres

← Interacción con la publica... ▾

👍 114 Total de reacciones - 113 en contenido compartido



99



0



15



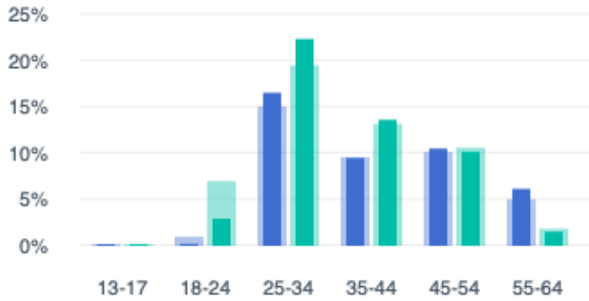
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💬 31 Total de comentarios - 4 en contenido compartido

➡ 34 Total de veces compartido

← Público e interacción ▾

👍 Interacción con la publicación 178 >

😊 Interacción con el video >

👤 Público principal Mujeres, 25-34 >

🌐 Lugar principal Distrito Especial >

Este video se usa en 1 publicación

Publicaciones ⓘ	Fecha de publicación	Alcance estimado	Reproducciones de video de 3 segundos	Reproducciones de video de 10 segundos	Reproducciones de video únicas de 3 segundos	Interacción con la publicación	Tiempo promedio de reproducción del video
PID Amazonía PUTUMAYO-ICÁ HACIA EL MAN...	04/02/2021 14:57	3.1 mil	1 mil 100%	457 100%	890	178	1:31 / 01:35:27

Reproducciones de video totales de 3 segundos en Facebook: 1 mil ⓘ

Detalles del video

**PID Amazonía: PUTUMAYO-ICÁ HACIA EL MANEJO INTEGRADO DE LA CUENCA Y SUS RECURSOS...**

Facebook Live del proyecto PUTUMAYO-ICÁ: HACIA EL MANEJO INTEGRADO DE LA

**Rendimiento total del video** Se muestra todo

- Número máximo de espectadores en vivo 52
- Minutos reproducidos 4,119
- Reproducciones de video de 1 minuto 160
- Reproducciones de video de 10 segundos 457
- Reproducciones de video de 3 segundos 1,012
- Tiempo promedio de reproducción del video 1:31
- Retención del público >

**Webinar attendance list:**

Name	Last name	Gender	Country	Institution	Position	Email
Rosario	Gómez	Femenino	Colombia	WCS	Consultora	rogomezs78@gmail.com
Mariana Pereira de Almeida	Cohen	Feminino	Brasil	Secretaria Executiva de Ciência, Tecnologia e Inovação	Assessora	mcohen@sedecti.am.gov.br
Guillermo	Estupiñan	Masculino	Brasil	WCS	Especialista Recursos pesqueros	gestupinan@wcs.org
Mario Paolo	Menendez	Masculino	Perú	Ministerio del Ambiente	Especialista	mmenendez@minam.gob.pe
Cynthia Julliana	Vergara y Garcia	Femenino	Perú	SERNANP	Especialista en Manejo de Recursos	cvergarayg@sernanp.gob.pe
Xiomara	Forero	Femenino	Colombia	Parques nacionales naturales de Colombia	Bióloga	xiomarajuleidy86@gmail.com
Valentina	Cardona	Femenino	Colombia	Amazon Conservation Team	Ecóloga proceso Pueblos Indígenas en Aislamiento y Contacto Inicial	vcardona@actcolombia.org

Javier	Cuellar	Masculino	Colombia	Amazon Conservación Team	Profesional de campo	ejavic@hotmail.com
Alejandra Graciela	Martínez Grimaldo de Takahashi	Femenino	Perú	Instituto Geofísico del Perú	Investigadora científica asociada	amartinez@igp.gob.pe
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